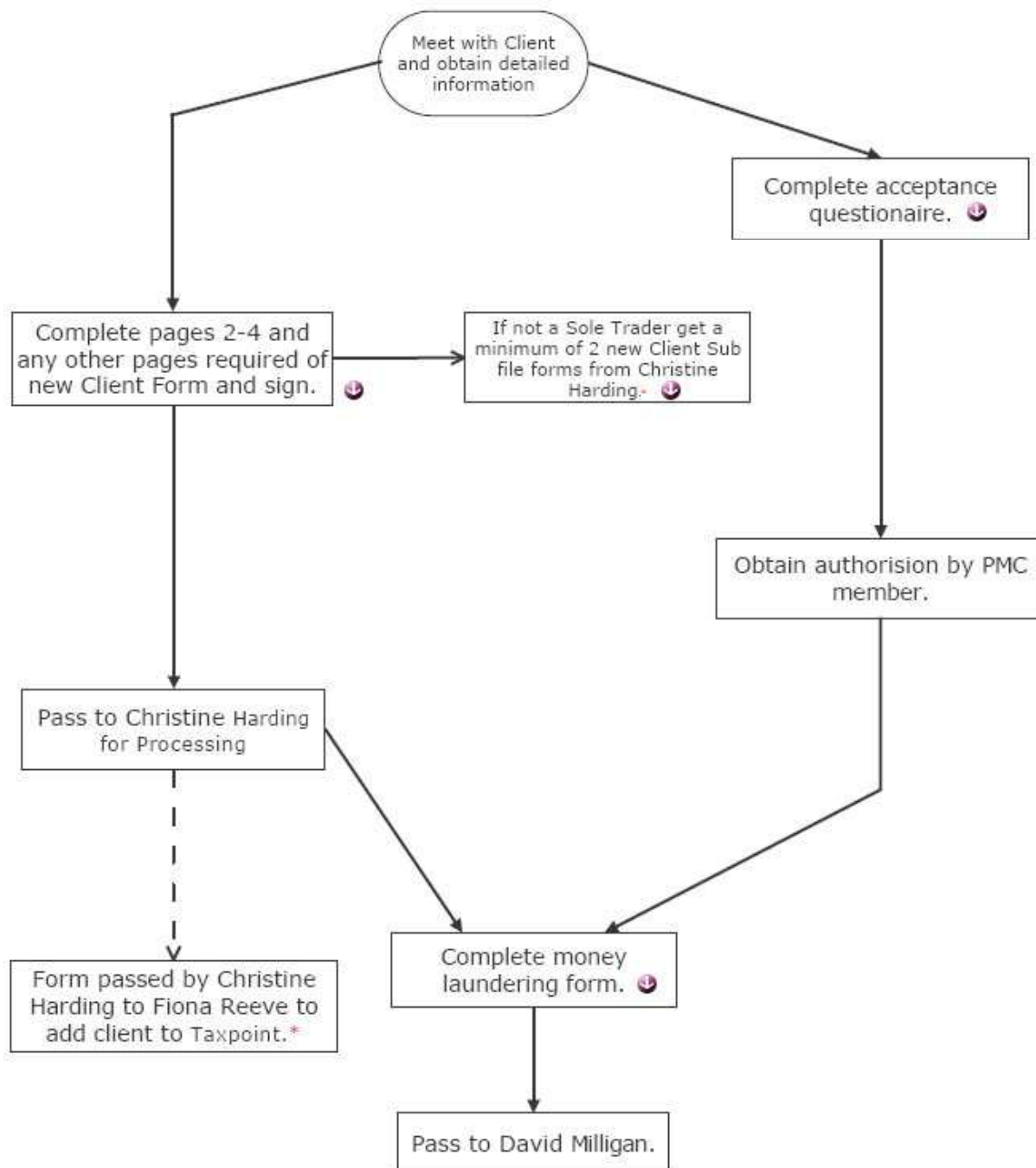


Ryecroft Glenton

Chartered Accountants

Client Gains



The new client form has been designed in three sections. The first section on page one allows a potential client to be entered onto the system so that time can be charged. The second section on page 2 contains the minimum information required for a client of this firm. The third section on pages 3 and 4 contain vital client information needed for internal control, reporting, marketing and client service purposes.

CLIENT INFORMATION

Please make sure that you complete all areas of the form as accurately as possible. This information is used to setup the client on VPM. If there are gaps in the completion of the form you will be reminded to obtain outstanding information.

It is particularly important that you take care in completing the contact information on page 2. Using an incorrect name or address is the easiest way to create a poor impression of us.

