



New Building – Transition of Management

MORTGAGE INFORMATION

1. Name & address of lender
2. Closing binder
3. Payment book

INSURANCE

1. Broker name & address
2. Original insurance policies
3. Current Schedule of Insurance
4. Recent & Pending Claims

LEGAL

1. Corporate/ Certiorari Counsel
2. Pending legal matters
3. Corporate Stock Book & Seal
4. Certificate of Incorporation
5. Asbestos/Engineering Survey
6. Survey/Deed/Title Policy
7. Board Minutes
8. By-Laws & House Rules
9. Offering Plan & Amendments
10. Conversion Closing Binder

ACCOUNTING & FINANCIAL

1. Name & Address of CPA firm
2. Federal, State & City Tax Returns
3. Annual Audited Financial Statements
4. Annual Budget File
5. 1098 Information
6. RPIE/RPT Filings
7. Block/ Lot Assessed Valuations
8. Real Estate Tax bill
9. Most recent water bill with meter numbers
10. NYC Real Property Tax Abatement filings
11. All Original Unpaid Invoices
12. Vendor List
13. Copies of Monthly Financial Reports
14. Original Bank Statements with canceled checks for Operating & Reserve accounts
15. Bank Account Reconciliations
16. All Original Paid Bills

PAYROLL

1. Federal Tax ID Number
2. Employee Earnings Records
3. Union Wage Contract
4. Quarterly payroll tax returns for current & prior year
5. Employee Files
6. Special Withholding Instructions, e.g. garnishments, Marshall's, etc.
7. Absences taken during current calendar year

8. Disability & Workers' Compensation Filings

SHAREHOLDERS

1. Current Rent Roll
2. Collections/Arrears Report
3. Payment histories for delinquent unit owners
4. List of Alternate Addresses
5. Share Allocation
6. All Tenant Files with Deeds and/or Proof of Ownership
7. List of Social Security Numbers
8. List of Unit-Owners Telephone Numbers
9. List of Lenders for Financed Units
10. List of Subtenants
11. Late & Sublet Policy

GENERAL

1. Inventory of Building Supplies
2. Certificate of Occupancy
3. Building Plans
4. Alteration Agreement
5. Commercial/Store Leases & Security Deposit Accounts
6. Name of Engineer & Architect
7. Construction Contracts/ Warranties
8. Floor Plans
9. Lead Based Paint Records
10. J51 Documents
11. Window Guard Filings
12. Service Contracts for Elevator, Exterminator, etc.
13. Contracts for work in progress
14. Any other building related files
15. All files in storage

LICENSES & PERMITS

1. Certificate of Operations/Oil Burner
2. Annual Boiler Inspection
3. Fuel Oil Storage Permit
4. Super's Certificate of Fitness
5. MDR Card
6. Local Law 10/16 Reports
7. Elevator Inspections
8. Miscellaneous Permits
9. Copies of Existing Violations

TRANSFER DEPARTMENT

1. Pending Transactions
2. Blank Proprietary Leases
3. Resale & Sublet Policies
4. List of current year apartment sales
5. Purchase, Refinance & Sublet Applications

