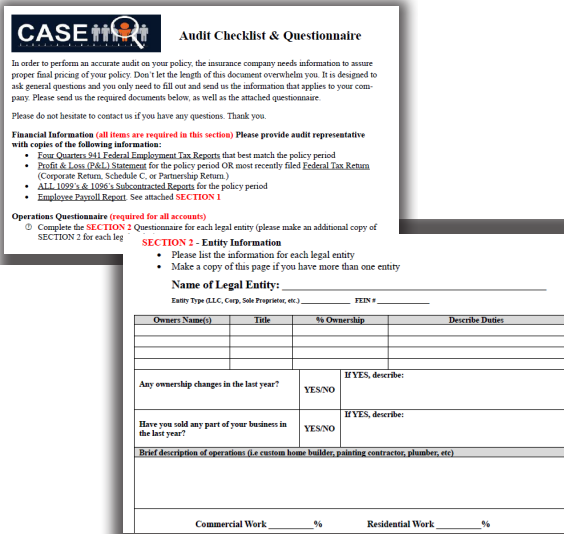


# Thorough Audit Questionnaire



**CASE** Audit Checklist & Questionnaire

In order to perform an accurate audit on your policy, the insurance company needs information to assure proper final pricing of your policy. Don't let the length of this document overwhelm you. It is designed to ask general questions and you only need to fill out and send us the information that applies to your company. Please send us the required documents below, as well as the attached questionnaire.

Please do not hesitate to contact us if you have any questions. Thank you.

**Financial Information (all items are required in this section)** Please provide audit representative with copies of the following information:

- Four Quarters 241 Federal Employment Tax Reports that best match the policy period
- Taxid & Loss (204) Statement for the policy period OR most recently filed Federal Tax Return (Corporate Return, Schedule C, or Partnership Return)
- All 1099's & 1098's Subcontracted Reports for the policy period
- Employee Payroll Report. See attached SECTION 1

**Operations Questionnaire (required for all accounts)**

Complete the SECTION 2 Questionnaire for each legal entity (please make an additional copy of SECTION 2 for each leg

**SECTION 2 - Entity Information**

- Please list the information for each legal entity
- Make a copy of this page if you have more than one entity

Name of Legal Entity: \_\_\_\_\_  
Entity Type (LLC, Corp, Sole Proprietor, etc.) FEIN # \_\_\_\_\_

Owners Name(s)	Title	% Ownership	Describe Duties
Any ownership changes in the last year?	YES/NO	IF YES, describe:	
Have you sold any part of your business in the last year?	YES/NO	IF YES, describe:	
Brief description of operations (i.e. custom home builder, painting contractor, plumber, etc.)			
Commercial Work _____ % Residential Work _____ %			

Sometimes looking at business records can lead to questions of interpretation and issues of accuracy in premium auditor input. All of this affects the collectability of additional premium audits. CASE makes sure that there is supporting documentation provided with every audit.



**1-866-529-0850**

# What CASE Can Do For You

- Lower overall audit costs for unsuccessful audits and larger/complex audits
- Avoidance of premium compromises from lack of immediately available documentation
- Getting it right the first time, avoiding policyholder frustration
- Reduced time spent on audit processing and negotiation
- Customized approach to the insurers' specific audit needs, filling transparency gaps
- Fewer negotiated "discounts" on outstanding audits
- Shorter time between audit endorsement processing and cash collection
- Flexibility to customize audit approach to your specific needs
- Improved policyholder audit participation

### POLICYHOLDERS CAN SEND REQUESTED INFORMATION BY:

- Regular Mail (USPS, UPS, FedEx, Etc.)
- Fax (888) 831-2884
- E-mail (sam@case-audit.com)

**WWW.CASE-AUDIT.COM**



**Improve audit results & services**

**Reduce overall audit costs**

**Improve both underwriter & policyholder satisfaction**

**Get summary & "sample" audit support documentation**

**Maximize underwriting results**

**Capturing more accurate exposure premium**

**Improve audit cash flow**

**Increased Collectibility with Documented Support**



**WWW.CASE-AUDIT.COM**

## Beyond a Questionnaire

*CASE uses various third party sites to determine the credibility of information provided on the extensive premium audit questionnaire utilized.*

*Questions raised by conflicting information on business activities and volumes typically result in requests for more extensive documentation and policyholder dialogue.*



corporationwiki

[WWW.CASE-AUDIT.COM](http://WWW.CASE-AUDIT.COM)

# CASE



## PREMIUM AUDIT SERVICES

## Why CASE Over Other Audit Companies?

**Policyholder Convenience** - no scheduling or need for an invasive auditor visit to the policyholder's office. Documents can be sent by fax/e-mail/snail mail – the policyholder chooses. Completion is possible after business hours. Field visits can be made on an exception basis to pick up or scan required documentation for later analysis.

**Centralized Consistency and Experience** - All analyses and reviews are performed at our central office. As a result there are no methodology differences between audits, nor bias or pressure from agent/policyholder affecting outcomes. Furthermore, the consistency helps to reduce or eliminate field auditor mistakes. All files are reviewed by a 29 year underwriting professional.

**Supporting Documents to "Bullet Proof" Audits** - All CASE audits require some form of third party documents to benchmark and validate policyholder volunteered information. All third party and volunteered documents are available in a few keystrokes via the CASE web secure

system. Although audits may be contested, they are far less likely to see substantial adjustment without contradicting documentation and logical explanation after the fact.

**Success Based Fee System/Auto Caps** - CASE audit doesn't charge for audits not complete enough to meet standards. No "Forced Audit" charges. Further, any audits exceeding agreed upon caps are subject to a proven exception process to avoid excessive fees on large or complicated audits.

**Transparency** - "24/7 electronic company access to all audit documents"

**Call Us Today**  
**(866) 529-0850**

8-5pm Pacific Standard Time

[WWW.CASE-AUDIT.COM](http://WWW.CASE-AUDIT.COM)