

Enquiry form to gather information from a prospective client – PDF version

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In order to help me gather information about a prospective client and form a decision on whether I will be able to undertake the required accountancy work and willing to act for the prospective client, I ask prospective clients to fill in my 'Enquiry form to gather information from a prospective client' and send their completed form to me.

My 'Enquiry form to gather information from a prospective client' is available as a Microsoft Word file and a PDF file. You can fill in the Microsoft Word version of the form using Microsoft Word. This document is the PDF version of the form. You can print a paper copy of this document and fill it in by hand. If you cannot print a paper copy of this document, I can provide you with one.

If you want me to consider undertaking any accountancy work for you, please fill in either version of the enquiry form and send your completed form to me. I will then contact you in due course.

Filling in this form

Please write your text in the text boxes that are provided below questions and other requests for information. Please write legibly. If you need more space for your text, please use the 'Additional information and comments' section at the end of the form.

Please follow the guidance included on the form in red.

Some of the questions have explanatory notes. Explanatory notes are shown in blue italics.

Sending your completed form to me

Please scan your completed form using a flatbed scanner, save the scanned copy of the form as a PDF file, and email it to briancohen.accountant@gmail.com.

Alternatively, you can post your completed form to:

Brian Cohen
483 Green Lanes
London
N13 4BS

1. Details regarding the prospective client

Name of the prospective client

1.1 What is the name of the prospective client?

Type of client

1.2 Which of the following types of clients is the prospective client?

- ☐ An individual (excluding the estate of a deceased individual)
- ☐ A limited company
- ☐ A limited liability partnership (LLP)
- ☐ A limited partnership (LP)
- ☐ A partnership other than an LLP or LP
- ☐ A trust
- ☐ The estate of a deceased individual
- ☐ As stated below:

Please enter 'X' in the applicable check box.

If you are not the prospective client

If you, personally, are not the prospective client specified in 1.1 and 1.2, please complete this subsection.

1.3 What is your relationship to the prospective client named in 1.1?

For example:

<i>If the prospective client is</i>	<i>You are likely to be</i>
<i>An individual (excluding the estate of a deceased individual)</i>	<i>The individual's spouse, civil partner, relative or friend</i>
<i>A limited company</i>	<i>A director of the company</i>
<i>A limited liability partnership (LLP)</i>	<i>A member of the LLP</i>
<i>A limited partnership (LP)</i>	<i>A general partner in the LP</i>
<i>A partnership other than an LLP or LP</i>	<i>A partner in the partnership</i>
<i>A trust</i>	<i>A trustee of the trust</i>
<i>The estate of a deceased individual</i>	<i>An executor or administrator of the deceased person You may also have been the deceased person's spouse, civil partner, relative or friend</i>

If the prospective client is a company, limited liability partnership (LLP) or limited partnership (LP)

If the prospective client is a company, limited liability partnership (LLP) or limited partnership (LP), please complete this subsection.

- 1.4 What is the prospective client's Companies House registration number?

- 1.5 What is the prospective client's registered office address?

- 1.6 Is the prospective client's principal place of business different to the registered office address that you entered in 1.5? If so, please state the prospective client's principal place of business.

Contact details

- 1.7 What is the prospective client's contact address?

- 1.8 What is the prospective client's email address?

- 1.9 What is the prospective client's telephone number?

Website address

- 1.10 Does the prospective client have a website? If so, what is the prospective client's website address?

2. If the prospective client carried on a business

If the prospective client carried on a business, please complete this section.

- 2.1 Is the prospective client's trading name different to the name that you entered in 1.1? If so, what is the prospective client's trading name?

- 2.2 What is/are the prospective client's principal business activity/activities?

- 2.3 What is the value of the business's annual turnover?

In a business's profit and loss account, turnover includes the takings, fees, sales or money earned or received by the business.

- 2.4 What is the total balance sheet value of the business's assets?

In a business's balance sheet, the total value of the business's assets is equal to the total value of the business's fixed assets plus the total value of its current assets.

- 2.5 What is the total balance sheet value of the business's liabilities?

In a business's balance sheet, the total value of the business's liabilities is equal to the total value of the business's current liabilities plus the total value of any long-term liabilities. Current liabilities are liabilities falling due within one year; long-term liabilities are liabilities falling due after more than one year.

- 2.6 Does the business have any employees? If so, how many employees does the business have on its payroll?

- 2.7 Does the business operate any overseas bank accounts? If so, where are those bank accounts held?

- 2.8 Approximately what proportion of the business's annual turnover is received in the form of cash (i.e. banknotes and coins)?

- 2.9 Does the business operate any client money bank accounts?

A client money bank account is a bank account in which a business holds client money, on behalf of one or more clients, separate from the business's own money.

- 2.10 Is the prospective client's business registered for VAT?

3. Source of introduction

- 3.1 How was the prospective client introduced to my accountancy firm?

For example, the prospective client may have been told about my accountancy firm by one of my clients, or may have seen an advert for my accountancy services in a local newspaper.

4. Services required by the prospective client

- 4.1 Which of the following services are required by the prospective client?

- ☐ Bookkeeping (preparation of books of account)
- ☐ Preparation of VAT returns
- ☐ Preparation of final annual accounts for an individual or a partnership other than a limited liability partnership (LLP)
- ☐ Preparation of draft annual accounts, ready for finalisation by another accountancy firm
- ☐ Preparation of self-assessment tax returns
- ☐ Preparation of Making Tax Digital for Income Tax quarterly updates and year-end tax returns

Please enter 'X' in each applicable check box.

