



Brokerage Policy Review Checklist

Compliance & Legal

Ensuring adherence to relevant laws, regulations, and licensing requirements.

Last License Renewal Date (Brokerage)

Enter date...

Next License Renewal Date (Brokerage)

Enter date...

Summary of Recent Legal Consultations/Reviews

Write something...

State Regulatory Body Compliance Status

- ☐ Compliant
- ☐ Warning Received
- ☐ Formal Complaint Filed
- ☐ Pending Investigation

Copies of Relevant Licenses and Permits