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The Development Of Corporate Identity Guidelines For Rothstein Kass

Kathleen Sidney

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THESIS PROJECT:
THE DEVELOPMENT OF CORPORATE IDENTITY GUIDELINES
FOR ROTHSTEIN KASS

BY

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Submitted in partial fulfillment of the requirements for the
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Seton Hall University

2004
Abstract

Corporate identity includes all graphic elements that represent a company. It includes selecting "corporate colors" and applying them to a logo and creating standardized layouts for stationary as well as developing graphic standards for products, packaging and signage. It sometimes even includes developing the look of sales kits, media advertising, promotions and even office decor. Corporate identity can be a major asset for a company—but only if the identity is clearly defined, embraced by management and employees, and utilized consistently and frequently in the marketplace.

The final outcome of this study was the development of corporate identity guidelines for Rothstein Kass, an international accounting and consulting firm. The guidelines explain the importance of corporate identity and define strict standards for using the firm's logo and other identity components.
ACKNOWLEDGEMENTS

The author would like to thank family, friends and colleagues for their support throughout the master's program and specifically during this study. A very special thanks to Dr. Lombardi whose guidance, encouragement, enthusiasm and humor made the thesis process as enjoyable as it possibly could be.
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Chapter I

Introduction

People in the United States and throughout many parts of the civilized world are bombarded with thousands of media impressions on a daily basis. Media impressions come in many forms and include a panoply of items. Advertising, a primary source of media impressions, encompasses print advertisements in magazines and newspapers, television and radio commercials, billboards, and messaging on the sides of buses and trucks, to name a few. Add to the mix the growing popularity and importance of the Internet, and the number of impressions that we face is tripled or even quadrupled, whether it is an advertiser’s use of banner ads, pop-up ads or site sponsorships.

Additional visual stimulus comes to human beings through imagery used by companies to define their products. A trip down the aisle in any supermarket will bring this to the top of any consumer’s mind. As you walk down one aisle, you will find hundreds of products each adorned with an individual logo, differentiating packaging design and oftentimes, unique color schemes. Some products you may recognize in a fraction of a second while others you may have never noticed before and need to look more closely to identify the brand.

With the plethora of visual and audio stimuli that strikes us daily, how then, is it possible to differentiate one company from another in the increasingly competitive global marketplace? There are numerous factors to consider when attempting to handle this issue, but one place to start is with a company’s logo and the consistent usage of that logo throughout all means of communication. According to Granite Web Design, “You should never underestimate the importance of a first impression. Your logo or corporate
identity is in most cases the first impression your business will make on a potential
customer or client, and with the business world being as competitive as ever, a first
impression may be the only impression you get to make” (“Corporate identity,” 2003).

To ensure a logo’s consistent usage, Fortune 500 companies and a number of the
nation’s smaller companies utilize corporate identity guidelines which set forth the
appropriate and inappropriate usage of a logo and additional identity elements. Some
guidelines go one step further and set forth strict standards including designated company
wide color schemes, layout templates for marketing materials, typographical standards
and even verbal tone used throughout communications. An effectively developed and
implemented corporate identity program has many advantages and can give a company
increased distinction and marketplace recognition (Sebastian, 1999).

As an employee of Rothstein Kass, an international public accounting and consulting
firm, for over seven years, the author has identified a distinct need for corporate identity
guidelines. The author has seen the firm’s logo distorted, the logo color used incorrectly,
and the proportions of the graphical and text elements manipulated. The usage of
Rothstein Kass’ logo has been based upon the individual discretion of the user because
guidelines have not existed to state otherwise.

Research Project

The goal of this research project is to develop corporate identity guidelines for
Rothstein Kass, an international public accounting and consulting firm. The guidelines
will clearly define the proper usage of Rothstein Kass’ logo to ensure that any person
utilizing it will do so in an organized and consistent manner without jeopardizing the
logo’s integrity. The guidelines will also set forth other elements to be used in conjunction with the logo including but not limited to a defined color palette, typography standards and graphic elements.

Purpose of the Project

The corporate identity guidelines for Rothstein Kass will be designed to assist those involved with the firm’s marketing and communication efforts. The guidelines will help the group convey Rothstein Kass’ identity in a consistent manner. In addition, those parties who are not directly involved in corporate communication on a daily basis—such as accounting and administrative staff—will be required to adhere to the guidelines if the logo is needed for any purpose.

In examining Rothstein Kass’ corporate identity, image, and brand, the author was struck by the lack of understanding of the firm by its own employees. Employees of the firm did not understand Rothstein Kass’ service lines. For example, employees working in the tax department would describe the firm as “an accounting firm specializing in tax planning and compliance” while employees who worked in financial services would describe the firm as “a firm focusing on hedge funds and offshore funds.” Although implementing corporate identity guidelines will not solve the challenge of internal perceptions, the guidelines will at least help leverage Rothstein Kass’ identity and enable the firm to start moving towards internal and external brand awareness.
Objectives

The objective of this project is to discover the most important features of corporate identity and subsequently use the findings to create corporate identity guidelines for Rothstein Kass. The guidelines will enable members of the marketing and communication team (as well as other employees) to ensure that the firm’s logo appears in the same, consistent manner anytime it is used. The guidelines will be arranged in separate chapters and will define the various standards. The guidelines will cover the following:

Chapter I: Graphic Standards

- Description of the Rothstein Kass logo
- Size specifications and clear space requirements
- Graphic usage
- Logo colors
- Incorrect logo usage
- Logo color variations
- Color palettes

Chapter II: Typography

- Standard typeface for marketing communication applications
- Standard typeface for general correspondence
- Typography examples

Chapter III: Administrative Applications

- Letterhead
- Business cards
- Envelopes and mailing labels
- Oversized envelopes
- Fax and memo cover sheets
- Promotional items for internal and external use

Chapter III: Marketing and Communication Applications

- Imagery
- Graphic elements
- One page descriptions for industries served and service lines

Chapter IV: Electronic Applications

- Standard e-mail signature
- Corporate website
- Presentations
- CD ROM and labels
- Business card CD

Definition of Terms

The following terms may be referenced throughout the course of this project.

**Brand:** A name, sign or symbol used to identify items or services of a seller and to differentiate them from the goods of competitors. Brands can be further defined as the collection of experiences and perceptions (both negative and positive) in the mind of the consumer.

**Corporate Identity:** A defined system of graphic elements that represents a company or product. Identity can also be referred to as the use of a company’s logo throughout all
business materials including business cards, stationery, packaging, signage, sales kits, media advertising and promotional items, among others.

**Corporate Identity Guidelines:** A set of rules or standards that ensure consistent use of a company's logo and identity throughout materials. Identity guidelines often include color and paper selections for printing, layout and design of stationery and promotional materials, secondary logos, and icons for websites and packaging.

**Corporate Image:** How a business is perceived in the marketplace. A good corporate image should be consistent with a company’s pre-planned identity.

**Font:** A particular size or cut of a typeface. For example, a font may be Times New Roman, Arial, Verdana or Helvetica (see Chart I).

**Logo:** A graphic representation of a company's identity and image. Logos are often comprised of one or more of the following: symbols, illustration, graphics, typography and tagline.

**Typeface:** A set of characters that share certain design features such as height, shape, stress, and contrast in stroke weights. For example, Arial, Arial Italic, Arial Narrow, Arial Bold Narrow and additional combinations of the Arial font are all comprised under the typeface, Arial (see Chart II).

**Marketing Materials:** A collection of materials that portray a company's image and identity. Materials can include brochures, advertisements, posters, flyers, websites and multimedia presentations.
Chart I: Fonts

<table>
<thead>
<tr>
<th>Font</th>
<th>Font</th>
<th>Font</th>
</tr>
</thead>
<tbody>
<tr>
<td>Times New Roman</td>
<td>Tahoma</td>
<td>Agency</td>
</tr>
<tr>
<td>Broadway</td>
<td>Brush Script</td>
<td>Chancery</td>
</tr>
<tr>
<td>ALGERIAN</td>
<td>Capsital</td>
<td>PALETTE</td>
</tr>
</tbody>
</table>

Chart II: Typeface

<table>
<thead>
<tr>
<th>Font</th>
<th>Font</th>
</tr>
</thead>
<tbody>
<tr>
<td>Arial</td>
<td>Arial Rounded Bold</td>
</tr>
<tr>
<td>Arial Black</td>
<td>Arial Bold</td>
</tr>
<tr>
<td>Arial Narrow</td>
<td>Arial Bold Italic</td>
</tr>
</tbody>
</table>
Limitations

The corporate identity guidelines developed in this project apply only to Rothstein Kass and are not implied or intended to be suited for use at other corporations, institutions or businesses. The guidelines are fitted specifically for Rothstein Kass and not only take into consideration the nuances and business factors of the accounting industry, but also the individual culture, mission and specialties of Rothstein Kass. Although suited for Rothstein Kass, that in no way implies that the guidelines are appropriate for any other accounting firm in the United States or abroad.

