



# 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
- Avoid delays at the year-end closing table
- Secure important name reservations and renewals
- Make sure business licenses and permits reflect all changes to the business — done and planned
- 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:

- Conversion filings
- Dissolutions/withdrawal filings
- Merger integration filings
- Reinstatement filings
- Name change filings
- Annual reports 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
- Conversion filings
- Name reservation filings
- Assumed name filings
- Filing delinquent annual reports
- Updated business licenses



## 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 which may include the following:

- Good standing certificates (or equivalent)
- Bring down letters
- Formation documents
- Filing delinquent annual reports
- Due diligence searches (lien and court searches)
- Translation services
- Authentication and apostille certification services
- International process agent services

**Remember!** Many international jurisdictions close during the last two weeks of the year. Place orders for document requests as early as possible to ensure you'll get them to your clients before the end of the year.



## 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: Patriot Act, AML/KYC, 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

CT's expert service teams are here to help you get it all done and done right.

**855.316.8948** [wolterskluwer.com/en/solutions/ct-corporation](https://wolterskluwer.com/en/solutions/ct-corporation)

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