

Due Diligence checklist for Global Business

Keywords: under direct control, first-hand knowledge, good-faith excuse, good standing, good grounds, good intent

**Palo Alto
Research**

United States

Global IP Compliance (U.S., E.U., et al.)

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- ✓ Patents – family continuation and continued inventions (patent tree architecture is a good example for family growth)
- ✓ Inventions – birth place of invention, transfer of invention, fundamental research, publication of invention/innovation.
- ✓ Trademarks – continuous use in commerce in each class (intent to resume use or actual use in interstate commerce)
- ✓ Copyrights – continuous claim of rights (online and in-print)
- ✓ Trade Secret – continuous claim of rights (incl. Internal)
- ✓ Goodwill practices – continuous claim of goodwill conducts
- ✓ WTO rulings – continuous progress in compliance
- ✓ ISO standards – continuous progress in improvement
- ✓ ITU standards – continuous progress in improvement
- ✓ IEEE/IETF standards – continuous progress in improvement



On-line Compliance

- ✓ Server location clearance and compliance
- ✓ Attendee clearance (PR, Citizen, Foreigner)
- ✓ Platform compliance (ASP, APP, SaaS, PaaS)
- ✓ Public / Private compliance (Internal or not)
- ✓ Privacy and Security compliance (ex. HIPA)
- ✓ IP/Export_Control/Import_Control compliance
- ✓ On-line certification (wayback machine, in-print)

Cross-Border Compliance

- ✓ IP book-keepings (Laws, Rules, Practices, On-time Licenses)
- ✓ Finance book-keepings (transaction compliance, payee/payer, personal/corporate)
- ✓ Taxation book-keepings (income, property, sales, use, investment, deposit)
- ✓ Corporation book-keepings (subsidiary, partner, contractor, etc)
- ✓ Export Control book-keepings (End-Users, Contractors, Deemed Export, etc)
- ✓ CBP book-keepings of IP registration (Principal Register, reported Target)
- ✓ CBP clearance at interest (port of entry, port to transfer, port to depart)
- ✓ BIS clearance at interest (call local BIS agent for any questions)
- ✓ Custom clearance updates (monthly, quarterly or yearly)
- ✓ Personal jurisdiction clearance (monthly, quarterly or yearly)
- ✓ Privacy compliance and clearance (Private, Personal, Medical)

COMPLIANCE

