

ENGAGEMENT PROFILE

Engagement Code No. _____
Owner or Partner _____
Manager _____
Senior _____
Office _____

Date of Financial Statements^2 _____
Date of Report (engagement letter if no report
was issued) _____
Date Report or Financial Statement
Released _____

This engagement involves reporting (or compiling without a report) on a

- checkbox balance sheet
checkbox income statement
checkbox complete set of financial statements
checkbox financial statements without statement of cash flows
checkbox specified elements, accounts, or items of a financial statement
checkbox pro forma financial information

- 1. that (include checkbox) (omit checkbox) substantially all required disclosures and
2. (include checkbox) (do not include checkbox) supplementary information.

The financial statements are for an entity that is a(n):

- checkbox independent entity
checkbox consolidated or combined group
checkbox subsidiary, division, or branch
checkbox other (explain) _____

Is the firm independent with respect to the entity?

Yes checkbox No checkbox

If no, did the compilation report include a statement that the firm was not independent?

Yes checkbox No checkbox N/A checkbox

If the reason(s) the firm was not independent was disclosed, did the disclosure include all of the reasons independence was impaired?

Yes checkbox No checkbox N/A checkbox

The financial statements cover an (annual checkbox) (interim checkbox) reporting period.

The financial statements were prepared on (generally accepted accounting principles [GAAP] applicable financial reporting framework checkbox) (a special purpose framework checkbox)^3 basis of accounting.

At the time the report or financial statement(s) on the client's current year was issued or released, or both, were there billed fees, unbilled fees, or note(s) receivable arising from such fees, for any professional services provided that remained unpaid more than one year prior to the date of the report? Yes checkbox No checkbox

Key data reported on by this office for this engagement include the following:

Total assets \$ _____
Equity \$ _____
Net sales \$ _____
Net income \$ _____

Major lines of business: _____

^2 To determine the applicability of all cross referenced pronouncements, consider their effective dates.

^3 The cash, tax, regulatory, and other bases of accounting that utilize a definite set of logical, reasonable criteria that is applied to all material items appearing in financial statement are commonly referred to as other comprehensive bases of accounting.

What types of non-attest services will be performed for this client? (Check all that apply.)⁴

- [Activities such as financial statement preparation, cash-to-accrual conversions, and reconciliations](#)⁵ [ET sec. 1.295.010.06]
- [Bookkeeping, payroll, and other disbursements](#) [ET sec. 1.295.120]
- [Tax preparation services](#) [ET sec. 1.295.160]
- Other, which may include [advisory services](#) [ET sec. 1.295.105], [appraisal, valuation, and actuarial services](#) [ET sec. 1.295.110], [benefit plan administration](#) [ET sec. 1.295.115], [business risk consulting](#) [ET sec. 1.295.125], [corporate finance consulting](#) [ET sec. 1.295.130], [executive or employee recruiting](#) [ET sec. 1.295.135], [forensic accounting](#) [ET sec. 1.295.140], [information systems design, implementation, or integration](#) [ET sec. 1.295.145], [internal audit](#) [ET sec. 1.295.150], [investment advisory or management](#) [ET sec. 1.295.155]

For each non-attest service type previously identified, identify the following (attach additional sheets, if necessary):

- Specific non-attest service: _____
- Individual in your firm responsible: _____
- Name(s) and title of client personnel overseeing this service: _____
- Please describe your assessment and factors leading to your satisfaction that the client personnel overseeing the service had sufficient skills, knowledge and experience to do so: _____

Did any of the non-attest service(s) involve leading and directing the entity, including making significant decisions or assuming management responsibilities?

Examples of such services include, but are not limited to, the following: (Check all that apply.)

- Accepting responsibility for the preparation and fair presentation of the client’s financial statements
- Having check signing authority or power of attorney, whether used or not
- Preparing invoices, receipts, or other documents that evidence the occurrence of a transaction (including data entry)
- Authorizing or executing transactions, or making decisions on behalf of the client
- Supervising, hiring, or terminating client employees
- Serving on the client’s board of directors
- Serving as a client’s stock transfer or escrow agent, registrar, general counsel, or equivalent
- Accepting responsibility for the management of a client’s project
- Performing ongoing evaluations of the client’s internal control as part of its monitoring activities
- Other: _____

If any of the preceding boxes are checked, please provide a description: _____

⁴ To determine the applicability of all cross-referenced Code sections, consider their effective dates.

⁵ Effective for periods beginning after December 15, 2014, activities such as financial statement preparation, cash-to-accrual conversions, and reconciliations are considered outside the scope of the attest engagement and, therefore, constitute a non-attest service.

Complex or troublesome engagement areas: _____

Compilation hours on this engagement

Owner _____

Manager (or equivalent) _____

Senior or Other Professionals _____

Total (this office) _____

Total Budgeted _____

Personnel Continuity:

Owner or Partner *Manager or Equivalent*

Number of years assigned to this job..... _____

Number of years in current position on the job..... _____

Date Engagement Review Performed _____

Date Checklist Reviewed by Team Captain _____

Reviewer Signature _____

Team Captain Signature _____