



Pipsa

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Pipsa

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Part



1 Important Set Up Notes

In order to use *Pipsa* fully please read the following topics, as applicable, to ensure that your set up is fully functional.

Pipsa Windows XP Theme

Windows Help file for Windows 7 users

1.1 Pipsa Windows XP Theme

In order to give a fresh visual resolution. *Pipsa* was developed using a Microsoft Windows XP customised Theme.

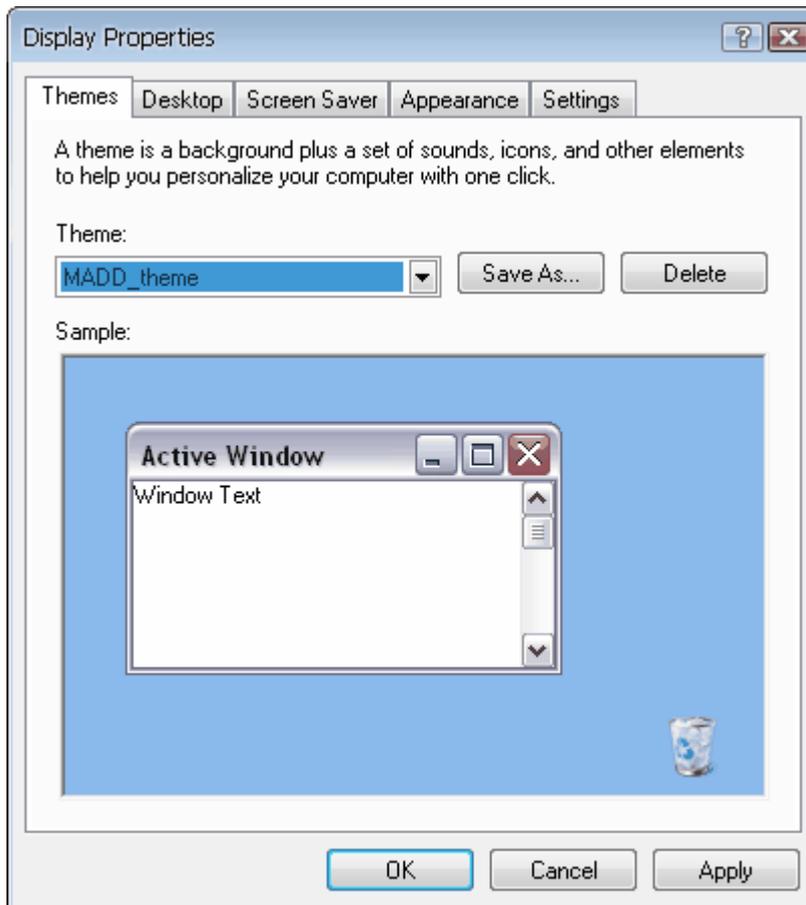
If your screens do not display correctly you will need to activate this theme. To do this you should double click the file included with your installation. This is found on the installation CD or in the directory in which you downloaded *Pipsa*

The file is called : **Pipsa_theme**

First locate the file.

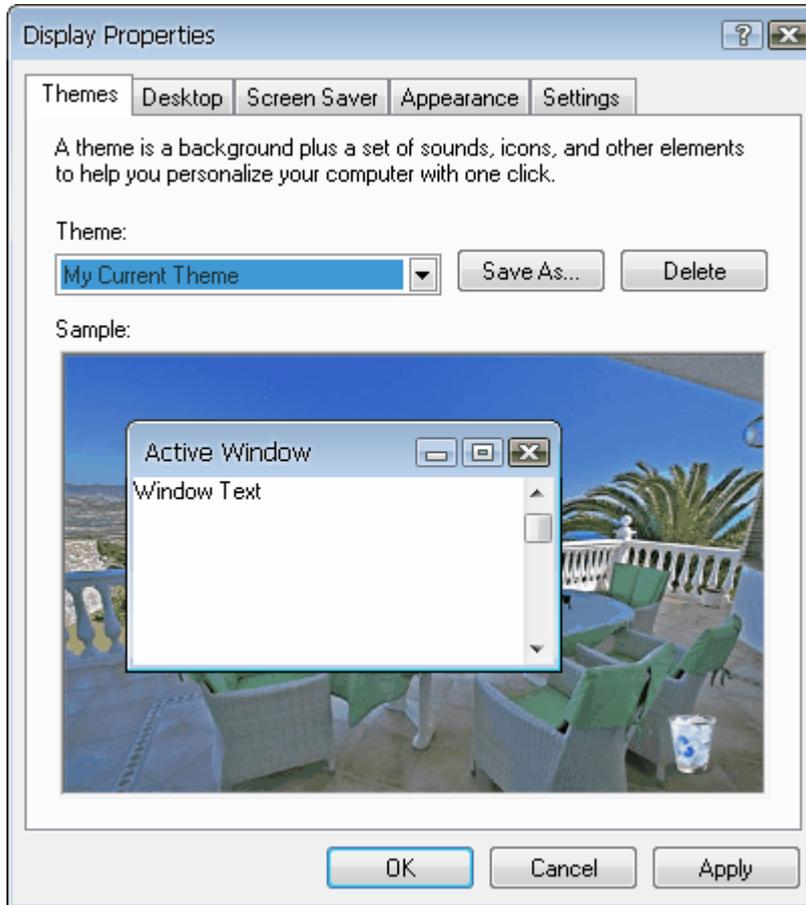
Name	Size	Type	Date Modified	Date Created
PipsaSetup.exe	38,291 KB	Application	08/10/2014 21:40	09/10/2014 12:17
Pipsa User Guide.pdf	5,971 KB	Adobe Acroba...	08/10/2014 23:17	09/10/2014 12:18
Pipsa_theme.Theme	6 KB	Windows The...	30/06/2008 15:28	09/10/2014 12:18

Then double click on it. The following screen will appear.



Click the **Apply** button . A Windows message will appear briefly and the theme is now active. You should click the **OK** button to exit.

If you want to reset or change your desktop theme at any time you should right-click on your desktop screen and select **properties** to select a Theme or configure your theme using the display properties utility. Click the **Apply** button. A Windows message will appear briefly and the theme is now active. You should click the **OK** button to exit



1.2 Windows Help File for Windows 7 Users

Pipsa was developed using context sensitive help, (saves you from having to search every time you want help - it means we have put the exact help you need, related to the activity you are currently performing, at your fingertips immediately, saving you time and ensuring you get the specific help you need when you need it.(Of course our help file does have fully comprehensive searching facilities should you ever need them).

Starting with the release of Windows Vista and continuing in Windows 7, Microsoft do not ship the Windows Help program (winhlp32.hlp) as a feature of Windows. Unfortunately Microsoft will not allow third-party vendors, like ourselves, to include this file with our applications and it is needed if you wish to use our essential context sensitive help file.

In order to use our winhlp32-bit .hlp file (**highly recommended**), you must download and install the program (WinHlp32.exe) from the **Microsoft Download Center**.

This is quite simple to do and in most cases you will be prompted to do this automatically by the Windows 7 operating system the first time you click the help key when using Pipsa.

To download the required file copy and paste the link below into your internet browser.

<http://www.microsoft.com/downloads/details.aspx?FamilyID=258aa5ec-e3d9-4228-8844-008e02b32a2c&displaylang=en>

and then follow the instructions given.

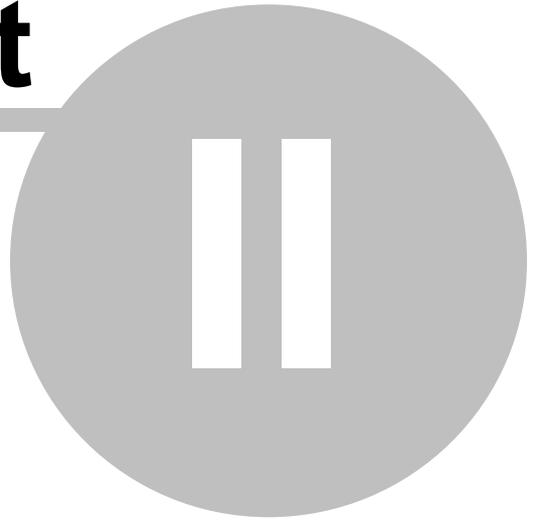
* note : There are two versions of the winhlp32.exe available for Windows 7 . Microsoft do supply instructions to determine the which version of windows 7 you are running ((**64 bit** or 32 bit(**X86**)), so please follow them to ensure you download the correct version of the winhlp32.exe file for your computer.

You only need to download and install the winhlp32.exe file ONCE.

1.3 Screen Resolution

In order to ensure that the screen resolution is the same as that used when programming the application and consequently easy to read, a check is made when you start the application. If it is not the same, the screen resolution will be dynamically set to 1024 x 768. Your resolution will be reset to your preferred resolution on exit from the application.

Part



2 Contents

2.1 Overview



Overview

Pipsa is a system specifically designed to assist you with conducting Due Diligence exercises.

Inputs

The system provides you with two main sources for recording your progress on each Due Diligence Exercise:

1. An Information Gathering Checklist which contains 104 items relating to the information and documents that need to be reviewed. Here you simply have to confirm that each item has been reviewed and is satisfactory.
2. An Information Gathering Time Sheet. Here you enter the amount of time spent on each item on the Information Gathering Checklist.

Detailed and Summary reports area available for both options above to track progress.

Reference File Maintenance

The system provides full file maintenance procedures for:

- Due Diligence Company Details – New and Existing
- VAT (Sales Tax) Rates
- Foreign Exchange Rates
- Standard Fee Rates

Reports are available for all options above

Financial Details

The system provides the following financial functions:

- Produce Invoices for Information Gathering time spent, Findings Preparation and Presentation and for expenses.
- Financial Statement for each Due Diligence Company
- Reviewing Invoices
- Recording Client Payments
- Reviewing Payments Outstanding

Company Comparison

The system provides the ability to compare the relative progress/ satisfactory position of up to 10 Companies, across 16 Due Diligence Categories.

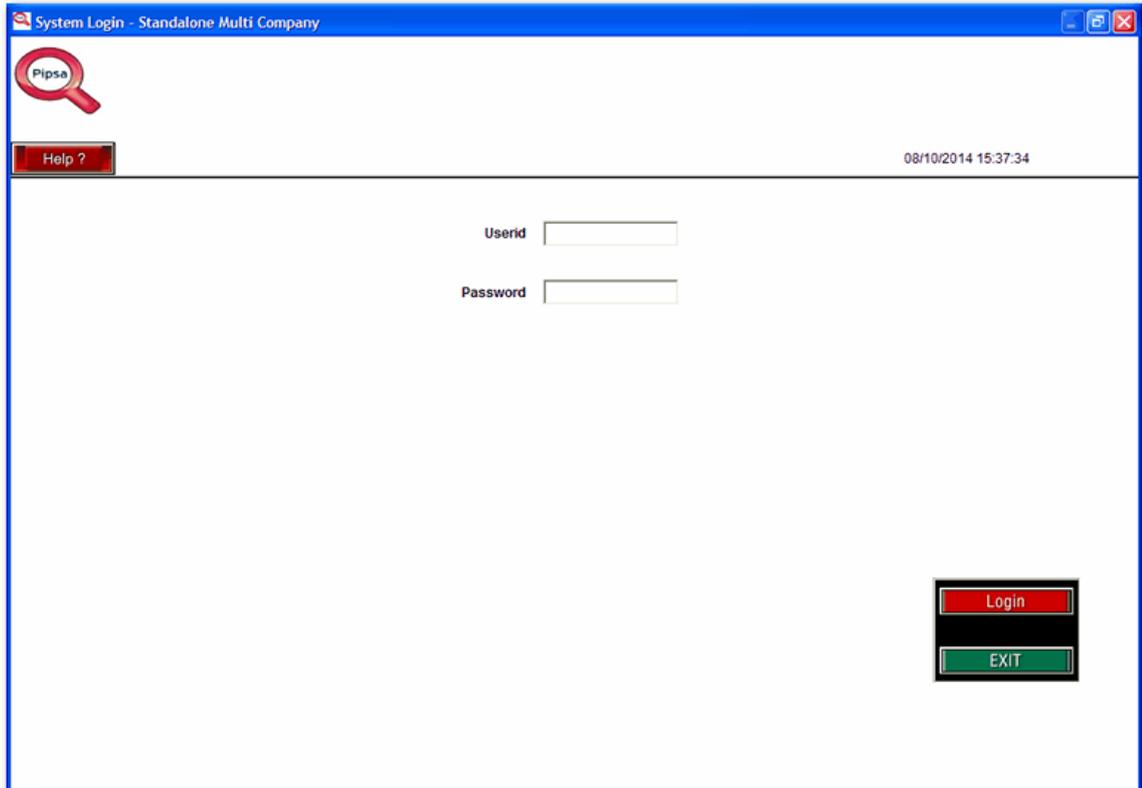
Outputs

The following reports and documents are produced by the system:

- Invoices for work performed
- Information Gathering Checklist Detail
- Information Gathering Checklist Summary by Due Diligence Category
- Information Gathering Checklist Time Spent Detail
- Information Gathering Checklist Time Spent Summary by Due Diligence Category
- Blank Hardcopy Information Gathering Due Diligence Checklists
- Due diligence Company Financial Statement
- Invoice Summary
- Payments Summary
- Payments Outstanding Summary
- Payments Outstanding Summary – All Clients
- Foreign Exchange Rates
- VAT Rates
- Due Diligence Company Contact Details, Names and Addresses
- Company Comparisons (Up to 10 Companies simultaneously)

** note all documents and reports are all saved to disk in Word processor format, so that they can be reviewed when required without the need to rerun. This provides an audit trail and also negates the need to produce paper reports, unless required. These documents and reports can be accessed from within the system by use of a user friendly function. Each document and report contains the related file name and location within the footer of each page.*

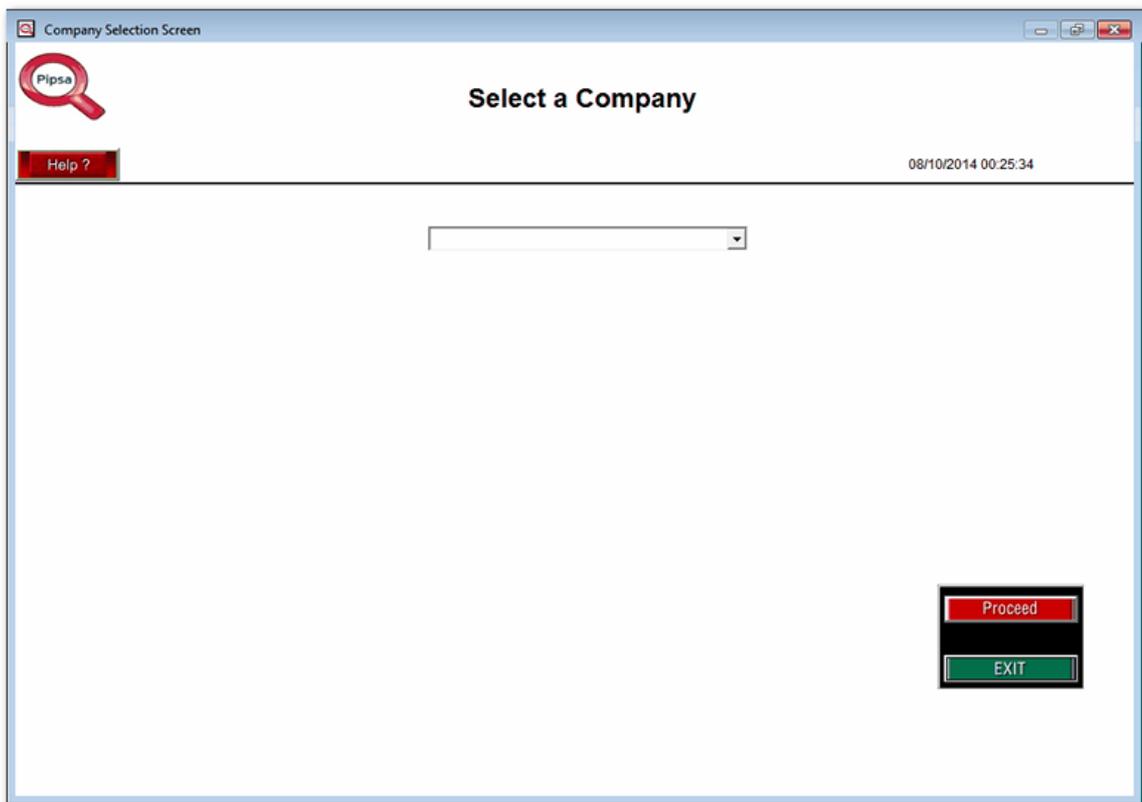
2.2 Logging In



The screenshot shows a window titled "System Login - Standalone Multi Company". The window has a blue title bar and a white background. In the top-left corner, there is a red magnifying glass icon with the word "Pipsa" inside. Below this icon is a red button labeled "Help ?". In the top-right corner, the date and time "08/10/2014 15:37:34" are displayed. The main area of the window contains two input fields: "Userid" and "Password", each with a corresponding text label to its left. In the bottom-right corner, there are two buttons: a red "Login" button and a green "EXIT" button.

Here the user must enter their USER ID and Password. Input is case sensitive. Once the correct information has been entered the user will be taken to the Company Select screen. Clicking EXIT will quit the system.

2.3 Select Company



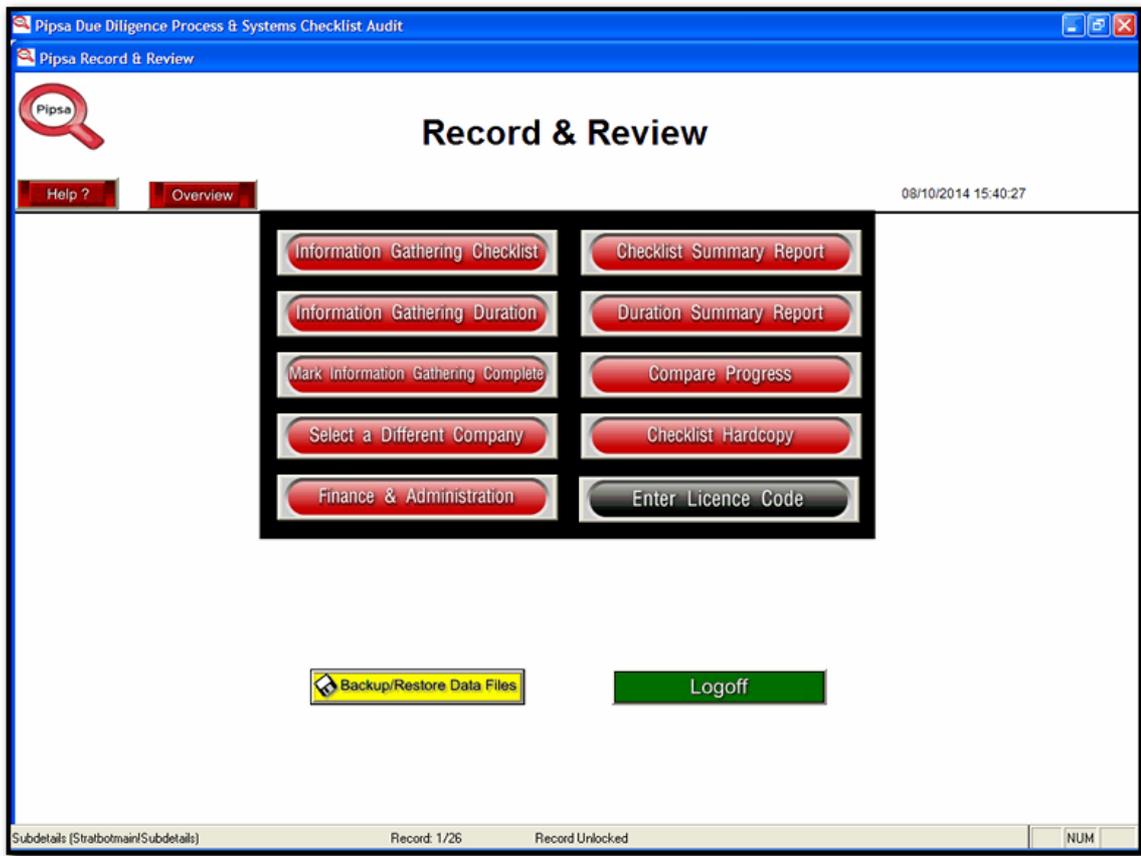
After logging you will be taken to this screen where you must select the company you wish to process from a drop down selection list.

