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.

SmartPros®
K E E P S M A R T ®

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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

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

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

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

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.

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