HOW TO FILL IN THE FORM

Meeting with New Client

Remove Page 1 (*There is no need to fill in page 1 if you are bypassing the potential client stage*). Tick either the box labeled 'New client'. Fill in all details on Page 2. Tick either 'Organisation' or 'Individual' and complete ALL name and address details (Trustees and executors should be entered under organisation).

All boxes must be completed. If, for example, the client does not have a fax number insert "n/a".

Hand Page 2 back to Christine Harding so the client can be set up on the system. Pages 3 and 4 should also be filled in if the information is available.

Sub Files

When setting up any type of client (other than a sole trader) you will be given 2 copies of the sub file new client form to fill in for any directors, partners, trustees etc. If you require more forms please ask or print them out yourself. You must fill in a separate new client form for each sub file. The admin department have been instructed not to process this form if the information in the RELATIONSHIPS section is missing.

You must not setup a sub file for anyone other than an individual. If the admin department receive requests for this they will return the form to you.

Companies/trusts etc that are linked to a main client file should not be setup as a sub file. They should be setup as a new client with their own code and linked using relationships.

(All new client forms for sub files will be passed by Christine Harding to the Tax Department to be setup on Taxpoint).

Converting a potential to a new client

On page 2, tick the box labeled 'Convert potential to new client'. Follow the instructions as above for meeting with new client.

All information on page two is required before you hand this page back to Christine Harding.

Client Acceptance Questionnaire

This should be filled in and then authorized before a member of the PMC before we start to act for the client.

Money Laundering Checks

Please remember to complete the money laundering sheets BEFORE we start to act for the client. The law does not allow us to act for clients until all identity checks have been completed.

MARKETING

The information on pages 3 and 4 of the form is particularly relevant to our efforts to market our services and possible proactive advice. It will help us to identify particular features about the client which we can then use to target information relevant to them or their businesses. Please therefore

complete these pages or you will be reminded automatically of gaps in our information.

Pages 3 & 4

Pages 3 and 4 should be completed as soon as possible after page two has been filled in. Complete both sheets as fully as you can once the information becomes available to you.

Enter the file reference and client name on the top of each page in the spaces provided, then sign the form once complete.

YEAR END

Complete the Year End for each client (unless it is a tax case or one-off assignment).

CLIENT TYPE

The purpose of this section is to identify the nature of the client's organisation or our work for that client if it is restricted in some way. Please note that "individual" should not be used if the client is a sole trader for whom we prepare accounts but would be used if say a tax return client was a director of a limited company or partner of a partnership.

TAX

Obviously you can only complete one of the corporate, personal or trust tax details as appropriate.

AUDIT

Please answer "yes" to this question if the client requires an audit even though they are not legally bound to have one. Also answer "yes" if the client is subject to the Solicitors', Chartered Surveyors' or Estate Agents' client accounts rules. If the client requires an independent examination or a contributions audit (pension schemes) then also answer "yes" to this question.

LEAD FILE REF

The RG Lead File Reference should be filled in if that client is part of a group within the Ryecroft Glenton client database e.g. a director of a client company or one of a number of related clients.

ENGAGEMENT LETTER

The most common engagement letter types have been highlighted in bold. Please note the importance of distinguishing between audits, independent examinations and total exemptions as appropriate. There are likely to be more "one-off" engagement letter types other than those listed on the form. Please advise Jess Lindo of other standard types and advise Rachael Scott where the masters of these are presently located on the system in order that they can be included in the folder of master engagement letters.

BILLING TYPE

Please complete one option only. Please note that payroll would only be used where the client type is "payroll only".

BANK LETTER

Please complete this question which is separate from the requirement for an audit as some audit clients do not require a bank letter and some non audit clients do.

CLIENT ACTIVITY OR TRADE

Please complete this as accurately as you can. An analysis of the "other" category will be performed on a

regular basis and additional categories will be added as trends emerge. Please note the analysis of trusts and ensure that the appropriate box is completed. Please note that other trusts e.g. charities or pension schemes should be analysed as charities or pension schemes under the client activity or trade section.

VAT

Please answer at least the first question. If the client is VAT registered, fill in the rest of the VAT section (including the VAT schemes box).

MARKETING

Please tick the appropriate boxes e.g. if you believe the client will be interested in a seminar for high net worth individuals tick the box.

TURNOVER

Please complete this information if you have it to hand for those clients for whom we prepare accounts. The information will be updated annually as accounts are prepared for the client.

YEAR END LETTER TYPE

Please complete this as it will assist Rachael Scott in preparing the month end client lists.

CLIENT GAINS INFORMATION

Please note that where a new client reference is being opened e.g. for a partnership incorporating into a limited company we are interested in the net increase in fee to ourselves rather than the anticipated fee for the new entity.

Please contact Jess or a member of the marketing group if you have any trouble filling in the New Client Form.