Clicking EXIT will quit the system if selected after initial log in.

When a company has been selected you will be taken to the Control Centre

You can also select a New Company from the Control Centre.

2.4 Record & Review



This is the Control Centre of the system. Here you have access to the following options:

INFORMATION GATHERING CHECKLIST Allows you to record progress on Information Gathering.

INFORMATION GATHERING DURATION Allows you to record time spent on Information Gathering

MARK INFORMATION GATHERING COMPLETE. Allows the Information Gathering to be marked/unmarked completed.

SELECT A DIFFERENT COMPANY. Allows you to select a different company to process.

FINANCE & ADMINISTRATION. Takes you to the Finance & Administration Menu.

CHECKLIST SUMMARY REPORT. Produces a summary Progress Report on Information Gathering.

DURATION SUMMARY REPORT. Produces a summary Time Spent Report on Information Gathering.

COMPARE PROGRESS. Allows you to compare the progress of up to 10 Companies.

CHECKLIST HARDCOPY. Creates a set of blank checklist item forms.

LICENCE CODE. Allows licence code to be entered.

(Licence must be entered within a set number of days or software will cease to function)

Backup/Restore Data Files Gives access to Data Security options

Clicking Logoff will quit the system.

2.5 Information Gathering Checklist

Company & Main Contact
ACME LTD
RONALD
SHELDRICK

Due Diligence Checklist
Previously updated: 21/04/2007 21:00:35
08/10/2014 15:41:24

INFORMATION GATHERING COMPLETED

Audited and Satisfactory So Far 74%

Other Parts of Checklist to Complete

ITEMS 14-26
ITEMS 27-39
ITEMS 40-52
ITEMS 53-65
ITEMS 66-78
ITEMS 79-91
ITEMS 92-104

Logical Next

Print Checklist

001	The Company's Articles of Incorporation, and all amendments thereto.	<input checked="" type="checkbox"/>
002	The Company's Bylaws, and all amendments thereto.	<input checked="" type="checkbox"/>
003	The Company's minute book, including all minutes and resolutions of shareholders and directors, executive committees, and other governing groups.	<input checked="" type="checkbox"/>
004	The Company's Organisational chart.	<input checked="" type="checkbox"/>
005	The Company's list of shareholders and number of shares held by each.	<input checked="" type="checkbox"/>
006	Copies of agreements relating to options, voting trusts, warrants, puts, calls, subscriptions, and convertible securities.	<input checked="" type="checkbox"/>
007	A Certificate of Good Standing from Companies House	<input checked="" type="checkbox"/>
008	Copies of active status reports for the last three years.	<input checked="" type="checkbox"/>
009	A list of all countries, states where the Company is authorised to do business and annual reports for the last three years.	<input checked="" type="checkbox"/>
010	A list of all countries, states, provinces, or countries where the Company owns or leases property, maintains employees, or conducts business.	<input checked="" type="checkbox"/>
011	A list of all of the Company's assumed names and copies of registrations thereof.	<input checked="" type="checkbox"/>
012	Audited financial statements for three years, together with Auditor's Reports.	<input checked="" type="checkbox"/>
013	The most recent unaudited statements, with comparable statements to the prior year.	<input checked="" type="checkbox"/>

Please place a tick (click) in the box next to each item that you have audited and for which the outcome of that audit is satisfactory

Also place a tick (click) in any box for which the topic is not relevant to this audit

Remove ticks (click) from any box relating to items for which the outcomes are not satisfactory

EXIT

Ddquests (Stratbotmain\Ddquests) Record: 1/26 Record Unlocked NUM

This is the first screen of the 8 available and presents you with the first 13 items to be checked. The first 13 Due Diligence Checklist Items are presented and besides each is a check box. For each you must indicate if the related Information and or documents have been audited and if the outcome of that audit is satisfactory. A positive outcome is indicated by clicking (placing a tick) in the related check box. For those Due Diligence Checklist Items that have not been audited or for which the outcome is not satisfactory the check box should be left blank.

Note: If an item is not relevant to the audit, a tick should also be placed in the check box.

At the top left-hand side of the screen is a percentage indicator of progress on the audit. At the top right-hand side of the screen is a message indicating whether the Information Gathering is completed or in still in progress. If Information Gathering is completed then no further updating is allowed. see Mark Information Gathering Complete

To save the changes you have made you should click the SAVE button located at the bottom right-hand side of the screen. Clicking EXIT returns you to the Control Centre

If you wish to update other parts of the checklist you can navigate by clicking the navigation buttons on the left hand side of each screen. These allow you to proceed logically through the checklist or to jump around within it.

At the bottom left hand side of these screens is a Print Button which will allow you to review a report of the items and progress on screen and /or produce a hardcopy of them.

When the Print button is clicked you are given the option to review the report on screen or to send the output straight to disk in word processor format. (For later review) An example of this report is below:

DUE DILIGENCE CHECKLIST
ACME LTD
16 February 2011
Last updated: 21/04/07 21:00:35

AUDIT ITEM	OK ?
1 The Company's Articles of Incorporation, and all amendments thereto.	Y
2 The Company's Bylaws, and all amendments thereto.	Y
3 The Company's minute book, including all minutes and resolutions of shareholders and directors, executive committees, and other governing groups.	Y
4 The Company's Organizational chart.	Y
5 The Company's list of shareholders and number of shares held by each.	Y
6 Copies of agreements relating to options, voting trusts, warrants, puts, calls, subscriptions, and convertible securities.	Y
7 A Certificate of Good Standing from Companies House	Y
8 Copies of active status reports for the last three years.	Y
9 A list of all countries, states where the Company is authorized to do business and annual reports for the last three years.	Y
10 A list of all countries, states, provinces, or countries where the Company owns or leases property, maintains employees, or conducts business.	Y
11 A list of all of the Company's assumed names and copies of registrations thereof.	Y
12 Audited financial statements for three years, together with Auditor's Reports.	Y
13 The most recent unaudited statements, with comparable statements to the prior year.	Y

Print Preview

Page 1

Saved to Disk File Name: C:\PROGRAM FILES\MDD\MDD Documents\Checklist\still\ACM1221_51_15_2_2011 page1.rtf

Ddquests (Stratbotmain\Ddquests) Record: EOF/26 Record Unlocked NUM

A print preview button is displayed with each report reviewed on screen which allows you to produce a hardcopy of the report on your printer and to move around within the report.

At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report or when it has been saved to disk.

2.6 Information Gathering Time Spent

Pipsa Due Diligence Process & Systems Checklist Audit

Due Diligence Screen 1 - Checklist Items 1 - 13 - Record Time Spent

Company & Main Contact
 ACME LTD
 RONALD
 SHELDRIK

INFORMATION GATHERING COMPLETED

Time Recording

Previously updated: 21/04/2007 21:00:35

08/10/2014 15:43:01

Hours Mins

Item ID	Description	Hours	Mins
001	The Company's Articles of Incorporation, and all amendments thereto.	0	0
002	The Company's Bylaws, and all amendments thereto.	0	20
003	The Company's minute book, including all minutes and resolutions of shareholders and directors, executive committees, and other governing groups.	0	10
004	The Company's Organisational chart.	0	0
005	The Company's list of shareholders and number of shares held by each.	0	0
006	Copies of agreements relating to options, voting trusts, warrants, puts, calls, subscriptions, and convertible securities.	0	56
007	A Certificate of Good Standing from Companies House	0	20
008	Copies of active status reports for the last three years.	0	26
009	A list of all counties, states where the Company is authorised to do business and annual reports for the last three years.	0	30
010	A list of all counties, states, provinces, or countries where the Company owns or leases property, maintains employees, or conducts business.	0	30
011	A list of all of the Company's assumed names and copies of registrations thereof.	0	20
012	Audited financial statements for three years, together with Auditor's Reports.	0	12
013	The most recent unaudited statements, with comparable statements to the prior year.	0	0

Accrued Fees
£1,570.00

Indicates Error has been made

Please record the Total Time worked on each item

EXIT

Total Time To Date: H 10 M 28

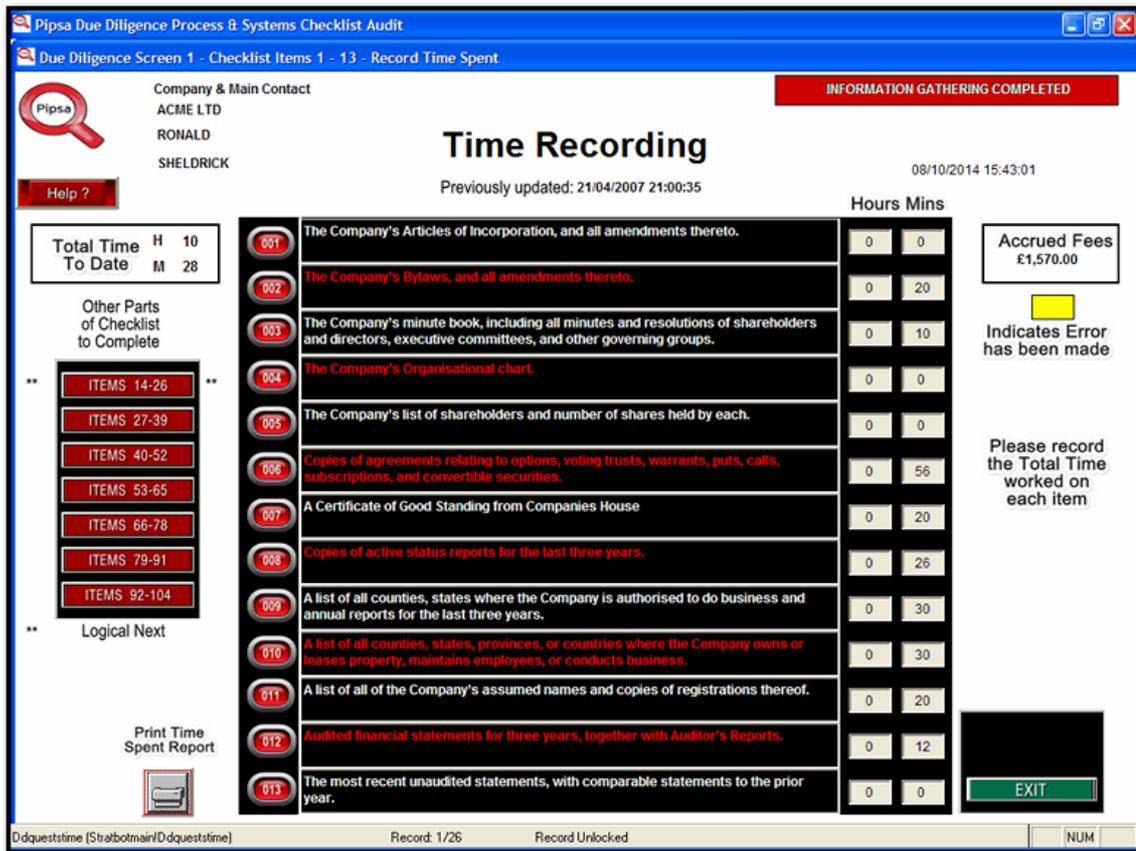
Other Parts of Checklist to Complete

- ITEMS 14-26
- ITEMS 27-39
- ITEMS 40-52
- ITEMS 53-65
- ITEMS 66-78
- ITEMS 79-91
- ITEMS 92-104

Logical Next

Print Time Spent Report

Ddquesttime [Stralbolmain\Ddquesttime] Record: 1/26 Record Unlocked NUM



This is the first screen of the 8 available and presents you with the first 13 items to be updated. The first 13 Due Diligence Checklist Items are presented and besides each are two input fields. For each you must indicate the number of hours and minutes spent gathering and verifying the related information or documents.

Note: If an item is not relevant to the audit just leave the values at 0.

At the top left-hand side of the screen is the total amount of time spent so far on the information gathering exercise is shown. Directly opposite on the right-hand side of the screen the accrued fees related to the time spent is displayed.

At the top right-hand side of the screen is a message indicating whether the Information Gathering is completed or in still in progress. If Information Gathering is completed then no further updating is allowed. see Mark Information Gathering Complete

To save the changes you have made you should click the SAVE button located at the bottom right-hand side of the screen. Clicking EXIT returns you to the Control Centre

If you wish to update other parts of the checklist you can navigate by clicking the navigation buttons on the left hand side of each screen. These allow you to proceed logically through the checklist or to jump around within it.

At the bottom left hand side of these screens is a Print Button which will allow you to review a report of the Time Spent on Information Gathering on screen and /or produce a hardcopy of it.

When the Print button is clicked you are given the option to review the report on screen or to send the output straight to disk in word processor format. (For later review)

An example of this report is below:

Mergers & Acquisitions Due Diligence
Report Designer - ddquests01time.fx - Page 1

DUE DILIGENCE CHECKLIST TIME SPENT
16 February 2011
ACME LTD
Last updated: 21/04/07 21:00:35

AUDIT ITEM	HOURS	MIN
1 The Company's Articles of Incorporation, and all amendments thereto.	0	0
2 The Company's Bylaws, and all amendments thereto.	0	20
3 The Company's minute book, including all minutes and resolutions of shareholders and directors, executive committees, and other governing groups.	0	10
4 The Company's Organizational chart.	0	0
5 The Company's list of shareholders and number of shares held by each.	0	0
6 Copies of agreements relating to options, voting trusts, warrants, puts, calls, subscriptions, and convertible securities.	0	56
7 A Certificate of Good Standing from Companies House	0	20
8 Copies of active status reports for the last three years.	0	26
9 A list of all countries, states where the Company is authorized to do business and annual reports for the last three years.	0	30
10 A list of all countries, states, provinces, or countries where the Company owns or leases property, maintains employees, or conducts business.	0	30
11 A list of all of the Company's assumed names and copies of registrations thereof.	0	20
12 Audited financial statements for three years, together with Auditor's Reports.	0	12
13 The most recent unaudited statements, with comparable statements to the prior year.	0	12

Total Time Spent: 10 hours 28 minutes Accrued Fee: £1,570.00

Print Preview

Page 1

Saved to Disk File Name: C:\PROGRAM FILES\MDD\MDD\DD\documents\Duration\etatal\ACM2225_42_46_2_2411\page1.rtf

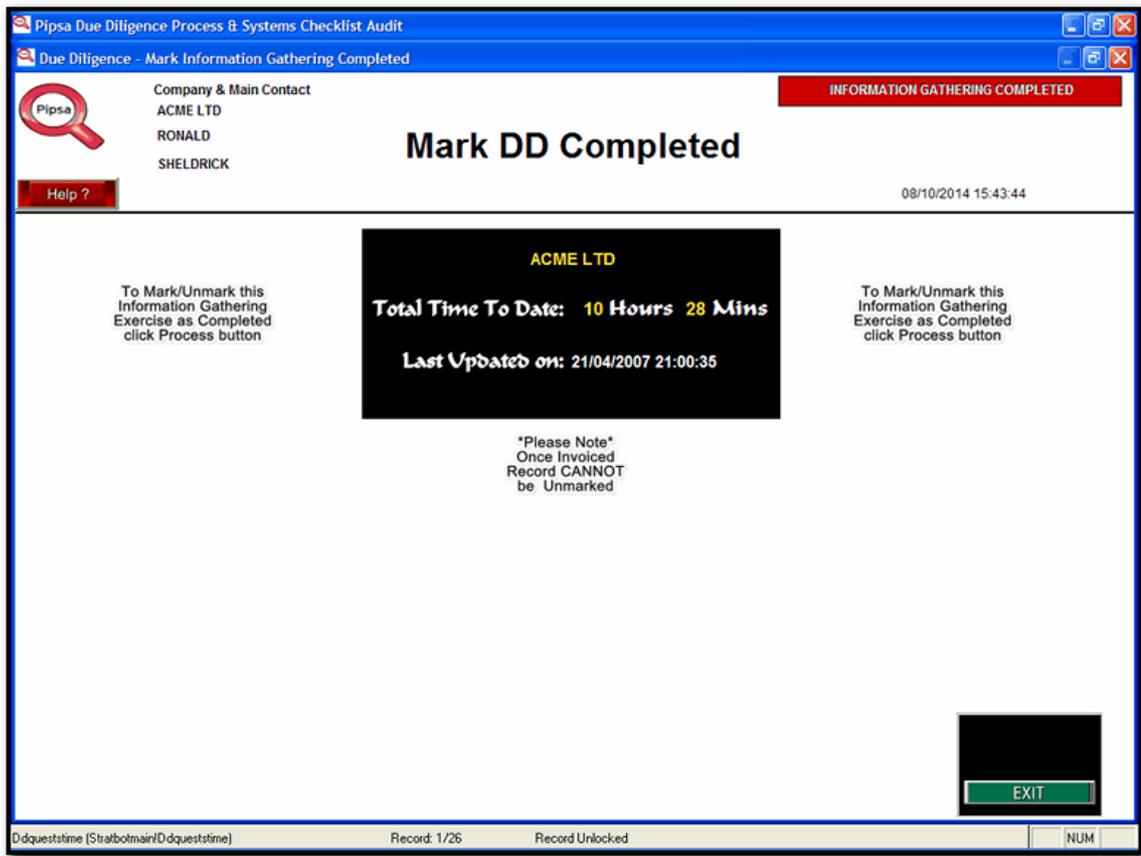
DDquests (Stratbotmain\DDquests) Record: EDF/26 Record Unlocked NUM

A print preview button is displayed with each report reviewed on screen which allows you to produce a hardcopy of the report on your printer and to move around within the report.

At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report or when it has been saved to disk.

2.7 Mark Information Gathering Complete



When you have completed gathering all the information and documents relating to the Information Gathering Checklist and you have updated progress and the time spent figures, using the relevant function, you must mark the Information Gathering process complete.

This is necessary before you can raise a client invoice for your services.

On this screen the name of the Company under Due Diligence, the Total Time Spent on Information Gathering and the date the records were last updated are displayed.

A message bar at the top right-hand side of the screen indicates the status of the Information Gathering activities. This is either "Information Gathering in Progress" or "Information Gathering Completed"

To mark the Information Gathering completed simply click the Process button at the bottom of the screen on the right-hand side. Once this is done no further changes are permitted to either the Information Gathering Checklist or the Time Spent for the company in question. The message at the top right-hand of the screen will change to reflect the amended status of the Information Gathering activities. (See below ref unmarking records)

Clicking the EXIT button will return you to the Control Centre

*Note. Should you discover that you need to amend the data for Information Gathering Checklist or Time Spent, **prior to raising an invoice**, simply revisit this function and click the Process button and the records will be unmarked, thus permitting changes to those records. Once an invoice has been raised this marking complete cannot be reversed.*

2.8 Checklist Summary Report

On selection of this option the following report is produced for the selected company and is displayed on screen.

AUDIT CHECKLIST SUMMARY
08 October 2014
ACME LTD
Last updated: 21/04/07 21:00:35

AUDIT CATEGORY	AUDIT ITEMS	AUDITED & SATISFACTORY	SATISFACTORY %
A-Organisation and Good Standing	11	11	100%
B-Financial Information	16	14	83%
C-Physical Assets	4	2	50%
D-Property	2	2	100%
E-Intellectual Property	9	7	78%
F-Employees and Employee Benefits	12	6	50%
G-Licences and Permits	2	2	100%
H-Environmental Issues	8	8	100%
I-Taxation	7	3	43%
J-Material Contracts	12	8	67%
K-Product or Service Lines	4	4	100%
L-Customer Information	9	1	11%
M-Litigation	6	6	100%
N-Insurance Coverage	2	2	100%
O-Professionals	1	1	100%
P-Articles and Publicity	1	1	100%
TOTALS	104	77	74%

Page 1
Saved to Disk File Name: C:\MAD0\IMD00\documents\Checklist Summary\DueDiligence\ChecklistSummary_ACME_1544_8_10_2014.rtf

D:\results (Stratbotmain)\D:\results Record: EOF/16 Record Unlocked NUM

The report summarises, by Due Diligence Category, the progress of Information Gathering and the percentage of satisfactory outcomes achieved.

