# 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, online 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	He	ip.															
Your Alerts		Exam	Sc	hed	luler													
Action required: Bran													Due 📰	Scheduled	Open	Comple	eted	
9/30/2014 6-26 AM PST		Calendar								Time	TimeZone (GMT-08.00) Pacific Time				a (US & Canada)			
Action required: Branch 06X1 4/3/2014 6:05 AM PST		44 4 April 2014 > >>			4.	3/3	3/31/2014 - 4/4/2014			Today Day Week Month								
			s	М	т	W	т	F	5		Mon.	31	Tue, 1	Wed, 2	Thu, 3	Fri, 4		
Action required: Branch 06WK 4/3/2014 5:03 AM PST		14	30	31	1	2	3	4	5	all day								
		15	6	7	8	9			12						00WG + CEREGHINO	A861 - A CEREGHINO		
Action required: Branch 06WG 4/3/2014 6:01 AM PST		36	13	14	15		17		19 26	9 <sup>am</sup>								
		18		21			1	2	10									
ction required: Bran	ch A861	19	4	5		1			10									
/3/2014 5:42 AM PST										10 am								
More		06W	6.4	CO	CH1	NO												
										11 am								
Exam Stats for Too	tav	Due I Sch D						AM 6										
		Exam					2:00	AU1 2	21	12pm								
Past Due 0		Manager: C CEREGHINO Address1: 1625 WEST WILSHIRE																
Due in 30/60/90 0						1pm												
lesponse Pending	6	BLVD Address2: -																
		City: Los Angeles						2pm										
Re Audits	0	State		U														
Completed	3	ZipCo Telep			017					3pm								
		reiep	100	4														
		Edi	1	-	port	Sing	10			4pm								
Quick Links				-0.														
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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.

### **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

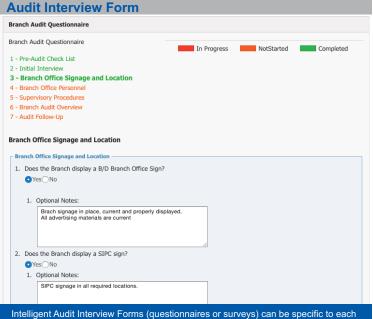
#### 1) Access http://amsDEMO.smartpros.com

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

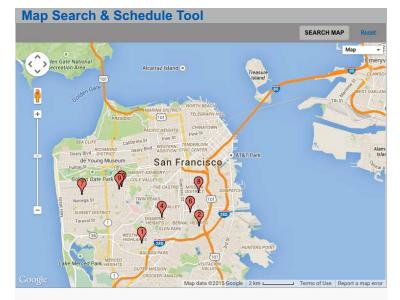
#### COMPLIANCE DEFICIENCIES

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			
REMEDIATION ACTION			
Repeat Deficiency	FILE ATTACHMENTS Choose File no file selected		
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	Attachment:Filesize		
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.



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.



Step 2: Schedule Audit										
FILTERS >		SHOW ONLY S			MOVE SELECTED T	Please \$	Please Select    GO			
	O BRANCH ID	MANAGER	© CITY	© TYPE	O DUE DATE	O UNITS	STATUS			
	<ul> <li></li></ul>	Hodge , Tony	San Francisco, CA	Satellite	05/13/2013	0.75	Worksheet In Progress			
	+ 2. OPEC	POPPEN , MICHAEL	San Francisco, CA	Satellite	05/01/2013		Schedule Published			
	🕀 3. OBXA	GREENBERG , JOSEPH	H San Francisco, CA	Satellite	02/17/2014	0.75	Unscheduled			
۵	🛨 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.

## www.smartpros.com/ams



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