

Financial Compliance Content Checklist

Pre-launch compliance checklist for financial services landing pages, calculators, and campaign assets.

Regulatory Alignment

- Confirm target jurisdictions and relevant regulators (FINRA, SEC, FCA, ESMA, ASIC, MAS, etc.).
- Map product availability and restrictions per jurisdiction.
- Review approved terminology for products, risk levels, and guarantees (if any).

Disclosure Requirements

- Display risk warnings prominently above the fold and near CTAs.
- Include fee, rate, and representative APR examples where applicable.
- Provide past performance disclaimers for investment products.
- Reference source documents for claims (audit reports, awards, ratings).

Approval Workflow

1. Writer completes draft and flags compliance-sensitive statements.
2. Legal/compliance reviews, annotates required edits, and signs off with timestamp.
3. Marketing implements changes and logs versions in CMS or approval tool.
4. Final approver signs off before publishing.

Technical & Accessibility

- Ensure secure hosting (HTTPS), no mixed content warnings, and valid certificates.
- Validate schema (Service, Product, FAQ) and sitemaps for new pages.
- Confirm pages meet WCAG AA accessibility guidelines.
- Test calculators and forms for accuracy, error handling, and consent capture.

Record Keeping

- Store approved copies, disclosures, and creative in a centralized repository.
- Screenshot final page, including disclosures and modal content.
- Track go-live date, reviewer names, and version numbers.

Post-Launch Monitoring

- Set automated alerts for rate changes or product updates affecting messaging.
- Review analytics for anomalies (high bounce, form errors) that may indicate compliance or UX issues.

- Conduct quarterly audits with compliance, product, and marketing teams.

Use the checklist in conjunction with your broader marketing governance framework to ensure every campaign remains regulator-ready.