

# Florida SPV Trust Setup Preparation Checklist

Use this checklist to gather what you need before starting the SPV Binder Due Diligence Intake.

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## Educational notice

*This checklist is administrative and educational support only. It is not legal, tax, or financial advice. If you are unsure about a requirement, verify it with qualified counsel and/or a CPA.*

## 1) Quick setup (10 minutes)

Before you begin the intake, create a single folder and place every file you plan to upload into that folder structure. This reduces upload errors and helps you keep a clean record for future audits, banking, or drafting work.

### Folder structure (copy and paste):

```
SPV_Binder_Due_Diligence
  1_Identity
  2_Trust_and_Entity_Documents
  3_Governance_Authority
  4_Assets_Collateral
  5_Contracts_Compliance
  6_Banking_Statements
  7_Other_Notes
```

## 2) Role clarity (who controls what)

SPV trust setup works best when the paper trail matches the operational reality. Gather the names, addresses, and contact details for these roles (as applicable):

- **Settlor / Grantor:** the party establishing the trust or contributing assets.
- **Trustee:** the party with documented authority to act for the trust.
- **Successor Trustee:** a backup trustee for continuity.
- **Protector (optional):** a defined oversight role if included in your trust design.
- **Manager / Administrator:** if your structure uses a manager for operations or recordkeeping.

## 3) SPV purpose and use case

Write a short, plain-English statement that explains why the SPV exists and what risk or activity it isolates. This helps keep your governance binder consistent with contracts, banking, and compliance records.

- Primary purpose (one sentence).
- Primary assets or operations (one sentence).

- Primary counterparties (optional).
- Any regulated or higher-risk activities (if applicable).

## 4) Documents to gather

Gather what you have now. If something is missing, you can still proceed and note what you will provide later (if the form allows).

### Upload Step A — Identity (if requested)

- Government ID for key parties (as requested in the form).
- Proof of address if required for onboarding (optional).

### Upload Step B — Trust and entity documents

- Trust agreement or excerpts that establish trustee authority (if available).
- Certificate of trust (if applicable).
- Entity formation documents (articles/certificate).
- Operating agreement / bylaws and amendments (if any).
- EIN confirmation (CP 575 or 147C) if available.
- Authority matrix, bank resolution, or signatory controls (if available).

### Upload Step C — Assets, collateral, and supporting records

- Asset / collateral schedule (spreadsheet or PDF summary).
- Real estate: deeds, leases, mortgage statements, insurance declarations, property tax documents (as applicable).
- Loans/notes: promissory notes, payment schedules, lien documents, servicing agreements (as applicable).
- Contracts: material agreements, assignments, vendor/client lists (as applicable).
- Compliance evidence: policies, logs, opt-in records, recording policies (as applicable).
- Banking: recent statements for relevant accounts (as applicable).

## 5) File naming (do this before you upload)

Use consistent file names so records stay searchable and do not expose sensitive identifiers.

- **Format:** ProjectName\_Party\_DocumentType\_YYYY-MM
- **Security:** do not include SSNs, tax IDs, or account numbers in file names.
- Combine multi-page documents into one PDF whenever possible.

## 6) Final cross-check before submission

- Your trust roles and entity authority do not contradict each other.
- Your asset schedule matches your uploaded supporting documents (to the extent available).
- Your uploads are attached to the correct step (A/B/C).
- You are ready to sign the submission (signature, timestamp, and IP capture).

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