The information proposed herein is not intended to prove nor disprove the importance of corporate identity or the legalities and ethical considerations of such. In addition, this research does not provide a comprehensive history of logos and does not provide a comparison of logos to determine the best versus the worst.

All information contained within the corporate identity guidelines is based on the most current information available as of the publication date. However, this information is subject to change as the marketplace evolves and as Rothstein Kass introduces new service lines, modifies its mission and clarifies its vision.

Summary

The purpose of this research and project is to develop corporate identity guidelines for Rothstein Kass, an international accounting and consulting firm. The guidelines will first define the firm’s identity and then set forth instructions regarding how the identity should and should not be used. The guidelines will be divided into sections and will be laid out
in a clear, organized manner so that any person referring to the guidelines will be able to find whatever information is needed very quickly.

As a member of the marketing team at Rothstein Kass for over seven years, the author has both a professional and personal stake in the research and project contained herein. Having researched corporate identity for a number of years and seeing the guidelines set forth by Fortune 500 companies—many of which are readily available on each company’s website—the author realized that Rothstein Kass should follow the same type of identity standards as these highly successful companies. The author believes that implementing and enforcing corporate identity guidelines for Rothstein Kass would greatly benefit the firm and also help the firm stand out in a marketplace crowded with competing accounting firms.

The following chapter will take the reader through the importance of visual communication throughout history and describe the importance of differentiation for companies in today’s marketplace. In addition, the author has included examples of how today’s companies utilize and embrace their individual identities to stand out and further their success.
Chapter II
History and Sociology of Logos

Genesis of Visual Identity

The biology of human beings defines our innate ability to be affected by visual stimuli. The concept of visual communication has been in existence since the beginning of time. Historically, visuals like face paints and markings, types of dress, jewelry and tattoos, have been a means of communication within tribal societies. Oftentimes these visual identifiers and the intrinsic ability to make assumptions or judgments about these identifiers instantly would mean the difference between life and death.

The widespread use of tattoos throughout history and even today is a good example of visual communication. Tattoos have been visual identifiers and a vibrant part of culture for thousands of years for many people, including the ancient Greeks, Germans, Japanese, New Zealanders and tribal groups in the Americas. Icemen dating back to 3300 B.C. have been found with tattoos and the Egyptian mummies dating from 2000 B.C. were also adorned with various markings and tattoos. Markings such as tattoos served many purposes. In some cases, tattoos were used to show a person’s rank or wealth in a tribal society. Or, the tattoos sometimes were an indication of an affiliation with a particular group or tribe. A simple visual identifier, like a tattoo, would help people immediately identify members of their own tribes as well as enemy tribes, and indicate a particular social standing within the hierarchy ("Tattoo" Britannica Student, 2003).

The importance of visual identifiers is still evident in today’s society and throughout Western cultures. For example, gang members in Los Angeles often have a specific
tattoo or utilize a special color to instantly communicate membership in a particular
group. These visual identifiers serve to communicate an instant message to the person
receiving the visual stimulus.

The use of visual identifiers carries over to businesses in the corporate world. Mainly,
the corporate logo is the prime visual identifier for a company and a means to easily
distinguish between a company, affiliation or group. The word “logo” actually means a
name, symbol or trademark designed for easy recognition (“History of logo,” 2003). As
with the use of tattoos, logos help the viewer draw an immediate conclusion about a
company. The logo serves as the visual identifier for a company and ultimately, people
can see a logo and instantly (and oftentimes subconsciously) understand for which
company the logo stands, what it means, and the quality of products or services that the
logo represents.

The concept of corporate identity as well as some of the earliest logo designs can be
traced back to ancient Greece. Logos in ancient Greece, for example, consisted of
ciphers (“History of logo,” 2003), which are “a combination of symbolic letters
oftentimes depicted as interwoven initials of a name” (merriam-webster.com, 2004). The
cipher was often the letters of a name, the initials or the surname of a person which was
then used on stationery, business cards or anywhere a person would want to be

In the thirteenth century, logo design evolved from the simple ciphers to more distinct
trademarks for traders and merchants. Early examples of logo design included mason’s
marks, goldsmith’s marks, paper maker’s watermarks and watermarks for the nobility.
Especially for traders and merchants, logos very simply stated, "this is my identity, my work and craftsmanship, or this is what I have to sell."

Logos and corporate identity have become more important since the emergence of the information age—especially in a brand-obsessed marketplace (see Chart III). Company logos are the face of the business, not only to the public, but also to its employees and the company itself. In a marketplace rampant with countless start-ups, a steady stream of mergers and acquisitions, and an infinite introduction of new products, companies—and their products or services—are becoming increasingly difficult to differentiate. Therefore, a company’s logo must be the visual ambassador, the identifier that goes on everything from business cards to delivery trucks to t-shirts in a regimented and consistent manner. When used effectively, the corporate logo can be the window into the soul of a brand. It helps define a company and what the product or service will do for the customer (Raz, 2002).

The effective use of visual identifiers is not without its challenges. People are bombarded with thousands of images and sounds on a daily basis and eventually it becomes second nature to tune out messages. An example of the overwhelming stimuli that a person may encounter can be demonstrated by a visit to Times Square in New York City. Flashing lights, advertisements, billboards, videos, and more can cause even the most attentive person to shut down (see Picture I).

In his book, Media Unlimited: How the Torrent of Images and Sounds Overwhelm our Lives, Todd Gitlen discusses the quantity of images that people see on a daily basis: "The flow of images and sounds through the households of the rich world, and the richer parts of the poor world, seems unremarkable today. Only a visitor from an earlier
century or an impoverished country could be startled by the fact that life is now played out against a shimmering multitude of images and sounds, emanating from televisions, videotapes, videodiscs, video games, VCRs, computer screens, digital displays of all sorts, always in flux, chosen partly at will, partly by whim, supplemented by words, numbers, symbols, phrases fragments, all passing through screens that in a single minute can display more pictures. And this is not yet to speak of our sonic surroundings: the music, voices, and sound effects from radios, CD players and turntables. Nor is it to speak of newspapers, magazines, newsletters, and books. Most of the faces we shall ever behold, we shall behold in the form of images” (Gitlin, 2002).

Since we are bombarded with so many stimuli, many companies are spending extensive amounts of time, energy and money going through the process of re-branding.

Re-branding can help a company clarify its mission and vision with the hopes that its message will stand out in the marketplace. Some of the nation’s oldest and most reputable companies are going through the re-branding process. In March 2003, UPS announced that it was going to change its logo to reflect its expansion into different service lines. The former logo was developed in 1961 and reflected mainly
that the company delivered packages. Today, along with 22 acquisitions since going
public in 1999, UPS provides services ranging from running warehouses to lending
money. Before deciding to re-brand, UPS spent two years researching and wrestling with
the company’s strongest traditions. It is estimated that the re-branding for UPS will cost
approximately $20 million and will take several years to complete (Brooks, 2003).

Corporate name changes and re-branding have not only been a hot topic within
corporations with products to sell. The service industry—especially accounting and
consulting firms—have joined the bandwagon. Re-branding at accounting firms has
become a frequent occurrence to ensure that the firms’ identities keep up with the pace of
their evolving portfolio of products and services. Seattle-based AccountingNet, for
example, was initially developed to target CPAs and other financial service professionals.
Today, the company is targeting interactive courses to other professions including legal
and human resources and therefore had to change its name from AccountingNet to
Pro2Net to avoid being locked into the accounting niche (McCausland, 2000).

Examples and Exemplars

With an extraordinary amount of time, energy and money being spent on re-branding,
the importance of corporate identity guidelines becomes more apparent. Identity
guidelines are a means to ensuring that a company’s logo and other identifiers are used
consistently—whether it is a standard regarding a pre-determined color, shape, font or
any other element. Most large companies have identity guidelines and oftentimes the
guidelines begin by describing why the guidelines are needed and why they are so
important. Examples from some of the nation’s most reputable companies are shown below:

*Dow*

"The DOW Diamond is one of the Company’s most valuable assets. Its value will increase if it is used properly and consistently in identifying the Company. It can unite the corporation, its divisions and subsidiaries, under one global umbrella. By providing a uniform symbol wherever visual identification occurs, the Diamond projects the quality and professionalism that Dow has come to represent. These standards will provide the consistency and direction that will help Dow achieve its long-term vision of being "A Premier global company ... dedicated to growth ... driven by quality performance and innovation ... committed to maximizing our customers' successes ... always living our Dow values" ("Corporate identity standards," 2004).

*Cap Gemini Ernst & Young*

"These [corporate identity guidelines] provide you with complete reference materials for our corporate identity and brand. It offers seamless access to important brand tools, with correct logotypes, colors, typography and correspondence templates quite literally at your fingertips. More importantly, the site is just one step in the journey to build a unified brand image. It allows us to join forces behind one vision of who we are and what we can become. Help us by using this site and projecting one unified message of who we are to the outside world" ("Welcome to the new visual," 2004).
Schmidt Electronics Asia, Ltd.

