COMPLIANCE WORKING RECORD

Financial promotion checklist

FICTIONAL evidence sample. Requires tailoring.

Document control

Field	Value
Document type	Evidence workpaper
Document reference	CASE-FICTIONAL
Jurisdiction	United States
Version	2026-10-09.regulatory-training.1
Status	FICTIONAL sample. Requires tailoring.
Classification	Private
Prepared by	Fictional reviewer
Prepared on	October 9, 2026
Sources reviewed	October 9, 2026
Generated	October 9, 2026

Document control and frozen case

Check a frozen promotion against the exact customer-selected instrument, audience, playbook literals and human assessments.

Field	Value
Case reference	CASE-FICTIONAL
Organization	Fictional organization
Subject	Fictional bounded review
Responsible reviewer	Fictional reviewer
Preparation date	October 9, 2026

Field	Value
Scope	Fictional customer-approved workflow. Replace every example before real use.
Customer policy	POLICY-FICTIONAL
Customer policy version	fictional-v1
Declared approver	Fictional policy owner
Declared approval date	October 2, 2026
Decision boundary	No substantive decision or external filing made.

Named method and supported scope

Run case-sensitive literal inclusion/exclusion checks, join each rule to its dated source-linked assessment, and preserve contradictions, unsupported claims and unresolved applicability.

Literal presence does not prove truth, fairness, balance, audience suitability or legal compliance. Up to 10,000 promotion characters and 100 rules.

All original evidence, approved rules, recipient events and factual verification remain customer declarations. File hashes establish retained byte identity only.

The tool does not decide credibility, legal applicability, publication, competence, participation, signature, delivery, regulator acceptance or submission.

Prepared results preserve complete accepted records. Recovery never creates payment, source authentication, fresh consent or approval authority.

Complete result counts

Measure	Value
Playbook checks	2

1. Original evidence source (S1)

State. Customer verification linked

Customer-declared source identity and verification. Original contents are not extracted or independently authenticated.

Field	Value
Original file ID	F1

Field	Value
Locator	Fictional section one
Source date	October 1, 2026
Custodian	Fictional customer custodian
Description	Fictional source declaration. Does not establish real source evidence.
Customer verification	Customer verified
Verified by	Fictional customer reviewer
Verified on	October 2, 2026
Exact evidence source references	S1

2. Original byte manifest (F1)

State. Indexed

Complete attachment export requires these exact original bytes.

Field	Value
Filename	FICTIONAL-regulatory-training-evidence.txt
Media type	text/plain
Bytes	206
SHA-256	5caf71f8ad946bcc893f678cedea5f9390a5d12eb1f3e5f2e2c5b0789f93d574
Exact evidence source references	S1

3. Frozen customer policy (POLICY-FICTIONAL)

State. Documented

Exact customer-approved policy retained. Applicability and authority remain customer declarations.

Field	Value
Version	fictional-v1

Field	Value
Approver	Fictional policy owner
Approval date	October 2, 2026
Exact evidence source references	S1

4. Frozen playbook check (RULE1)

State. Prepared checklist record

Literal matching does not determine truth, balance, suitability, fairness or legality. No publication approval is issued.

Field	Value
reference	RULE1
provision	Fictional provision one
requirement	Fictional selected literal disclosure
method	Must include literal
literal	Capital is at risk.
audience	Fictional selected customers
required	Yes
sourceIds	["S1"]
Promotion version	fictional-v1
Audience	Fictional selected customers
Literal result	true
Supplied assessments	[{"reference":"ASSESS1","ruleReference":"RULE1","outcome":"Supported","reviewer":"Fictional reviewer","on":"2026-10-02","rationale":"Fictional exact wording review","exactQuote":"Capital is at risk.","sourceIds":["S1"]}]
Gaps	
Exact evidence source references	S1

5. Frozen playbook check (RULE2)

State. Review gap

Literal matching does not determine truth, balance, suitability, fairness or legality. No publication approval is issued.

Field	Value
reference	RULE2
provision	Fictional provision two
requirement	Fictional balance review
method	Human assessment
literal	
audience	All
required	Yes
sourceIds	["S1"]
Promotion version	fictional-v1
Audience	Fictional selected customers
Literal result	Human assessment only
Supplied assessments	[]
Gaps	Required named source-linked assessment missing or unresolved
Exact evidence source references	S1

Complete accepted task inputs

The following exact accepted fields preserve every supplied task record, including orphan records and contradictions. They are customer annotations, not independently extracted or authenticated evidence.

Field	Value
jurisdiction	United States
instrument	Fictional customer-selected marketing playbook
provision	Fictional provision one

Field	Value
promotionVersion	fictional-v1
promotionText	FICTIONAL promotion. Capital is at risk. Requires tailoring.
audience	Fictional selected customers
channel	Fictional page
plannedOn	October 10, 2026
rules 1. reference	RULE1
rules 1. provision	Fictional provision one
rules 1. requirement	Fictional selected literal disclosure
rules 1. method	Must include literal
rules 1. literal	Capital is at risk.
rules 1. audience	Fictional selected customers
rules 1. required	Yes
rules 1. sourceIds	S1
rules 2. reference	RULE2
rules 2. provision	Fictional provision two
rules 2. requirement	Fictional balance review
rules 2. method	Human assessment
rules 2. literal	
rules 2. audience	All
rules 2. required	Yes
rules 2. sourceIds	S1
assessments 1. reference	ASSESS1
assessments 1. ruleReference	RULE1

Field	Value
assessments 1. outcome	Supported
assessments 1. reviewer	Fictional reviewer
assessments 1. on	October 2, 2026
assessments 1. rationale	Fictional exact wording review
assessments 1. exactQuote	Capital is at risk.
assessments 1. sourceIds	S1

Recovery and original attachment boundary

The complete local ZIP includes every original file listed in the retained manifest. A structured JSON or cloud record alone preserves the descriptor and annotation, not the original file bytes. Attach matching bytes before producing a complete original-attachment pack.

Customer recovery restores neither source authentication, approval authority nor paid export access. Payment ownership is checked before each commercial export.

Official sources

Source	Provision	Date	Link
Securities and Exchange Commission: Investment Adviser Marketing. Small Entity Compliance Guide	The SEC guide addresses the Investment Advisers Act marketing rule 206(4)-1. Only qualified customer review selects applicability and exact playbook provisions. Literal occurrence does not establish truth, balance or regulatory approval.	October 9, 2026	https://www.sec.gov/resources-small-businesses/small-business-compliance-guides/investment-adviser-marketing