

RELATED PARTY TRANSACTIONS CHECKLIST

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This checklist contains documents and information addressing related party transactions that a seller might request from a buyer. These checklists strive to cover mergers and acquisitions in general, but they may not include some documents and information that are specific to particular fields, and others that may not apply to all deals. Buyers should review the list and add or delete as needed.

RELATED PARTY TRANSACTIONS	OWNER	COMPLETE?	DATE OF COMPLETION	NOTES
Has any officer, director, stockholder, or employee had direct or indirect interest in a business that competes or does any business with the company?				
Has any officer, director, stockholder, or employee had a direct or indirect interest in real estate, intellectual property, personal property, etc., of the company?				
Citations and notices issued by any government agency				
Pending or potential investigations or government proceedings				
Reports to and communication with an agency, including FDA, USDA, EPA, and OSHA				
Certification of compliance with regulatory standards of the company				
Reports on costs of regulatory compliance				
Problems with regulatory compliance				
Permits and licenses necessary to perform the operations of the company or its subsidiaries				
Information on any canceled or terminated permits or licenses				
Exemptions from any permit or license requirement				
LLC or partnership agreements				
Copy of all guarantees to which the company is a party				

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