"As companies position themselves for growth, the visibility of Schmidt Electronics Asia Ltd. (SEAL)'s presence and performance in the marketplace becomes increasingly important. How SEAL is perceived is the result of corporate image, public perception and the totality of communications that shape the mindset of our stakeholders. Corporate Identity plays a pivotal role in contributing to the reality of SEAL. It depicts graphic standards for the correct use of the SEAL Corporate Signature, our Company's most valuable trademark. Correct usage of the SEAL Corporate Signature keeps its trademark position strong and creates long-term value to Schmidt Electronics Asia Group. Just as a plan is only as good as its execution, a Corporate Identity System is only as good as its implementation. All employees are responsible for using the SEAL Corporate Signature correctly, managing accurate use by all of us as well as the business partners they retain and encouraging awareness of this useful reference tool throughout the Company" ("Corporate identity guidelines," 2004).

Palram

The concept behind the Palram brand is expressed through coherent, uniform, and ongoing brand behavior. A major element of this brand behavior is the brand's visual image. Visual image is expressed first and foremost through the logo chosen to represent the brand identity. Accordingly, the logo will be displayed on the company's stationery, all print material, packaging, and every other element that reaches the public eye. Maintaining strict uniformity of appearance will allow Palram to penetrate awareness and enhance recall of the visual image, thereby making it a brand enjoying high awareness
among its various target audiences. As a major company asset, the Palram brand’s visual image must be carefully maintained and its integrity strictly protected through all marketing activities conducted by Palram or its representatives throughout the world. In the interests of protecting the visual integrity of the Palram brand, the logo has been carefully designed and precise guidelines laid down for its utilization ("The Palram brand," 2004).

Some of the world’s leading companies embrace their corporate identities and use them for a competitive advantage in the marketplace. In a world where consumers are bombarded with images and messages—from radio and television advertising to Internet pop-up advertisements—the ability for one company to be more prominent than its competitor is a key advantage. Since competition in many markets is intense, it is critical that a company’s identity is displayed consistently each and every time it appears. The development and use of corporate identity guidelines can ensure consistency throughout all mediums of communication.
Chapter III

Research Perspectives and Perceptions

Survey Description

The primary purpose of the survey conducted (see Appendix A) was to determine the most critical items required when defining and maintaining corporate identity as well as to gauge the opinions of other accounting firm marketers. The results of the survey subsequently served as the basis for the development of corporate identity guidelines for Rothstein Kass. Survey participants were asked to evaluate ten statements regarding general corporate identity. The survey used the Likert Scale for measuring results. The scale is as follows:

- SA = Strongly Agree
- A = Agree
- N = Neutral
- D = Disagree
- SD = Strongly Disagree

In addition to the ten statements, the author also requested additional optional information. The optional information would provide a point of reference regarding a respondent’s educational background, size of firm and would also be a good indicator of the importance of marketing in that particular firm. It is necessary to understand the background and more importantly, the size of the firm in which the respondents are employed. Professional service firms, such as accounting and law firms, have historically been behind other companies in areas such as technology, human resources, marketing and communication. The author believes that the infrastructure and opinions of marketers at larger accounting firms are more comparable with the infrastructure and
opinions of marketers at the nation’s top corporations. The respondents at smaller, local firms may have a more antiquated view about marketing and corporate identity.

Optional questions in the survey included:

- Gender
- Age
- Level of education
- Title
- Firm revenue
- The average percent of revenues dedicated to marketing and communication activities
- The number of professionals employed by your organization whose primary role is marketing and/or communication activities

In some accounting firms, the firm administrator or the human resources director is responsible for marketing simply because the firm recognizes a need for marketing but is not committed enough to invest in a full-time, qualified individual. In other cases, an accounting partner is assigned to the role of marketing director in addition to his or her responsibility as an accountant. Therefore, it is important to understand the role of each respondent when analyzing the responses to the survey questions.

Population and Sample

The sample population included marketing professionals in accounting and consulting firms throughout the United States as well as managing partners or senior partners in these same firms. The author anticipates that the majority of the survey responses will come from the marketers and few, if any, will come from the managing partners or senior partners.
Anticipated Survey Results

Statement 1: In general, most companies should have a logo or some type of identifying mark to distinguish that company from its competitors.

The number of companies and products that exist in today’s marketplace is staggering and companies and their wares continue to enter into the market regularly. Amidst the poor conditions in today’s economy, the market is still seeing the launch of new companies and products. Since human beings are visual by nature and the number of companies and products that exist are practically beyond comprehension, the author assumes that every company should have a logo or some type of identifying mark to distinguish it from others. Without a logo or identifying mark, it would be impossible to distinguish one company from another or one product from another.

Imagine, for a moment, a world without logos and identity. If a consumer were on a quest for laundry detergent, the consumer would have to stop and read every package to find the particular product he or she is seeking. And, if the shopper were uncertain which product to purchase because there is no means of differentiation through corporate identity, the consumer would most likely make a purchase decision based on price alone. Without logos and corporate identity, the marketplace would become a jungle of products where the only method of differentiation would be the prices of products or services. Living in a world without logos and corporate identity would lead to price wars among different companies and ultimately have a devastating negative effect on the economy.
Statement 2: When I look at a company’s logo, I usually make assumptions about the character of the company.

It is all about appearances in many facets of life. The same holds true in the business world. The way a logo looks communicates a lot about a company and its products. Whether it is done intentionally or not is another question. Think about a logo for a prestigious law firm versus a logo for a New York City nightclub. Or, a logo for an art studio versus one for a construction company. There are many subconscious underpinnings to logo-design and as human beings we interpret things based on our own personal experiences, thoughts and opinions. Graphic elements aside, the use of certain fonts, for example, can have an impact on the meaning of a phrase. Some fonts are very stylish and creative while others are more traditional and conservative. Consider the examples below of a fictional law firm and beauty salon. All other things being equal and not knowing anything about either law firm, whom would most people call if they were in need of legal representation?

Seton Associates, LLC

HALL ASSOCIATES, LLC

Which beauty salon would a bride call to be her stylist on her wedding day?

InStyle Salon

Salon InStyle

Oftentimes a quick glance at a logo will tell a person what types of products and services are provided. The author assumes that people make instantaneous and often
subconscious assumptions about a company in a fraction of a second of seeing a logo. Therefore, the appearance of a logo and what it stands for is extremely important.

**Statement 3:** Consistent use of a logo builds greater recognition and awareness about a company.

Among other stimuli, repetition is what makes people remember. The author believes that using a logo in a consistent manner substantially impacts recall. Imagine the difference in recall under the experiment below (Series I and Series II). If a researcher flashed five images in a row, which series would have the greatest impact and be more memorable in the mind of the viewer? Which series would reaffirm a consistent image?

**Series I**

![Series I images]

**Series II**

![Series II images]

Based on the experiment above, the author concludes that using a logo in a consistent manner makes it easier to distinguish one logo from the next and also makes the logo
more memorable. The consistent and frequent usage also solidifies an image in the mind of the consumer.

**Statement 4:** The goal of corporate identity is to brand a company to the point in which people are able to identify a company solely by its logo.

Some of the most well recognized brands do not need to put the company name next to their logos. The logo in most cases, is enough. Examples of such brands include McDonalds, Mercedes and Pepsi. In the case of McDonalds, even the most health conscious individual can recognize the golden arches from a mile away on a busy freeway. The author believes that the goal of corporate identity is to get to the point in which people do not have to see the name of a company in order to instantly and subconsciously recognize the company for which the logo stands. Although getting to the point where it is possible to recognize a company solely by its logo may only be suited for the large companies and may not be feasible or even reasonable for smaller companies with a fraction of the budget of larger companies. But smaller companies can certainly strive for the same recognition as the larger companies even if on a smaller scale. In an accounting firm, instead of striving to have a recognizable logo to the entire world, perhaps the firm can have strong, instantaneous recognition in a particular business-to-business niche. Perhaps a firm’s top niche is real estate, for example. The goal for that firm could be that everyone in real estate would recognize that particular firm’s logo. Therefore, the author assumes that the goal of corporate identity is to get to the point in which people do not have to see the name but instantly recognize the firm and the services provided just by seeing the firm’s logo.
Statement 5: It is acceptable, on occasion, to change the color of a company’s logo even if it strays from the predetermined corporate colors.

Generally, companies have pre-determined and established corporate colors. These colors generally correspond to the color of a company’s logo. In some instances, there may be a need to change the color of a corporate logo. For example, consider a company that utilizes a two-color logo (red and black). If printing a two-color job in which the colors being used are blue and black, the question becomes, is it acceptable to make the logo blue and black instead of red and black? Or in such cases, should the logo be presented in full black? The author is uncertain regarding this answer but assumes that many participants in the survey will be of the opinion that the logo colors should not be altered under any circumstances.

Statement 6: The use of an agreed-upon font in correspondence should be a component of identity guidelines. (For example, all letters, memos, e-mails, etc, are required to use the font, Times New Roman).

