

# MASTERING ENTITY DATA COMPLIANCE

## Transforming your compliance process from Data Input to Data Management

Entity regulatory compliance is complex and evolving. Increased visibility to Shareholders, the Board of Directors, and the public at large has made compliance more of a priority. The in-house administrative function must now focus on managing data, increasing transparency for financial reporting purposes, addressing the concerns of shareholders, and coordinating responses to various internal groups. Under these pressures, many companies look to leverage resources by outsourcing compliance responsibilities.

As an industry leader, CT helps customers on the journey to mastering the management of their compliance data.



### Entity Formation

Start your entity off on the right foot. **Establishing a new legal entity** in a jurisdiction requires accomplishing regulatory tasks such as acquiring a Federal Tax Identification Number, appointing a Registered Agent, and filing local or industry-specific business licenses.

#### HOW CT ASSISTS:

- › Provide and complete forms for formation/registration/qualification
- › Acquire Good Standing Certificates
- › Review documentation to prevent rejection
- › Submit filing documentation to appropriate Secretary of State offices
- › Request Federal Tax Identification Number or similar regulatory registration
- › Act as Registered Agent
- › File local-level or industry-specific business licenses

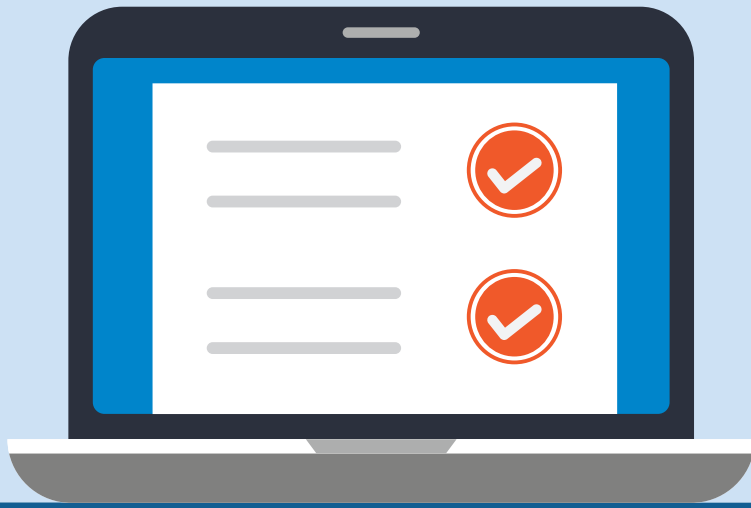


### Regulatory Compliance

Based upon the nature of the entity, it may be subject to local-level or industry-specific business licenses. Failure to submit and renew required business licenses can result in financial penalties, denial of the ability to contract work in a jurisdiction, business closure and employees being subjected to civil or criminal penalties.

#### HOW CT ASSISTS:

- › Research
  - Verify licenses are active
  - Verify status of licenses against requirements and identify gaps
  - File license forms with each jurisdiction
- › Management
  - Collect, maintain and update information required to be reported
  - Pre- and post-filing summary reports
  - Identify amount due and create a check for payment
  - Track acceptance of filing by the jurisdiction
  - Deliver physical license to geographic location for proper display
  - Online access to [Business License Hub](#) where you can view license repository and history



### Annual Compliance Requirement

Once an entity has been formed, registered or qualified in a jurisdiction, the entity typically becomes subject to compliance reports which must be submitted on an annual basis ([annual reports](#)) to the Secretary of State of each jurisdiction where it is registered.

#### HOW CT ASSISTS:

- › Annual report preparation
- › Annual report filing
- › Management of renewal of annual reports
  - Audit entities for up-to-date compliance
  - Monitor due dates
  - Provide pre- and post-filing reports
  - Prepare and submit filings
  - Advance filing fees up to \$2,000 per filing
  - Track acceptance of filings



### Entity Management

Good entity management ensures smooth sailing for the life of the entity. Extracting the data from within the governing documents holds the key to complying with regulations and to good decision making on how the entity is being utilized in a particular jurisdiction. Through the upkeep and maintenance of the entity data in real time, you can be confident in sharing accurate data with relevant groups throughout the organization.

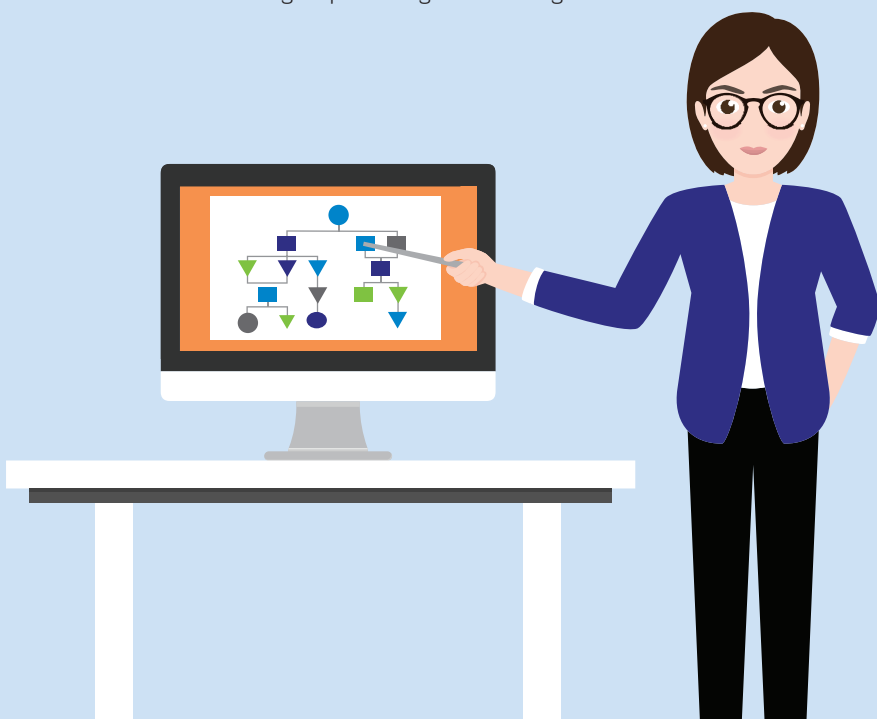
#### HOW CT ASSISTS:

##### hCue – CT's Comprehensive Entity Management System

- › Central system of record
- › Create automated filing calendars
- › Customizable fields
- › Role-based access
- › High-level security protects data
- › Customized organization charts
- › Professional Services team oversees customized implementation process

##### Entity Managed Services – Provides customized management of your entity data, which transforms your team from Data Inputters to Data Managers

- › Real-time entity data updates
- › Database customization and on-going management
- › Document management
- › Data on demand
  - Organizational charts
  - Customized reports
  - Consent and resolution generation



Keep your business in good standing along its **entity compliance journey** by mastering the management of your data. Talk to the experts at CT. Visit us at [ctcorporation.com](http://ctcorporation.com).