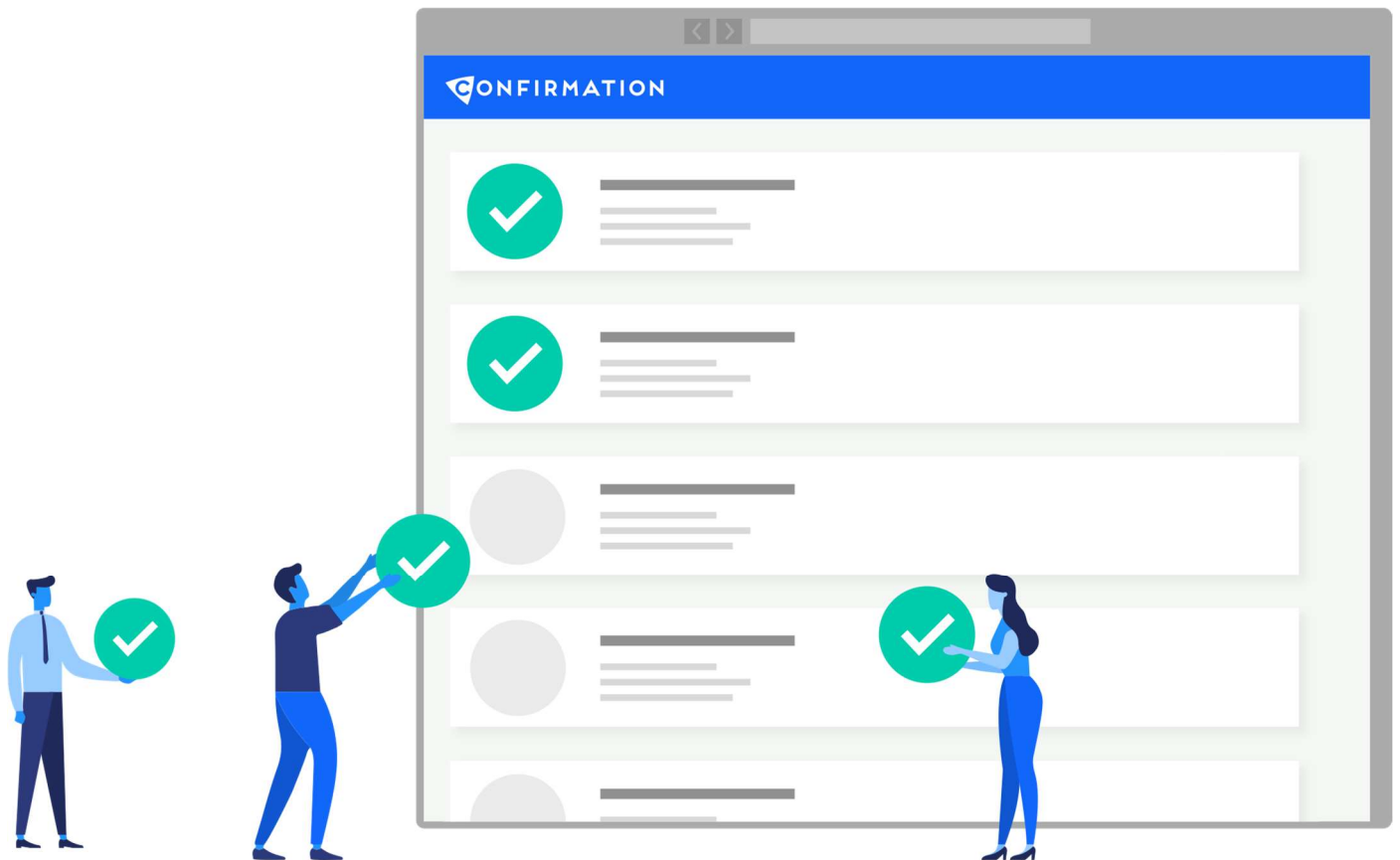




The Basics

A Guide to Getting Started



Introduction

Welcome to Confirmation.

