



## TF EMPIRES

### Compliance Review Checklist

Confirm ongoing legal, financial, and operational compliance.

#### 1. Entity & Governance

- Business entity remains active and in good standing
- Annual state reports or statements filed
- Operating Agreement / Bylaws reviewed and current
- Ownership and voting records updated
- Registered agent information confirmed

#### 2. Licensing & Permits

- Required business licenses active
- Industry-specific licenses current
- Local permits renewed (city/county)
- Home-based or zoning compliance confirmed (if applicable)
- Renewal dates documented

#### 3. Tax & Financial Compliance

- Federal tax filings current
- State tax registrations active
- Sales tax filings submitted (if applicable)
- Payroll tax filings completed (if applicable)
- Accounting records reconciled

#### 4. Contracts & Legal

- Client and customer contracts reviewed
- Independent contractor agreements current
- Employee agreements up to date (if applicable)
- Insurance requirements in contracts satisfied
- Dispute resolution clauses reviewed

#### 5. Insurance & Risk

- General liability insurance active
- Professional / E&O; insurance reviewed
- Cyber liability coverage evaluated
- Policy limits appropriate for operations
- Certificates of insurance on file

#### 6. Digital & Data Compliance

- Website legal pages published and current
- Privacy practices align with policy
- Data security measures reviewed
- Access controls and credentials updated
- Backup systems tested

#### 7. Records & Continuity

- Core business records organized and accessible
- Retention practices followed
- Emergency access instructions documented
- Incident & dispute response plan reviewed
- Compliance calendar updated

Compliance is not static — it is an ongoing discipline.