

## **Corporate Services Review Document Checklist**

Companies are complex engines of growth, with many parts underlying growth. Many times, key areas relating to the Balance Sheet and Income Statement have not been reviewed adequately in a recent time period (12-36 months). These areas include risk, liability and benefits for key employee retention, which can be critical to a company's growth, such as:

- 1) Capital Markets - Looking at Lending Practices and Overall Capital Needs
- 2) Risk Management - Areas at risk in case of loss of key employees
- 3) Benefits to Key Executives - Such as Supplementary Compensation to minimize risk of human capital loss

The following is a checklist of the key documents needed to do such a review in each area. These include:

### **Lending**

- Company financial statements
  - Past 3 year-ends
  - Interim report for YTD
- Loan and Bank Statements from previous two months

### **Cash Management**

- Corporate Bank Statements
- Brokerage Statements
- Pro Forma Statements

### **Risk Management**

- Buy Sell Funding Coverage
- Key Man Coverage
- Officer and Director/Fiduciary Coverage

**Retirement Plans**

- Summary Plan Description
- Employee Census
- Investment Options
- Signed Agreement with the Record Keeper
- Fees from TPA if used
- Current 5500

**Executive Compensation**

- Employee Benefits Program Descriptions
- Stock Option/Stock Appreciation Right or Stock Grant Plan Description
- Non-Qualified Deferred Compensation Plan Description

**Employee Benefits**

- Insurance Coverage Options
- Executive Financial Planning Proposal

**Other**

- Investment Policy Review
- Online Accounting, Risk, Performance & Compliance Reporting