

SmartPros Branch Audit Management System

The bottom line - SmartPros is the company, and AMS is the solution you are looking for!

A Branch Audit Solution that Virtually Pays for Itself!

SmartPros' Audit Management System (AMS) is a robust, on-line audit platform that can support any size or type of financial services organization – banks, broker-dealers, investment advisors and more. SmartPros' AMS is currently manages branch-office audits for over 20,000 advisors, 8,000 branches and used daily by over 120 auditors and staff.

SmartPros' AMS covers every fundamental step in the audit process, including:

1. Audit Scheduling
2. Audit Interview
3. Deficiency Letter
4. Remediation
5. Audit Monitoring
6. Record Retention



SmartPros' AMS is proven, user-friendly technology that allows your personnel to perform all duties online and in a highly documented and defensible manner. Our solution will allow you to consolidate your current manual processes and audit systems into one streamlined platform. SmartPros' AMS virtually pays for itself by saving your firm money, time, and increasing staff productivity.

In addition, SmartPros never stops refining. We are always considering ways/means to improve our solutions, and our clients are prime beneficiaries. SmartPros is also quick to adapt to changes in the regulatory environment. Our systems will be in synch with current rules and industry best practices.

Our system automates all audit processes including:

- Schedule audits through refined calendar management tools, including a map-based interface that enables managers and auditors to plan and finalize their route to each location;
- Generate automated e-mail notifications and companion 'your alerts' (calls to action) presented in a role-based dashboard view;
- Build a wide variety of audit survey forms or questionnaires to document compliance with firm protocols and identify any 'found' exceptions or deficiencies;
- Automatically create and immediately distribute an audit deficiency letter;
- Capture and thoroughly document remediation steps as entered and reviewed by each party engaged in the audit;
- Create workflows that allow for simplified (one level) or thoroughly vetted (multiple level) audit reviews;
- Provide full reporting and tracking capability that allows managers and compliance personnel to follow each stage of the audit to 'closure';
- Offer a range of reports and tools that allow firms to track trends and assess risks.
- Retain all reports and records in compliance with SEC 17a-4.



To learn more, contact:
Mike Roche
Senior Account Executive
michaelroche@smartpros.com
(914) 829-4945

SmartPros' AMS is proven, user-friendly technology that allows your personnel to perform all duties online and in a highly documented and defensible manner. Here are some sample screen shots showing some of the system tools, including our Exam Scheduler, Audit Review Form, Remediation Letter and our Map Search and Schedule Tool:

Exam Scheduler

AMS Calendar Portal Home Help

Your Alerts

- Action required: Branch 06WP 4/30/2014 9:26 AM PST
- Action required: Branch 05K1 4/3/2014 6:05 AM PST
- Action required: Branch 06WK 4/3/2014 6:03 AM PST
- Action required: Branch 06WG 4/3/2014 6:01 AM PST
- Action required: Branch A861 4/3/2014 5:42 AM PST

Exam Stats for Today

- Past Due: 0
- Due in 30/60/90: 0
- Response Pending: 6
- Re Audits: 0
- Completed: 3

Exam Scheduler

Calendar TimeZone (GMT-08:00) Pacific Time (US & Canada)

3/31/2014 - 4/4/2014

Mon, 31 Tue, 1 Wed, 2 Thu, 3 Fri, 4

06WG - CEREGHINO

Due Date: 12/16/2013
 Sch Date: 4/3/2014 12:00 AM EST
 Examiner: M Roche
 Manager: C CEREGHINO
 Address1: 1625 WEST WILSHIRE BLVD
 Address2:
 City: Los Angeles
 State: CA
 ZipCode: 90017
 Telephone:

The Exam Scheduler includes a calendar and map interface that allows managers and auditors to set and finalize exam dates, locations and times. Once an audit schedule is published (unless designated 'unannounced'), dashboard alerts appear and e-notifications are automatically sent to branch personnel.

Audit Interview Form

Branch Audit Questionnaire

Branch Audit Questionnaire

In Progress NotStarted Completed

- 1 - Pre-Audit Check List
- 2 - Initial Interview
- 3 - Branch Office Signage and Location
- 4 - Branch Office Personnel
- 5 - Supervisory Procedures
- 6 - Branch Audit Overview
- 7 - Audit Follow-Up

Branch Office Signage and Location

Branch Office Signage and Location

1. Does the Branch display a B/D Branch Office Sign?
 Yes No

1. Optional Notes:
 Branch signage in place, current and properly displayed. All advertising materials are current

2. Does the Branch display a SIPC sign?
 Yes No

1. Optional Notes:
 SIPC signage in all required locations.

Intelligent Audit Interview Forms (questionnaires or surveys) can be specific to each firm/division or branch type, and cover all inspection or 'audit' mandates. Question templates can expand for auditor notes or data input where necessary. Audit forms can be completed online or downloaded as needed.

Remediation Letter

Dear KY-ANN:

Thank you for your cooperation during my July 24, 2013 inspection of your branch Sub-Office, 0B16 located at 3800-3802 Gramercy St, NW Washington, DC. Please review the item(s) listed below. The item(s) require your attention within thirty (30) days.

Please access the Branch Audits Management System on <http://amsDEMO.smartpros.com> to resolve each item by #30DaysLaterDate#.#. A thorough response that addresses each item discussed in this letter is required along with any requested supporting documentation. If you have any questions, please feel free to contact me at (205)397-2450.

Instructions to access the Branch Audits Management System

- 1) Access <http://amsDEMO.smartpros.com>

Please do not change the placeholders (the content inside #.#). These dates are auto generated by the system.

COMPLIANCE DEFICIENCIES

Demo Questionnaire 1

Background Information 122 - 26 READY FOR RESPONSE

Financial Activity 122 - 33 ACTION REQUIRED

QUESTION

Does your unit issue invoices for sales or services?

ANSWER

Yes

REMEDIACTION ACTION

Repeat Deficiency

FILE ATTACHMENTS

Choose File no file selected
 Attachment:Filesize

All invoices are generated by central back office. Invoices for any products/services cannot be sent directly from a branch or RR/IA therein and would be considered as a non-authorized OBA

Cancel Save

Audit results are captured in a Remediation Letter (fully editable) that includes detail on any 'found' deficiency. The Remediation Letter is automatically sent to respondents (with optional 'cc' to a supervisory level) and all remediation steps are documented online through response/review templates.

Map Search & Schedule Tool

SEARCH MAP Reset

San Francisco

Map data ©2015 Google 2 km

Step 2: Schedule Audit

FILTERS SHOW ONLY SELECTED MOVE SELECTED TO Please Select GO

BRANCH ID	MANAGER	CITY	TYPE	DUE DATE	UNITS	STATUS
1. 0B1V	Hodge, Tony	San Francisco, CA	Satellite	05/13/2013	0.75	Worksheet In Progress
2. 0PEC	POPPEN, MICHAEL	San Francisco, CA	Satellite	05/01/2013		Schedule Published
3. 0BXA	GREENBERG, JOSEPH	San Francisco, CA	Satellite	02/17/2014	0.75	Unscheduled
4. B135	LOB, CFP, GAYLE	San Francisco, CA	Sub-Office	02/04/2013	0.00	Schedule Published

Map Search & Schedule tools enable managers and auditors to efficiently find branch locations and to plan and or finalize the best routes between various locations. The mapping tool can be expanded to a national (USA) view or narrowed down to a street level view as needed.