carta

Data for existing funds

Grant us access to your LP portal, document storage, and accounting systems, and we'll gather the data below — or share the files with us via Box folder provided by Carta

FINANCIAL SUPPORT

- [ ] **General ledgers**
  Year to date general ledger (Excel) for each year since fund's inception
- [ ] **Current year financials and allocations**
  For each period, workpapers and financial statements (if available) including support schedules and investor allocation support calculations (PDF and Excel)
- [ ] **Prior year ending financial statements**
  Preferably audited footnotes, audit workpapers, and financial statements if available (PDF and Excel)
- [ ] **All capital call and distribution calculations**
  Include due dates and calculations broken out by investor (Excel)
- [ ] **Current year capital call and distribution notices**
  Include notices sent to each investor (PDF)

INVESTOR SUPPORT

- [ ] **Investor contact list**
  Include legal name, email addresses, commitments, tax IDs, addresses, and secondary contact emails & permissions (Excel)
- [ ] **Executed subscription documents and transfer agreements**
  Must be executed by both investor and fund
- [ ] **Investor side letters**
  Executed agreement between investor and fund that gives special terms outside of the scope of the operating agreement

EXPENSE SUPPORT

- [ ] **Invoices**
  Include all expenses incurred during the current year to ensure accurate 1099s and audit
- [ ] **W-9s for vendors**
  Include all vendors paid during the current year to ensure accurate 1099s are filed at the end of the year

INVESTMENT SUPPORT

- [ ] **Investment purchase documents**
  Purchase Agreements, Articles of Incorporation, Loan Agreements, etc. for all investments since inception (including conversions)
- [ ] **Investment realization documents**
  M&A Agreements, Certificates of Dissolution, Letters of Transmittals, etc.

G&A SUPPORT

- [ ] **Governing legal documents**
  Executed operating agreements, amended operating agreements (if applicable), and executed W9 (or applicable US tax form) for all entities under contract
- [ ] **Bank access**
  Full bank account access for all LP-related entities to view activity and to set up wires for client to approve and release and confirmation of wire instructions for incoming wires
- [ ] **Firm logo**
  To be used on capital account statements, capital call/distribution notices, quarterly reporting packages, etc.
- [ ] **Formation documents**
  Articles of incorporation, EIN filing, etc.
- [ ] **Wire instructions**
  Please provide PDF download of instructions from bank and include: Payment type (ACH or Wire), Bank name, Bank address, Beneficiary, Account name, Account address, Account number, Routing number, Swift code

ADDITIONAL RECOMMENDED DOCUMENTS*

- [ ] Tax returns and K-1s since inception
- [ ] Capital call and distribution letters since inception
- [ ] Comprehensive list of all investment activity since inception including purchases, conversions, realizations, and the dates in which they occurred
- [ ] Net IRR and Deal IRR calculations when applicable (Excel)
- [ ] Organizational chart
- [ ] Financial statements and allocations since inception
- [ ] Individual investor capital account statements since inception
- [ ] W9 for each US investor and W8 for each foreign investor (PDF)
- [ ] Any Management fee calculations, Interest Income / Receivables, or Prepaid schedules when applicable (Excel)

*These documents will allow us to better ensure accuracy during the onboarding of your entities. They will also allow us to respond to investor inquiries related to items delivered prior to our engagement.