The categories are:

A-Organisation and Good Standing
B-Financial Information
C-Physical Assets
D-Property
E-Intellectual Property
F-Employees and Employee Benefits
G-Licences and Permits
H-Environmental Issues

I-Taxation
J-Material Contracts
K-Product or Service Lines
L-Customer Information
M-Litigation
N-Insurance Coverage
O-Professionals
P-Articles and Publicity

A print preview button is displayed with each report reviewed onscreen which allows you to produce a hardcopy of the report on your printer and to move around within the report.

At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report

On exiting the report you will be returned to the Control Centre

2.9 Duration Summary Report

On selection of this option the following report is produced for the selected company and is displayed on screen.

AUDIT CHECKLIST TIME SUMMARY
 08 October 2014
 ACME LTD
 Last updated: 21/04/07 21:00:35

AUDIT CATEGORY	HOURS	MINS
A-Organization and Good Standing	3	32
B-Financial Information	2	2
C-Physical Assets	0	0
D-Property	0	40
E-Intellectual Property	0	20
F-Employees and Employee Benefits	1	0
G-Licenses and Permits	0	0
H-Environmental Issues	0	10
I-Taxation	0	56
J-Material Contracts	0	18
K-Product or Service Lines	0	20
L-Customer Information	1	10
M-Litigation	0	0
N-Insurance Coverage	0	0
O-Professionals	0	0
P-Articles and Publicity	0	0
TOTALS	10	28

Accrued Fees To Date: £1,570.00

Page 1
 Saved to Disk File Name: C:\MAD0\IMD00\documents\DurationSummary\DueDiligenceChecklistTimeSummary_ACME_1546_8_10_2014.rtf

D:\results (Stratbotmain)\D:\results Record: EOF/16 Record Unlocked NUM

The report summarises, by Due Diligence Category, the time spent Information Gathering. (Hours & Minutes)

The categories are:

A-Organisation and Good Standing
B-Financial Information
C-Physical Assets
D-Property
E-Intellectual Property
F-Employees and Employee Benefits
G-Licenses and Permits
H-Environmental Issues

I-Taxation
J-Material Contracts
K-Product or Service Lines
L-Customer Information
M-Litigation
N-Insurance Coverage
O-Professionals
P-Articles and Publicity

A print preview button is displayed with each report reviewed on screen which allows you to produce a hardcopy of the report on your printer and to move around within the report.

At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report or when it has been saved to disk. On exiting the report you will be returned to the Control Centre.

2.10 Compare Progress

This function allows you to compare the relative progress and satisfactory outcomes of up to 10 companies. On selection of this option the following screen appears:

Here you can select up to 10 companies to compare by selecting them from the drop down pick lists. To run the comparison click the Proceed button at the bottom of the screen on the right-hand side. The following report is displayed on screen which shows the relative satisfactory percentage for each of the selected companies against each of the Due Diligence categories.

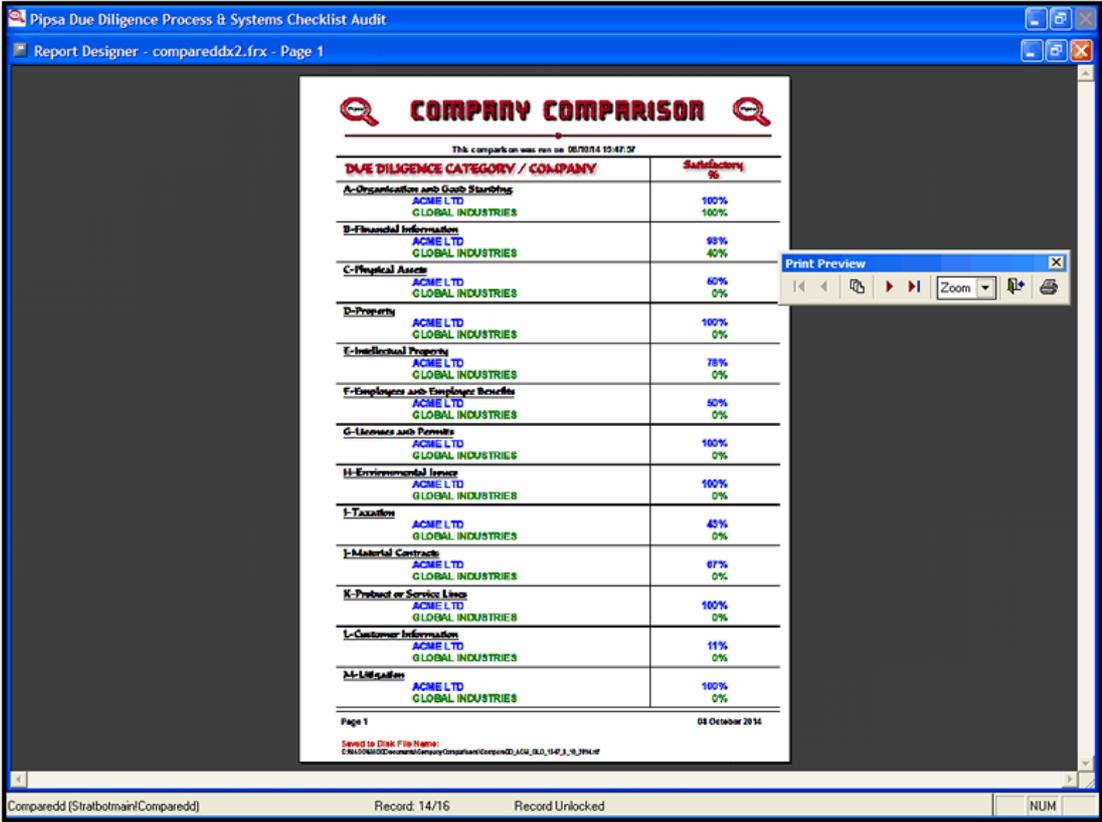
The categories are:

A-Organisation and Good Standing
 B-Financial Information
 C-Physical Assets
 D-Property
 E-Intellectual Property
 F-Employees and Employee Benefits
 G-Licenses and Permits
 H-Environmental Issues

I-Taxation
 J-Material Contracts
 K-Product or Service Lines
 L-Customer Information
 M-Litigation
 N-Insurance Coverage
 O-Professionals
 P-Articles and Publicity

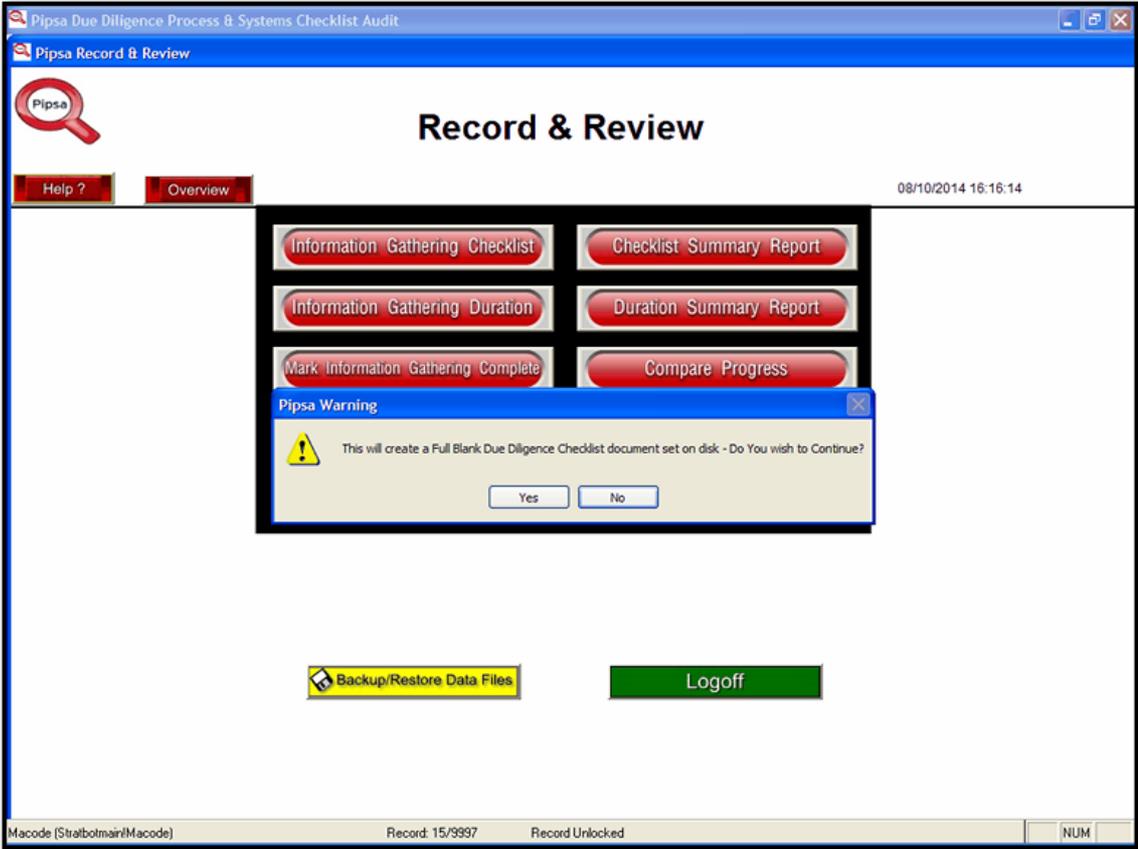
The report includes a summary page at the end.

Clicking the EXIT button will return you to the Control Centre.

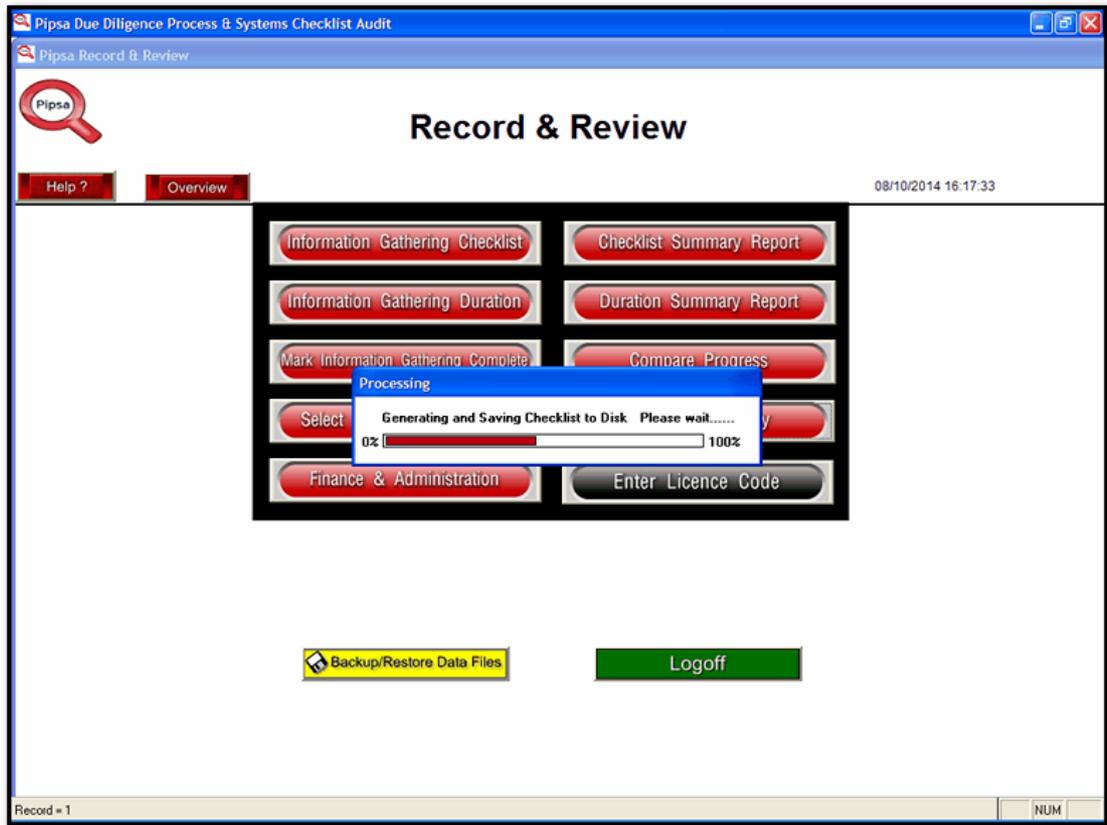


2.11 Checklist Hardcopy

This option is used to create a Blank Information Gathering Checklist set on disk, in word processor format, which can be printed out as required and used on site to manually record progress and time spent on Information Gathering activities.



On selecting this option a message appears asking if you wish to continue. If you reply yes the following status bar appears:



The status bar indicates the progress on creating and saving the document set to disk.

When the documents have been created and saved to disk a message appears instructing you how to access (for review or printing) these documents.



The Control Centre Menu is then re-displayed

An example document is below:

due diligence checklist_page1.rtf (Preview) - Microsoft Word

File Edit View Insert Format Tools Table Window Help

Type a question for help

76%

Close

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29

MADD **DUE DILIGENCE CHECKLIST** **MADD**

Date:..... Company:..... Completed by:.....

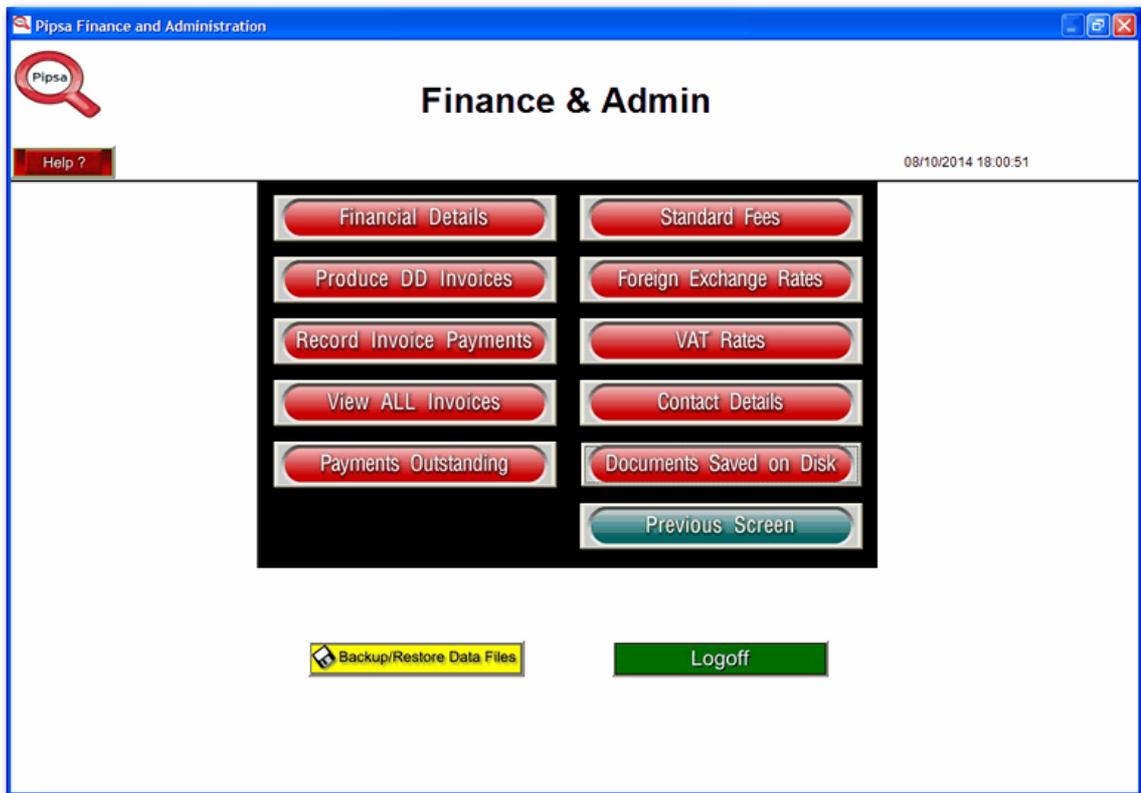
AUDIT ITEM	HOURS	MIN	OK ?
1 The Company's Articles of Incorporation, and all amendments thereto.			<input type="checkbox"/>
2 The Company's Bylaws, and all amendments thereto.			<input type="checkbox"/>
3 The Company's minute book, including all minutes and resolutions of shareholders and directors, executive committees, and other governing groups.			<input type="checkbox"/>
4 The Company's Organizational chart.			<input type="checkbox"/>
5 The Company's list of shareholders and number of shares held by each.			<input type="checkbox"/>
6 Copies of agreements relating to options, voting trusts, warrants, puts, calls, subscriptions, and convertible securities.			<input type="checkbox"/>
7 A Certificate of Good Standing from Company's Home			<input type="checkbox"/>
8 Copies of active status reports for the last three years.			<input type="checkbox"/>
9 A list of all countries, states where the Company is authorized to do business and annual reports for the last three years.			<input type="checkbox"/>
10 A list of all countries, states, provinces, or countries where the Company owns or leases property, maintains employees, or conducts business.			<input type="checkbox"/>
11 A list of all of the Company's associated names and copies of registrations thereof.			<input type="checkbox"/>
12 Auditor's financial statements for three years, together with Auditor's Reports.			<input type="checkbox"/>
13 The most recent un-audited statements, with comparable statements to the prior year.			<input type="checkbox"/>

Please record, against each item above, the time spent on information gathering and if the information gathered is satisfactory.

Page 1

Page 1 Sec 1 1/1 At 0.3cm Ln 1 Col 1 REC TRK EXT OVR English (U.S)

2.12 Finance and Administration Menu



This is the Finance and Administration Menu. Here you have access to the following options:

FINANCIAL DETAILS. Displays the Financial Details for the selected client.

PRODUCE DD INVOICES. Accesses the Invoice Generation function.

RECORD INVOICE PAYMENTS. Accesses the Invoice Payments function.

VIEW ALL INVOICES. Displays location of ALL the invoices that are saved on disk in word processor format.

PAYMENTS OUTSTANDING. Generates a report of ALL outstanding payments for ALL Companies.

STANDARD FEES. Accesses the Standard fees maintenance function.

FOREIGN EXCHANGE RATES. Accesses the Foreign Exchange Rates Maintenance function.

VAT RATES. Accesses the VAT Rates Maintenance function.

CONTACT DETAILS. Accesses the CONTACT DETAILS MENU.

DOCUMENTS SAVED ON DISK. Displays the locations of all DD reports and documents saved on disk.

PREVIOUS SCREEN. Returns you to the Control Centre Menu.

2.13 Financial Details



Here you are presented with a Financial Summary for the currently selected company.

The following are displayed:

- Company Number (account number)
- Industry
- Date Added (to file)
- VAT (Sales Tax) Code
- Base Currency
- Any Discount Given
- Date of Invoice
- Total Invoiced (Excluding VAT) To Date
- Total VAT
- Total Invoiced (Including VAT)
- Total Paid To Date
- Amount Of Payments Outstanding
- The client who commissioned the Due Diligence Exercise

At the bottom of the screen are 5 buttons:

DETAILS .Produces a Financial Statement Report for the selected company.

INVOICES. Produces an Invoice Summary Report.

PAYMENTS. Produces a Payment Summary Report.

OWED. Produces a Payments Outstanding Report.