The author is expecting to get mixed responses on this question. Some identity guidelines do include a section for pre-determined typefaces, but many do not. Is the use of a particular font critical to consistency among materials? This question will attempt to resolve this issue. Today’s ease of use of computers and the range of typeface options available gives everyone—not only designers and trained professionals—the ability to use (and abuse) multiple fonts throughout even the most basic documents.
Statement 7: Every employee in a company is responsible for the correct usage and application of a company's logo.

In today's computer-savvy world, it is easy to have corporate logos available in a variety of electronic formats such as TIFFs, JPGs, BMPs and GIFs. This is a great advancement for marketing and communication professionals because the days of physically cutting and pasting artwork onto boards for camera-ready reproduction are over. Advances in technology and the availability of logos in an electronic format have allowed people to work faster and easier. However, having logos in an electronic format enables any employee (not only those involved in corporate communication) to insert logos into various documents. Employees that are not involved in corporate communication may not be aware of the importance of maintaining a consistent corporate image. With untrained professionals utilizing electronic logos, it is very easy for the logo to be manipulated and distorted. Consider the example below. The distortion was accomplished with one simple mouse click but the integrity of the logo is damaged severely.

Correct Logo

Distorted Logo

NORDSTROM

The example above further indicates the need for guidelines and more importantly, a person or group of people to police and enforce proper logo usage.

Statement 8: The company for which I work has clear, reasonable identity guidelines.

Larger companies and corporations most likely have identity guidelines in place. Marketing and corporate communication is only a 20-year old profession in the
accounting industry—an infant in the whole scheme of the corporate world. Since the field is relatively new, the author anticipates that most small firms and even smaller mid-size accounting firms do not have corporate identity guidelines. The larger firms are probably more progressive in this area and may already have guidelines in place.

**Statement 9:** The company for which I work reasonably enforces identity guidelines.

There is a difference between having identity guidelines and actually enforcing them. In smaller firms, guidelines would probably be easier to enforce since the communication department consists of one or two people and there are fewer people to police. But, it is the smaller firms that probably do not have the guidelines to enforce.

**Statement 10:** A strong, positive corporate identity is more important than ever in light of the recent increase in corporate scandals.

Corporate scandals have become commonplace these days. In the accounting industry specifically, the debacle with Enron literally put the largest and one of the most reputable accounting firms, Arthur Andersen, out of business. Confidence in corporations and their leaders is declining and therefore, the author believes that having a strong corporate identity is becoming increasingly important.
Actual Survey Outcomes

Statement 1: In general, most companies should have a logo or some type of identifying mark to distinguish that company from its competitors.

<table>
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<tr>
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<th>No Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>81%</td>
<td>19%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

Twenty-five respondents (81%) strongly agreed that most companies should have a logo or some type of identifying mark. Six respondents (19%) agreed and zero respondents were neutral, disagreed or strongly disagreed. A strong conclusion can be drawn from these results and that is, the author can reasonably assume that most companies should have a logo or distinguishing mark. Although 81% strongly agreed, the author found it interesting that 19% of the respondents simply “agreed” versus “strongly agreed.”

Statement 2: When I look at a company’s logo, I usually make assumptions about the character of a company.

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<tr>
<th>SA</th>
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<th>SD</th>
<th>No Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>26%</td>
<td>48%</td>
<td>16%</td>
<td>10%</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

The responses to this question were not as strong as the author expected. Eight respondents (26%) strongly agreed that they make assumptions about the character of a company based on the logo. Fifteen respondents (48%) agreed, five (16%) were neutral and three (10%) disagreed. The most interesting finding in this question was that 10% of the respondents disagreed. The author believes that the responses were not all “agree” or “strongly agree” because making assumptions based on a logo occurs on a subconscious
level. Often people do not consciously know that they are making judgments. It simply happens subconsciously. The author believes that further conversations with the respondents would reveal that they do in fact make assumptions without recognizing that they are doing it.

**Statement 3:** Consistent use of a logo builds greater recognition and awareness about a company.

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<thead>
<tr>
<th></th>
<th>SA</th>
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<th>No Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>84%</td>
<td>16%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

As expected, most respondents either strongly agreed (84%) or agreed (16%) that the consistent use of a logo builds greater recognition and awareness about a company. This statement, therefore, should be one of the defining factors in Rothstein Kass' identity guidelines.

**Statement 4:** The goal of corporate identity is to brand a company to the point in which people are able to identify a company and its products/services solely by its logo.

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<tr>
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<th>SA</th>
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<th>N</th>
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<th>SD</th>
<th>No Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>26%</td>
<td>42%</td>
<td>6%</td>
<td>23%</td>
<td>0%</td>
<td>3%</td>
</tr>
</tbody>
</table>

The responses to this question yielded the most interesting results of the survey. The author believed that most respondents would fall under the "strongly agree" or "agree" categories and that was not the case. Eight respondents (26%) strongly agreed, thirteen (42%) agreed, two (6%) were neutral, seven (23%) disagreed and one (3%) did not
answer. It is interesting that 23% of the respondents disagreed with the statement. It would be interesting to understand how those respondents would define the purpose of corporate identity.

A respondent who opted not to answer this question did make a notable comment. The respondent stated, “This would be an ideal situation but not very realistic for most accounting firms. It takes a lot of money to promote.” If the author had surveyed 100 more people, comments like this would be more prevalent. It is an indication of the state of the accounting marketing profession. Although the profession has made great strides over the last 20 years, it still has a very long way to go to reach the levels that can be found at the world’s largest and most successful companies.

Statement 5: It is acceptable, on occasion, to change the color of a company’s logo even if it strays from the predetermined corporate colors.

<table>
<thead>
<tr>
<th></th>
<th>SA</th>
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<th>N</th>
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<th>No Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0%</td>
<td>35%</td>
<td>10%</td>
<td>45%</td>
<td>10%</td>
<td>0%</td>
</tr>
</tbody>
</table>

The respondents were split on this question. Eleven respondents (35%) agreed that it is acceptable to change the color of a company’s logo even if it strays from the predetermined corporate colors. Three respondents (10%) were neutral, fourteen (45%) disagreed and three (10%) strongly disagreed. The balance of responses leaned towards it not being acceptable to change the logo colors. After reviewing the respondents’ answers, the author recognized that the question should have clarified that the use of a logo in black and white or grayscale was not considered altering the color. A comment from one respondent when considering altering a logo’s color said, “only rarely and with
colors such as gold or silver to make a statement or complete a look or feel.” Another respondent commented, “black and white applications only.”

Statement 6: The use of an agreed upon font in correspondence should be a component of identity guidelines. (For example, all letters, memos, e-mails, etc. are required to use the font, Times New Roman).

<table>
<thead>
<tr>
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<th>SD</th>
<th>No Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>26%</td>
<td>65%</td>
<td>10%</td>
<td>3%</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

This particular question may identify a preference on the side of the author, but still the question was posed. The majority of respondents (91%) either strongly agreed or agreed. Seven respondents (26%) strongly agreed, twenty (65%) agreed, three (10%) were neutral and one (3%) disagreed. The author believes that a consistent font further solidifies a company’s identity and helps maintain a consistent image throughout all communications in a company. Consider the following e-mail signatures for a company, for example:

**Consistent Use of Font**
- **John Smith**
  - Sales Manager
  - ABC Manufacturing Company
  - 25 Main Street
  - Jackson, NJ 08527

- **Robert Jones**
  - Accounting Supervisor
  - ABC Manufacturing Company
  - 25 Main Street
  - Jackson, NJ 08527

- **Michelle Forester**
  - Director of Operations
  - ABC Manufacturing Company
  - 25 Main Street
  - Jackson, NJ 08527

**Inconsistent Use of Font**
- **John Smith**
  - Sales Manager
  - ABC Manufacturing Company
  - 25 Main Street
  - Jackson, NJ 08527

- **Robert Jones**
  - ACCOUNTING SUPERVISOR
  - ABC MANUFACTURING COMPANY
  - 25 MAIN STREET
  - JACKSON, NJ 08527

- **Michelle Forester**
  - Director of Operations
  - ABC Manufacturing Company
  - 25 Main Street
  - Jackson, NJ 08527
The majority of respondents agreed and one respondent offered the following comment: "A policy like this [agreed upon font] helps deliver a consistent look."

Although the e-mail signatures would not be appearing side-by-side, the author believes that a consistent typeface throughout all communications portrays a more cohesive, professional and clean look.

**Statement 7:** Every employee in a company is responsible for the correct usage and application of a company's logo.

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<th>No Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>48%</td>
<td>52%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

One hundred percent of the respondents either strongly agreed or agreed that every employee in a company is responsible for the correct usage and application of a company's logo. Fifteen respondents (48%) strongly agreed and sixteen (52%) agreed. It would be interesting to poll professionals that are not in the marketing or communication field within these firms to gauge their opinions on this question. The author believes that professionals in non-marketing fields may not fully understand the importance of corporate identity, proper logo usage or portrayal of a consistent image.
Statement 8: The company for which I work has clear, reasonable identity guidelines.

