



### Confidential Inquiries About Fraud Risk

This questionnaire is to be completed on an annual basis by the Executive Director, the Officers, and the Members of the Board of Directors of the American Subcontractors Association – Houston Chapter (the “Association”).

- Y\_\_\_ N\_\_\_ Are you aware of anyone stealing from the Association?
- Y\_\_\_ N\_\_\_ Do you suspect that anyone is stealing from the Association?
- Y\_\_\_ N\_\_\_ Could someone steal a material amount from the Association without getting caught?
- Y\_\_\_ N\_\_\_ Have you ever been asked to circumvent an Association control policy or procedure?
- Y\_\_\_ N\_\_\_ Have you ever witnessed an employee, officer, or member of the Board of Directors of the Association circumventing financial policies, procedures or controls?
- Y\_\_\_ N\_\_\_ Have you observed unusual changes in the behavior or lifestyle of any of the employees or officers of the Association who are experiencing financial pressures?
- Y\_\_\_ N\_\_\_ Are you aware of any employees or officers of the Association who are experiencing financial pressures?
- Y\_\_\_ N\_\_\_ Are you aware of external factors that may threaten the Association’s ability to stay in operation?
- Y\_\_\_ N\_\_\_ Is there unusual pressure on the Association to achieve financial targets or budgets?
- Y\_\_\_ N\_\_\_ Are you active in overseeing the accuracy in accounting and financial reporting of the Association?
- Y\_\_\_ N\_\_\_ Are you aware of weaknesses in the Association’s internal controls?
- Y\_\_\_ N\_\_\_ Are you aware of any employees or officers of the Association charging personal expenses to the Association?
- Y\_\_\_ N\_\_\_ Have there been any unusual changes in the method in which the Association’s transactions are processed?
- Y\_\_\_ N\_\_\_ Are there any third parties that have expectations about (or stake in) the Association’s financial position or operating results?
- Y\_\_\_ N\_\_\_ Are you aware of any member, customer or vendor complaints related to amounts due or payable by the Association?
- Y\_\_\_ N\_\_\_ Do you believe that the Association’s control environment, management oversight and segregation of accounting related duties would prevent or detect fraud if it occurred?

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Company

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Phone Number

Return to Bill Sudela, Crady, Jewett & McCulley, 2727 Allen Parkway Suite 1700, Houston, 77019  
Or Fax: (713) 739-8403

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American Subcontractors Association-Houston Chapter is a collective voice for a diverse membership committed to quality, safety, and ethics in construction. ASA-HC advocates for legislative reform and provides educational opportunities for the subcontracting community.