EXIT. Returns you to the Finance and Administration Menu

2.14 Financial Details Statement

ACME LTD

Address: 1 BRDBROOK COTTAGES, Parsonage Farm Lane, Great Sampford, ESSEX, CB90 2RR, United Kingdom

Industry: Management Consultancy
Company No: 1
Address: 20/0006
Prefered Contact By: EMMIL

W004109
www.acme.co.uk
Main Switchboard
01795566889

Base Currency	£	GBP	Total Invoiced to date (excl VAT)	£4,604.00
VAT (Sales Tax) Code (%)	1 -	20.00%	VAT to date (Sales Tax)	£805.70
Discount Given (%)		0.00%	Total Invoiced to date (incl VAT)	£5,409.70
Date of last Invoice		21/04/07	Total Paid to date	£5,409.70
			Payments Outstanding	

This Due Diligence exercise was commissioned by:
VC LTD

Page 1
08 October 2014
Saved to Disk File Name: C:\MAD01\MAD00 documents\Company Statements\Financial Details_ACM_182_8_10_2014.tif

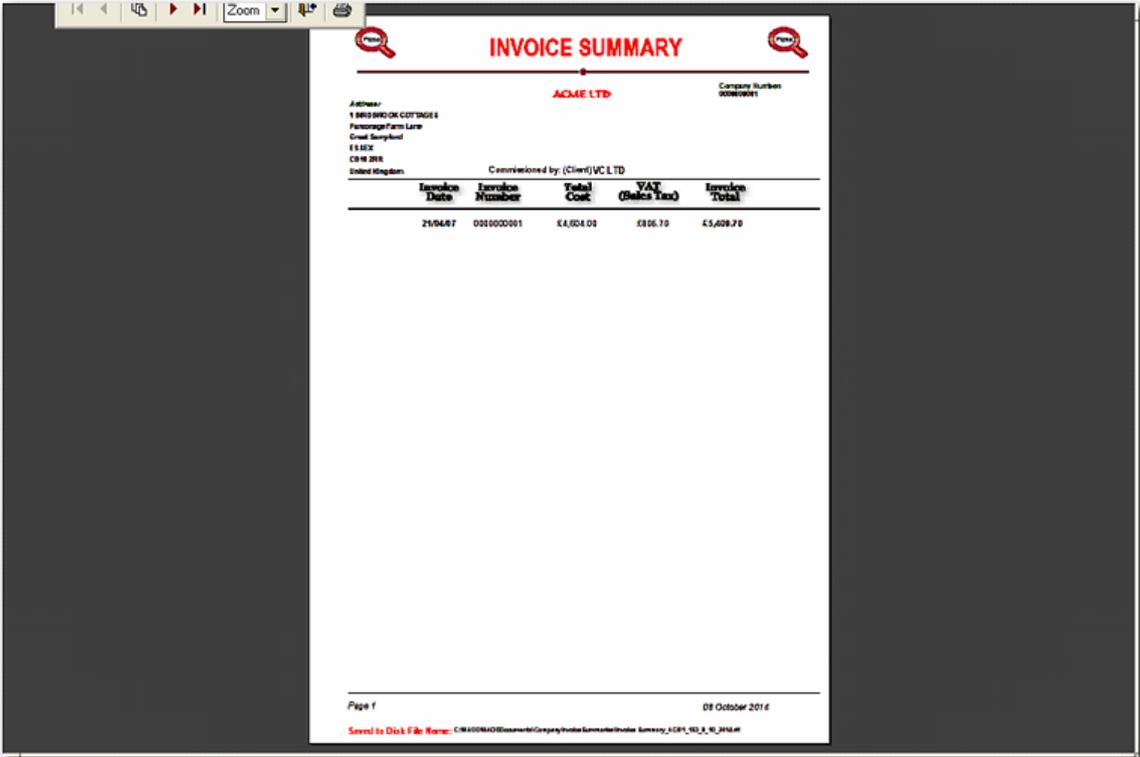
Subdetails (Stratbotmain\Subdetails) Record: EOF/26 Record Unlocked NUM

This report is the Financial Statement for the selected company.

At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report. On exiting the report you will be returned to the Financial Details screen.

2.15 Financial Details - Invoices



At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report

On exiting the report you will be returned to the Financial Details screen

2.16 Financial Details - Payments

PAYMENTS SUMMARY

ACME LTD Customer Number: 00000001

Address:
 1 BRIDGON COTTAGE 4
 Peasage Farm Lane
 Great Swayland
 E15 5LQ
 CB10 2BB
 United Kingdom

Invoice Number	Invoice Date	Date Paid	Payment Reference	Amount Due	Amount Paid
000000001	21/04/07	21/04/07	VC Ltd Cheque 12345	£5,409.70	£5,409.70

Page 1 08 October 2014
 Saved to Disk File Name: C:\M300\40\Documents\Reports\PaymentsSummary\Payments Summary_ACM_U_2014.rpt

Stratbotmain\StrInvoices Record: EOF/5 Record Unlocked NUM

At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report

On exiting the report you will be returned to the Financial Details screen

2.18 Produce DD Invoices

Generate Invoice

08/10/2014 18:14:01

FRESHCO SUPERMARKET

Information Gathering Time:	51 H 2 M	£10,206.67
Findings Report & Presentation:	32 Hours	£6,400.00
Expenses Incurred:		£546.50
Total to Invoice:		£17,153.17

VAT will be added as appropriate

Indicates Error has been made

Calculate
Process
EXIT

This screen is used to generate an internal invoice for services performed in relation to the selected company.

* Note invoicing is only possible if the information gathering phase has been marked complete. See Mark Information Gathering Complete for details.

On this screen the Company name and the amount of time spent on Information Gathering are displayed.

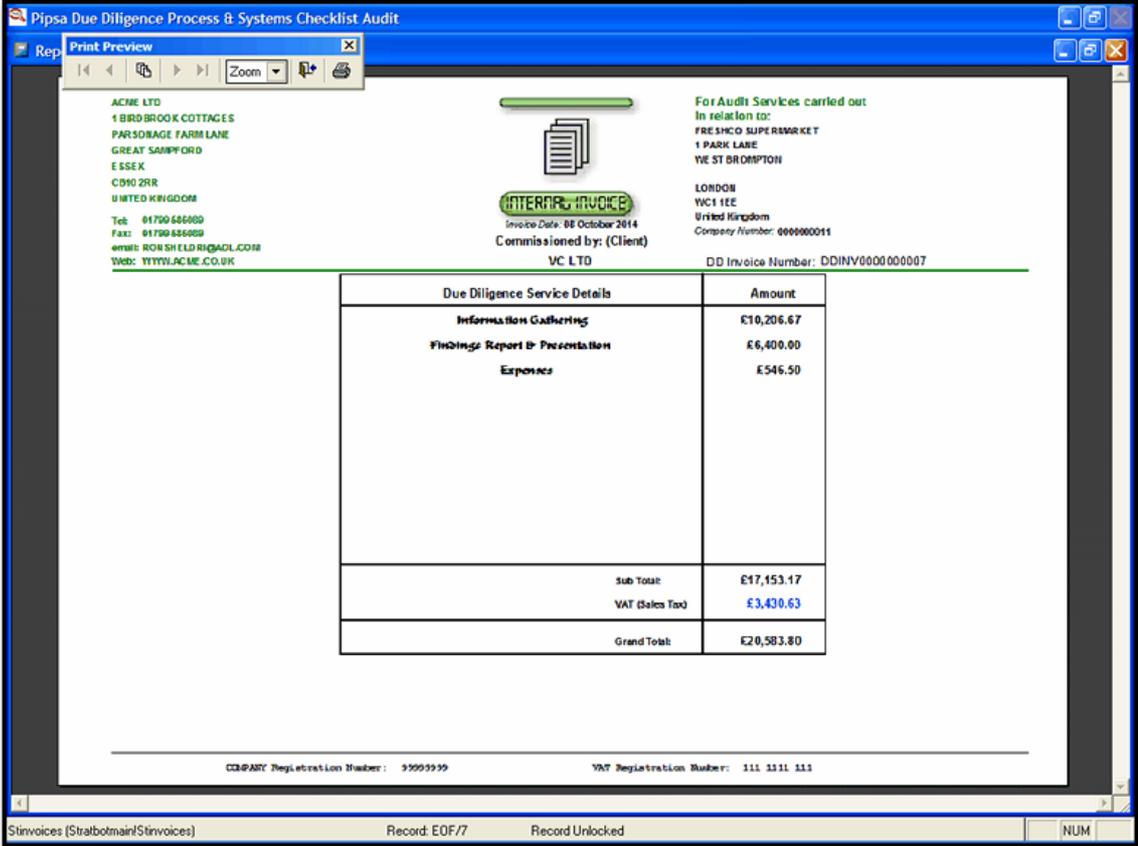
You may input the number of hours spent on the compilation of the Due Diligence findings report and any time spent presenting these findings to the client. Any expenses incurred in the execution of the Due Diligence exercise may also be entered.

When you have completed your input you should click the Calculate button located at the bottom left-hand side of the screen. The system will calculate the Total figure to invoice. (If VAT is relevant to the selected client this will be included in the invoice.)

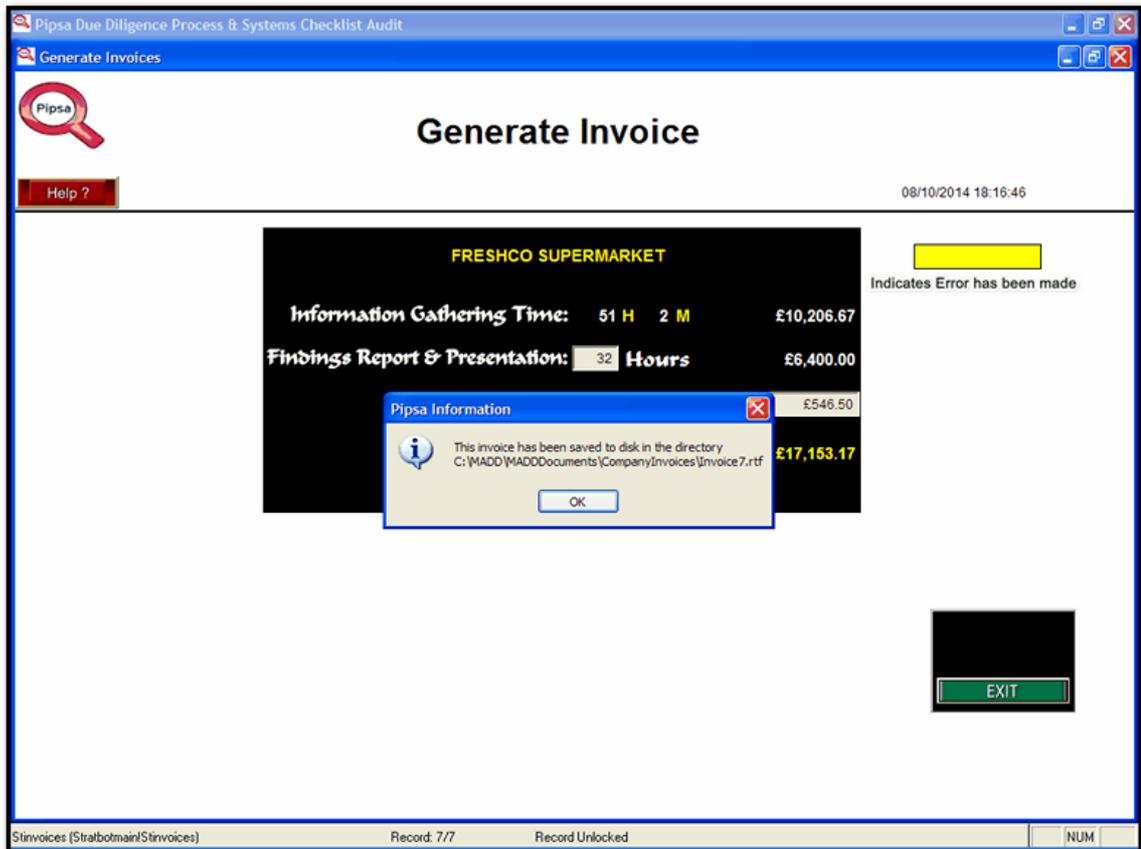
Once you have checked this figure you should click the process button.

The Invoice will then be generated and displayed on screen, where you may print a hardcopy by use of the print preview bar provided.

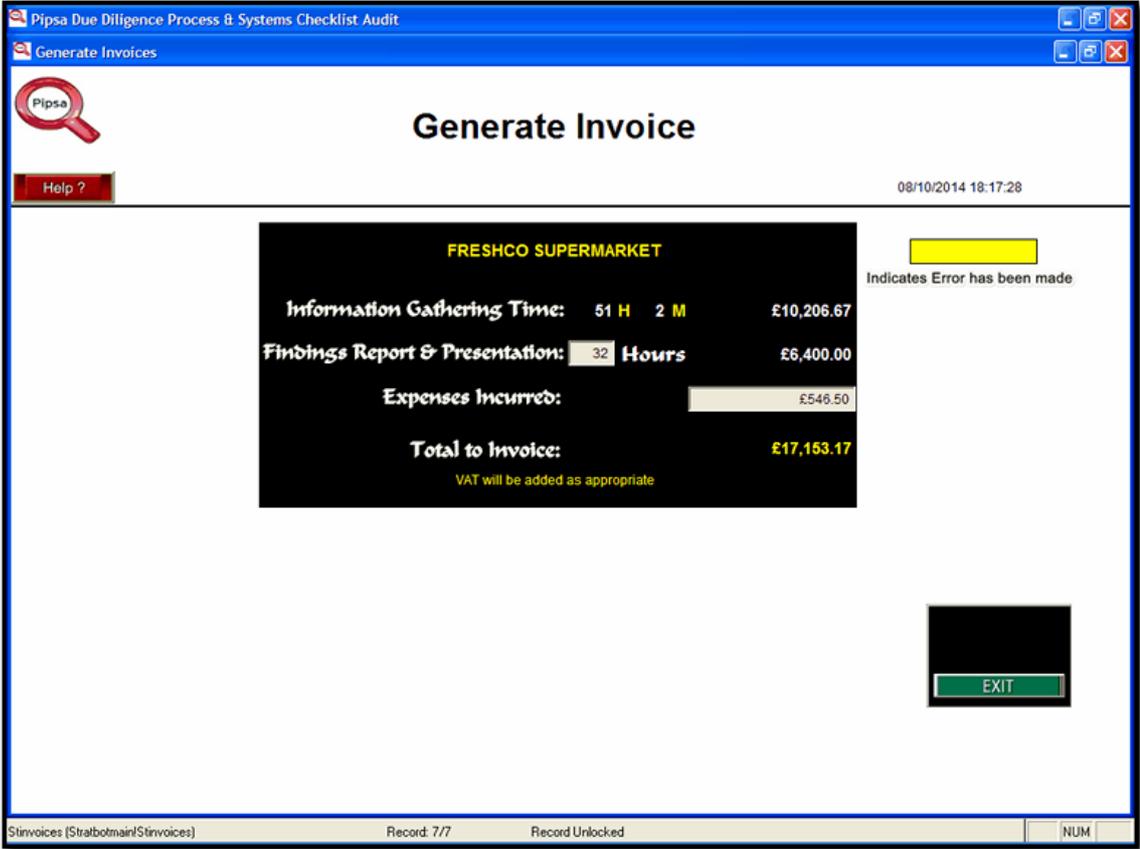
If the company has a base currency other than Sterling (GBP) the amount due in their local currency will also be displayed on the invoice, along with the exchange rate used (This is for information purposes only)



On exiting from the invoice displayed on screen the following message is displayed, which gives details of the location and name of the Invoice file saved to disk in word processor format.



You are then returned to the initial screen and should click the exit button to return to the Finance and Administration Menu.



2.19 Record Invoice Payments

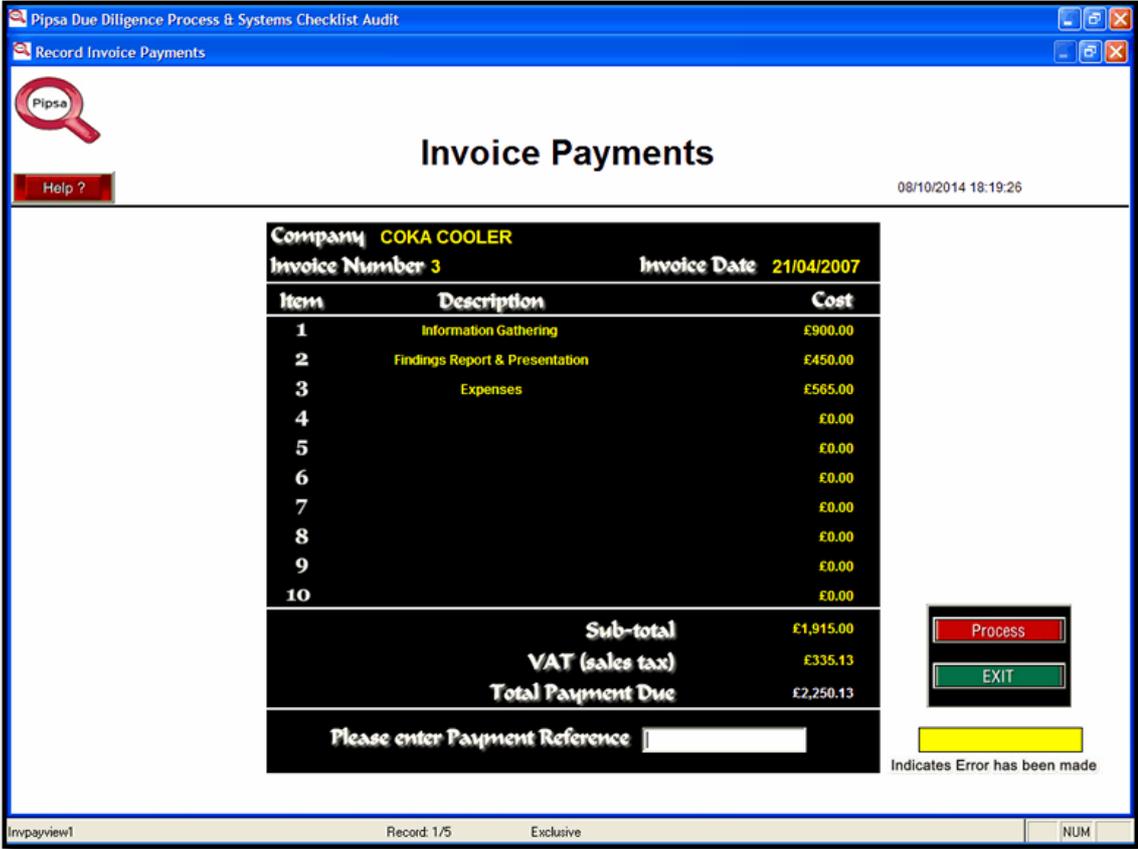
The screenshot shows a web application window titled "Pipsa Due Diligence Process & Systems Checklist Audit" with a sub-header "Record Invoice Payments". The main heading is "Invoice Payments". A "Help ?" button is in the top left, and the timestamp "08/10/2014 18:18:55" is in the top right. A central black box contains a "Select Invoice" dropdown menu with the value "3", "Invoice Date" "21/04/2007", and "Company" "COKA COOLER". To the left of this box is the instruction: "Please Select the Invoice that you require from the list provided". To the right is a yellow error box with the text "Indicates Error has been made". At the bottom right are "Select" and "EXIT" buttons. The status bar at the bottom shows "Invpayview1", "Record: 1/5", "Exclusive", and a "NUM" field.

Here you can record payments made against invoices. You must select the invoice to process from a drop down list. This list only contains Invoices that are unpaid.

The Invoice Date and Company are displayed. If you wish to return to the Finance and Administration Menu you should click the Exit button

If you wish to record the payment of the Invoice your should click the Select button.