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<th>SD</th>
<th>No Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>13%</td>
<td>55%</td>
<td>16%</td>
<td>16%</td>
<td>0%</td>
<td>0%</td>
<td></td>
</tr>
</tbody>
</table>

As expected, the results to this question varied. Four respondents (13%) strongly agreed, seventeen (55%) agreed, five (16%) were neutral and five (16%) disagreed. The author expected that there would be a correlation between firm revenue and the responses to the question. That is, the larger the firm in terms of revenue, the more likely the firm would be to have identity guidelines. According to the survey results, a correlation could not be drawn between firm revenue and existence of identity guidelines. Further investigation would need to be conducted to see if a correlation exists.

Statement 9: The company for which I work reasonably enforces identity guidelines.

<table>
<thead>
<tr>
<th></th>
<th>SA</th>
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<th>N</th>
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<th>SD</th>
<th>No Answer</th>
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<tbody>
<tr>
<td>13%</td>
<td>35%</td>
<td>16%</td>
<td>32%</td>
<td>3%</td>
<td>0%</td>
<td></td>
</tr>
</tbody>
</table>

This question yielded interesting results when compared to Statement 8. Four (13%) strongly agreed, eleven (35%) agreed, five (16%) were neutral, ten (32%) disagreed and one (3%) strongly disagreed. The results lead the author to believe that accounting firms that are forward thinking enough to have corporate identity guidelines, are having difficulty enforcing them. The problem could be that although the guidelines were developed, no person or group of people is assigned to enforce them. In addition, the existence of identity guidelines does not necessarily mean that the firm’s management truly understands the importance.
Statement 10: A strong, positive corporate identity is more important than ever in light of the increase in corporate scandals.

<table>
<thead>
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<th>N</th>
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<th>SD</th>
<th>No Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>26%</td>
<td>42%</td>
<td>26%</td>
<td>6%</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

The author was certain that most respondents would strongly agree with this statement especially since Arthur Andersen, the largest accounting and consulting firm in the world was completely ruined recently from a corporate scandal. But, that was not the case. There seemed to be mixed feelings regarding the importance of identity in turbulent times.

Survey Conclusion

Overall, the survey yielded results close to what the author had expected. However, in some categories, the responses were not as strong in one direction as expected. In the survey, there was a section for additional comments regarding corporate identity. Few respondents offered additional information, but the ones that did had interesting information and thoughts to share. Some comments collected are shown below:

“A brand is internally created – it is the how and why a company operates. Image should reflect those internal branding issues.”

“I think this is something that larger companies are very diligent about, but is also something small to mid-size firms should work on.”
“I think corporate identity goes far beyond a logo and font. I think mission/vision are important elements and how the mission/vision is communicated and believed both inside and outside the company.”

“Professional service firms struggle with names, logos and branding primarily due to the partner’s egos and ignorant opinions. It is a tough nut to crack.”

“I think a logo is important to corporate identity, but I wouldn’t characterize it as a be-all/end.”

“While corporate identity is nice, we’ve seen companies with some of the best corporate identities have the biggest problems, which makes corporate identity seem superficial.”

“Although corporate logos are not necessary for recognition, it’s nice to have a logo which allows you to customize almost anything which sends out a better image. We recently changed company names and are currently developing a logo. The lack of a logo right now is definitely noticed by all.”

Based on the survey responses, the author believes that accounting firms are beginning to better understand the importance of corporate identity. The challenge, however, will be getting the owners of each firm to support the importance and support the marketing staff in their identity efforts. Doing so will be an uphill battle but those marketers in
accounting firms that push for this type of support today will be paving the way for future generations of accounting marketers.
### Optional Questions: Results

<table>
<thead>
<tr>
<th>Gender</th>
<th>No. of Respondents</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Male</td>
<td>7</td>
<td>23%</td>
</tr>
<tr>
<td>Female</td>
<td>23</td>
<td>77%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Age</th>
<th>No. of Respondents</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
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<td>0</td>
<td>0</td>
</tr>
<tr>
<td>21-30</td>
<td>8</td>
<td>27%</td>
</tr>
<tr>
<td>31-40</td>
<td>11</td>
<td>37%</td>
</tr>
<tr>
<td>41-50</td>
<td>6</td>
<td>20%</td>
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<td>51-60</td>
<td>4</td>
<td>13%</td>
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<tr>
<td>61-70</td>
<td>1</td>
<td>3%</td>
</tr>
<tr>
<td>71 or above</td>
<td>0</td>
<td>0%</td>
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</tbody>
</table>

<table>
<thead>
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<th>Education Level</th>
<th>No. of Respondents</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
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<td>0</td>
</tr>
<tr>
<td>Some college</td>
<td>2</td>
<td>7%</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>16</td>
<td>53%</td>
</tr>
<tr>
<td>Some graduate</td>
<td>3</td>
<td>10%</td>
</tr>
<tr>
<td>Graduate</td>
<td>7</td>
<td>23%</td>
</tr>
<tr>
<td>Postgraduate</td>
<td>2</td>
<td>7%</td>
</tr>
<tr>
<td>Other</td>
<td>0</td>
<td>0%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Title</th>
<th>No. of Respondents</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal/partner</td>
<td>3</td>
<td>10%</td>
</tr>
<tr>
<td>Marketing director</td>
<td>17</td>
<td>57%</td>
</tr>
<tr>
<td>Marketing coordinator</td>
<td>6</td>
<td>20%</td>
</tr>
<tr>
<td>Other</td>
<td>4</td>
<td>13%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Firm Revenue</th>
<th>No. of Respondents</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Under $5 mil.</td>
<td>9</td>
<td>30%</td>
</tr>
<tr>
<td>$5 mil. - $25 mil.</td>
<td>12</td>
<td>40%</td>
</tr>
<tr>
<td>$25 mil. - $50 mil.</td>
<td>2</td>
<td>7%</td>
</tr>
<tr>
<td>$50 mil. - $75 mil.</td>
<td>1</td>
<td>3%</td>
</tr>
<tr>
<td>$75 mil. - $100 mil.</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Over $100 mil.</td>
<td>3</td>
<td>10%</td>
</tr>
<tr>
<td>No answer</td>
<td>3</td>
<td>10%</td>
</tr>
</tbody>
</table>
Average percentage of revenue dedicated to marketing and communication activities annually.

<table>
<thead>
<tr>
<th>No. of Respondents</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not sure</td>
<td>3</td>
</tr>
<tr>
<td>Under 1%</td>
<td>3</td>
</tr>
<tr>
<td>1%</td>
<td>4</td>
</tr>
<tr>
<td>2%</td>
<td>5</td>
</tr>
<tr>
<td>3%</td>
<td>7</td>
</tr>
<tr>
<td>4%</td>
<td>5</td>
</tr>
<tr>
<td>5%</td>
<td>2</td>
</tr>
<tr>
<td>6%</td>
<td>0</td>
</tr>
<tr>
<td>7%</td>
<td>0</td>
</tr>
<tr>
<td>8%</td>
<td>0</td>
</tr>
<tr>
<td>9%</td>
<td>0</td>
</tr>
<tr>
<td>10%</td>
<td>0</td>
</tr>
<tr>
<td>11%</td>
<td>0</td>
</tr>
<tr>
<td>12%</td>
<td>0</td>
</tr>
<tr>
<td>13% or more</td>
<td>0</td>
</tr>
<tr>
<td>No answer</td>
<td>1</td>
</tr>
</tbody>
</table>

How many professionals (excluding administrative staff) are employed by your organization whose primary role is marketing and/or communication?

<table>
<thead>
<tr>
<th>No. of Respondents</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>1</td>
<td>18</td>
</tr>
<tr>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>4</td>
<td>0</td>
</tr>
<tr>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>6</td>
<td>1</td>
</tr>
<tr>
<td>7</td>
<td>0</td>
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<td>8</td>
<td>0</td>
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<tr>
<td>9</td>
<td>0</td>
</tr>
<tr>
<td>10</td>
<td>1</td>
</tr>
<tr>
<td>11 or over</td>
<td>3</td>
</tr>
</tbody>
</table>
Chapter IV

Corporate Identity Guidelines for Rothstein Kass

The following pages are the actual corporate identity guidelines for Rothstein Kass.

The guidelines outline the correct and incorrect uses of the firm's logo as well as provide standards for typography, graphic design and imagery selection. When the guidelines have been proven reasonable, they will be implemented and enforced at Rothstein Kass under the watchful eye of the marketing department.
Corporate Identity Guidelines
# Introduction

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Presentations ............................................................................... 5.3
CD ROM Labels .......................................................................... 5.4
Business Card CD ....................................................................... 5.5
Corporate identity ("identity") is a collection of visual elements that represent a company. Contrary to popular belief, identity is not synonymous with a logo. Identity should extend far beyond logo design and dictate a look, feel and tone for any communication that goes into the marketplace—visual or verbal. Identity elements should be applied consistently to all items including advertising, marketing communications, sales kits, websites, stationery and office decor, among others.

