

THE FINAL TAPE

Trading Compliance Checklist Template

Per-trade rule adherence, scoring rubric, weekly compliance tracker, and breach notes

Example setup rules

Type	Rule
Hard / mandatory	Risk \leq 1% of account on this trade
Hard / mandatory	Higher timeframe trend confirmed in trade direction
Hard / mandatory	No high-impact news within 60 minutes of entry
Hard / mandatory	Planned R:R \geq 2.5:1 at entry
Flexible	No adding to losers
Flexible	Stop moved to breakeven at +1R
Flexible	Pre-entry checklist completed before order
Flexible	No revenge entry after prior session loser

Scoring rubric (Green / Amber / Red)

Band	Compliance %	Meaning
Green	80–100%	All mandatory rules satisfied; process intact
Amber	50–79%	Minor flexible-rule breaches — review notes
Red	<50%	Multiple violations — tag and review for impulsive entries

Per-trade compliance log

- Date + setup name + symbol + direction
- Mandatory rules — tick each (Y/N)
- Flexible rules — tick each (Y/N)
- Compliance % = rules satisfied \div total rules
- Score band: Green / Amber / Red
- Per-rule breach notes (one sentence each)
- Realized R + outcome (for weekly correlation)

Weekly compliance tracker (sample)

Day	Setup	Compliance	Band	R	Breach notes
Mon	ORB Long ES	92%	Green	+1.2R	None

Tue	MR Short NQ	58%	Amber	-0.5R	Skipped HTF confirm — FOMO
Wed	ORB Long ES	42%	Red	-1.0R	News filter + revenge after Tue

Weekly review steps

- Filter last 20 completed trades with compliance scores
- Compute avg R by Green vs Amber vs Red buckets
- Rank top violated rule by frequency × R damage
- Group violations by session, regime, or post-loser context
- Write one testable rule change for next week
- Remove one dead-weight rule or enforce one high-damage rule

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