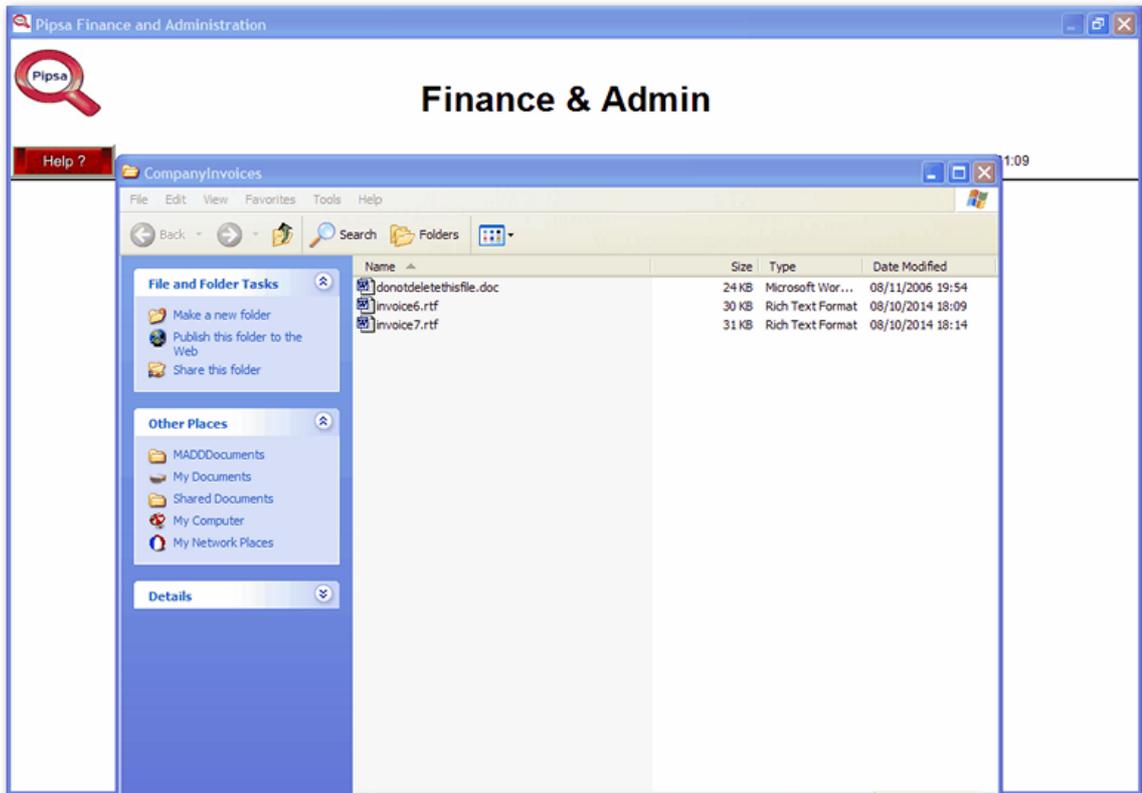
The following screen is displayed:



Here the details of the selected invoice are displayed for reference. You should enter a payment reference and then click the Process button to confirm payment. Clicking the Exit button will return you to the Finance and Administration Menu.

2.20 View ALL Invoices

On selection of this option a pop-up window appears and provides a directory listing of all the Invoice files saved on disk. By double-clicking on a file, the file will be opened for review using your default word processing package.



This pop-up window can be closed by clicking File, then Close from the Menu options at the top of the pop-up window.

2.21 Payments Outstanding

Company	Invoice Date	Invoice Number	Amount Outstanding
DRUGSIPS PLC <small>This Audit was commissioned by: VC LTD</small>	21/04/17	000010004	£9,509.55
BRAND FOOD PLC <small>This Audit was commissioned by: VC LTD</small>	15/02/11	000000005	£4,269.89
JAGBAR <small>This Audit was commissioned by: VC LTD</small>	08/10/14	000000006	£18,588.08
FRESHCO SUPERMARKET <small>This Audit was commissioned by: VC LTD</small>	08/10/14	000010007	£28,583.88

Page 1
08 October 2014
Saved to Disk File Name: C:\MSD\MSD\Documents\Create\Outstanding\Payments\Payments Outstanding Summary 11

Strinvoices (Stralbotmain\Strinvoices) Record: EOF/7 Record Unlocked NUM

This report identifies ALL the payments outstanding.

At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report

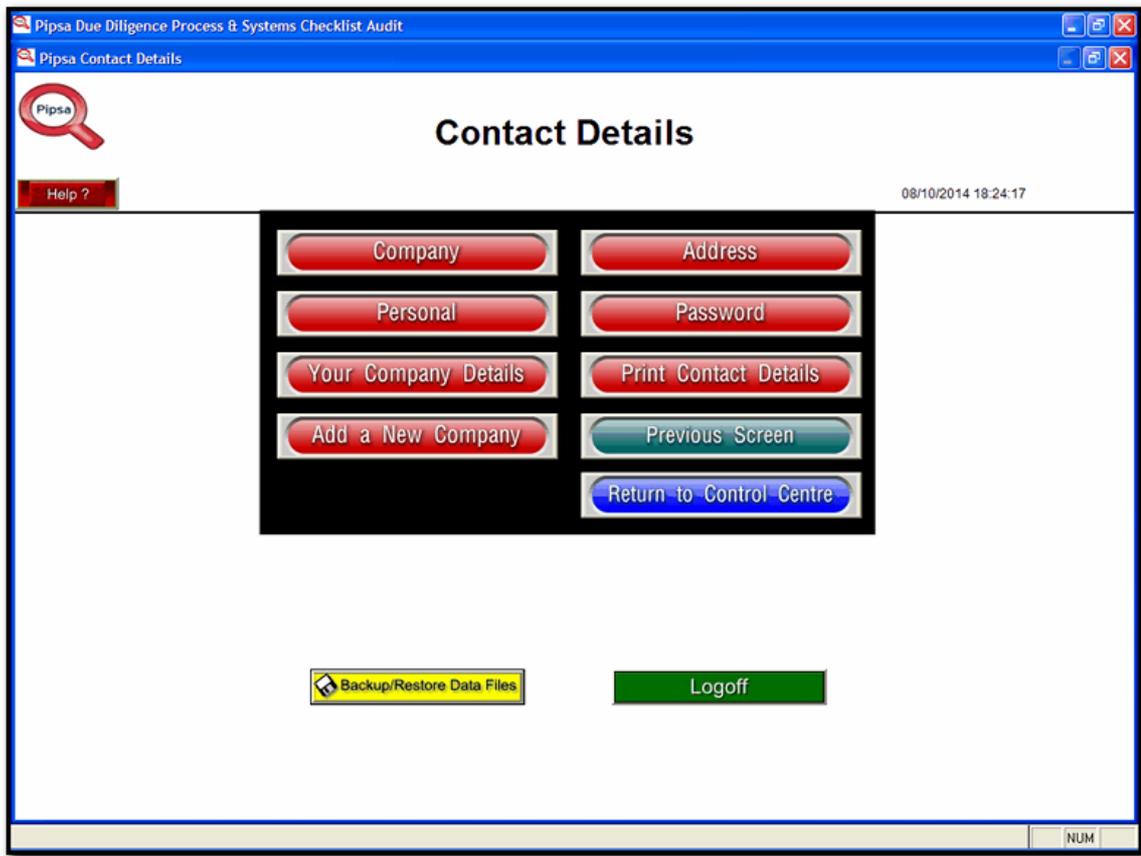
On exiting the report you will be returned to the Finance and Administration Menu.

2.22 Standard Fees

The screenshot shows a software window titled "Pipsa Due Diligence Process & Systems Checklist Audit" with a sub-window "Update Standard Service Charges". The main heading is "Hourly Fee Rate". A "Help ?" button is in the top left. The text "Previously updated on:" is followed by the date and time "08/10/2014 18:23:24". A central black box contains the text "Enter Hourly Fee Rate" and a text input field with the value "£200.00". To the right, a red bar is labeled "Indicates Change has been made" and a yellow bar is labeled "Indicates Error has been made". At the bottom right, there are two buttons: "UPDATE" (red) and "EXIT" (green). The status bar at the bottom shows "Stcharges (Stratbotmain/Stcharges)", "Record: 1/1", "Record Unlocked", and a "NUM" field.

Here you may update the hourly fee rate you charge clients for Due Diligence services. When you have changed the amount you should click the update button. To return to the Finance and Administration Menu click the Exit button.

2.23 Contact Details Menu



This Menu is used to maintain details of Company names, addresses and contacts.

The following options are available for selection:

COMPANY. Allows maintenance of base Due Diligence Company details.

PERSONAL. Allows maintenance of Personal Contacts for Due Diligence Company.

YOUR COMPANY DETAILS. Allows maintenance of your own company details.

ADD A NEW COMPANY. Allows a New Due diligence Company to be set up.

ADDRESS. Allows maintenance of address details for Due Diligence Company.

PASSWORD. Allows you to change your system sign on password.

PRINT CONTACT DETAILS. Produces a report of Due Diligence company contacts.

PREVIOUS SCREEN. Returns to the Finance and Administration Menu.

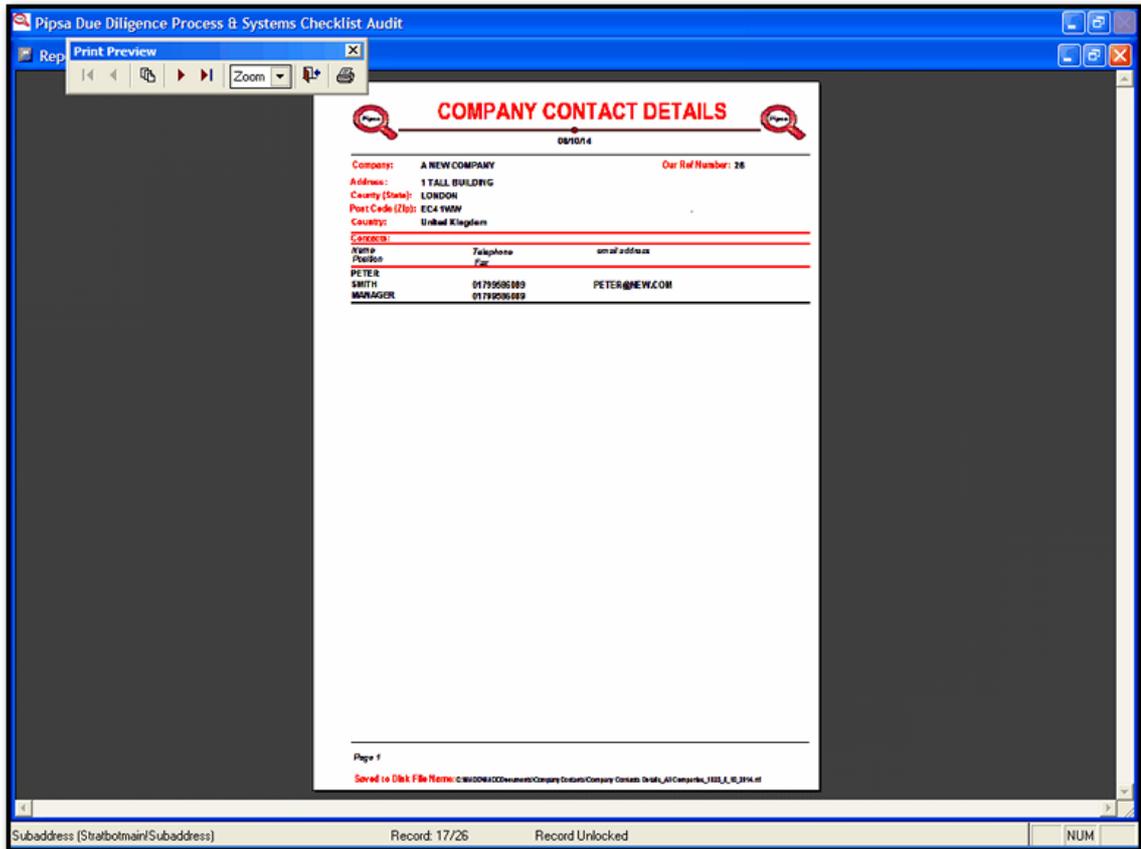
RETURN TO CONTROL CENTRE. Returns you to the Control Centre Menu.

2.24 Print Contact Details

When this option is selected you are given the option to review the report on screen or to send the output straight to disk in word processor format. (For later review)

The report contains all the Address and contact details for all Due Diligence Companies.

An example of this report is below:



A print preview button is displayed with each report reviewed on screen which allows you to produce a hardcopy of the report on your printer and to move around within the report.

At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report or when it has been saved to disk.

On exiting the report the Contact Details Menu will be re-displayed.

2.25 Your Company Details

Your Own Company Details

08/10/2014 18:26:20

Company Name	ACME LTD	Telephone Number	01799 586089
Address Line 1	1 BIRDBROOK COTTAGES	Fax Number	01799 586089
Address Line 2	PARSONAGE FARM LANE	Email Address	RONSHELDRI@AOL.COM
Address Line 3	GREAT SAMPFORD	Website Address	WWW.ACME.CO.UK
County	ESSEX	VAT Registration Number	111 1111 111
Post Code	CB10 2RR	Company Registration Number	99999999
Country	UNITED KINGDOM		

Indicates Change has been made Indicates Error has been made

UPDATE
EXIT

Stourcomp (Stralbolmain|Stourcomp) Record: 1/1 Record Unlocked NUM

This screen is used for the Maintenance of your own Company details.

You can update data in any of the following fields:

Company Name*
Address line 1*
Address line 2
Address line 3
County*
Post Code*
Country*
Telephone Number*
Fax Number*
Email address*
Website Address*
VAT Registration Number*
Company Registration Number*

* Should any of these be blank an error message will be generated and the original value will be restored to the field.

Once you have made the necessary changes you should press the Update key and the record will be updated and a message will be displayed indicating success.

When you wish to exit, you should click the Exit button and you will be returned to the Contact Details Menu.

2.26 Add a New Company

Company Setup

08/10/2014 21:56:22

Base Details

Company Name

Industry

VAT Type 0.00 %

Base Currency

Prefers Communication via

SwitchBoard Telephone

Web Site www.

Indicates Error has been made

ADD

EXIT

Subdetails (Stratbotmain\Subdetails) Record: None Record Unlocked NUM

This option allows you to add a new due Diligence company.

You must enter the Following Details:

COMPANY NAME

INDUSTRY (Selection from Drop down selection List)

VAT TYPE (Selection from Drop down selection List)

BASE CURRENCY (Selection from Drop down selection List)

DISCOUNT GIVEN (If any)

PREFERRED COMMUNICATION METHOD (Selection from Drop down selection List)

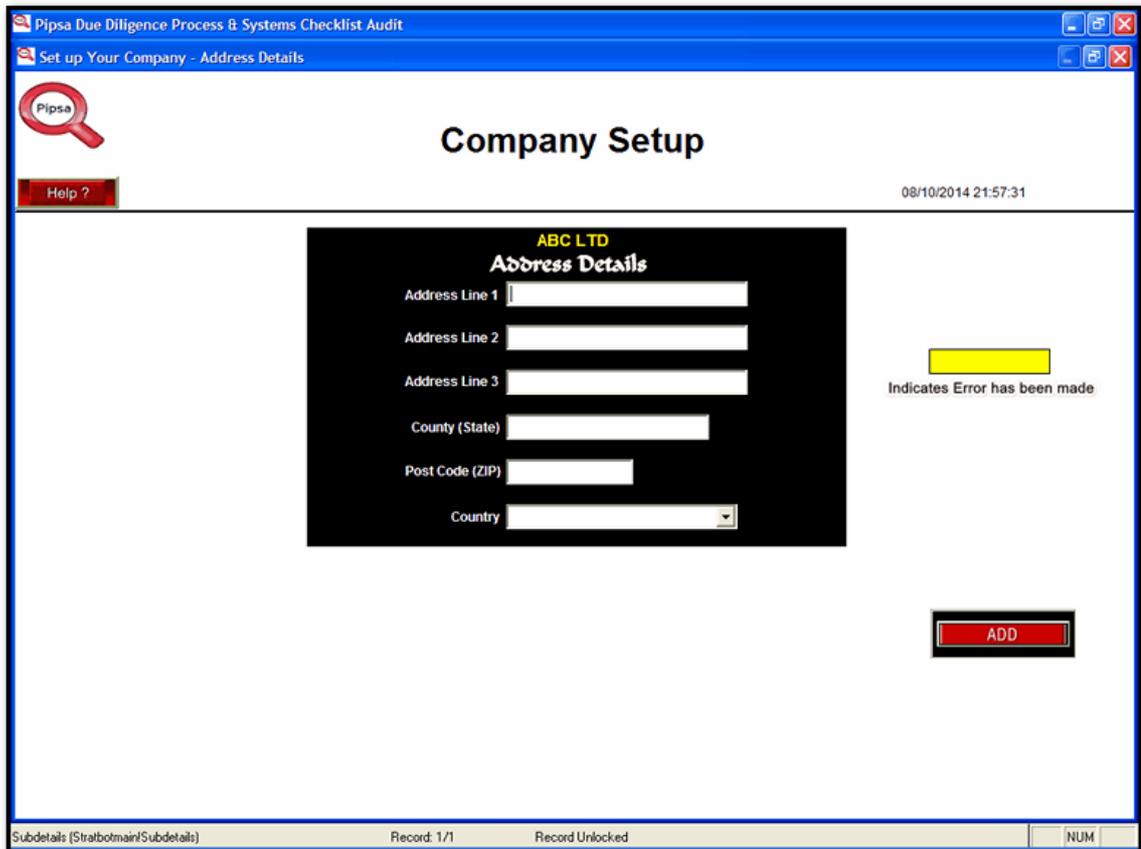
SWITCHBOARD TELEPHONE NUMBER

WEB SITE ADDRESS

CLIENT (commissioning the Due Diligence Exercise)

Clicking the Exit button returns you to the Contact Details Menu.

When input is complete you should click the Add button and the following screen will be displayed:



The screenshot shows a web application window titled "Pipsa Due Diligence Process & Systems Checklist Audit" with a sub-tab "Set up Your Company - Address Details". The main heading is "Company Setup" with a timestamp of "08/10/2014 21:57:31". A "Help ?" button is visible in the top left. The central form is for "ABC LTD" and is titled "Address Details". It contains the following fields:

- Address Line 1
- Address Line 2
- Address Line 3
- County (State)
- Post Code (ZIP)
- Country (with a dropdown arrow)

To the right of the form, there is a yellow rectangular error indicator with the text "Indicates Error has been made". Below the form is a red "ADD" button. The bottom status bar shows "Subdetails (Stratbotmain/Subdetails)", "Record: 1/1", "Record Unlocked", and a "NUM" field.

Here you must complete the ADDRESS (Location details) of the new company.

The following fields must be completed:

- ADDRESS LINE 1 (Mandatory)
- ADDRESS LINE 2
- ADDRESS LINE 3
- COUNTY (STATE) (Selection from Drop Down Selection List) (Mandatory)
- POST CODE (ZIP) (Mandatory)
- COUNTRY (Selection from Drop Down Selection List) (Mandatory)

When input is complete you should click the Add button and the following screen will be displayed:

The screenshot shows a software window titled "Pipsa Due Diligence Process & Systems Checklist Audit" with a sub-window "Setup Your Company - Contact Details". The main heading is "Company Setup". A "Help ?" button is in the top left. The date and time "08/10/2014 21:58:45" are in the top right. The central form is titled "ABC LTD Contact Details" and contains the following fields: First Name, Surname, Job Title, email address, Telephone Number, Fax Number, User ID, and Password. A yellow box next to the form indicates an error. An "ADD" button is in the bottom right. The status bar at the bottom shows "Subdetails (Stratbotmain/Subdetails)", "Record: 1/1", "Record Unlocked", and "NUM".

Here you must enter details of the main contact at the company.

The following fields must be completed:

FIRST NAME (Mandatory)
SURNAME (Mandatory)
JOB TITLE
EMAIL ADDRESS
TELEPHONE NUMBER (Mandatory)
FAX NUMBER

When input is complete you should click the Add button, a message will appear indicating success and you are then returned to the initial screen of the function, where you may add another NEW Company.

Clicking the Exit button on the initial screen will return you to the Contact Details Menu.