As with other companies, Rothstein Kass' identity does not exist in a vacuum. The firm's brand, vision, philosophy and values are at the core of its identity. The Initial development of the firm's identity included taking the pure essence of the firm, analyzing it and melding it into relevant visual representations that could be applied throughout any medium.

In order to be effective and to help support Rothstein Kass' brand, the firm's identity must be applied consistently and with great frequency in the marketplace. Consistency is critical as it helps the firm differentiate itself from competitors, solidify its image and enhance awareness to constituents.

A strong corporate identity can be a major asset for a company. As with any asset, identity must be managed and strengthened. To manage the firm's identity, Rothstein Kass has implemented strict identity guidelines. Without guidelines there would not be consistency throughout the firm's communications and no correct or incorrect way to utilize the logo and visual elements.

It is the responsibility of every person at Rothstein Kass to understand corporate identity and ensure its correct application. The guidelines are not meant to stifle creativity, but rather give a range of design and color options to enhance creativity while keeping within certain boundaries. Although members of the marketing and communication team are most often the personnel utilizing visual elements, today's ease of use of computers allows any person to take the firm's logo, for example, and manipulate it however they see fit.

Applying strict standards ensures that Rothstein Kass' identity is easily recognizable in a marketplace that is cluttered with messages. The guidelines set forth in this manual will ensure consistency throughout Rothstein Kass' communications and strengthen the firm's brand. Guidelines are subject to change in the future as the Rothstein Kass brand evolves, its service lines expand and the firm grows. However, the guidelines set forth in this manual today are considered current and relevant and must be followed without exception.

If you have any questions regarding these guidelines, please contact a member of the marketing and communication team at (973) 994-6666 or marketing@rkco.com.
Graphic Standards
Rothstein Kass' logo is the primary visual expression used to identify the firm. Maintaining uniformity and ensuring consistent usage throughout all mediums of communication will help position the firm for future growth as well as enhance awareness and recall in the marketplace.

The logo for Rothstein Kass consists of three basic elements: the graphic, logotype and tagline. The graphic incorporates the letters "R" and "K" for the founders of the firm, Marvin Rothstein and Irving Kass. Although the firm has grown far beyond the two founders, the continued usage of this graphic suggests strength in the firm's foundation and a commitment to the traditional, high-quality and personalized service that was prevalent in the 1950's when the firm was founded.

The logotype for Rothstein Kass' logo is Crilee Italic. The typestyle in its basic form is very bold which further signifies strength, endurance and a solid foundation.

The tagline, certified public accountants, describes the services provided by the firm. This is an important component to distinguish the firm from other organizations that frequently utilize the names of partners/owners as the company name (e.g. law, architectural, engineering, consulting and other professional services firms).

The corporate logo should appear on all firm communications including, but not limited to, letters, proposals, websites, faxes, memos, advertisements and collateral materials. Only authorized electronic versions and/or camera-ready reproductions of Rothstein Kass' logo may be used. Authorized versions can be obtained from the marketing and communication department.
To maximize visibility and ensure prominence, sufficient clear white space is required around the logo. Rothstein Kass’ logo should always be separate from other graphic and text elements in the communication such as addresses, headlines, copy text and imagery.

The logo width should never be smaller than 1.75" in size. The minimum size requirement maintains the integrity of the logo and ensures readability and quality results when the logo is reproduced. The maximum size requirement is measured by the width of the logo. All logo components should be scaled proportionately to the width.
Instances may arise when the use of the full Rothstein Kass logo is redundant and unnecessary (such as documents with multiple pages). In such cases, you may utilize the Rothstein Kass graphic on its own. HOWEVER, the first page of any document MUST contain the Rothstein Kass logo in its entirety. The Rothstein Kass graphic should never be utilized as the sole logo of any document or on the first page of any document. In addition, the graphic must appear in its original form. That is, the symbol should not be altered or modified in any way, shape or form.

The full logo must appear on the first page of any document (when utilizing the logo).

The graphic must be left intact and can only be used in instances where the full logo already appeared.

Not...

Internal Control Recommendations for Acme Company, Inc.

But...

Internal Control Recommendations for Acme Company, Inc.
Rothstein Kass' logo colors are RK Blue (Pantone 307) and black. Whenever possible, utilize the two-color logo with RK Blue and black. The use of Pantone colors will ensure accuracy every time the logo is reproduced professionally and the consistent color will maintain continuity throughout all firm-wide communications.

In some cases, the use of Pantone colors will not be a feasible option and therefore, a close representation of Pantone 307 should be created utilizing CMYK or RGB formulas.

The two-color logo should always be preferred over a one-color alternative. If a one-color logo is the only option, utilize a full black version of the logo on light backgrounds. If the background is very dark, utilize a one-color logo in white as the alternative.
Utilizing Pantone 307 throughout firm wide communications solidifies a look and feel throughout all mediums. Rothstein Kass' graphic should always be represented with 100% Pantone 307. Other complimentary graphic elements can be any shade of Pantone 307.

When Pantone colors are not an option because you are creating graphics for online usage, use the RGB alternative to Pantone 307. For professionally printed materials where the use of Pantone colors is not an option, use the CMYK alternative to Pantone 307.
Correct usage of Rothstein Kass' logo is essential to the integrity of the firm's identity program and overall brand. Modifications to the size, shape or integrity of the logo weakens the firm's identity.

The examples shown here are instances of incorrect logo usage. There are numerous other incorrect applications and if you have any questions regarding the correct usage, you should contact a member of the marketing and communication team for clarification. It is everyone's responsibility to maintain the integrity of the firm's logo, so be sure to review and fully understand these concepts.

Never alter Rothstein Kass' graphic or alter the relationship between the graphic, logotype and tag line except as explained in Section 1.3 - Graphic Usage.

Do not change the color of the logo or any logo component.

Do not expand or condense the logo.

Do not substitute typefaces for the Rothstein Kass logotype or tag line.
Do not alter the relationship between the graphic, logotype and tag line.

Do not use old versions of the Rothstein Kass logo.

Do not create logos for programs, groups or initiatives (internal or external).

Rothstein, Kass & Company, P.C.
CERTIFIED PUBLIC ACCOUNTANTS

Rothstein Kass
CERTIFIED PUBLIC ACCOUNTANTS

RK Section 404 Initiative

RK Employee Relations Committee
Rothstein Kass' logo reproduces the best on a white background. On occasion, the logo will be used on a black background. On black backgrounds, either the two-color logo or one-color white logo can be used. The green outlined boxes below indicate the acceptable logos on a black background.

On any dark background other than black, the one-color white logo should be used.

100% black background

80% black background

60% black background

40% black background

20% black background

Two-color Rothstein Kass logo

Reversed Rothstein Kass logo
Color is a strong visual enforcer of Rothstein Kass' identity and brand. The use of a pre-defined palette of colors creates added consistency throughout all mediums where used. The color palette consists of a broad range of colors that can be used alone or in combination. The palette has been selected to represent the firm's identity while allowing enough flexibility to be creative.

Any communication piece developed must conform to the approved colors in the palette. Colors shown below may not be reproduced accurately on screen. For exact color representation, you should refer to a Pantone swatch book.
1.11 Color Palette - Bright Colors

RK Orange Pantone 137
- C: 0%
- M: 35%
- Y: 90%
- K: 0%
- R: 100%
- G: 56%
- B: 0%

RK Lavender Pantone 272
- C: 90%
- M: 48%
- Y: 0%
- K: 0%
- R: 26.4%
- G: 38.9%
- B: 70.9%

RK Red Pantone 221
- C: 0%
- M: 100%
- Y: 15%
- K: 30%
- R: 55.1%
- G: 4%
- B: 22.4%

RK Green Pantone 340
- C: 100%
- M: 0%
- Y: 66%
- K: 9%
- R: 0%
- G: 49.8%
- B: 30.4%

RK Yellow Pantone 113
- C: 0%
- M: 7%
- Y: 66%
- K: 0%
- R: 100%
- G: 84.5%
- B: 28.6%

RK Gray/Blue Pantone 285
- C: 89%
- M: 43%
- Y: 0%
- K: 0%
- R: 0%
- G: 40%
- B: 79.3%
Typography
2.1 Typeface - Marketing Communication

The use of specific typefaces ensures consistency throughout print materials and even the most basic forms of communication like the memo and fax. Therefore, typography is an essential part of Rothstein Kass’ identity program.

Several typefaces have been selected for the firm’s identity program. There are various style and weight options available in each typeface to ensure flexibility in delivering specific messages.

