



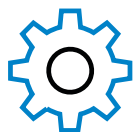
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CT Corporation

# End-of-year compliance checklist

Use this checklist to help your clients ensure that they've completed all outstanding U.S. and global compliance issues. They may need to:

- Check for inactive entities to avoid unnecessary compliance obligations
- Clear unnecessary tax obligations off the books
- Secure important name reservations and renewals
- Confirm good standing status so planned deals are ready to go in the new year



## If your clients took these actions...

- ☐ Merger or acquisition
- ☐ Corporate spin-off
- ☐ Added or changed locations
- ☐ Added or changed lines of business
- ☐ Changed business names
- ☐ Refinanced
- ☐ Closed or sold entities

## Be sure they filed all necessary documents which may include the following:

- ☐ Dissolutions/withdrawal filings
- ☐ Merger integration filings
- ☐ Reinstatement filings
- ☐ Name change filings
- ☐ Annual report filings
- ☐ Business license filings



## If your clients are planning these corporate actions before the end of the year...

- ☐ Merger or acquisition
- ☐ Corporate spin-off
- ☐ Adding or changing locations
- ☐ Adding or changing lines of business
- ☐ Changing business names
- ☐ Refinancing
- ☐ Closing or selling entities

## Be sure to obtain the necessary documents for them before year-end which may include the following:

- ☐ Good standing certificates
- ☐ Bring down letters
- ☐ Merger documents
- ☐ Name reservation documents
- ☐ Assumed name documents
- ☐ Filing delinquent annual reports
- ☐ Update business licenses



### **If you're preparing for or closing...**

- ☐ Mergers and acquisitions
- ☐ Real estate deals
- ☐ Structured finance deals
- ☐ Refinancing deals
- ☐ Cross-border deals
- ☐ Deals with off-shore lenders
- ☐ Tax restructurings
- ☐ Lease agreements

### **... then you may need:**

- ☐ UCC searches: bankruptcy, tax and judgment liens
- ☐ Specialized due diligence: DMV, real property searches
- ☐ Good standing certificates
- ☐ Certified copies of formation documents
- ☐ Bring down letters
- ☐ Independent director appointments
- ☐ Contract agent for process
- ☐ Merger, dissolution and cancellation filings



### **If your clients are in global markets now or plan to be...**

- ☐ Merging with or acquiring companies with existing global operations
- ☐ Adding or changing global locations
- ☐ Adding or changing lines of business overseas
- ☐ Changing overseas business names
- ☐ Refinancing
- ☐ Closing or selling entities abroad

### **Help them stay compliant where they do business across the globe by taking actions that may include the following:**

- ☐ Obtaining good standing certificates (or equivalent)
- ☐ Obtaining bring down letters
- ☐ Filing formation documents
- ☐ Filing delinquent annual reports
- ☐ Conduct due diligence searches (lien and court searches)
- ☐ Engage translation services
- ☐ Employ authentication and apostille certification services
- ☐ Engage international process agent services

Contact us to help meet your year-end deadlines.

[wolterskluwer.com/en/solutions/  
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