

[Client Name]

## Due Diligence – Information Request List

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[Vendor's name]

As at: [Date Month Year]

Please indicate where information is attached or available and add notes as required.

	✓	Additional Comments
<b>Financial</b>		
1. Copies of the last 3 years' financial statements	<input type="checkbox"/>	
2. Management accounts for the current and previous financial year	<input type="checkbox"/>	
3. Copies of business income tax returns for the last 3 years	<input type="checkbox"/>	
4. Analysis of variances between actual and forecast results for management accounts for the current and previous financial year	<input type="checkbox"/>	
5. Copies of any profit and cash flow forecasts for the current and future years	<input type="checkbox"/>	
6. Detailed sales analysis, including annual sales figures for each customer	<input type="checkbox"/>	
7. Sales analysis for the last 3 years together with an explanation for any increases or decreases in turnover	<input type="checkbox"/>	
8. Details of accounting system used	<input type="checkbox"/>	
9. Business plan (if prepared)	<input type="checkbox"/>	
10. Schedule of assets offered for sale (if different from fixed asset schedule in financial statements)	<input type="checkbox"/>	
<b>Other Business Records</b>		
1. Please confirm you can provide access to the following business records for the last three years:		
1. GST returns	<input type="checkbox"/>	
2. Bank statements	<input type="checkbox"/>	
3. Bank deposit books	<input type="checkbox"/>	
4. Detailed payroll records	<input type="checkbox"/>	
5. Order book	<input type="checkbox"/>	
6. Creditors invoices	<input type="checkbox"/>	
7. Sales invoices	<input type="checkbox"/>	
8. Stock records	<input type="checkbox"/>	
9. All business agreements	<input type="checkbox"/>	

<b>Accounts Receivable</b>		
1.	Copy of terms of trade for the business	<input type="checkbox"/>
2.	Details of debt factoring or debtor finance agreements	<input type="checkbox"/>
3.	Reversion history for any debt factoring or finance arrangements	<input type="checkbox"/>
4.	Aged debtors analysis	<input type="checkbox"/>
5.	List of any bad/doubtful debts listed in the current debtors ledger	<input type="checkbox"/>
6.	List of any accounts that are in dispute, along with explanation for dispute	<input type="checkbox"/>
<b>Accounts Payable</b>		
1.	Copies of terms of trade with various suppliers	<input type="checkbox"/>
2.	List of major suppliers and the trading terms for each	<input type="checkbox"/>
3.	Aged creditors analysis	<input type="checkbox"/>
<b>Stock and Work in Progress</b>		
1.	Stock report for stock on hand	<input type="checkbox"/>
2.	Details of stock control system used	<input type="checkbox"/>
3.	Work in progress report for work in progress	<input type="checkbox"/>
4.	Details of work in progress control system used	<input type="checkbox"/>
<b>Employment</b>		
1.	Up to date organisational structure	<input type="checkbox"/>
2.	Latest employment agreements for each employee	<input type="checkbox"/>
3.	Up to date job description for each employee	<input type="checkbox"/>
4.	Access to personal files for each employee, including: <ul style="list-style-type: none"> <li>▪ Recruitment records</li> <li>▪ Induction records</li> <li>▪ Trial and probation records</li> <li>▪ Performance review records</li> <li>▪ Remuneration review records</li> <li>▪ Disciplinary records</li> <li>▪ Grievance records</li> </ul>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

5.	Up to date calculations, supported by payroll software, for accrued entitlements, including: <ul style="list-style-type: none"> <li>▪ Long service leave</li> <li>▪ Holiday pay and time in lieu owing</li> <li>▪ Superannuation</li> <li>▪ Any other benefits payable</li> </ul>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
<b>Business Systems and Software</b>			
1.	Access to key business systems, including: <ul style="list-style-type: none"> <li>▪ Accounting and financial</li> <li>▪ Product order management</li> <li>▪ Inventory management</li> <li>▪ Marketing and sales management</li> <li>▪ Customer relationship management</li> <li>▪ Human resource management</li> <li>▪ Health and safety</li> <li>▪ Technology and telecommunications</li> </ul>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
2.	List of all material software used, indicating whether owned or licensed to the business	<input type="checkbox"/>	
<b>Business Agreements</b>			
1.	List and copies of any business agreements, including: <ul style="list-style-type: none"> <li>▪ Distribution and sales agreements</li> <li>▪ Product supply agreements</li> <li>▪ Customer contracts</li> <li>▪ web hosting agreements</li> <li>▪ Premises lease agreements</li> <li>▪ Equipment leases</li> </ul>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
2.	A list of all encumbrances on the business assets. Include: <ul style="list-style-type: none"> <li>▪ Security interests</li> <li>▪ Liens</li> <li>▪ Mortgages</li> <li>▪ Latest PPSR report for the company</li> </ul>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
<b>Marketing</b>			
1.	Latest marketing plan	<input type="checkbox"/>	

Insurances		
1.	List of all current insurance policies, including: <ul style="list-style-type: none"> <li>▪ The policy period</li> <li>▪ Insurance company</li> <li>▪ Policy number</li> <li>▪ Risk covered</li> <li>▪ Premium</li> <li>▪ Limits and deductibles</li> </ul>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2.	List any losses incurred within the last 3 years exceeding \$10,00 under all types of insurance	<input type="checkbox"/>

Completed by (Vendor): _____	Date: _____
Reviewed by (Purchaser): _____	Date: _____