**Octavian**
- Use for headlines and subheadings

<table>
<thead>
<tr>
<th>Aa</th>
<th>Octavian</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>abcdefghijklmnopqrstuvwxyz</td>
</tr>
<tr>
<td></td>
<td>ABCDEFGHIJKLMNOPQRSTUVWXYZ</td>
</tr>
<tr>
<td></td>
<td>123456789@#$%^&amp;*()</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Aa</th>
<th>Octavian Bold</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>abcdefghijklmnopqrstuvwxyz</td>
</tr>
<tr>
<td></td>
<td>ABCDEFGHIJKLMNOPQRSTUVWXYZ</td>
</tr>
<tr>
<td></td>
<td>123456789@#$%^&amp;*()</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Aa</th>
<th>Octavian Italic</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>abcdefghijklmnopqrstuvwxyz</td>
</tr>
<tr>
<td></td>
<td>ABCDEFGHIJKLMNOPQRSTUVWXYZ</td>
</tr>
<tr>
<td></td>
<td>123456789@#$%^&amp;*()</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>AA</th>
<th>OCTAVIAN SMALL CAPS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>abcdefghijklmnopqrstuvwxyz</td>
</tr>
<tr>
<td></td>
<td>ABCDEFGHIJKLMNOPQRSTUVWXYZ</td>
</tr>
<tr>
<td></td>
<td>123456789@#$%^&amp;*()</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Aa</th>
<th>Mrs Eaves Roman</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>abcdefghijklmnopqrstuvwxyz</td>
</tr>
<tr>
<td></td>
<td>ABCDEFGHIJKLMNOPQRSTUVWXYZ</td>
</tr>
<tr>
<td></td>
<td>123456789@#$%^&amp;*()</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Aa</th>
<th>Mrs Eaves Roman Lining</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>abcdefghijklmnopqrstuvwxyz</td>
</tr>
<tr>
<td></td>
<td>ABCDEFGHIJKLMNOPQRSTUVWXYZ</td>
</tr>
<tr>
<td></td>
<td>123456789@#$%^&amp;*()</td>
</tr>
</tbody>
</table>

Mrs Eaves Roman should be used for letters and symbols only. If numbers appear in your text, you should use Octavian for the numbers.

**Not...**

| 123456799 |

**But...**

| 123456798 |

Mrs Eaves Roman Octavian
The fonts below should be used for all PC-generated correspondence which may include faxes, memos, invoices, proposals, presentations or other documents. For general correspondence, employees should use the firm’s approved corporate typefaces which are Verdana or Times New Roman. Verdana and Times New Roman are standard on most computer systems. If Times New Roman or Verdana are unavailable to you, the typeface Arial is an acceptable and approved substitution.
Lorem Ipsum Dolor

Marketing Collateral

Dear Ms. Smith:


General Correspondence
Administrative Applications
Each office has its own stationery. The layout must remain consistent from office to office and include every component as indicated in the example below.

It is critical to include the legal name of the firm where noted. For example, the firm's Dallas office operates under the legal name, Rothstein, Kass & Company, PLLC while the Beverly Hills office operates under the legal name, Rothstein, Kass & Company, P.C. All separate legal entities utilize the Rothstein Kass generic logo and to ensure clarity for liability reasons, the firm must specify the legal entity on the letterhead.

---

Paper Stock:
Strathmore Pure Cotton Wove
Bright White 28 lb.
or comparable stock
3.3 Envelopes and Mailing Labels

Standard #10

Sample is shown at 60% actual size

Mailing Label

Sample is shown at actual size
Fax

Date: March 11, 2004
To: Jane Smith
Fax: 877-905-0005
From: John Smith
Re: Agreement
Page: 1, including this one

Memo

Date: March 11, 2004
To: Jane Smith
From: John Smith
Re: Agreement
Promotional items branded with Rothstein Kass' identity are an important means to gain additional exposure and solidify the firm's name in the marketplace.

When developing items for employee use such as t-shirts, golf shirts, luggage tags or mugs, utilize the two-color logo whenever possible. For internal items, you may use the Rothstein Kass graphic on its own as long as the full logo appears somewhere else on the item.

The firm's identity should only be applied to high-quality items.

Most vendors can utilize Pantone colors for an additional charge.
Branded items for external use should be of the highest quality within the budgeted price range for the item. Items that are brushed aluminum, brushed steel or silver help maintain a cutting edge, contemporary look and feel.

Promotional items should be laser engraved when possible to continue the sleek, contemporary look. If laser engraving is not an option, a tone-on-tone alternative can be used (e.g. gray on gray) to simulate laser engraving. Items utilizing two-color imprints should use RK Blue and black. Utilize Pantone colors whenever possible.

Promotional items that are for external consumption should include the firm’s website address whenever possible.

Always try to select items where the website address can fit.

A tone-on-tone imprint gives the illusion of laser engraving.
Marketing Communication Applications
Photos and illustrations communicate messages instantly and should reinforce Rothstein Kass’ identity. Imagery used throughout the firm’s communications should be carefully selected in order to portray an image of a cutting edge, contemporary firm.

Photos should be simple, colorful and relevant for the communication. Avoid using cluttered photos and cliche images. The images below are samples that could be used to portray certain industries the firm serves. Images selected to portray the firm’s service lines—tax consulting, accounting and audit, due diligence, etc. should show business people in a working environment advising clients. It is important to communicate personalized service through imagery on service pieces.
Do not use clip art or cartoon-like images.

Do not use images that look dated because of hair style or clothing.

Do not use images that look dated because of photo content or picture quality.

Do not use images of people in casual settings unless it directly relates to the communication.
The use of standard approved graphic elements ensures a consistent look throughout numerous mediums such as print, presentations, advertising and e-applications. Rothstein Kass' graphic elements are simple and clean, but allow designers to have a range of options available for creativity.

Any color or shade in the Color Palette (Section 1.9) can be applied to the graphic elements. The elements may be used in combination where necessary.
Color Bar Graphic
Marketing materials pull together a number of components from the identity guidelines such as typeface, color and imagery. Any materials designed should utilize the pre-defined layout as demonstrated below.

The layout should include a title, copy text, office addresses, website and logo.
Use of the pre-defined layout gives marketing materials a consistent look.
e-Applications
5.1 E-mail Signature

People often use e-mail signatures as a means of personal expression utilizing different typefaces, adding inspirational quotes and including graphics. The purpose of these guidelines is not to inhibit creativity, but rather create and maintain a consistent image throughout all means of communications. Since e-mail has become the preferred method of communication internally and externally, it is important to maintain consistency and professionalism for employee e-mail signatures.

**Standard E-mail Signature**

**William Mathers, CPA**
Senior Manager
Rothstein Kass
85 Livingston Avenue
Roseland, NJ 07068
Phone: (973) 994-6666
Fax: (973) 994-0337
E-mail: wmathers@rkco.com


**Do not use non-approved typefaces.**

**William Mathers, CPA**
Senior Manager
Rothstein Kass
85 Livingston Avenue
Roseland, NJ 07068
Phone: (973) 994-6666
Fax: (973) 994-0337
E-mail: wmathers@rkco.com


**Do not use any color besides black.**

**William Mathers, CPA**
Senior Manager
Rothstein Kass
85 Livingston Avenue
Roseland, NJ 07068
Phone: (973) 994-6666
Fax: (973) 994-0337
E-mail: wmathers@rkco.com


**Do not use tag lines, graphics, emoticons, or quotes as part of your signature.**

**William Mathers, CPA**
Senior Manager
Rothstein Kass
85 Livingston Avenue
Roseland, NJ 07068
Phone: (973) 994-6666
Fax: (973) 994-0337
E-mail: wmathers@rkco.com


God Bless America! ©
The firm's identity guidelines apply to any website application for the firm. Websites for the firm's affiliated companies and sites for employee or client usage should utilize the same basic layout as seen below. The sites should also conform to the color palette dictated in these guidelines. Although the spectrum of web colors is not as broad as print colors, colors in the firm's palette should be matched as closely as possible.
Many members of the firm give presentations throughout the year. PowerPoint templates have been developed with Rothstein Kass’ identity. Templates are available for download on the firm’s Intranet.

Template utilizing the color band graphic

Sarbanes-Oxley
The Impact on Private Companies

Template utilizing the colored bar graphic.
More and more, information is being delivered via electronic media instead of printed hard copy. As a result, the firm’s identity has been applied to a series of CD ROM labels. The intended purpose for the CD has a different color scheme. For example, client documents and communications utilize RK Blue. Marketing applications utilize RK Purple, educational materials for clients utilize RK Burnt Orange and the human resources department utilizes RK Red.
Rothstein Kass has developed a multimedia presentation which describes the firm and its services. The presentation serves as an electronic brochure and can be burned onto a business card CD. The CD can be labeled as either a generic marketing piece or private labeled and used as a personal e-business card.

Generic business card CDs can be used at trade shows, conferences and events.

E-business cards show the firm's cutting edge use of technology.
Chapter V

Summary

The corporate identity guidelines for Rothstein Kass contain comprehensive details regarding logo usage. In addition, the guidelines explore the applications of the logo as well as provide an approved color palette for maintaining a consistent look and feel throughout all marketing communication materials. The guidelines cover applications such as letterhead, business cards, industry and service descriptions, promotional items and website applications, among others.

