

7-Point Checklist for Equity Governance

This checklist contains all the key equity actions you need for smooth governance and compliance. Refer to it regularly so nothing gets missed.



Maintain an accurate cap table & share register

How accurate and up-to-date is your company's share record?

- Does the cap table match the information at Companies House?
- Are share issuances, transfers and cancellations all recorded?
- Have all shareholders received current digital or paper certificates?
- Are option holders, vesting schedules and dilution properly reflected?
- Is the single source of truth accessible to authorised directors and auditors?

Stay on top of filings & statutory returns

Are your filings fully compliant and submitted on time?

- Have you filed the latest confirmation statement and annual accounts?
- Have changes to directors, PSCs, and share capital been reported promptly?
- Are special shareholder resolutions formally recorded and stored?
- Do you keep reminders for key Companies House filing deadlines?

Issue shares & certificates properly

Is your share issuance process compliant and auditable?

- Have all allotments been correctly authorised per your governance?
- Are SH01 forms filed within the required 30 days?
- Were certificates issued within two months of allotment?
- Do you maintain a record of consideration received for each share issue?

Control share classes & articles

Do your articles and class rights reflect your current equity structure?

- Do the articles permit multiple share classes and define each clearly?
- Are drag-along, tag-along and pre-emption rights current and consistent?
- Have any amendments been properly adopted and filed?
- Are voting and dividend rights aligned with investor agreements?

Manage share schemes & valuations

Are all share schemes approved, fair and tax-compliant?

- Are EMI, CSOP or unapproved schemes correctly registered with HMRC?
- Has a recent valuation been agreed or updated with HMRC?
- Are participants aware of potential tax implications on award, exercise and sale?
- Is the vesting and exercise schedule clearly documented?

Maintain governance & board records

Do you have an accurate, auditable governance trail?

- Are board minutes and resolutions complete and securely stored?
- Have all approvals for share issues, scheme grants and amendments been recorded?
- Are directors aware of their obligations under the Companies Act 2006?
- Are all historical versions of articles, registers and consents preserved?

Organise document control & centralisation

Is everything where it should be?

- Are statutory books, certificates, and scheme rules stored together?
- Do authorised users have controlled digital access?
- Are backups maintained and recoverable?
- Could you produce your records quickly in an audit or due diligence review?

Need support?

Vestd can help you digitise your registers, automate filings, and issue shares compliantly – all in one FCA-regulated platform.

[Explore how Vestd can help keep your governance airtight.](#)