

TROPTIONS · INSTITUTIONAL DOCUMENT SYSTEM

# Client Intake Document Checklist

Master Document Request for All Asset Types

**For: Asset owners, attorneys, deal coordinators**

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## Executive Summary

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This master checklist covers all document categories required for TROPTIONS client intake across all asset types. Use this as the starting point for any engagement. Asset-specific handbooks supplement this baseline with additional requirements.

## Who This Document Is For

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Asset owners beginning the TROPTIONS intake process, attorneys assembling document packages, deal coordinators preparing client submissions.

## Required Information

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- Full legal name(s) of all principals
- Entity structure
- Asset descriptions
- Jurisdiction(s)
- Intended transaction type
- Estimated values

## Required Documents

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- & IDENTITY: Government-issued photo ID for all principals
- & IDENTITY: Proof of address for all principals (<90 days)
- & ENTITY: Certificate of formation/incorporation
- & ENTITY: Operating agreement or by-laws
- & ENTITY: Beneficial ownership register
- & ENTITY: Good standing certificate
- & ASSET: Title deed, certificate, or ownership instrument
- & ASSET: Independent valuation/appraisal report
- & ASSET: Legal opinion on transferability
- & FINANCIAL: Source of funds declaration
- & FINANCIAL: Bank statements (3 months)
- & FINANCIAL: Financial statements (if available)
- & LEGAL: Corporate resolution authorising transaction
- & LEGAL: Signatory authority confirmation
- & COMPLIANCE: AML questionnaire
- & COMPLIANCE: PEP/sanctions declaration
- & COMPLIANCE: Jurisdiction compliance declaration

## Step-by-Step Process

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### Step 1: Gather Identity Documents

Collect government-issued photo ID and proof of address for every principal involved in the transaction.

### Step 2: Gather Entity Documents

Collect all entity formation documents, operating agreement, and good standing certificate.

### Step 3: Gather Asset Documents

Collect title documentation, valuation report, and legal opinion for all assets involved.

#### **Step 4: Gather Financial Documents**

Collect source of funds declaration and supporting financial evidence.

#### **Step 5: Gather Legal Authority Documents**

Collect corporate resolution and signatory authority documents confirming who can execute on behalf of the entity.

#### **Step 6: Gather Compliance Documents**

Complete AML questionnaire, PEP/sanctions declaration, and jurisdiction declaration.

#### **Step 7: Submit Package**

Upload complete package through TROPTIONS secure document portal. All documents are hashed and receipted.

### **Approval Gates**

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- & Identity documents verified
- & Entity documents verified
- & Asset documents reviewed
- & Financial documents reviewed
- & Legal authority confirmed
- & Compliance declarations reviewed
- & KYC clearance issued

### **Readiness Checklist**

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- & All identity documents current
- & Entity documents complete
- & Asset documents assembled
- & Financial evidence provided
- & Legal authority documents signed
- & Compliance declarations complete

### **What Stays Blocked**

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- Submission with incomplete identity documents
- Transaction without confirmed legal authority
- Any proceeding without AML clearance

### **Common Blockers**

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- Expired identity documents
- Missing entity documents
- Valuation report absent
- Source of funds unclear
- Legal authority not confirmed
- Compliance flags unresolved

### **TROPTIONS System Handling**

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TROPTIONS processes all submitted documents through its compliance intake system. Each document is hashed and the hash is submitted to XRPL for audit trail. Document status is tracked in the TROPTIONS control plane.

### **Final Checklist Before Submission**

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- & All identity documents current and verified
- & All entity documents complete
- & Asset documents assembled and verified
- & Financial evidence reviewed
- & Legal authority confirmed
- & All compliance declarations complete
- & Package submitted and receipted
- & KYC clearance issued

## **SAFETY & COMPLIANCE DISCLAIMER**

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