

# Recording-control checklist

TraderVoice by greenstar technology · Working review resource

Review date: \_\_\_\_\_ Firm / desk: \_\_\_\_\_

Reviewer: \_\_\_\_\_ Test scope: \_\_\_\_\_

## 1. Scope and owner

Record legal entity, activity, jurisdiction, approved channel, desk, line and accountable control owner.  
Confirm applicable rules with counsel.

Result / source reference / owner: \_\_\_\_\_

## 2. Both call legs

Confirm outbound and return-leg audio are present, intelligible and linked to the expected participants.  
Do not infer dual-leg capture from a successful call.

Result / source reference / owner: \_\_\_\_\_

## 3. Missing or incomplete audio

Check silence, one-way audio, clipping, missing segments and duration mismatch. Preserve observed results and mark checks that could not be performed.

Result / source reference / owner: \_\_\_\_\_

## 4. Timestamps and identifiers

Compare call start/end and recorder/archive timestamps in UTC. Record clock differences, call ID, recording ID, archive ID and the tested configuration.

Result / source reference / owner: \_\_\_\_\_

## 5. Known-audio fingerprint

Check the agreed phrase or watermark per expected leg. Keep acoustic-match findings separate from artifact checksums and caller identity.

Result / source reference / owner: \_\_\_\_\_

## 6. Archive retrieval

Retrieve the expected object using approved reviewer access. Distinguish missing record, ingest delay and permission failure; capture the retrieval time and source reference.

Result / source reference / owner: \_\_\_\_\_

## 7. Retention

Confirm the applicable record category, policy assignment, duration, storage controls and owner. A visible policy setting is not proof of future preservation.

Result / source reference / owner: \_\_\_\_\_

## 8. Legal hold

Record the relevant hold decision and responsible legal owner. Confirm authorized hold application and release procedure; do not alter production holds during a synthetic test.

Result / source reference / owner: \_\_\_\_\_

## 9. Failure follow-up

Assign an exception ID, severity, owner and response deadline. Attach original evidence; document the authorized change and create a linked retest.

Result / source reference / owner: \_\_\_\_\_

## 10. Review and sign-off

Record reviewer, UTC review time, conclusion and remaining limitations. Retain failed runs and review history. A passing sample applies only to its tested path and time.

Result / source reference / owner: \_\_\_\_\_

# Official regulatory sources

Educational information, not legal advice. Confirm applicability, current text and retention with counsel. A synthetic test covers its tested path and time; it does not establish completeness of all production calls.

- **CFTC 1.31**  
<https://www.ecfr.gov/current/title-17/chapter-I/part-1/section-1.31>
- **CFTC 1.35**  
<https://www.ecfr.gov/current/title-17/chapter-I/part-1/section-1.35>
- **SEC 17a-4**  
<https://www.ecfr.gov/current/title-17/chapter-II/part-240/section-240.17a-4>
- **FINRA 3110**  
<https://www.finra.org/rules-guidance/rulebooks/finra-rules/3110>
- **FINRA 4511**  
<https://www.finra.org/rules-guidance/rulebooks/finra-rules/4511>
- **MiFID II Article 16**  
<https://www.esma.europa.eu/publications-and-data/interactive-single-rulebook/mifid-ii/article-16-organisational-requirements>
- **FCA SYSC 10A**  
<https://handbook.fca.org.uk/handbook/SYSC/10A/1.html>
- **FINRA 3170**  
<https://www.finra.org/rules-guidance/rulebooks/finra-rules/3170>

CFTC 1.31 is not a universal call-recording mandate; FINRA 3170 applies to defined taping firms. Do not apply a single retention period across entities and record categories. Separate source recordings, processing copies, evidence and legal-hold responsibilities.

Source references carried from the existing TraderVoice compliance guide.  
[tradervoice.app/recording-control-checklist/](https://tradervoice.app/recording-control-checklist/) · [info@tradervoice.app](mailto:info@tradervoice.app)