



Business Compliance Readiness Checklist

LC Business Consultants & Advisory

Build compliant. Stay protected. Operate like you plan to last.

Legal & Registration Compliance

- 1 ■ Business entity is registered and active
- 2 ■ DBA filed if applicable
- 3 ■ EIN obtained and verified
- 4 ■ Operating agreement or bylaws completed

Licenses, Permits & Industry Rules

- 1 ■ All required licenses obtained
- 2 ■ Industry-specific permits secured
- 3 ■ Certifications current
- 4 ■ Renewal dates documented

Tax & Financial Compliance

- 1 ■ Business bank account established
- 2 ■ Personal and business finances separated
- 3 ■ Bookkeeping system in place
- 4 ■ Tax registrations completed

Contracts & Policies

- 1 ■ Client agreements in place
- 2 ■ Contractor or employee agreements prepared
- 3 ■ Website policies published

Insurance & Risk Management

- 1 ■ General liability insurance active
- 2 ■ Professional liability reviewed
- 3 ■ Workers' compensation in place if required

Data & Privacy Protection

- 1 ■ Client data secured
- 2 ■ Password and access controls active
- 3 ■ Compliance with data laws verified

Operations & Internal Compliance

- 1 ■ Processes documented
- 2 ■ Recordkeeping system established
- 3 ■ Issue resolution process outlined

Audit Readiness Check

- 1 ■ Records organized
- 2 ■ Licenses current
- 3 ■ Contracts stored
- 4 ■ Insurance active