

Onboarding documents checklist

Upload the required documents below to Carta's secure data room, so that we have what we need to set up your cap table.

Required to get started

- ☐ **Certificates of incorporation**
Provide filed copies.
- ☐ **Cap table/Stock ledger**
Upload an updated cap table with all historical data. If you don't have a cap table ledger, upload your Certificate Purchase Agreements to help your implementation manager start the data migration.
- ☐ **Board approved equity/stock option plan (if applicable)**
This outlines the terms and conditions in which equity is granted to employees, directors, consultants and others.

Required before final activation

- ☐ **Shareholder contact list**
Share a list of everyone on your cap table, preferably with personal emails, so we can send updates to shareholders even after they leave your company.

Optional information

If you have any of the following documents, please upload them to assist us in making sure your information is complete when setting up your cap table and issuing securities.

- | | |
|---|--|
| <input type="checkbox"/> List of unexercised warrants | <input type="checkbox"/> Option agreement and exercise forms (templates or executed) |
| <input type="checkbox"/> Warrant forms or templates | <input type="checkbox"/> Previous 409A valuation |
| <input type="checkbox"/> List of unconverted SAFEs and/or convertible notes | <input type="checkbox"/> Termination dates from HR or payroll system |
| <input type="checkbox"/> SAFE/Notes forms or templates | |

Resources

- ☐ [Onboarding sample documents](#)
- ☐ [Onboarding FAQ](#)