WGL Advisory Services

CIPC Annual Return & Beneficial Ownership Checklist

Client Readiness Checklist

Version / date	Version 1.1 | 2026-05-04
Document label	Client Readiness Checklist
Website area	Governance/compliance page, company compliance services, tender readiness
Priority	High
Purpose	Help companies confirm that annual returns, beneficial ownership declarations and core CIPC records are current.

Who this checklist is for

Company directors, members, company administrators and finance teams responsible for statutory company records.

When to use this checklist

Use it before a WGL consultation, onboarding, external submission, internal review or important business deadline.

Client / Matter Details

Client / entity name	Client to complete	**Company registration number (if applicable)**	Client to complete
Responsible officer	Client to complete	**Policy / document owner**	Client to complete
Evidence location	Client to complete	**Review date**	Client to complete
Remediation owner	Client to complete	**WGL responsible person**	Client to complete
Date completed	Client to complete		

How to use this checklist

Work through each requirement and tick one of the separate status boxes: Ready, Not Ready or N/A. Add notes/gaps, assign an owner and insert a due date. Attach or organise supporting documents before submitting the checklist to WGL. Where a requirement does not apply, mark N/A and explain why in the Notes / gaps column.

Main readiness checklist

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Requirement	Why it matters	Evidence / documents to prepare	Ready	Not Ready	N/A	Notes / gaps	Owner	Due date
CIPC customer code and entity details	Confirms that company records, authority and statutory obligations are current before external use or submission.	CIPC registration documents, annual return confirmation, BO records, director/member records, registers and resolutions.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Annual return anniversary and filing status	Confirms that company records, authority and statutory obligations are current before external use or submission.	CIPC registration documents, annual return confirmation, BO records, director/member records, registers and resolutions.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Beneficial ownership filing status	Confirms that company records, authority and statutory obligations are current before external use or submission.	CIPC registration documents, annual return confirmation, BO records, director/member records, registers and resolutions.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Director/member records	Confirms that company records, authority and statutory obligations are current before external use or submission.	CIPC registration documents, annual return confirmation, BO records, director/member records, registers and resolutions.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Registered address	Helps WGL and the client confirm readiness, identify gaps and agree practical next steps before work proceeds.	CIPC registration documents, annual return confirmation, BO records, director/member records, registers and resolutions.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
AFS/FAS requirements where applicable	Helps WGL and the client confirm readiness, identify gaps and agree practical next steps before work proceeds.	Client to complete with current records, supporting documents and relevant evidence for WGL review.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Supporting registers	Helps WGL and the client confirm readiness, identify gaps and agree practical next steps before work proceeds.	Client to complete with current records, supporting documents and relevant evidence for WGL review.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Document index and evidence location	Creates a structured source-document trail for financial analysis and attorney/client review, without replacing legal advice.	Mandate, pleadings or dispute summary, source documents, contracts, invoices, bank statements, schedules and assumptions.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Responsible owner and deadline for each gap	Helps WGL and the client confirm readiness, identify gaps and agree practical next steps before work proceeds.	Client to complete with current records, supporting documents and relevant evidence for WGL review.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete

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Before CIPC filing or statutory reliance
• Confirm the checklist relates to the correct entity, period and deadline. • Gather source documents before marking an item as ready. • Use consistent file names and keep a copy of all documents provided. • Flag gaps, contradictions or missing records in the Notes / gaps column. • Do not rely on unsupported information without WGL or professional review. • Where urgent deadlines apply, contact WGL before external submission.

Red flags

- Key documents are missing, outdated or unsigned.
- Different records tell different versions of the same facts.
- No clear owner has been assigned to close gaps.
- Deadlines are unclear or close enough to create avoidable risk.
- Supporting evidence is not organised or cannot be traced.
- The client is under external pressure but the evidence pack is not ready.

Risk rating

Risk rating	Readiness interpretation	Recommended next step
GREEN	Mostly ready. Key records are available, current, complete, and internally consistent.	Proceed with normal review and keep evidence organised.
AMBER	Gaps require attention. Work can proceed, but issues may delay completion or increase review time.	Prioritise the action plan and agree responsibilities with WGL.
RED	Urgent remediation needed. Significant missing records, compliance gaps, unresolved risks, or contradictions exist.	Book a scoping session with WGL before external submission, reliance, or use.

Next-step action plan

Gap	Action required	Responsible person	Target date	WGL support needed
Client to complete	Client to complete	Client to complete	Client to complete	Client to complete
Client to complete	Client to complete	Client to complete	Client to complete	Client to complete
Client to complete	Client to complete	Client to complete	Client to complete	Client to complete
Client to complete	Client to complete	Client to complete	Client to complete	Client to complete

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WGL Review Outcome
[ ] Ready for submission / use [ ] Minor gaps to resolve [ ] Significant remediation required [ ] Scope discussion required [ ] Not suitable for submission / reliance yet
Reviewer: ______________________ **Date:** ______________________
Key comments: ____
Recommended next step: ____

WGL call-to-action
Send this completed checklist and supporting documents to WGL Advisory Services for review and practical next steps.

Disclaimer

This checklist is a practical readiness guide for discussion and preparation purposes only. It does not constitute legal, tax, audit, assurance, engineering, safety, regulatory certification, or investment advice. Client circumstances, current laws, current regulatory requirements, and source documents must be reviewed before reliance is placed on any output.

Source note

Prepared as a practical readiness aid using CIPC guidance, beneficial ownership and company secretarial terminology. Requirements may change. Always confirm current official requirements and client facts before external use.

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