

# Standard Due Diligence Checklist

**Project/Transaction Name:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Prepared by:** \_\_\_\_\_

## 1. Corporate Documents

- Certificate of Incorporation
- Articles of Association and Memorandum of Association
- Company Bylaws/Operating Agreements
- Business Licenses and Permits
- List of Shareholders and Share Certificates
- List of Directors and Officers
- Organizational Charts

## 2. Financial Information

- Audited Financial Statements (last 3 years)
- Interim Financial Statements
- Tax Returns (last 3 years)
- Schedule of Indebtedness
- Accounts Receivable and Payable Aging Reports
- Budget and Forecast Reports

## 3. Operations & Assets

- List of Physical Assets
- Inventory Reports
- Real Estate Documents (deeds, leases, appraisals)
- Intellectual Property (patents, trademarks, copyrights)
- Major Contracts and Agreements

## 4. Legal & Regulatory Compliance

- Material Litigation Information
- Government Correspondence
- Compliance Policies and Procedures
- Environmental Approvals and Compliance Documents

## 5. Human Resources

- Employee List with Positions and Compensation

- Key Employment and Consulting Agreements
- Pension/Benefit Plans Documentation
- Copies of Non-Compete or Non-Disclosure Agreements

**6. Customers & Suppliers**

- Top Customers List
- Major Suppliers & Vendors List
- Material Customer/Supplier Contracts
- Sales and Purchase Agreements

**7. Other Information**

- Insurance Policies
- Press Releases/Media Coverage
- Risk Management Policies
- Other Relevant Documents

Document Review & Status Table

Checklist Item	Status	Comments
Certificate of Incorporation	Received	Complete document received 06/15/2024
Audited Financial Statements	Pending	Expected by 06/20/2024
Key Employment Agreements	Received	-
Environmental Approvals	Missing	Request sent to company

Important Notes

- This checklist serves as a general guide and should be customized for the specific transaction or project.
- Confirm receipt, relevance, and completeness of all documents.
- Sensitive and confidential information should be handled appropriately at all times.
- Consult relevant legal, financial, and sector-specific experts during the due diligence process.