



Toolkit Template

Industry Specific Regulations and Reporting Requirements

Objective: This template has been developed to record critical basic information related to your business and the regulations and reporting requirements applying to it.

Certain industries are regulated and have specific reporting requirements. It is critical to understand if your company is in this category and if so, what you must do to comply. Failure to do so may result in fines or license suspension and negative publicity with resultant reduction of trust, a critical aspect of any business.

The following industries are regulated and have specific reporting requirements. The examples given may not include every type of business in that industry:

- Financial Services
 - Banks
 - Credit Unions
 - Financial advisors
 - Investment firms
 - Mutual fund companies
- Healthcare providers
 - Doctors
 - Dentists
- Pharmaceuticals
 - Companies
 - Pharmacies

Each of these has specific rules, regulations and reporting requirements too extensive to be covered in this template. Sources of more detailed information are:

- The leader of your firm
- The regulatory agency for your industry
 - Website
 - Helpline
- Professional associations
- Industry organizations
- Attorneys or consultants specific to your industry



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The importance of this information and proper filing of reports cannot be over-emphasized.

A triggering event for a BOE policy is stressful itself. The time to get this in order is when the person covered by the BOE policy is healthy.

Be sure to document everything including:

- Where to find the reports
- A list of the specific regulations
- Contacts at the regulatory agencies
- Contacts at the professional association
- Other contacts for this type of information
- When reports are due
 - Where the forms are stored
 - Where they need to be filed
 - How long it takes to complete the report
 - When the reports are due
- Any other specific requirements related to regulation and reporting