Checklists

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A checklist is only as good as the understanding behind it. The thirteen lists in this chapter assume that the reader has grasped the reasoning in the parts to which they refer. Each opens with a short paragraph that says what the list is for, who should use it and where the longer explanation lies. The lists are written for the person who will actually do the work. That person may be the founder preparing the SRO file, the compliance officer building the AML programme, the executor who has just been told that the deceased held tokens or the general counsel at three in the morning after a hack. They can be copied, adapted and attached to engagement letters. They are not exhaustive, because a regulator or a court will ask for whatever the facts require. The forms and portals that sit behind several of them also change more often than this book can be reprinted.

Where a list contains figures or deadlines, the figures are those known on 30 June 2026 and are flagged. Where it contains document names, the names are those used by the authority at that date. A reader who finds that an item no longer matches the regulator's current form should treat the mismatch as a signal to check the rest of the list against the current source before relying on it.

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