2.27 Update Company Base Details

Company Details

08/10/2014 19:01:53

Base Details

Company **ACME LTD**

Industry Management Consultancy

VAT Type 1 20.00 %

Base Currency GBP £

Discount Given 0.00 %

Prefers Communication via EMAIL

SwitchBoard Telephone 01799586089

Web Site www.acme.co.uk

Number of Contacts 11

Client VCLTD

Indicates Change has been made

Indicates Error has been made

UPDATE

EXIT

Print Base Details

Subdetails (Stratbotmain\Subdetails) Record: 1/27 Record Unlocked NUM

This option allows you to update the base details of the selected company.

You can update the following Details:

INDUSTRY (Selection from Drop Down Selection List)
 VAT TYPE (Selection from Drop Down Selection List)
 BASE CURRENCY (Selection from Drop Down Selection List)
 DISCOUNT GIVEN (If any)
 PREFERRED COMMUNICATION METHOD (Selection from Drop Down Selection List)
 SWITCHBOARD TELEPHONE NUMBER
 WEB SITE ADDRESS
 CLIENT

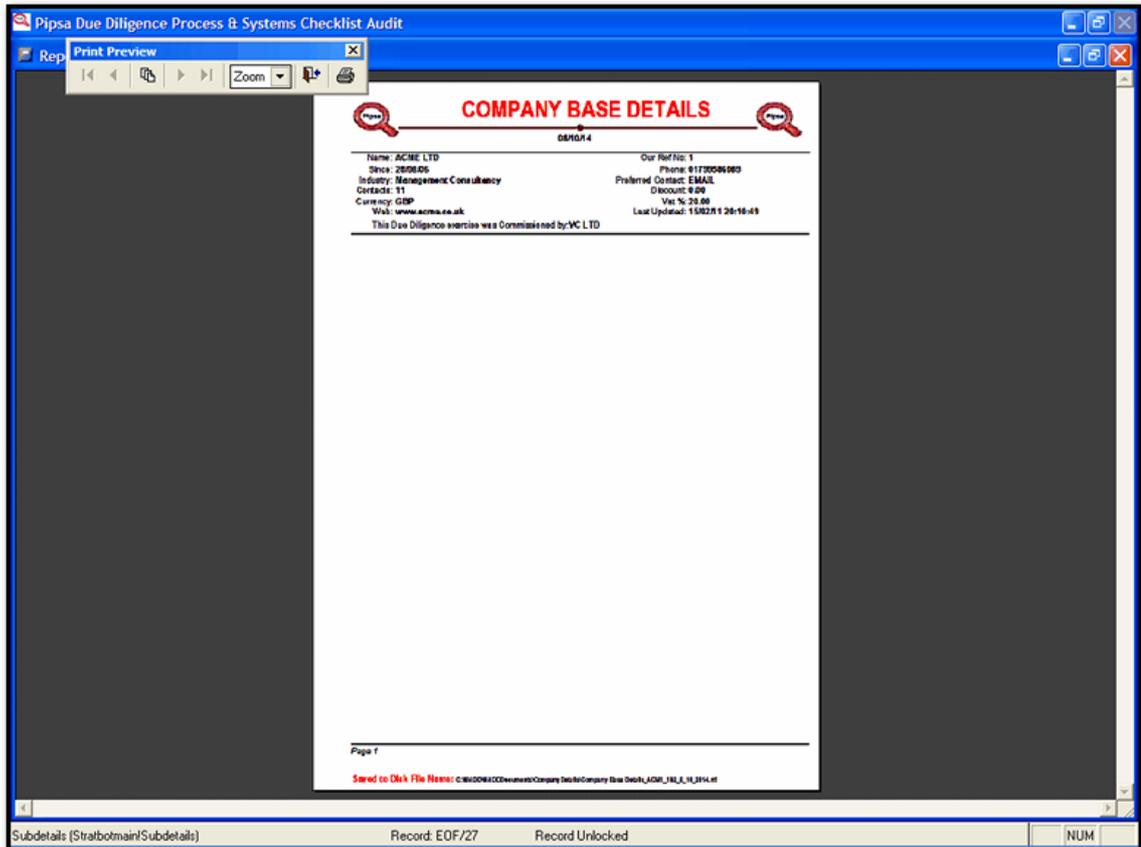
The number of Personal Contacts for this company is also shown.

When you have made the changes necessary you should click the Update button.

A Print Button is located just below the input fields which allows you to produce a report of the currency exchange rates currently on file.

When the Print button is clicked you are given the option to review the report on screen or to send the output straight to disk in word processor format. (For later review)

An example of this report is below:



A print preview button is displayed with each report reviewed on screen which allows you to produce a hardcopy of the report on your printer and to move around within the report.

At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report or when it has been saved to disk.

Clicking the Exit button will return you to the Contact Details Menu.

2.28 Update Company Address Details

The screenshot shows a software window titled "Pipsa Due Diligence Process & Systems Checklist Audit" with a sub-window "Update Company - Address Details". The main heading is "Company Address" with a timestamp of "08/10/2014 19:03:24". A "Help ?" button is in the top left. The central form, titled "ACME LTD Address Details", contains the following fields:

- Address Line 1: 1 BIRDBROOK COTTAGES
- Address Line 2: PARSONAGE FARM LANE
- Address Line 3: GREAT SAMPFORD
- County (State): ESSEX
- Post Code (ZIP): CB10 2RR
- Country: United Kingdom

To the right of the form, a legend indicates that a red box "Indicates Change has been made" and a yellow box "Indicates Error has been made". Below the form is a "Print Address Details" button with a printer icon. At the bottom right are "UPDATE" and "EXIT" buttons. The status bar at the bottom shows "Subaddress (Stratbotmain/Subaddress)", "Record: 1/27", "Record Unlocked", and a "NUM" field.

Here you can update the ADDRESS (Location details) of the selected company.

The following fields can be updated:

- ADDRESS LINE 1 (mandatory)
- ADDRESS LINE 2
- ADDRESS LINE 3
- COUNTY (STATE) (Selection from Drop Down Selection List) (Mandatory)
- POST CODE (ZIP) (Mandatory)
- COUNTRY (Selection from Drop Down Selection List) (Mandatory)

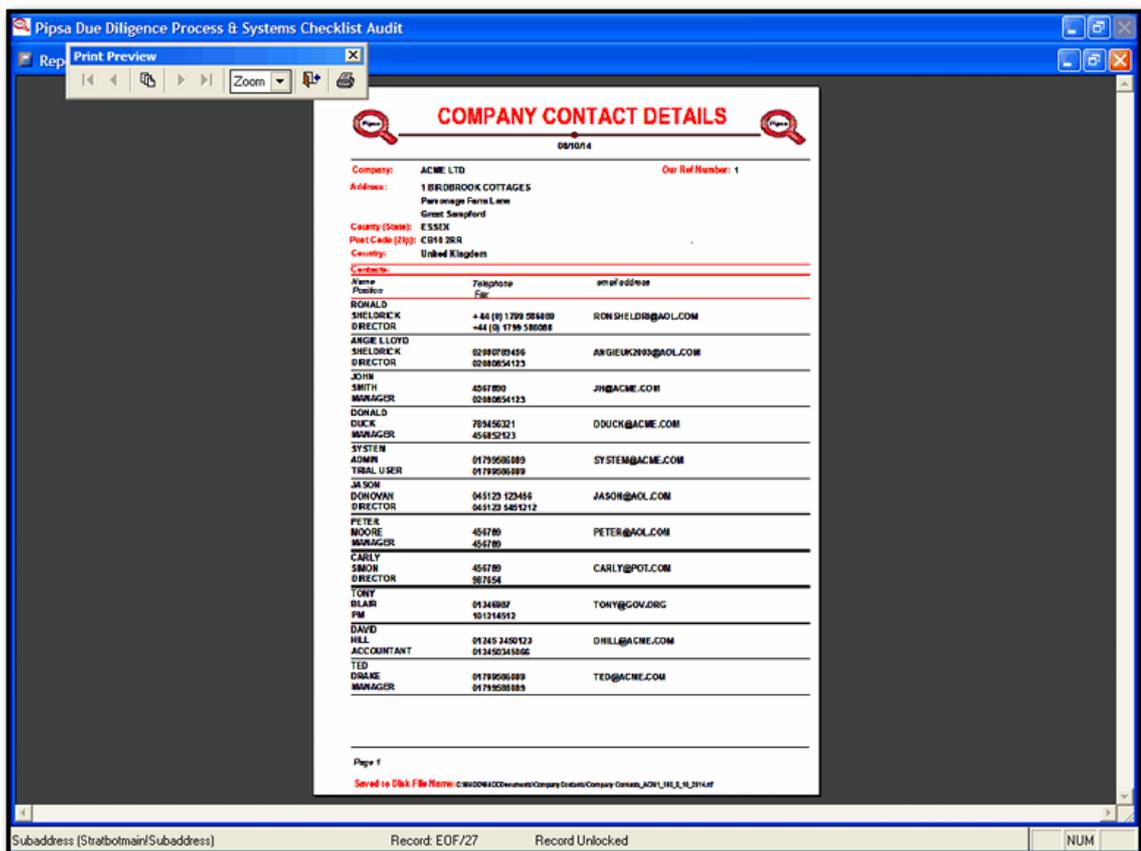
Clicking the Exit button returns you to the Contact Details Menu.

When input is complete you should click the Update button.

A Print Button is located just below the input fields which allows you to produce a report of the currency exchange rates currently on file.

When the Print button is clicked you are given the option to review the report on screen or to send the output straight to disk in word processor format. (For later review)

An example of this report is below:



A print preview button is displayed with each report reviewed on screen which allows you to produce a hardcopy of the report on your printer and to move around within the report.

At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report or when it has been saved to disk.

Clicking the Exit button returns you to the Contact Details Menu.

2.29 Update Company Contacts Details

Clicking the Next button will scroll you through the contacts for the selected company.

You may then update the personal contact details. The following fields can be updated:

FIRST NAME (Mandatory)
 SURNAME (Mandatory)
 JOB TITLE
 EMAIL ADDRESS
 TELEPHONE NUMBER (Mandatory)
 FAX NUMBER

When the necessary changes have been made you should click the Update button.

Clicking the Exit button returns you to the Contact Details Menu.

If you wish to add a new contact for the selected company you should click the New Contact/User button and the following screen will be displayed:

The screenshot shows a software window titled "Pipsa Due Diligence Process & Systems Checklist Audit" with a sub-header "Add a New Contact". The main content area is titled "Company Contacts" and displays a form for "ACME LTD Contact Details". The form includes input fields for First Name, Surname, Job Title, email address, Telephone Number, Fax Number, User ID, and Password. A yellow box next to the form indicates an error: "Indicates Error has been made". Below the form are "ADD" and "EXIT" buttons. The status bar at the bottom shows "Subcontact (Stratbotmair/Subcontact)", "Record: 1/42", "Record Unlocked", and "NUM".

The following fields must be completed:

FIRST NAME (Mandatory)
SURNAME (Mandatory)
JOB TITLE
EMAIL ADDRESS
TELEPHONE NUMBER (Mandatory)
FAX NUMBER

* Note . If you are adding a new user for your own company the following fields will be displayed and a password must be entered

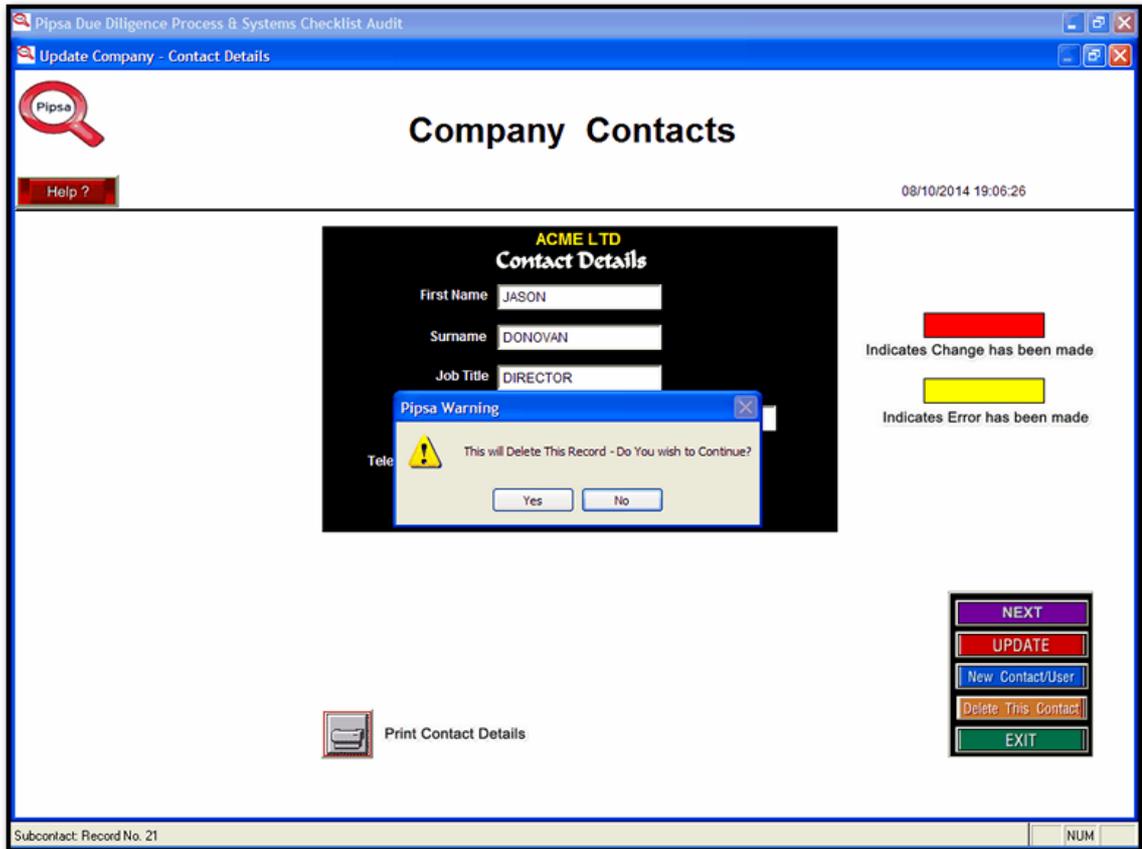
USER ID *
PASSWORD (Mandatory)

* The system will allocate the USER ID

Clicking the **EXIT** Key returns you to the previous screen.

When input is complete you should click the Add button, the new contact is added and you are returned to previous screen.

If you wish to delete a contact you should click the Delete This Contact button and the following screen will be displayed.



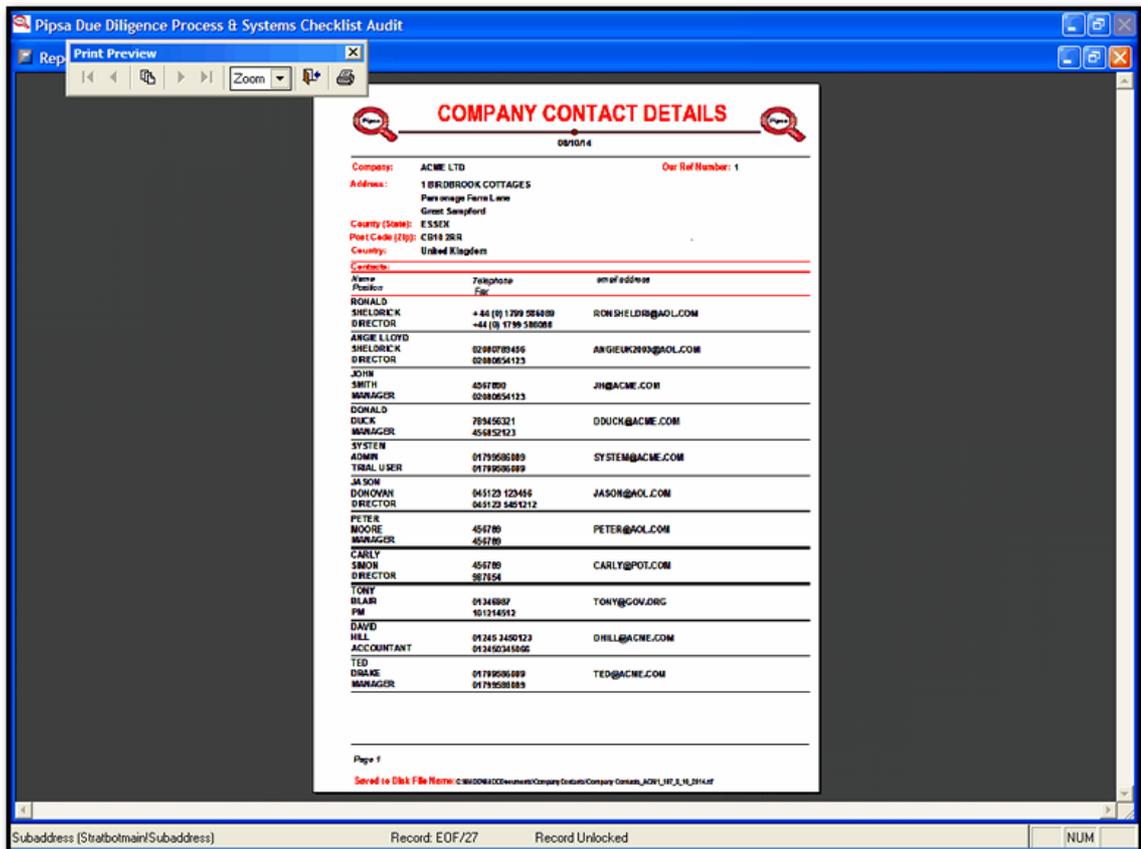
You are asked if you wish to delete the record and on confirmation the record is deleted.

* Note if a company only has one contact on file, the system will inform you of what to do in this case, as deleting is not possible until another contact has been added to file.

A Print Button is located just below the input fields which allows you to produce a report of the currency exchange rates currently on file.

When the Print button is clicked you are given the option to review the report on screen or to send the output straight to disk in word processor format. (For later review)

An example of this report is below:



A print preview button is displayed with each report reviewed on screen which allows you to produce a hardcopy of the report on your printer and to move around within the report.

At the foot of the report the location and name of the saved word processor file is displayed.

The location of the file on disk is also displayed in an informational message when you exit the report or when it has been saved to disk.

Clicking the Exit button returns you to the Contact Details Menu.

2.30 Change Sign-on Password

The screenshot shows a web browser window titled "Pipsa Due Diligence Process & Systems Checklist Audit" with a sub-page titled "Change Password". The page features a "Pipsa" logo in the top left, a "Help ?" button, and a timestamp "08/10/2014 19:08:15". A central black box prompts the user to "Please enter your New Password" and displays the "User ID" as "ronsheldri". Below this is a "New Password" input field. To the right, a yellow error bar indicates "Indicates Error has been made". At the bottom right, there are two buttons: a red "UPDATE" button and a green "EXIT" button. The status bar at the bottom shows "Stratuser (Stratbotmain\Stratuser)", "Record: 1/44", "Record Unlocked", and a "NUM" field.

Here you may change your password. Passwords must be at least **7** characters long.

Once the new password has been entered you should click the Update button.

Clicking the Exit button returns you to the Contact Details Menu.

2.31 Maintain VAT (Purchase Tax) Types

The screenshot displays the 'Maintain Existing VAT Types' application window. The window title is 'Pipsa Due Diligence Process & Systems Checklist Audit'. The main title is 'VAT Rates'. The window shows a 'Previously updated on: 13/03/2011 22:29:56' and a current date '08/10/2014 19:09:05'. A central black box titled 'Existing Types' contains a dropdown menu for 'Please Select VAT Type' (set to '0'), a text field for 'VAT Name' (set to 'ZERO RATED'), and a text field for 'VAT Percentage' (set to '0.00 %'). To the right, a red bar indicates 'Indicates Change has been made' and a yellow bar indicates 'Indicates Error has been made'. At the bottom right are buttons for 'UPDATE', 'Add New Type', and 'EXIT'. At the bottom left is a 'Print VAT Details' button. The status bar at the bottom shows 'Stvat (Stratbotmaint/Stvat)', 'Record: 1/5', 'Record Unlocked', and 'NUM'.