Corporate identity guidelines serve as an important tool for companies that have multiple office locations and multiple employees creating and approving company wide marketing materials. It is often too cumbersome to have one person police the activities of the entire company. Developing and implementing identity guidelines helps ensure that any department with design responsibilities will create pieces that have a consistent look and feel. Although the marketing and communication department at Rothstein Kass is geographically located in one office, the guidelines will help the team create consistent and contemporary materials. The guidelines will also be definitively in place when the firm eventually does decide to expand its marketing and communication team to other offices around the world. The current marketing and communication team will be one step ahead if the guidelines are already firmly in place and strictly enforced throughout the firm.
Implementation

Before the identity guidelines are ready to be enforced, it is necessary that the guidelines go through a rigorous trial period to ensure that the guidelines set forth are reasonable and flexible enough to allow room for creativity. Any application in which the logo or approved design elements can be applied need to be considered to ensure the guidelines can be enforced as needed. When it has been determined that the guidelines are in fact reasonable and up to the quality standards of the firm, the guidelines will be implemented and strictly enforced.

The guidelines would be presented and discussed with members of the marketing team. The importance of the guidelines would be made very clear and each member would be reminded that they must adhere to the guidelines and must not stray from them under any circumstance. After the members of the marketing and communication department are comfortable with the guidelines, an announcement would be made to inform all firm members that identity guidelines have been developed and will be strictly enforced.

There have been a number of occasions that the author can cite when employees at Rothstein Kass that are on the accounting staff have used the logo incorrectly. In most cases, the logo is distorted from stretching it to fit into an area. In addition, there have been other occasions when the logo has been broken up and manipulated to fit into a certain area. Unfortunately, a comprehensive list of all communications that utilize the firm’s logo does not exist. The logo is used on hundreds of documents from financial statements to online invoices to presentations. The marketing and communication team
will be advised to be vigilant regarding improper logo usage. Incorrect usage will then be addressed and corrected as the instances are discovered.

A series of internal seminars will be developed to introduce all firm members to the firm’s identity guidelines. Although most of the guidelines will not apply to the general staff at Rothstein Kass, the topic of logo usage should be addressed, discussed openly and understood by everyone.

The corporate identity guidelines will subsequently be posted on the firm’s Intranet so any employee can refer to the manual if questions arise. Clear instructions regarding whom to contact with questions will be included with the guidelines to ensure that if there are any questions, the person would immediately be able to find the appropriate person to contact.

**Benefits**

For the first time in Rothstein Kass’ 45-year history, the firm will have strict guidelines regarding the usage of its logo. This will benefit the firm tremendously in its quest to solidify its identity and differentiate itself from competitors in the markets where it has a presence. Because the firm lacked guidelines regarding design elements or logo usage, many of the firm’s marketing materials have varied looks. By applying these new standards, the firm will begin to have a cohesive, professional and modern look throughout its materials. Over time, a person should be able to look at an advertisement, for example, that was developed by the firm and be able to instantly recognize it as a communication from Rothstein Kass.
Future Goals

Once the guidelines have been in effect for a period of time, they will be revisited to ensure they are still current and relevant. The identity guidelines for Rothstein Kass will be expanded to include the firm’s affiliates. Currently, the firm’s affiliates exist as separate legal entities. Most affiliates use the graphic component from the Rothstein Kass logo as part of their own logos. In the future, a recommendation will be made to management to focus on Rothstein Kass as the master brand and umbrella for the affiliates. Today, the firm’s affiliates include:

- RK Consulting (fund administration services)
- RK Risk Management (risk management and insurance consulting)
- RK Executive Search (executive search, staffing and human resources consulting)
- RK Systems Solutions (information technology services)
- RK Reporter (Internet-based document reporting portal)
- Siegel Rich Division (business consulting services)
- RK Business Management Group (business management for the entertainment industry)

In today’s marketing efforts, the communications focus on the *entity* versus the *services* that the entity provides. For example, a brochure for the firm’s risk management division would be entitled, “RK Risk Management, LLC.” In the future, the author would like to see the service as the focus versus the legal entity providing the service (see Chart IV). If it is necessary to mention the entity name for legal and/or liability purposes, the entity name can be placed discreetly somewhere on the communication.
Chart IV: Branding Conventions

Today

RK Risk Management, LLC

Future

Rothstein Kass
CERTIFIED PUBLIC ACCOUNTANTS

Risk Management and
Insurance Consulting Services

Today

RK Executive Search, LLC

Future

Rothstein Kass
CERTIFIED PUBLIC ACCOUNTANTS

Executive Search and Staffing
The importance of visuals in every aspect of our lives is without question, and based on the results of the survey conducted in this research, accounting marketers appear to have a good understanding of the corporate identity concept and its benefits. The challenge will always be convincing the owners of each firm that spending time, energy and resources on corporate identity initiatives will indirectly add revenue to the bottom line. But, as time goes on and marketers in accounting firms continually prove their value, convincing the management and owners of their individual firms that corporate identity is not an option but rather a necessity should become less and less challenging.

By implementing the corporate identity guidelines found in this document, Rothstein Kass is taking the first step toward developing and maintaining a consistent identity, image and brand in the marketplace. Although the implementation will be a long process and the guidelines will need to be refined over time, the initial implementation will prove to be the most challenging. But, the challenge will not be without great rewards. The author believes that those firms that take the initiative on policies such as corporate identity will be the ones that lead the accounting profession into the future and will prove to be the most successful by virtue of instant recognition, solid reputation and pure professionalism.
Appendix

Survey

The following pages include the survey used for this research.
Survey

This survey is a vital part of research being conducted for a thesis project to receive a Master of Arts in Corporate and Public Communication. The purpose of this research is to develop Corporate Identity Guidelines for a company. The survey results will help the researcher determine the elements that are most critical in defining, developing and maintaining corporate identity and subsequently serve as the basis for the comprehensive Identity Guidelines.

All survey responses are strictly confidential. If you would like to know the final survey results and conclusions of the research, please contact me at ksidney@optonline.net and I will send you a copy.

Please return the completed survey to:

Kathleen Sidney
778 East Veterans Highway
Jackson, NJ 08527

Your participation in this project is greatly appreciated.

Thank you.

---

Corporate Identity

Corporate identity includes all graphic elements that represent a company. It includes choosing "corporate colors" and applying them to a logo and creating layouts for stationary as well as developing graphic standards for products, packaging and signage. It sometimes even includes developing the look of sales kits, media advertising, promotions and even office decor.
### Part I: Survey Questions

Based on the scale below, please circle the answer that most closely represents your opinion.

<table>
<thead>
<tr>
<th>SA</th>
<th>Strongly Agree</th>
<th>A</th>
<th>Agree</th>
<th>N</th>
<th>Neutral</th>
<th>D</th>
<th>Disagree</th>
<th>SD</th>
<th>Strongly Disagree</th>
</tr>
</thead>
</table>

1. In general, most companies should have a logo or some type of identifying mark to distinguish that company from its competitors.  

2. When I look at a company’s logo, I usually make assumptions about the character of the company.  

3. Consistent use of a logo builds greater recognition and awareness about a company.  

4. The goal of corporate identity is to brand a company to the point in which people are able to identify a company solely by its logo.  

5. It is acceptable, on occasion, to change the color of a company’s logo even if it strays from the predetermined corporate colors.  

6. The use of an agreed upon font in correspondence should be a component of identity guidelines. (For example, all letters, memos, e-mails, etc. are required to use the font, *Times New Roman*).  

7. Every employee in a company is responsible for the correct usage and application of a company’s logo.  

8. The company for which I work has clear, reasonable identity guidelines.  

9. The company for which I work reasonably enforces identity guidelines.  

10. A strong, positive corporate identity is more important than ever in light of the recent increase in corporate scandals.  

---

*Please offer any additional comments that you have regarding corporate identity.* 

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Part II: Optional Questions

Please answer any or all of the questions below.

Gender: □ Male    □ Female

Age:    □ 21-30    □ 31-40    □ 41-50    □ 51-60
        □ 61-70    □ 70 or above

Level of Education: □ High school    □ Some college    □ Undergraduate
   (highest completed)    □ Some Graduate    □ Graduate    □ Postgraduate
   □ Other

Title: □ Principal/Partner    □ Marketing Director
        □ Marketing Coordinator
        □ Other

Firm Revenues: □ Under $5 mil.    □ $5-$25 mil.    □ $25-$50 mil.
               □ $50-$75 mil.    □ $75-$100 mil.    □ Over $100 mil.

If you are the person in charge of marketing and communication for your firm, please answer any or all of the questions below.

What is the average percent of revenues dedicated to marketing and communication activities?
□ 0    □ 1%-5%    □ 6%-10%
□ 11%-15%    □ 16%-20%    □ Over 21%

What number of professionals is employed by your organization whose primary role is marketing and/or communication activities?
□ 0    □ 1    □ 2
□ 3    □ 4    □ 5
□ 6    □ 7    □ 8
□ 9    □ 10    □ 11 or over
Bibliography

The references contained in the following bibliography contributed either directly or indirectly to the research contained within this thesis.


