

Operational Due Diligence Checklist

General Information

Company Name
Date of Review
Reviewed By

Checklist

Item	Status (✓/✗/N/A)	Remarks
Legal Structure & Registration		
Ownership & Organizational Details		
Key Policies & Procedures (internal controls, compliance, etc.)		
Background Checks on Key Personnel		
Segregation of Duties		
Disaster Recovery & Business Continuity Plan		
IT Infrastructure & Cybersecurity		
Client Asset Safeguarding Procedures		
Compliance with Regulatory Requirements		
Insurance Coverage		
Service Providers Review (auditors, administrators, etc.)		
Prior Incidents or Litigation		

Supporting Documents

- Copy of company registration certificate
- Organizational chart
- Key policy manuals and procedure documents
- Insurance policy summary
- List of key service providers
- Business Continuity and IT security documents

Conclusion / Recommendations

Overall Assessment
Follow-up Actions

Reviewer Signature

Date

Important Notes

- This checklist should be customized to reflect the specifics of the entity or industry under review.
- Supporting documentation is essential for verification and validation purposes.
- The checklist does not replace expert legal, IT, or regulatory advice where required.
- Ensure the checklist is regularly reviewed and updated to remain current with regulatory and business environment changes.