

Auditor User Guide



Auditor User Guide

Step 1: Adding a new client

Once you've logged in, select 'Add New Client' from the Quick Links section.



Company Name – This is the legal entity / registered company name of your client.

Signer Information – This signer information must match the financial institution's information on file of your client.

Signer Email – This must be the email of the authorized signer. Authorisation cannot be delegated to another party.

Client Registration – We suggest that you only provide access to the client if it's requested.

Step 1: Add a Client Profile [close](#)

Company Information

Company Name * WebSite

Authorized Signer Information

Signer Job Title *

First Name * Last Name *

Address 1 *

Address 2

located inside the United States

City * State * Zip Code *

Signer Email * Re-Type Signer Email *

Phone * Ext. Fax

Language

Mobile Country Code

Mobile Phone

Client Signer Options

Send registration to client
Clients can enter account information, issue a Client Authorization proactively, and check the status of their requests. Clients cannot view completed confirmations.

Multi Factor Client Authorization
This additional security offering requires the client signer to authenticate with an SMS message during the signing process.

* Denotes required field [Privacy Statement](#)

Auditor User Guide

Step 2: Add accounts – choosing the request type

Once you've created your client's profile, select 'add' from the 'Accounts' section.

The screenshot displays a five-step process for adding accounts to a client profile. The 'ACCOUNTS' section (STEP 2) is highlighted with an orange border. It shows a list of account types with their respective counts: Financial (1), Accounts Receivable (0), Accounts Payable (0), Employee Benefits (0), and Legal (0). Below the list are 'add' and 'view all' buttons. The other sections are: CLIENT PROFILE (STEP 1) with fields for Company Name, Lead Auditor, and Authorized Signers; CLIENT AUTHORIZATION (STEP 3) with 'request' and 'view log' buttons; INITIATE (STEP 4) with a text box for requesting authorization; CONFIRMATION STATUSES with a table of status counts; and DOWNLOAD (STEP 5) with a text box for downloading completed confirmations.

Account Type	Count
Financial	1
Accounts Receivable	0
Accounts Payable	0
Employee Benefits	0
Legal	0

Status	Count
Pending	0
Completed	0
Need More Info	0
Denied	0
Future Dated	0

Auditor User Guide

Step 2: Add accounts – choosing the request type

To send bank confirmations, select the 'Financial' confirmation type.

- 1 Choose Type
- 2 Select Responder
- 3 Add Account
- 4 Review

Select the type of confirmation you would like to create:

-  **Financial**
Choose this for bank confirmations or similar. Examples include Asset confirmations, liability confirmations, and other instruments held by financial institutions.
-  **Accounts Receivable**
Choose this for Accounts Receivable confirmations.
-  **Accounts Payable**
Choose this for Accounts Payable confirmations.
-  **Employee Benefits**
Choose this for Employee Benefits confirmations. Examples include 401k, 403b, ESOP, Health and other benefit types.
-  **Legal**
Choose this for Legal confirmations.

close

Auditor User Guide

Step 2: Add accounts – choosing the request type

Then, search for your responding financial institution. Once found, select the name.

The screenshot displays a web interface for adding accounts. On the left, a vertical navigation menu contains four steps: 1 Choose Type, 2 Select Responder, 3 Add Account, and 4 Review. Step 2 is currently active. The main content area is titled 'Search and select a Financial responder:' and features a search input field with the placeholder text 'Search' and an orange 'search' button. At the bottom right of the main area, there are three filter options: 'In-Network' with a green checkmark icon, 'Out-Of-Network' with an orange icon, and 'Paper' with a document icon. A blue 'back' button is located at the bottom center of the interface.

Auditor User Guide

Step 2: Add accounts – choosing the request type

Once you've selected a financial responder, make sure you read the 'Responder Instructions' issued by the financial institution and take note of the 'Accepted Forms.' Responders accept different form types.

1 Choose Type

2 Select Responder

3 Add Account

4 Review

Search and select a Financial responder:

Search
capital

27 results found.

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

Capital Bank & Trust
1400 2nd Ave. South,
Nashville, TN 37203
United States
FDIC: 1234

Responder Instructions:

This is where the bank can insert special instructions.