This is the screen for maintaining VAT Types and percentages.

You should select the VAT Type you require by use of a drop-down list.

You may then update the fields:

VAT Name
VAT Percentage

If changes are made to these fields the background will change to RED to indicate a change is being made against the original value in the field

The date/time of the previous change to the record are also displayed.

When you have finished making the required changes you should press the Update key and the record will be updated and a message indicating success will be displayed.

*** Note all changes made will automatically be reflected in the VAT Rates charged for all companies.**

2.32 Add a New VAT (Purchase Tax) Type

The screenshot shows a software window titled "Add a New VAT Type" from the "Pipsa Due Diligence Process & Systems Checklist Audit" application. The window contains a "VAT Rates" section with a "Help ?" button. A central "New Type" dialog box prompts the user to "Please Select VAT Type" (with a dropdown), enter a "VAT Name", and set a "VAT Percentage" (currently 0.00 %). To the right, a yellow box indicates "Indicates Error has been made". At the bottom right, there are "Add Type" and "EXIT" buttons. The status bar at the bottom displays "Stvat (StratbotmaintStvat)", "Record: 1/5", "Record Unlocked", and "NUM".

This is the screen for adding a New VAT type.

You must enter information into the following fields:

VAT Type (Single number or Letter)
VAT NAME (10 Character Descriptive Name)
VAT Percentage

When you have completed entry you should click the Add Type button and the record is added and a message indicating success is displayed.

If you wish to exit you should press the Exit button and you will be returned to the Maintain VAT Types screen.

2.33 Maintain Currency Exchange Rates

The screenshot displays the 'Maintain Foreign Exchange Rates' application. The window title is 'Pipsa Due Dilligence Process & Systems Checklist Audit'. The main title is 'Foreign Exchange Rates'. It shows a 'Previously updated on: 08/04/2007 15:52:58' and a current timestamp '08/10/2014 19:11:12'. A central form titled 'Existing Currency' has fields for 'Base Currency' (ARS), 'Country' (ARGENTINEAN PESO), 'Currency Sign' (\$), and 'Exchange Rate To £' (6.114). A legend indicates that a red background indicates a change and a yellow background indicates an error. Buttons for 'UPDATE', 'Add New Currency', and 'EXIT' are visible. A 'Print Forex Details' button is also present. The status bar at the bottom shows 'Stcurrencies (Stralbotmain\Stcurrencies)', 'Record: 5/28', 'Record Unlocked', and 'NUM'.

This screen is used to maintain Foreign currency exchange rates against your base currency.

You must first select the currency abbreviation you wish to edit by use of a drop-down list:

You may then make changes to the following fields.

Country
 Currency Sign (e.g. '£')
 Exchange Rate to Pounds Sterling

If a value in these fields is changed the field background will turn RED to indicate that the value has changed from the original.

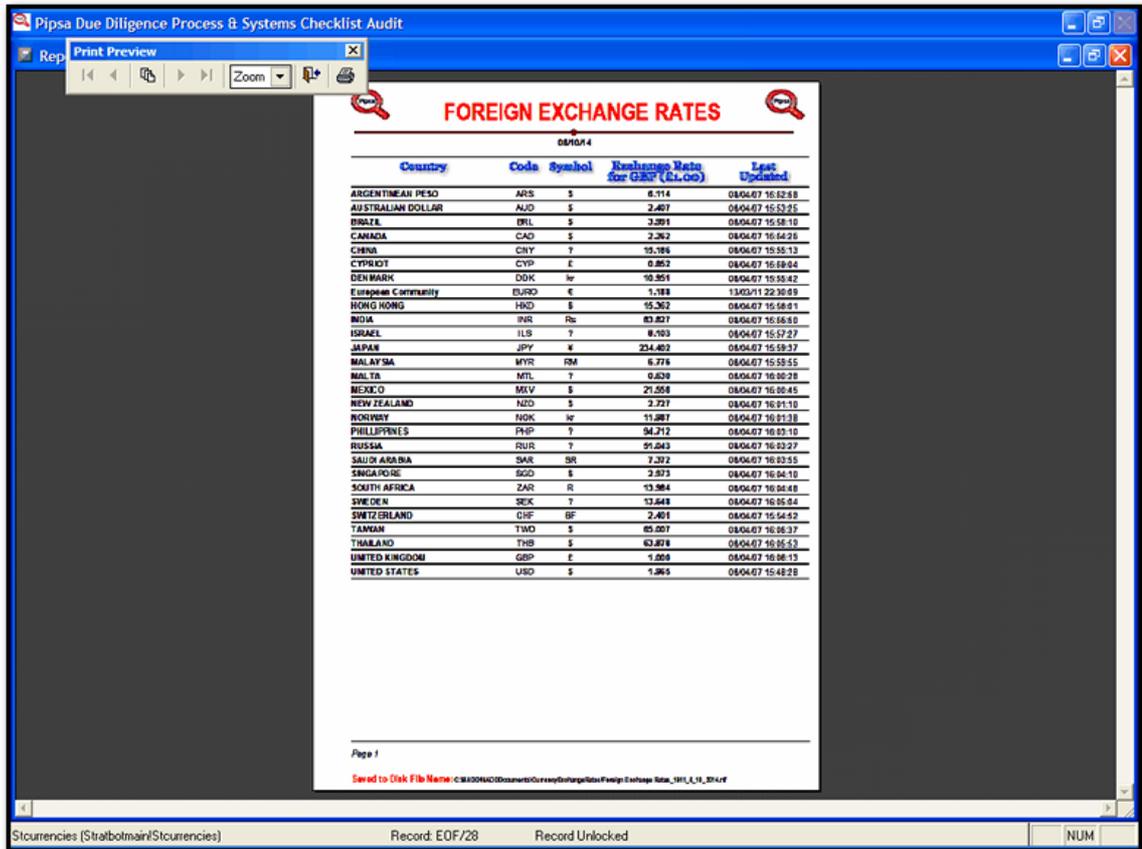
The date/time of the last change to the record are also displayed.

When you have finished making the required changes you should click the Update key and the record will be updated and a message indicating success will be displayed.

A Print Button is located just below the input fields which allows you to produce a report of the currency exchange rates currently on file.

When the Print button is clicked you are given the option to review the report on screen or to send the output straight to disk in word processor format. (For later review)

An example of this report is below:



A print preview button is displayed with each report reviewed on screen which allows you to produce a hardcopy of the report on your printer and to move around within the report.

At the foot of the report the location and name of the saved word processor file is displayed.

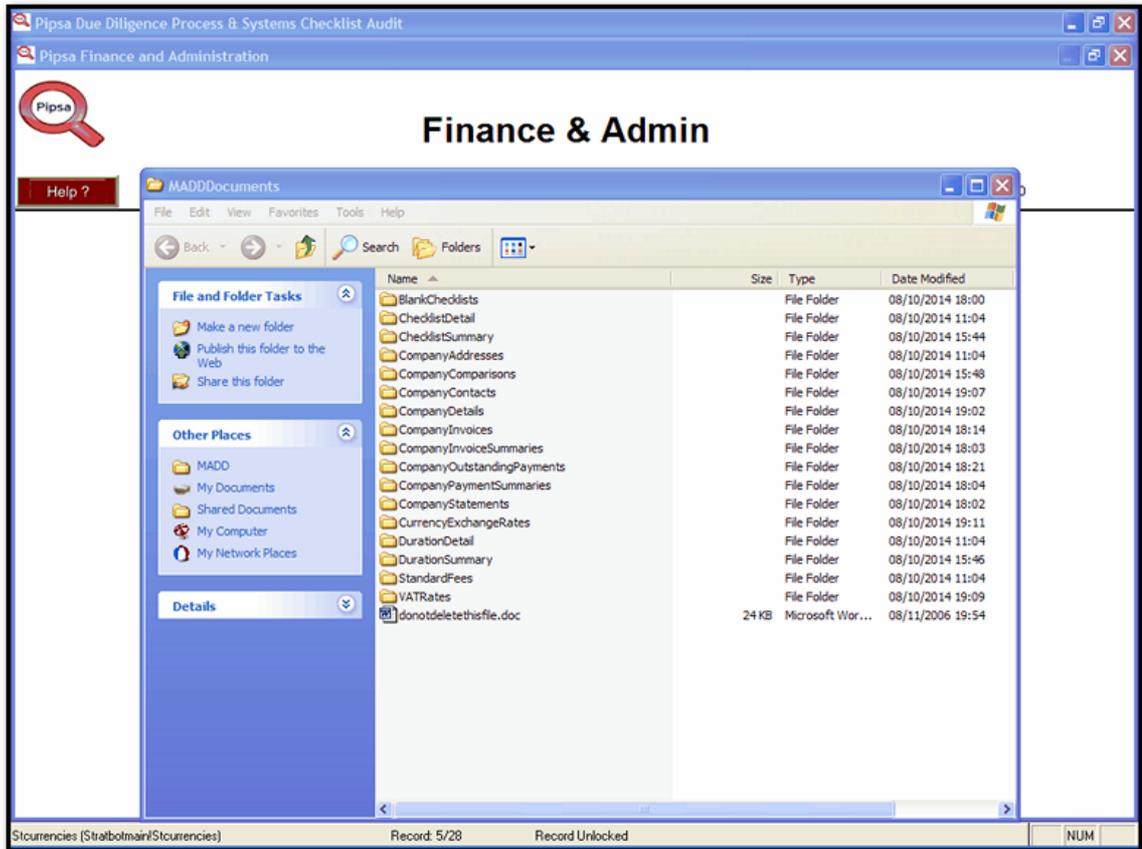
The location of the file on disk is also displayed in an informational message when you exit the report or when it has been saved to disk.

If you wish to add a new currency you should click the Add New Currency button

If you wish to return to the Finance and Administration Menu you should click the Exit button

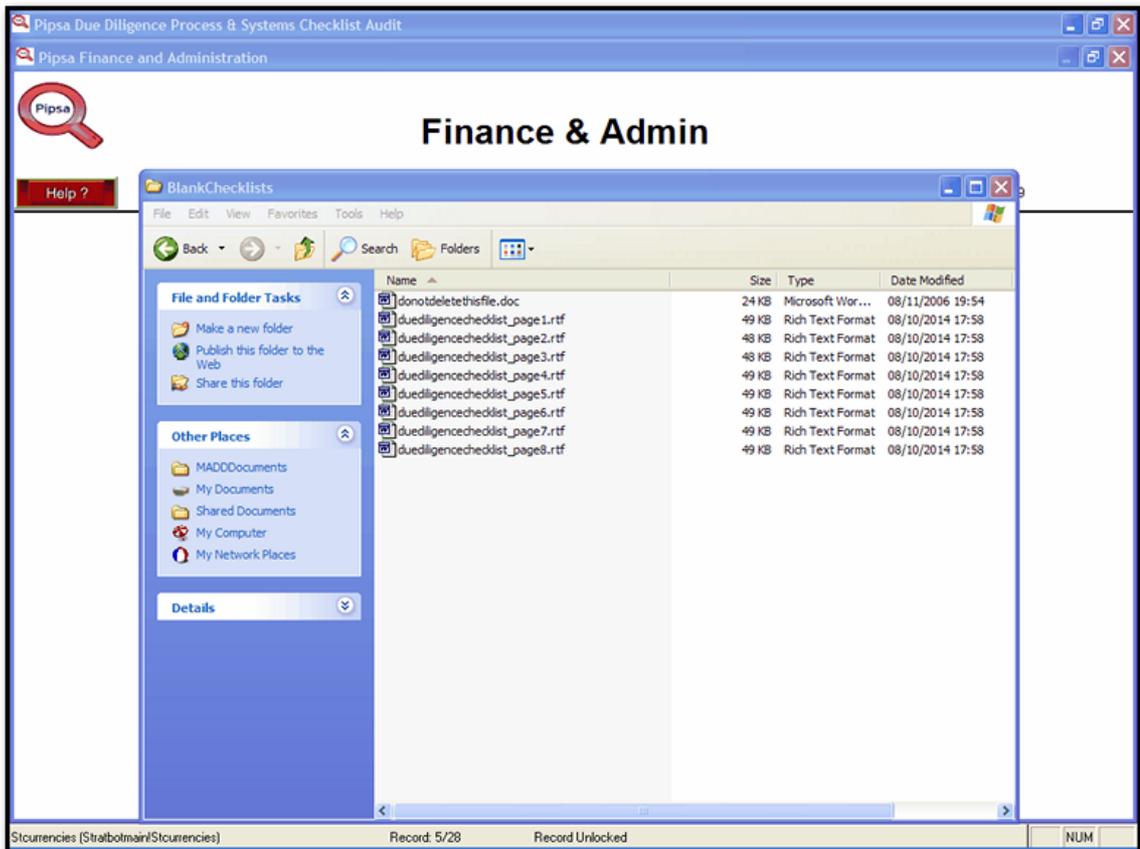
2.34 Documents Saved on Disk

On selection of this option the following pop-up window will appear.



Here a directory listing of the individual sub directories containing saved documents is displayed.

Clicking on a sub directory will show which files are available:



Here the documents saved in Word Processor format are displayed. Double clicking on an individual file will open it up in your default word processor package for review.

To exit from these directory listings you should close the pop-up window using **File** then **Close** from the window Menu bar. The Finance and Administration Menu will then be re-displayed.

2.35 Add a NEW Currency

Pipsa Due Diligence Process & Systems Checklist Audit

Add a NEW Currency

Pipsa

Foreign Exchange Rates

Help ?

08/10/2014 19:14:16

New Currency

Base Currency

Country

Currency Sign

Exchange Rate To £

Indicates Error has been made

Add Currency

EXIT

Stcurrencies (Stralbotmain/Stcurrencies) Record: 5/28 Record Unlocked NUM

This screen is for adding a new Currency

You must enter the required details in the following fields:

Currency Abbreviation (e.g. GBP)
Country
Currency Sign
Exchange Rate to Pounds Sterling

When you have completed entry you should click the Add Currency button and the currency is added and a message indicating success is displayed.

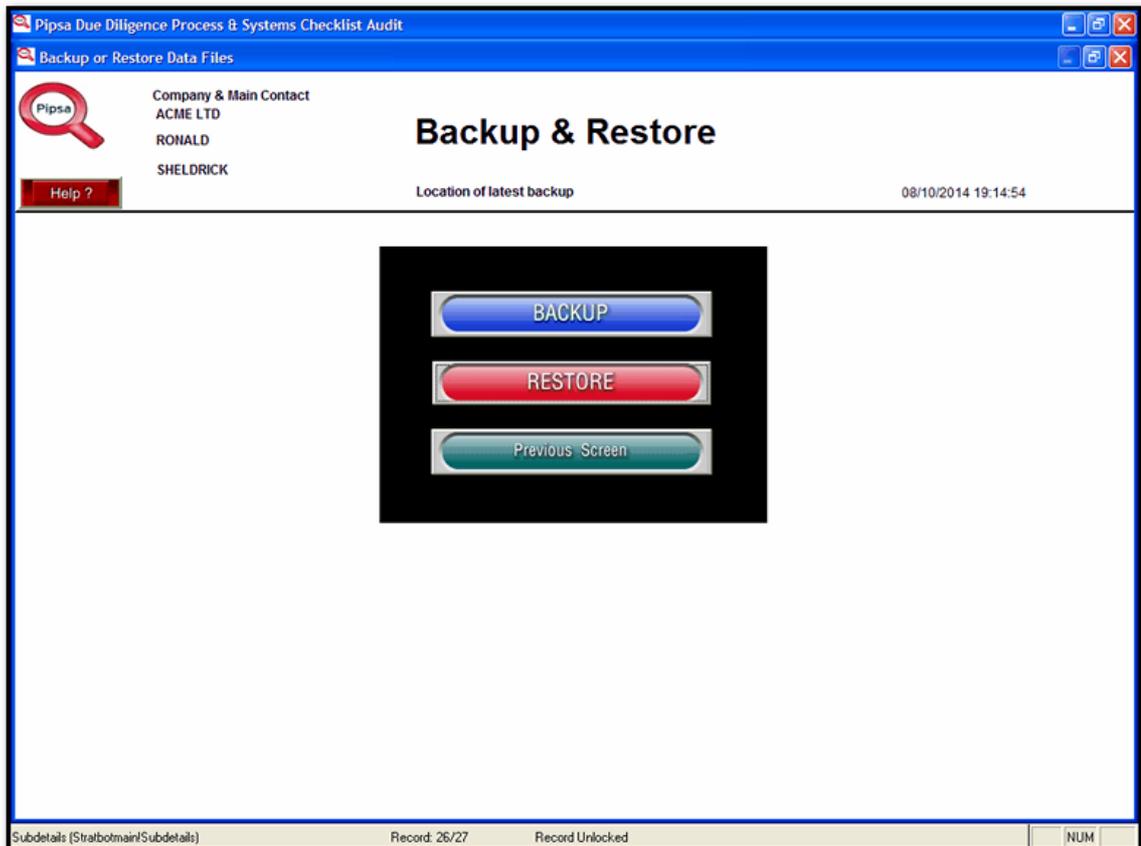
If you wish to exit you should press the Exit button and you will be returned to the Maintain Currency Exchange Rates screen.