Confirmation is the world's leading global provider of online audit confirmations and a trusted service provider to over 4,000 banks and 16,000 audit firms. Confirmation is widely endorsed by the international banking and auditing industry, having helped fulfil millions of audit requests over the past decade.

Confirmation is one platform for all your audit confirmations, offering auditors and firms a single, convenient platform to effectively manage every aspect of the audit confirmation process.

There are five basic steps for adding a client and sending a confirmation. In Step 1, you will be asked to create a standard profile for your client. In Step 2, you will add your client's accounts. In Step 3, you will request and receive client authorisation, and in Step 4 you will initiate confirmations. The status of your confirmations can be viewed at any time. Finally, you can download your confirmations in Step 5.

In addition to this guide, tutorials are available for each step. Please refer to the link at the bottom of each page.

We warmly welcome you to the Confirmation network. We are here to support you, so please visit our website www.confirmation.com or contact our Asia Pacific Customer Support at support@apac.confirmation.com.

Kind regards,

Confirmation Asia Pacific team



Register

To register, go to www.confirmation.com and click the 'Sign up' button at the top of the page. Complete the required fields. All you need is an email address and your firm contact details.

New firm registration

If you are the first employee of your firm to sign up, the firm will be validated by our Validation team. If required, we may contact you for further information to assist us complete this process. During the validation period, you may log into Confirmation and setup a client profile, however any initiated confirmations will be held for release until your firm or office profile is activated.



Tip: For validation purposes, you may be required to enter firm credit card details.

Checklist

Make sure you have the following information available prior to starting:

- ☐ Internet access
- ☐ Client company name
- ☐ Client signer information including email address
- ☐ Minimum of one account number per bank

We also recommend generating the 'In Network Responder' list from the Reports section on the Dashboard which provides a list of all financial institutions on the platform.

Step 1: Add a client profile

To get started, select 'Add New Client' from the Quick Links section and complete the required information fields.



Company Information

Company Name: This is the exact entity name as per the bank records.

Note: If the entity is part of a group, input the exact legal entity/subsidiary name, not the parent entity.

Authorised Signer Information

Input one authorised account signer as per the bank records. This is for initial identification purposes and additional signers can be added later. Please note: authority cannot be delegated to another party.

Client Registration (optional)

Client registration allows the nominated signer to log in and track the confirmation process. There is no requirement for your client to register, and therefore we recommend you keep this box unchecked.

Step 2: Add accounts

Add the Financial Responder (Bank) and accounts to your client profile. To do this click 'add' from your Client Information tab.

For bank confirmations, always select 'Financial' as the type of confirmation. You have access to over 4,000 banks on the platform. Search and select the bank you wish to send a confirmation to.

Responder Instructions:

Defines information required by the bank to submit a confirmation. Instructions are specific to each branch. When you are selecting a responder, you are required to read and acknowledge these instructions on this screen.

Responder Instructions will provide guidance on information such as the bank account number and other details required, as well as guidance on which forms should be used for different account and product types.

2 Select Responder

3 Add Account

4 Review

Review the selected responder details below and select next to continue:

 Example Bank
100 Smith Street
City, State, Postcode
Country
ABN: 12 345 678 910

Responder Instructions:

When viewing a responder on Confirmation, this is where you'll see the responder instructions.

Listed will include bank-specific instruction, and additional information they may require..

Accepted Forms:

Example form type
Example form type 2

Accepted Forms:

There are a number of form types available and each bank nominates which form type(s) it offers. Form types include:

- Consolidated: A consolidated request per entity to be confirmed. All applicable accounts and products held by the entity will be confirmed.
- Individual: A single request for each account to be confirmed. Only the single account submitted will be confirmed.



Tip: Remember to add additional signers in this step if required per bank mandate.