Accepted Forms:

- Asset
- Liability
- Client Consolidated
- Derivative

In-Network Out-Of-Network Paper

Auditor User Guide

Step 2: Add accounts – choosing the request type

Individual forms

- An individual form confirms the details of a [single account](#).
- Common individual forms include:

Asset

Liability

Bond Issue

Contingent Liability

Derivatives

Escrow Account

Line of Credit

Money Market Fund

HUD Mortgage

Securities

Example Asset Form

The screenshot shows a web form titled "Example Asset Form". At the top, there is a section for "Authorized Signers" with a red asterisk and the text "(select up to 4)" and a "[add new]" link. Below this are two rows, each with a checkbox and a name: "Doe, Frank" and "Doe, Franklin".

Below the signers is a "Tax ID" field with a text input box.

Next is "Account ID" with a red asterisk and a "[batch import]" link, followed by a text input box.

Then "Account Name" with a text input box.

Then "Currency" with a red asterisk and a dropdown menu currently showing "United States of America, Dollars - USD".

Then "Balance" with a text input box and a "\$" symbol to its left.

Then "Interest" with a text input box and a "%" symbol to its right.

Finally, "Account Description" with a large text input box.

Auditor User Guide

Step 2: Add accounts – choosing the request type

Consolidated forms

- A consolidated form is a [full entity search](#) of bank records.
- Provide a single account number or reference for an entity and the financial institution will use this to locate the client in their system.
- They will run a full statement of all balances and arrangements and provide this as a response.

Form fields for account selection:

- Authorised Signer ***: [Signer name per bank's mandate]
- Tax ID:**: [Registered company number]
- Account ID ***: [Account number]
- Account Name**: [Per bank records]
- Product Type**: [List products]
- Branch Location**: [If applicable]
- Include a list of authorized signers for all associated accounts: ***: Yes No
- Account Description**: [Other useful info e.g. legal entity name]

File upload table:

File Name	Date	Size	User Name
[Empty table body]			

Buttons: **browse/upload** | **delete selected**

Select your confirmation form type from the drop down list:

Form *

-- select confirmation type --

- Asset
- Consolidated**
- Liability

TIP: Listing out known products (e.g. Deposits, Loans, Futures, FX contracts etc) within the 'Product Type' field will help the bank locate your client records faster.

TIP: Providing a spreadsheet of all your audited entity's accounts will assist the bank's search.

Auditor User Guide

Step 3: Requesting client authorization

Once you've added all your accounts, you must request client authorisation from your client. Do this by clicking the 'request' button.

The screenshot displays a five-step process for requesting client authorization. The steps are:

- STEP 1: CLIENT PROFILE** - Shows company name (Med Health Advance), lead auditor (Bartlett, Amber), and authorized signers (Rogers, Chuck). Includes an 'add signer' button.
- STEP 2: ACCOUNTS** - Lists accounts: Financial (1), Accounts Receivable (0), Accounts Payable (0), Employee Benefits (0), and Legal (0). Includes 'add' and 'view all' buttons.
- STEP 3: CLIENT AUTHORIZATION** - Shows 'Received (0)' and 'Pending (0)' counts. Includes 'request' and 'view log' buttons. This step is highlighted with an orange border.
- STEP 4: INITIATE** - Contains the instruction: "Request a **client authorization** to **initiate** confirmations."
- STEP 5: CONFIRMATION STATUSES** - Lists statuses: Pending (0), Completed (0), Need More Info (0), Denied (0), and Future Dated (0).
- STEP 6: DOWNLOAD** - Contains the instruction: "Once **completed**, confirmations can be **downloaded**".

Auditor User Guide

Step 3: Requesting client authorisation

Your client will receive an email from Confirmation.com requesting their authorisation for the financial institution to disclose information through Confirmation.com.

Your client will select the 'sign authorisation' button to digitally sign the authorisation.

The process takes less than 30 seconds to complete.

Client Authorization

By providing the below Client Authorization, I am agreeing to Confirmation.com's User Agreement which allows my financial institutions, business partners, and auditors to process and receive confirmations through the Confirmation.com service.

Signature*

Sign It Clear Client Authorization Process



cancel send

Auditor User Guide

Step 4: Initiating your confirmations

Once you've received your client authorisation, you can initiate your confirmations.