4.2 Does the prospective client require a payroll or CIS service?

A CIS service is a service provided to contractors in relation to their payments to subcontractors under the Construction Industry Scheme (CIS).

4.3 Does the prospective client require any other services? If so, what other services does the prospective client require?

4.4 Would I be required by the prospective client to deliver their work within any timescales other than the timescales for meeting any official deadlines? If so, what would be the prospective client's required timescales for delivery of their work?

5. Existing or predecessor accountant(s)

5.1 Would I be required by the prospective client to:

- ☐ replace an existing accountant (or multiple existing accountants) or, where there is no existing accountant to replace, a predecessor accountant (or multiple predecessor accountants); and/or
- ☐ undertake work that is complementary or additional to the work of an existing accountant (or multiple existing accountants) or, where there is no existing accountant, a predecessor accountant (or multiple predecessor accountants)?

Please enter 'X' in each applicable check box.

An 'existing accountant' is a professional accountant in public practice currently holding an audit appointment or carrying out accounting, tax, consulting or similar professional services for the prospective client. A 'predecessor accountant' is a professional accountant in public practice who most recently held an audit appointment or carried out accounting, tax, consulting or similar professional services for the prospective client, where there is no existing accountant.

A 'professional accountant in public practice' may be an individual professional accountant in public practice or a firm of professional accountants in public practice. A 'professional accountant' is an individual who is a member of an IFAC member body. IFAC is the abbreviation of International Federation of Accountants.

'Professional services' are professional activities performed for clients. A 'professional activity' is an activity requiring accountancy or related skills undertaken by a professional

accountant, including accounting, auditing, tax, management consulting, and financial management.

6. Bookkeeping and accounting

If I would be required to prepare the prospective client's books of account or annual accounts, please complete this section.

6.1 What is the most recent accounting period for which the prospective client's annual accounts have been prepared and finalised?

This question relates to the prospective client's annual financial accounts rather than any periodic management accounts (e.g. monthly or quarterly management accounts).

6.2 Who prepared the prospective client's annual accounts for the accounting period that you entered in 6.1?

6.3 Who prepared the prospective client's books of account for the period since the end of the accounting period that you entered in 6.1?

6.4 What software was used to prepare the prospective client's books of account for the period since the end of the accounting period that you entered in 6.1?

6.5 Please state the address at which the prospective client's accounting records are kept.

6.6 How frequently would the prospective client want me to prepare their books of account?

☐ Monthly

☐ Quarterly

☐ Annually

☐ As stated below:

Please enter 'X' in the applicable check box.

7. VAT

If I would be required to prepare the prospective client's VAT returns, please complete this section.

- 7.1 What is the most recent VAT return period for which the prospective client's VAT return has been prepared?

A VAT return period is usually a quarter (i.e. three months) ending on a fixed date (e.g. 31 March, 30 June, etc.).

- 7.2 Who prepared the prospective client's VAT returns for the return periods covering the 12 months up to the end of the return period that you entered in 7.1?

- 7.3 Are there any VAT matters that are a matter of dispute between the prospective client and HM Revenue & Customs (HMRC)? If so, please provide details.

- 7.4 Does the prospective client owe any overdue VAT amounts to HMRC? If so, please provide details and explain why these amounts are overdue.

8. Self-assessment

If I would be required to prepare the prospective client's self-assessment tax returns, please complete this section.

- 8.1 What is the most recent tax year for which the prospective client's self-assessment tax return has been prepared?

A tax year runs from 6 April in one year to 5 April in the following year.

- 8.2 Who prepared the prospective client's self-assessment tax return for the tax year that you entered in 8.1?

- 8.3 Are there any self-assessment matters that are a matter of dispute between the prospective client and HM Revenue & Customs (HMRC)? If so, please provide details.

- 8.4 Does the prospective client owe any overdue self-assessment amounts to HMRC? If so, please provide details and explain why these amounts are overdue.

9. Making Tax Digital for Income Tax

If I would be required to prepare the prospective client's Making Tax Digital for Income Tax (MTD for IT) quarterly updates and year-end tax returns, please complete this section.

- 9.1 What is the most recent quarter for which the prospective client's MTD for IT quarterly update has been prepared?

- 9.2 Who prepared the prospective client's MTD for IT quarterly updates for the quarters covering the 12 months up to the end of the quarter that you entered in 9.1?

10. Other information

- 10.1 Have any third parties who might be involved with the prospective client indicated to the prospective client that they might subsequently claim to have relied on any of the work to be carried out under the proposed engagement? If so, please identify those third parties, and the work that they have indicated to the prospective client that they might subsequently claim to have relied on.

A third party is a person or entity other than the prospective client or my accountancy firm. Examples of third parties could include investors, lenders, suppliers or customers. An engagement is a contract or agreement between the prospective client and my accountancy firm for the provision of accountancy services.

- 10.2 Has the prospective client changed accountants regularly or recently? If so, why has the prospective client done so?

- 10.3 Why has the prospective client approached my accountancy firm?

Information regarding the completion of this form

- 10.4 What is your name (i.e. the name of the person who completed this form)?

- 10.5 What is the date on which you completed this form?

11. Additional information and comments

If you want to include any additional information or comments that you feel are relevant, please do so below.