

# LITIGATION / LEGAL DUE DILIGENCE CHECKLIST

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This checklist contains documents and information related to litigation and legal issues that a seller might request from a buyer.

LITIGATION / LEGAL	OWNER	COMPLETE?	DATE OF COMPLETION	NOTES
Filed and pending litigation, along with total complaints and pleadings				
Threatened or pending claims facing the company				
Pending or threatened governmental (SEC, FTC, FDA, etc.) proceedings against the company				
Settled litigation, including terms of the settlements				
Matters in arbitration				
Consent decrees, judgments, injunctions, or orders				
Insurance covering claims, along with notices to insurers				
Attorney letters to auditors				
Civil litigation				
Compliance and regulatory matters				
Criminal law				
Human rights				

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