The screenshot displays a multi-step interface for initiating confirmations. The steps are as follows:

- STEP 1: CLIENT PROFILE**
 - Company Name [modify]: Med Health Advance
 - Lead Auditor [modify/share]: Bartlett, Amber
 - Authorized Signers (1) [show all]: Rogers, Chuck
 - add signer
- STEP 2: ACCOUNTS**
 - Financial: 1
 - Accounts Receivable: 0
 - Accounts Payable: 0
 - Employee Benefits: 0
 - Legal: 0
 - add view all
- STEP 3: CLIENT AUTHORIZATION**
 - Received (1): Rogers, Chuck: 180 days remaining
 - Pending (0): [no pending client authorizations]
 - request view log
- STEP 4: INITIATE**
 - initiate confirmations
- CONFIRMATION STATUSES**
 - Pending: 0
 - Completed: 0
 - Need More Info: 0
 - Denied: 0
 - Future Dated: 0
- STEP 5: DOWNLOAD**
 - [Once **completed**, confirmations can be **downloaded**]

Auditor User Guide

Step 4: Initiating your confirmations

Select your 'As of Date' – this is the balance sheet date of your audit.

You can also future date your confirmations up to 90 days out. Confirmation.com will hold them in a queue until the date indicated.

Choose As of Date and filter criteria then select search.

As of Date * 

<input type="checkbox"/> Responder ▲	Type	Account ID	Name	Form	Signers	Additions
[Choose an As of Date to display available accounts. Note: Accounts previously initiated for the selected As of Date may not appear.]						

General Questions for all Responders (optional)

* Denotes required field  In-Network  Out-Of-Network  Paper

Auditor User Guide

Step 4: Initiating your confirmations

Select which accounts/forms you wish to confirm.

<input checked="" type="checkbox"/>	Responder▲	Type	Account ID	Name	Form	Signers	Additions
<input checked="" type="checkbox"/>	 Capital Bank & Trust	Financial	05-03124	-	Asset	Bartlett, Amber	[add]

General Questions for all Responders (optional)

* Denotes required field

 In-Network  Out-Of-Network  Paper

[close](#) [next](#)

Auditor User Guide

Step 4: Initiating your confirmations

Once you're ready to send your confirmations, your total fee is calculated. You will be asked to pay at this point via credit card (unless your office has a central credit card on account).

For more information on billing options, please contact Customer Support.

1 accounts selected.

Responders ▲	Type	Quantity	Price Per	Amount	
 Capital Bank & Trust	Financial	1	\$23.00 USD	\$23.00 USD	
<hr/>					
Subtotal		1		\$23.00 USD	
Sales Tax/VAT				\$0.00 USD	
Total		1		\$23.00 USD	

[Your Firm/Office has a default payment option on file.]

Auditor User Guide

Step 5: Download your confirmations

When the financial institution completes your confirmations you'll receive a notification via email.

Log in, navigate to your client and click 'download confirmations' to download completed confirmations for your work papers.

The screenshot displays a multi-step interface for managing client confirmations. The steps are as follows:

- STEP 1: CLIENT PROFILE**
 - Company Name [modify]: Med Health Advance
 - Lead Auditor [modify/share]: Bartlett, Amber
 - Authorized Signers (1) [show all]: Rogers, Chuck
 - add signer
- STEP 2: ACCOUNTS**
 - Financial: 1
 - Accounts Receivable: 0
 - Accounts Payable: 0
 - Employee Benefits: 0
 - Legal: 0
 - add view all
- STEP 3: CLIENT AUTHORIZATION**
 - Received (1): Rogers, Chuck: 180 days remaining
 - Pending (0): [no pending client authorizations]
 - request view log
- STEP 4: INITIATE**
 - initiate confirmations
- STEP 5: CONFIRMATION STATUSES**
 - Pending: 0
 - Completed: 0
 - Need More Info: 0
 - Denied: 0
 - Future Dated: 0
- STEP 5: DOWNLOAD**
 - download confirmations

Auditor User Guide

Need more information?

Recalling confirmations

Did you make a mistake? If you sent confirmations to financial institutions with an error, you can 'recall' them provided the financial institutions have not started work on their response.

[Watch how to recall a confirmation](#)

Re-confirmations

Was the response not what you were expecting, or missing information? You can send a re-confirmation to the financial institution with a message attached explaining what information is incorrect or missing. The financial institution will prioritize responding to re-confirmations.

[Watch how to re-confirm](#)

Auditor User Guide

Need help?

Contact Our Customer Support Team

<https://www.contact.confirmation.com/support>

+1 866-325-7201 (North America)

+1 615-844-6222 (Global)

**Thank you for using
Confirmation.com**

