

# Regulatory Filing Guide

Use this template to filing procedures for [regulation/report].

## Template Metadata

Field	Details
Category	Finance
Owner	[Team or owner]
Version	[Version number]
Effective Date	[Date]
Review Cycle	[Monthly / Quarterly / Annual / Event-based]
Status	[Draft / In Review / Approved]

## Filing Timeline

Provide a countdown timeline from the period end to the filing deadline, with key milestones, responsible parties, and dependencies. Use a table with T-minus days, task, owner, and deliverable.

Item	Details	Owner	Status
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]

## Notes

[Add context, assumptions, exceptions, evidence links, screenshots, calculations, or reviewer comments.]

## Data Collection Checklist

List all data inputs required for the filing, organized by source department. Include data element, source system, responsible party, and due date.

Item	Details	Owner	Status
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]

### Notes

[Add context, assumptions, exceptions, evidence links, screenshots, calculations, or reviewer comments.]

## Review Workflow

Document the multi-stage review and sign-off process, including draft preparation, internal review, legal review, audit committee review, and officer certification.

Item	Details	Owner	Status
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]

### Notes

[Add context, assumptions, exceptions, evidence links, screenshots, calculations, or reviewer comments.]

## XBRL Tagging Requirements

Explain the inline XBRL tagging requirements, taxonomy selection, custom extensions, and quality assurance checks.

Item	Details	Owner	Status
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]

## Notes

[Add context, assumptions, exceptions, evidence links, screenshots, calculations, or reviewer comments.]

## Submission Steps

Provide step-by-step instructions for the actual filing submission, including system access, file formatting, validation checks, and confirmation.

Item	Details	Owner	Status
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]

## Notes

[Add context, assumptions, exceptions, evidence links, screenshots, calculations, or reviewer comments.]

## Common Deficiencies

List frequently cited deficiencies from examiner reviews with preventive measures for each. Use tables and numbered steps. Reference specific regulatory citations and deadlines.

Item	Details	Owner	Status
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]

<b>Item</b>	<b>Details</b>	<b>Owner</b>	<b>Status</b>
[Item or requirement]	[Describe the relevant detail, evidence, or decision]	[Owner]	[Open / Complete]

## Notes

[Add context, assumptions, exceptions, evidence links, screenshots, calculations, or reviewer comments.]