



Liverpool
City Council

Liverpool City Council Due Diligence Checklist

March 2021

Liverpool City Council is committed to:

- Continuing to grow its population and its economy in an inclusive and sustainable way.
- Attracting business, trade and investment.
- Protecting the interests of the citizens we serve, the assets of the City and public money.

As such, we are committed to undertaking comprehensive due diligence of all potential development partners and prospective purchasers of Council land and buildings.

The Council has a number of legal responsibilities including mandatory obligations under Money Laundering Regulations 2017, as well as a responsibility to protect the public purse and safeguard taxpayers' money. To support these responsibilities the Council has in place a due diligence framework. Information gathered as part of this process may be shared with the Police. Any suspicions of money laundering will be reported in accordance with the Council's Money Laundering Policy.

Please complete this checklist fully and provide all relevant supporting information. Failure to supply all of the relevant supporting information in the format requested will result in delay to your information being reviewed and processed. Please note, you may be required to resubmit information further on in the process to ensure it remains up to date.

The information supplied will then be verified to ensure that the due diligence requirements have been met. The Council will endeavour to review and verify the information received and respond as soon as is reasonably practicable.

If you require further clarification in respect of any of the requested information please contact DeveloperEnquiries@liverpool.gov.uk. If the Council is not satisfied with the responses, or is unable to verify the information provided, you will be advised accordingly. This checklist is not exhaustive and the Council reserves the right to request any additional information it reasonably requires.

- **PART 1** to be completed by all respondents.
- **PART 2** for companies registered incorporated and registered in England and Wales.
- **PART 3** if non UK based company.
- If original ID/documents cannot be provided, please provide Certified Copies.
- The information should be supplied at the earliest stage to avoid delay in progressing the transaction or matter.
- This information obtained from you will remain private and confidential except where there is any legal obligation upon the Council to do otherwise.

PART 1		Please tick if supplied, provide comment or state N/A
Information required from individuals		
1.1	Name of transacting individual/s.	
1.2	Proof of identity – passport, photo card driving licence or national identity card.	
1.3	Address of transacting individual/s.	

1.4 Proof of Address – photo card driving licence, mortgage statement, Council Tax bill for current year, Voters Roll search.	
1.5 Please summarise the proposed transaction with the Council e.g. purchase of land, sale of land, lease, development agreement, option agreement.	
1.6 If you have previously completed this due diligence process please identify when this was and what it was in relation to. Please provide details if you have previously failed an LCC or other local authority due diligence process.	
1.7 Please provide details of the solicitors who will be acting on your behalf.	
1.8 Please provide details of any family or close personal connections to employees or elected representatives of Liverpool City Council. This should be in respect of the applicant, directors, or agents working on your behalf.	

PART 2 Information required from UK company	Please tick if supplied, provide comment or state N/A
2.1 Name of Company and Company Number (please also provide details of the main company if this will not be the transacting company).	
2.2 Previous name/s the Company has been known by.	
2.3 Copy Certificate of Incorporation.	
2.4 Copy of Company Memorandum of Association and Articles of Association.	
2.5 Registered office address and, if different, principal place of business.	
2.6 Company status e.g. active/inactive.	

2.7 Company type e.g. private limited.	
2.8 Please provide a copy of your most recent set of accounts.	
2.9 Nature of business (Standard Industrial Classification Code for economic activity of company) and if 'Dormant' Company please indicate the reason.	
2.10 List of names of Company Directors/Officers and their expertise, roles and responsibilities.	
2.11 Please describe who the beneficial owners of the Company are, their residential address, nationality, and their relationship to the Company. You must disclose any nominee shareholdings.	
2.12 If the Council is required to engage with persons with significant control of the company, or parties representing the Company who are not Company Directors or officers, or persons with significant control please confirm name(s), contact details, position, role, responsibility and obligations towards the Company and request they comply with the individuals requirements in Part 1.	
2.13 Has the Company, its Directors, officers or representatives of the Company experienced personal or corporate insolvency – if so, please provide details including date and a copy of the discharge. Please also explain the circumstances and steps taken to avoid repetition.	
2.14 Number of Company charges – date created, against which land, status, Mortgagee/Chargee identity and amount(s) charged and please confirm the title numbers or unregistered land the Charges are created against. Does any security document create a negative pledge?	

2.15 Has the Company, its Directors, officers or representatives been convicted of any criminal offence or accepted a caution? If so, please provide details. Further guidance if required, can be sought from the contact listed above.

2.16 Group Company Structure Chart - if parent company or subsidiary.

2.17 Organisational Charts for the individual corporate entity the Council will engage with and any parent, subsidiary or connected entity.

2.18 Details of any pending civil or criminal legal matters against the company – initiated or against.

2.19 Details of any corporate debt or monies owed.

2.20 Source of wealth and funds and supply documentary proof.

2.21 If a third party is introducing funds or equity into a transaction or matter, please ask the third party to provide the relevant information to detail the source of the funds or equity.

2.22 Explanation of the funding source/model for the Development if applicable, including the repayment profile, adequate committed funding and sufficient contingency.

2.23 Details of other recent and ongoing developments in Liverpool or the rest of the UK, and any previous or current transactions with the Council. Please also list any developments overseas.

2.24 Details of key partners identified in the developments (e.g. Architects, Construction firms, Accountants, Legal Representation). Please state if any such proposed partners are subsidiary companies of, or linked to, your company.

2.25 Any other relevant information you would like to provide.

PART 3

Information required from non UK company

(including where funds are to be supplied by a non-UK company)

Please tick if supplied, provide comment or state N/A

3.1 Name of Company and Company Number / Reference.

3.2 Previous names the Company has been known by.

3.3 Registered office address and, if different, principal place of business.

3.4 Official evidence of registered address e.g. abstract of trade register.

3.5 Certificate of Incorporation.

3.6 Copy documents required by law for formation of company.

3.7 A Certificate of Good Standing or Legal Validity from a qualified lawyer.

3.8 A Certified Register of Shareholders/Members.

3.9 A Certified Register of Directors.

3.10 Please describe who the beneficiary owners of the Company are, and their relationship to the Company. You must disclose any nominee shareholdings.

3.11 If the Council is required to engage with persons with significant control of the company, or parties representing the Company who are not Company Directors or officers, please confirm name(s), contact details, position, role, responsibility and obligations towards the Company and request they comply with the individuals requirements in Part 1.

3.12 Nature of business.

3.13 Source of wealth and funds and supply documentary proof.

3.14 If a third party is introducing funds or equity into a transaction or matter, please ask the third party to provide the relevant information to detail the source of the funds or equity.

3.15 Explanation of the funding model for the Development.

3.16 Details of other recent and ongoing developments in Liverpool or the rest of the UK, and any previous or current transactions with the Council. Please also list any developments overseas.

3.17 Details of key partners identified in the developments (e.g. Architects, Construction firms, Accountants, Legal Representation). Please state if any such proposed partners are subsidiary companies of, or linked to, your company.

3.18 Any other relevant information you would like to provide.

PART 4
Declaration

I declare that the information provided within and supporting this form is true, correct and complete and not misleading to the best of my knowledge and belief. I am authorised to make this statement on behalf of the applicant.

Signed:

Role/position:

Date: