

Statewide Grievance Committee Random Audit Questionnaire

Random Audit # _____

PLEASE ANSWER THE FOLLOWING QUESTIONS AND IMMEDIATELY RETURN THE COMPLETED QUESTIONNAIRE WITH THE NOTICE OF RANDOM AUDIT OPTION TO THE STATEWIDE GRIEVANCE COMMITTEE BY FAX AT 860-568-4953.

<p>1. Nature of Law Practice _____ Phone number _____</p>	<p>7. After you received our notice of audit, did you create any records that were not previously maintained? Yes / No</p>												
<p>2. On average, for a given month, please advise; a.) The number of checks written _____ b.) Deposits made _____ c.) Wires in/out _____ d.) Debits made _____</p>	<p>8. If the answer to question 7 is yes, describe which records were prepared, when and by whom.</p>												
<p>3. With regard to the randomly selected Trust Account, what records are currently maintained?</p> <table border="0"> <tr> <td>Trust Checkbook</td> <td>Yes / No</td> </tr> <tr> <td>Trust Disbursement Book</td> <td>Yes / No</td> </tr> <tr> <td>Individual Client Ledger Sheets</td> <td>Yes / No</td> </tr> <tr> <td>Deposit Slips</td> <td>Yes / No</td> </tr> <tr> <td>Trust Receipts Book</td> <td>Yes / No</td> </tr> <tr> <td>Bank Reconciliation</td> <td>Yes / No</td> </tr> </table>	Trust Checkbook	Yes / No	Trust Disbursement Book	Yes / No	Individual Client Ledger Sheets	Yes / No	Deposit Slips	Yes / No	Trust Receipts Book	Yes / No	Bank Reconciliation	Yes / No	<p>9. Are legal fees withdrawn from the Trust Account when they are earned? Yes / No If not, please explain.</p>
Trust Checkbook	Yes / No												
Trust Disbursement Book	Yes / No												
Individual Client Ledger Sheets	Yes / No												
Deposit Slips	Yes / No												
Trust Receipts Book	Yes / No												
Bank Reconciliation	Yes / No												
<p>4. Has a signature stamp ever been used for any of the trust accounts? Yes / No</p>	<p>10. If you use a computer accounting program, please specify which program is used.</p>												
<p>5. Do you employ personnel for record keeping duties? Yes / No If so, please explain their responsibilities in regard to the Trust Account.</p>	<p>11. If applicable, how are electronic transfers from the Trust Account initiated?</p>												
<p>6. Are the Trust Account Reconciliations reviewed by an attorney in your office? Yes / No Are the Trust Account Reconciliations reviewed by a staff person? Yes / No If so, by whom and how frequent is the review?</p>	<p>12. Where is the financial data stored and for how long?</p>												

Note: If you need more space please write your answers on a separate sheet of paper and attach them with the questionnaire.