



Automotive Dealership Compliance Checklist

Federal & State Licensing

Ensuring all required licenses and permits are current and displayed properly.

Dealer License Expiration Date


Salesperson License Expiration Date

Dealer License Status


- ☐ Active
- ☐ Inactive
- ☐ Suspended
- ☐ Revoked

Dealer License Number

Copy of Dealer License (Front)

 Upload File

Copy of Dealer License (Back)

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Business License Type

- ☐ Corporation
- ☐ Partnership
- ☐ Sole Proprietorship
- ☐ LLC

Truth in Advertising

Verification of compliant advertising practices, avoiding misleading statements.

Review of Current Advertising Materials

Write something...

Accuracy of Stated MPG

- ☐ Verified Accurate
- ☐ Needs Verification
- ☐ Inaccurate - Requires Correction

Disclosure of Fees & Charges

- ☐ Clearly Disclosed
- ☐ Needs Clarification
- ☐ Missing Disclosure

Advertising Channels Reviewed

- ☐ Website
- ☐ Social Media
- ☐ Print Ads
- ☐ Radio
- ☐ Television

Specific Claim Being Verified (e.g., 'Lowest Price')

Write something...

Truthfulness of Vehicle Description

- ☐ Accurate
- ☐ Requires Adjustment
- ☐ Misleading

Fair Credit Reporting Act (FCRA)

Compliance with FCRA guidelines related to credit checks and disclosures.

Consumer Name

Write something...

Date of Credit Report Obtained

Enter date...

Purpose of Credit Report?

- ☐ Credit Application
- ☐ Employment
- ☐ Insurance
- ☐ Rental Application
- ☐ Other

Summary of Adverse Action Notice (if applicable)

Write something...

Adverse Action Taken?

- ☐ Yes
- ☐ No

Number of Consumers whose reports were obtained

Enter a number...

Copy of Adverse Action Notice (if applicable)

 Upload File

Consumer Protection Laws

Adherence to state and local consumer protection regulations.

Summary of State Consumer Protection Act

Write something...

Cooling-Off Period Applicable?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

Cooling-Off Period Duration (Days)

Enter a number...

Last Review Date of Consumer Protection Policies

Enter date...

Relevant State Consumer Protection Areas Covered (Select All That Apply)

- ☐ Deceptive Practices
- ☐ Truth in Advertising
- ☐ Fair Credit
- ☐ Contract Terms
- ☐ Product Safety
- ☐ Privacy Rights

Record of any Consumer Complaints Received (and Resolution)

Write something...

DMV Reporting Requirements

Timely and accurate reporting to the Department of Motor Vehicles (DMV).

Last DMV Reporting Submission Date

Enter date...

Number of Vehicles Reported This Period

Enter a number...

Reporting Method

- ☐ Electronic
- ☐ Paper
- ☐ Other

Vehicle Identification Number (VIN) Verification Method

Write something...

Notes on Reporting Process or Issues Encountered

Write something...

Form Type Submitted

- ☐ Sales Report
- ☐ Transfer Report
- ☐ Other

Sales Contracts & Disclosures

Review of sales contracts and associated disclosures for legality and accuracy.

Purchase Price Disclosure

Write something...

Down Payment Amount

Enter a number...

Interest Rate (APR)

Enter a number...

Loan Term (Months)

Enter a number...

Total Finance Charge Disclosure

Write something...

Trade-In Vehicle Information (Yes/No)

☐ Yes

☐ No

Vehicle Description (VIN, Make, Model)

Write something...

Contract Execution Date

Enter date...

Customer Signature

Warranty Compliance

Verification of warranty documentation and adherence to warranty procedures.

Warranty Start Date

Enter date...

Warranty Mileage at Claim

Enter a number...

Warranty Type (e.g., Basic, Extended)

- ☐ Basic
- ☐ Extended
- ☐ Powertrain

Description of Warranty Issue

Write something...

Supporting Documentation (e.g., Repair Order)

 Upload File

Warranty Status

- ☐ Pending Approval
- ☐ Approved
- ☐ Denied

Claim Amount

Enter a number...

Lemon Law Compliance

Compliance with state lemon laws regarding vehicle defects and refunds.

Vehicle Purchase Date

Enter date...

Number of Repair Attempts

Enter a number...

Detailed Description of Vehicle Defect(s)

Write something...

Date of Initial Repair Attempt

Enter date...


Summary of Repair Records & Invoices (attach copies)

Write something...

Did the repair restore the vehicle to acceptable condition?

- ☐ Yes
- ☐ No
- ☐ Partial Restoration

Repair Invoices & Documentation (required)

 Upload File

Arbitration/Mediation Status

- ☐ Not Initiated
- ☐ In Progress
- ☐ Completed

Privacy Policy & Data Security

Review and adherence to privacy policy and data security protocols.

Data Encryption Method Used

- ☐ AES-256
- ☐ RSA
- ☐ Other (Specify)

Summary of Privacy Policy Updates (Last Review)

Write something...

Third-Party Data Sharing Practices

- ☐ No Sharing
- ☐ Limited Sharing (Specify)
- ☐ Full Sharing (Specify)

Date of Last Privacy Policy Review

Enter date...

Description of Data Security Measures

Write something...

Number of Data Breach Incidents (Past Year)

Enter a number...

Employee Training & Records

Maintenance of employee training records related to compliance matters.

Last Compliance Training Date

Enter date...


Training Modules Completed

- ☐ Federal & State Licensing
- ☐ Truth in Advertising
- ☐ FCRA Compliance
- ☐ Consumer Protection Laws
- ☐ DMV Reporting Requirements

Hours of Training Completed (Total)

Enter a number...

Copy of Training Certificate

 Upload File

Notes on Individual Training Needs (if applicable)

Write something...

Next Scheduled Training Date

Enter date...

Record Keeping & Documentation

Proper retention of all relevant compliance records and documentation.


Record Creation Date

Enter date...

Summary of Compliance Review Findings

Write something...

Supporting Documentation (Contracts, Agreements)

 Upload File

Number of Contracts Reviewed

Enter a number...

Record Type

- ☐ Sales Contract
- ☐ Warranty Claim
- ☐ Compliance Audit
- ☐ Training Records

Next Review Date

Enter date...

Anti-Money Laundering (AML)

Verification of AML policies and procedures (if applicable).

Last AML Policy Review Date

Enter date...

AML Training Completion Status (Employees)

- ☐ Completed
- ☐ In Progress
- ☐ Not Started

Number of Suspicious Activity Reports (SARs) Filed (Last Year)

Enter a number...

Summary of Recent AML Risk Assessment Findings

Write something...

Customer Due Diligence (CDD) Procedures Followed?

☐ Yes

☐ No

Attach Latest AML Training Documentation

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