**Checklist of Regulatory and Compliance Documents for Small Businesses**

**Shareholders and Directors**

|  |  |  |  |
| --- | --- | --- | --- |
| **Documents Required of each shareholder/director** | **Available**  **Y / N** | | **Filed where? (Ensure document access is as per POPIA policy).** |
| Identity Document |  |  |  |
| Police Clearance Certificate |  |  |  |
| Good Credit Record (Regular checks for judgments & resolutions making directors ineligible) |  |  |  |
| Proof of residential address |  |  |  |
| Marriage certificate |  |  |  |
| Curriculum Vitae of directors and senior team including proof of qualifications |  |  |  |
| Proof of personal bank account |  |  |  |
| Proof of professional registration |  |  |  |
| Other - specify |  |  |  |

**The Business**

|  |  |  |  |
| --- | --- | --- | --- |
| **Documents Required** | **Available**  **Y N** | | **Filed where? (Ensure document access is controlled per POPIA policy).** |
| Relevant zoning certificate |  |  |  |
| Signed Memorandum of Incorporation |  |  |  |
| Share certificates |  |  |  |
| Signed Shareholders Agreement |  |  |  |
| CIPC Company registration documents |  |  |  |
| Signed lease agreement or title deed in the name of the business |  |  |  |
| Tax clearance certificate |  |  |  |
| Proof of address for business |  |  |  |
| Valid annual BBBEE certificate |  |  |  |
| Bank-certified proof of business bank account |  |  |  |
| Workman's compensation |  |  |  |
| UIF registration |  |  |  |
| DoL Letter of Good Standing |  |  |  |
| Relevant annual trading license (s) |  |  |  |
| Annual financial statements / Management accounts |  |  |  |
| Accountant’s letter |  |  |  |
| Company profile |  |  |  |
| Proof of insurance |  |  |  |

\* This checklist is intended as a guide only. Each industry will have specific requirements. Ensure that you familiarise yourself with all regulatory and governance obligations pertinent to your business. It may be advisable to seek professional assistance.