Step 3: Client authorisation

To request client authorisation, click 'request' and select which authorised signer(s) and the company(s) you would like to request authorisation for.


Once requested, the authorised signer(s) receives an email with a unique link allowing them to securely provide their digital signature online.

How does my client provide authorisation?

Your client is not required to register or log in to Confirmation to provide their authority.

Your client will receive an email from systems.administrator@confirmation.com with a unique link allowing them to provide digital authorisation. Using a smart device or mouse pad your client will provide their signature to authorise you to submit audit confirmation requests on their behalf.

If your client does not receive this email, please ask they add systems.administrator@confirmation.com to their Safe Senders list and send a new client authorisation request.

 **Tip:** We recommend you advise your client that your audit firm now processes confirmations electronically and to expect to receive an email requesting authorisation

Your electronic authorization is required

[client full name],

[auditor name] at [accounting firm name] requires an electronic signature to provide authorization to complete your financial statement audit.

This authorization allows your auditor to request information deemed relevant to the completion of your financial statement audit. Without this authorization, your auditor cannot request or obtain information from third parties on your behalf using Confirmation.com. You have 90 days to provide your authorization. [Read about our User Agreement here.](#)

Sign Authorization

This client authorization applies to the following companies:

Company Name
[Company Name 1]
[Company Name 2]

Step 4: Initiate

Once client authorisation is received, you are able to continue to Step 4 and send your request to the bank.

Initiate Confirmations for: Poppers Pty Ltd close

Choose As of Date and filter criteria then select search.

As of Date: 31/12/2016 Field Name: Responder Responder Type: Financial Search Criteria: search 3 results found

Responder	Type	Account ID	Name	Form	Signers	Additions
<input checked="" type="checkbox"/>	Financial	123456789	Main Account	AU - Client Conso...	DeGroot, Carmella	[add]
<input checked="" type="checkbox"/>	Financial	123-456 789 123	-	Client Consolidated	DeGroot, Carmella	[add]
<input checked="" type="checkbox"/>	Financial	123-456 789 987	-	HK - Client Conso...	DeGroot, Carmella	[edit]

Engagement Number:

General Questions for all Responders (optional):

* Denotes required field

In Network Out of Network Paper

close next

To send your request:

- ✓ Select your authorised signer
- ✓ Select your desired 'As of Date' (balance date)
- ✓ Select responder
- ✓ Complete required fields

If your firm has not set up a central billing method, you will be required to input credit card details. Speak to our Customer Support support@apac.confirmation.com to set up a central billing method for your office.



Tip: Confirmations can be initiated up to 90 days in advance. Banks process confirmations 'first in first out' so submit your requests early!

Confirmations Initiated! close

You have successfully initiated 1 confirmation(s) for Cool Finance Company.

close

Step 5: Download

Click 'download confirmations' from Step 5.

The screenshot shows the CONFIRMATION software interface for 'Puppers Pty Ltd'. The interface is divided into several sections:

- CLIENT PROFILE (STEP 1):** Includes fields for Company Name (Puppers Pty Ltd), Lead Auditor (Stark, Alyson), and Authorized Signers (DeGroot, Carmella). There is an 'add signer' button.
- ACCOUNTS (STEP 2):** A table showing account types and counts: Financial (1), Accounts Receivable (0), Accounts Payable (0), Employee Benefits (0), and Legal (0). There are 'add' and 'view all' buttons.
- CLIENT AUTHORIZATION (STEP 3):** Shows 'Received (1)' for DeGroot, Carmella (364 days remaining) and 'Pending (0)' with a note '[no pending client authorizations]'. There are 'request' and 'view log' buttons.
- INITIATE (STEP 4):** Contains an 'initiate confirmations' button.
- CONFIRMATION STATUSES:** A table showing the status of confirmations: Pending (0), Completed (1), Need More Info (0), Denied (0), and Future Dated (0). There is a 'view log' button.
- DOWNLOAD (STEP 5):** This section is highlighted with a red box and contains a 'download confirmations' button.

