**Settlement Smashers**

**Authority to Provide Consulting Services**

**Date:** October 22, 2025  
**Prepared by:** Professional Services Compliance and Operations Team

**Purpose**

This document provides evidence demonstrating Settlement Smashers’ authorization and procedural framework for providing consulting services.  
It summarizes the internal documentation, contractual authority, and administrative processes governing the firm’s consulting activities across its client engagements.

**Evidence Summary**

| **Requirement** | **Evidence Description** |
| --- | --- |
| **Authorization to Provide Consulting Services** | Settlement Smashers maintains current business registration and professional licensing authorizing the firm to provide consulting services in all applicable jurisdictions. Certificates of registration and renewal confirmations are on file with the State Business Regulatory Office. |
| **Scope of Services** | The scope of consulting services is defined under the company’s Professional Services Charter and standardized Statement of Work (SOW) templates. The charter specifies engagement types, industries served, and consulting boundaries to ensure services are rendered within approved legal and professional limits. |
| **Contractual Authority** | All consulting engagements are executed under signed Master Service Agreements (MSAs) that designate authorized company signatories. The latest authorization matrix identifies officers with signature authority for client contracts exceeding $250,000. |
| **Ethics and Compliance Training** | All consultants are required to complete annual ethics and client confidentiality training prior to participating in engagements. Training completion logs and signed attestation forms are maintained by Human Resources. |
| **Record Retention and Oversight** | Project records, contracts, and client communications are stored in the Consulting Engagement Management System (CEMS). Retention schedules align with both state legal requirements and internal corporate policy. Access logs demonstrate consistent oversight by the compliance department. |

**Supporting Documentation**

1. **Business Registration and Licensing Certificates** — Official documents verifying current authorization to provide consulting services.
2. **Professional Services Charter and SOW Templates** — Outlining approved engagement types, service parameters, and risk controls.
3. **Master Service Agreements (MSAs)** — Sample client agreements illustrating signature authority and scope definition.
4. **Training Records** — Completion logs for ethics and compliance courses, with employee attestation forms.
5. **CEMS Audit Reports** — Evidence of data integrity, access tracking, and record retention compliance.

**Observations**

* Licenses and registrations remain active and current across all relevant jurisdictions.
* The company’s Professional Services Charter defines the boundaries and ethical parameters of consulting engagements.
* Oversight mechanisms ensure all client-facing personnel complete required training prior to engagement.
* Access logs confirm consistent internal review and data retention in accordance with corporate policy.

**Document Control**

| **Document ID** | **Version** | **Effective Date** | **Prepared By** | **Reviewed By** |
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| SSM-CON-SVC-EVD | 1.0 | October 22, 2025 | **Natalie K. Brooks**, Senior Compliance Analyst | **Charles D. Lennox**, Director of Professional Services |