2.36 Data File BACKUP & RESTORE

When you wish to backup or restore the data files of the system , you should click the following button:



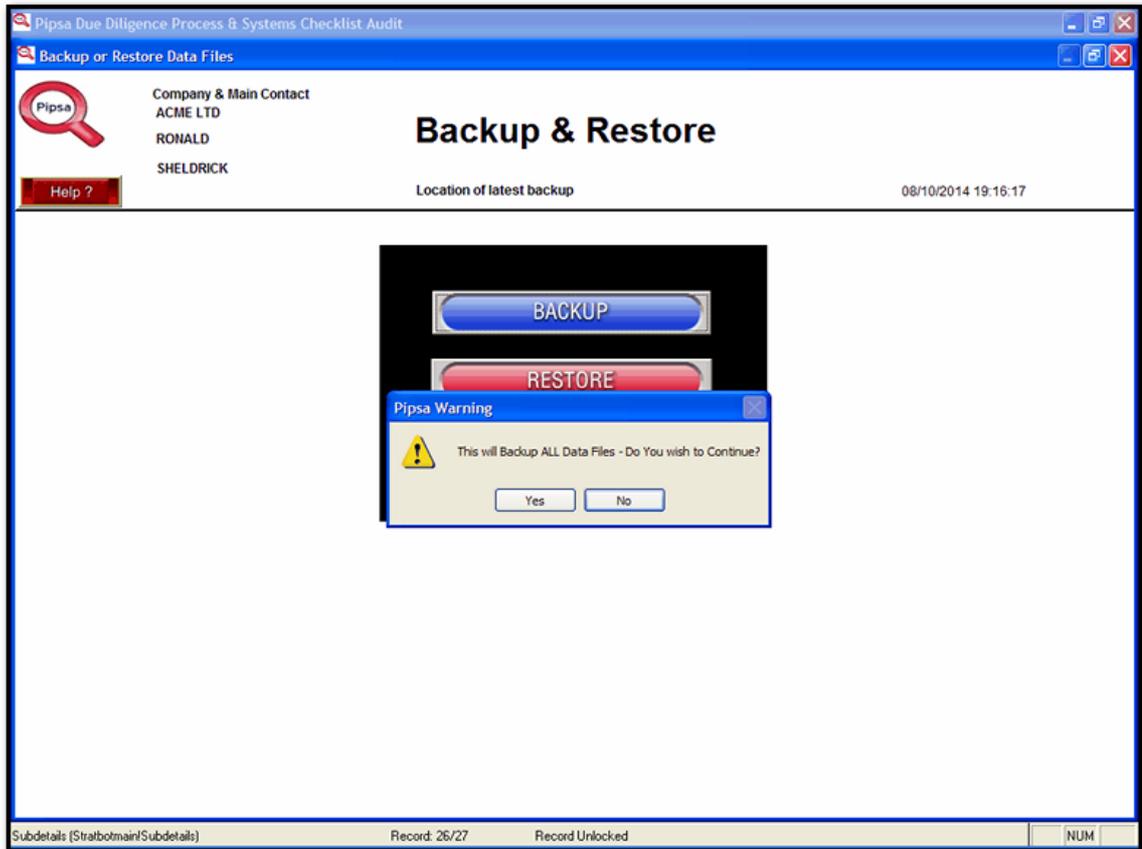
The following screen will appear



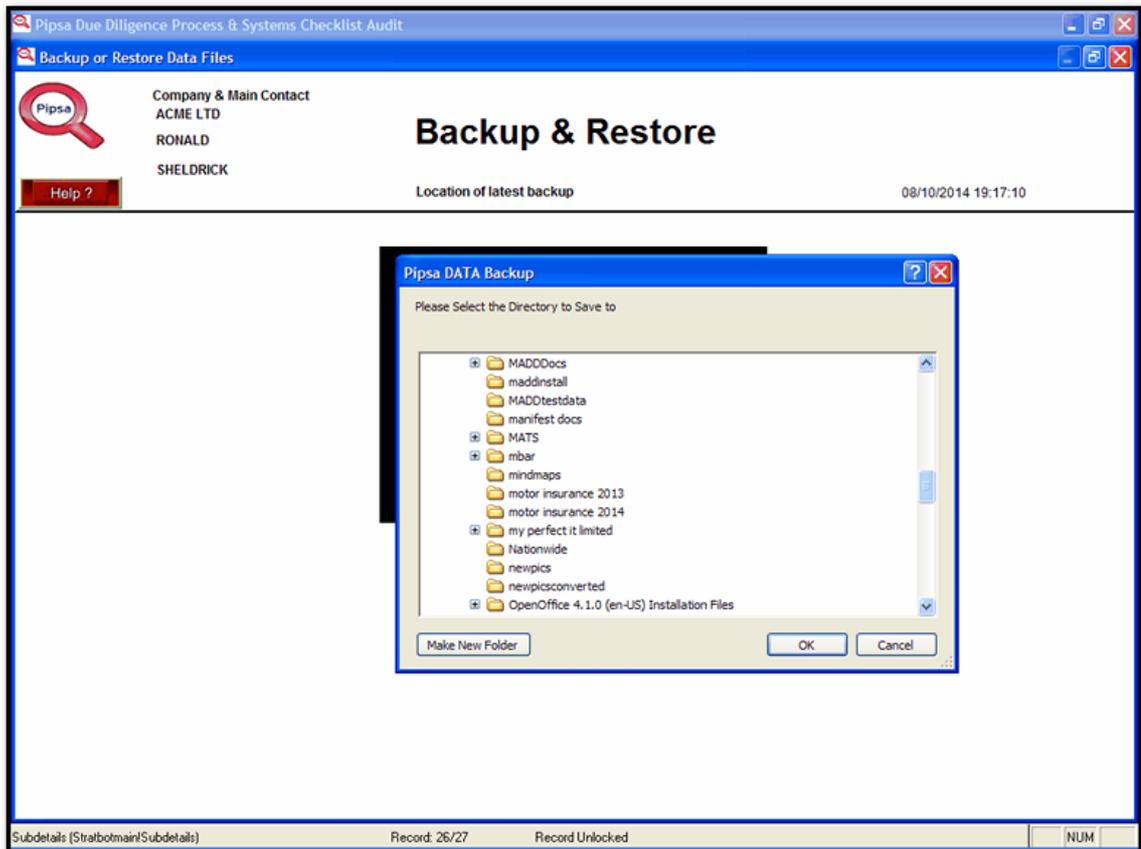
Here you may backup or restore the Database files of the system for security purposes. Clicking the Previous Screen button returns you to the Control Centre.

BACKUP

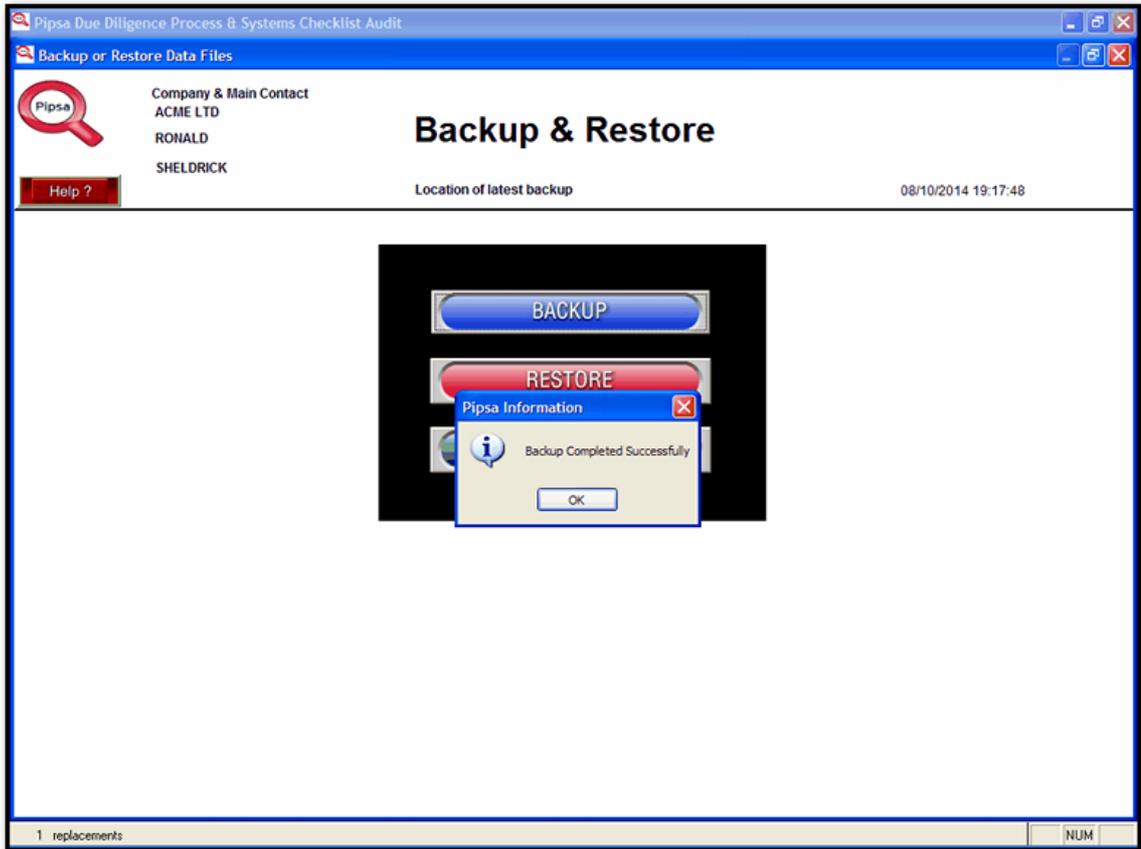
When selected you will first receive a message asking you if you wish to continue with the Backup. If you reply "No" a message appears informing you that you have abandoned the backup. If you reply "Yes" the following screen appears:



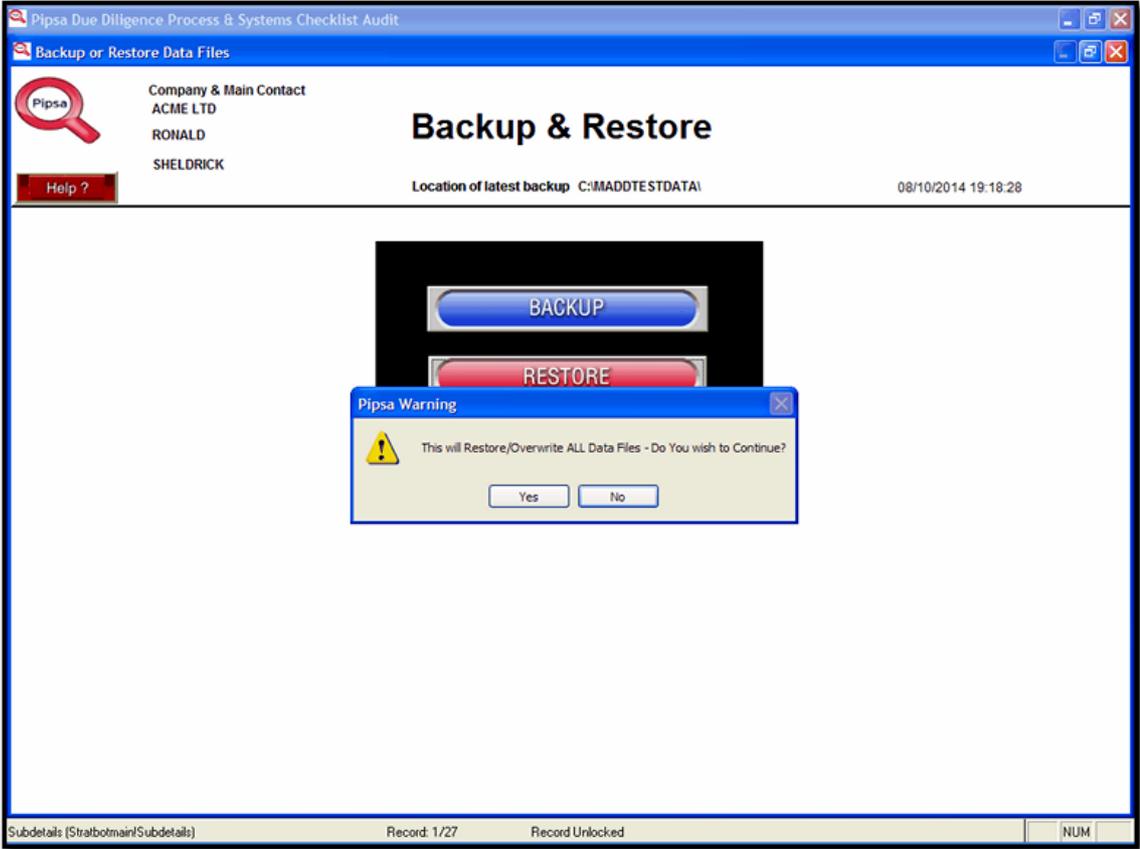
If you reply "Yes" the following screen appears:



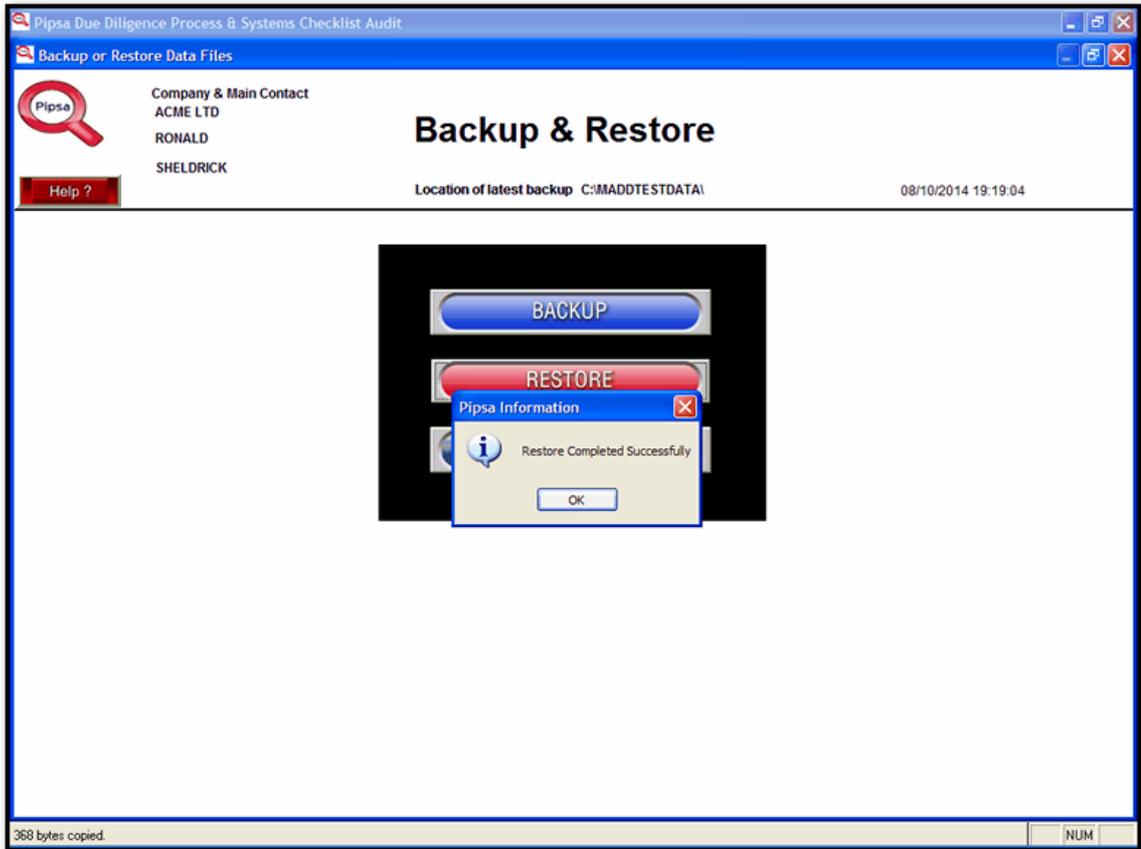
Here you may select the location where you want the data files saved from a directory selection list. When you have selected the directory/folder you should click ok and the backup is created. A message appears on screen indicating a successful backup.



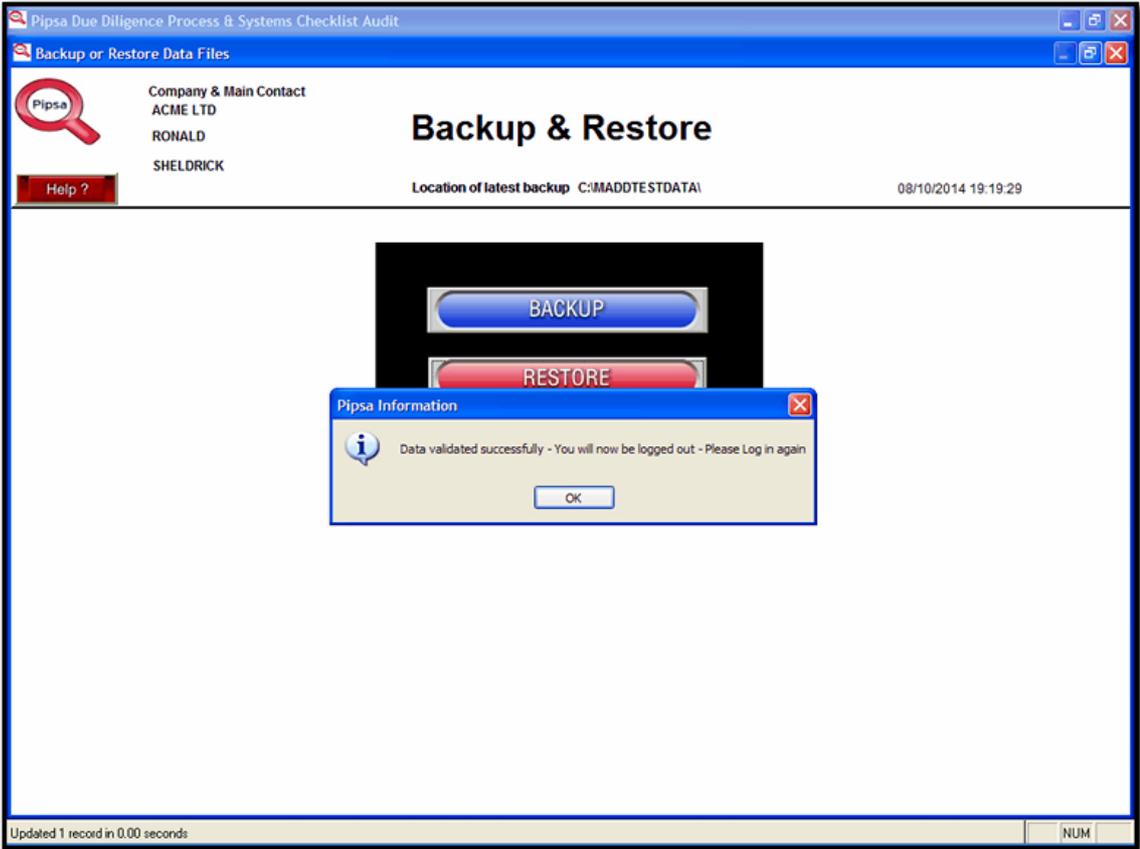
RESTORE



When selected you will first receive a message prompting you if you wish to continue with the Restore. If you reply “No” a message appears informing you that you have abandoned the restore. If you reply “Yes” the latest data files are restored. A message appears on screen indicating a successful restore.



Next the following screen appears, once the restore has been validated:



You will then be logged out and must log in again as this ensures data integrity.

2.37 Your Company Setup

The screenshot shows a software window titled "Pipsa Due Dilligence Process & Systems Checklist Audit" with a subtitle "Set up Your Company - Base Details". The main heading is "Company Setup". On the left, there is a "Pipsa" logo and a "Help ?" button. On the right, the date "08/10/2014 21:56:22" is displayed. The central area is a "Base Details" form with the following fields:

- Company Name: [Text Input]
- Industry: [Drop Down List]
- VAT Type: [Drop Down List] 0.00 %
- Base Currency: [Drop Down List]
- Prefers Communication via: [Drop Down List]
- SwitchBoard Telephone: [Text Input]
- Web Site: www. [Text Input]

To the right of the form, there is a yellow error box with the text "Indicates Error has been made". Below the form, there are two buttons: "ADD" (red) and "EXIT" (green). The status bar at the bottom of the window shows "Subdetails (Stratbotmain/Subdetails)", "Record: None", "Record Unlocked", and "NUM".

This option allows you to set up **Your** company details.

You must enter the Following Details:

COMPANY NAME
 INDUSTRY (Selection from Drop down selection List)
 VAT TYPE (Selection from Drop down selection List)
 BASE CURRENCY (Selection from Drop down selection List)
 PREFERRED COMMUNICATION METHOD (Selection from Drop down selection List)
 SWITCHBOARD TELEPHONE NUMBER
 WEB SITE ADDRESS

Clicking Exit will quit the system.

When input is complete you should click the Add button and the following screen will be displayed:

The screenshot shows a software window titled "Pipsa Due Diligence Process & Systems Checklist Audit" with a subtitle "Set up Your Company - Address Details". The main heading is "Company Setup". A "Help ?" button is located in the top left. The date and time "08/10/2014 21:57:31" are displayed in the top right. The central form is titled "ABC LTD Address Details" and contains the following fields:

- Address Line 1
- Address Line 2
- Address Line 3
- County (State)
- Post Code (ZIP)
- Country

To the right of the form, there is a yellow box with the text "Indicates Error has been made". An "ADD" button is located at the bottom right of the form area. The status bar at the bottom of the window displays "Subdetails (Stratbotmain/Subdetails)", "Record: 1/1", "Record Unlocked", and "NUM".

Here you must complete your ADDRESS.

The following fields must be completed:

- ADDRESS LINE 1 (Mandatory)
- ADDRESS LINE 2
- ADDRESS LINE 3
- COUNTY (STATE) (Selection from Drop Down Selection List) (Mandatory)
- POST CODE (ZIP) (Mandatory)
- COUNTRY(Selection from Drop Down Selection List) (Mandatory)

When input is complete you should click the Add button and the following screen will be displayed:

Here you must enter your personal details.

The following fields must be completed:

FIRST NAME (Mandatory)
 SURNAME (Mandatory)
 JOB TITLE
 EMAIL ADDRESS
 TELEPHONE NUMBER (Mandatory)
 FAX NUMBER

USER ID*
PASSWORD (Mandatory)

*The system will allocate a USER ID and will ask you to enter a PASSWORD * Be sure to make a note of your userid and password

When input is complete you should click the Add button, a message will appear indicating success and you will exit the system and are instructed to restart the application.

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