At the bottom, a note states: '* - represents activity for As of Date 30/06/2016'.

Click 'export' to download all confirmations in one document. Click 'download attachments' to download attachments in individual documents.

View individual responses

To view individual confirmation responses, you can go directly to the Client Information tab for a specific client and review the status log, or select the 'Completed' status from the main dashboard.

By selecting the 'Completed' status, a list of completed confirmations will be displayed. Click 'View' to review each confirmation.



Tip: If it appears some confirmations are missing, check the 'As of Date' in the Confirmation Statuses area.

Frequently asked questions

Step 1: Add a client profile

My client has multiple entities, how do I set up the client profile? Each unique legal entity should be set up as a separate Client Profile. If the legal entities have a single client signer, you can utilise the Multiple Entities, Single Signer functionality. Contact Customer Support for further details.

Can I reassign a client profile to a new auditor? Yes. Each client profile can have lead and shared auditors assigned. Select the 'Reassign client' link in the Quick Links section.

Step 2: Add accounts

What if I select the wrong form? If an incorrect form is submitted to the bank, the bank will deny the request and the auditor is required to resubmit with the correct form.

My client has multiple accounts. Can I upload a batch of accounts? Yes. If you have multiple individual forms you need to add for your client, you can use the Batch Import tool to add up to 250 accounts at once. Contact Customer Support for further details.

Step 3: Client authorisation

What if I don't know who the signer is? It is the Auditor's responsibility to communicate with the client to identify the correct signers, per the bank's records. The bank will reject the request if authorisation is from an incorrect signer.

How should I explain Confirmation to my client? Confirmation is a platform that benefits auditors, banks and clients. Clients can now feel comfort that their confidential information and their authorisation is securely transmitted between parties. Clients can complete digital authorisation in seconds. No more chasing them to sign and mail authorisation letters.

Step 4: Initiate

What is As of Date? The As of Date can also be considered the balance date of the financial statements. The responding bank will provide the information requested as of the date you specify. If an as of date is selected for a future date, the confirmation request will be available for a response from the bank on that date.

Can I submit confirmations in advance? Yes. As long as the client authorisation is active, you can initiate requests for an 'As of Date' up to 90 days in advance. The requests will be held in the queue to automatically release on your requested 'As of Date'.

Can I cancel a request? You can cancel a request provided it is still pending and not being actively processed by the bank. To cancel a request, from the main dashboard select 'Recall Confirmation' from the Quick Links area. Locate the client name in the list and click on the request. Select Recall from the Action List (bottom left hand corner) and click submit.

What are the fees? There are no license or sign up fees for using Confirmation. Fees are based on number of forms initiated per customer profile (legal entity). The fee charged reflects improvements to the overall audit confirmation process, which includes improved productivity and risk management Confirmation delivers. Contact Customer Support to obtain fee details for your country.

What billing options do I have? All payments are made via credit card. Auditors can input details each time they initiate a request or a central single credit card can be implemented for an entire office. Contact Customer Support to set up a central card.

Step 5: Download

What if my completed confirmation has errors? You can request additional information from the bank by clicking the 'Re-confirm' button at the bottom of the confirmation and enter appropriate details. The confirmation will be sent back to the bank for review and further processing.

What if I can't find my completed confirmations? If you believe you have completed confirmations but cannot view them, check the "As of Date" in the Confirmations Statuses area. The platform defaults to the last 'As of Date' submission. Click on the date and select 'Last 90 days' to broaden the search.

Need help?

Online

Helpful information can be found by clicking the 'Need Help?' tab on the right-hand side of the screen. In this section, you will find FAQs and step-by-step training videos.

Email

If you have further questions or need assistance, contact Asia Pacific Customer Support team at support@apac.confirmation.com.

