



SmartPros' AMS

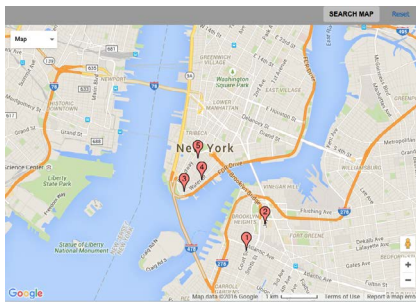
Your Seamless Audit Management Solution...From Start to Finish

A Branch Audit Solution That Works With You

SmartPros' Audit Management System (AMS) is a robust, online audit platform that supports any size or type of financial services organization, including banks, broker-dealers, investment advisors, and more. SmartPros' AMS currently manages branch-office audits covering over 10,000 locations and more than 25,000 advisors/ reps. It is utilized daily by over 250 auditors and staff who oversee 10,000+ annual audits.

SmartPros' AMS Covers Every Fundamental Step in the Audit Process

- Audit Scheduling
- Deficiency Letter
- Audit Monitoring
- Audit Interview
- Remediation
- Records Retention



Branch Search & Scheduling

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.

Branch ID	Manager	City	Type	Due Date	Units	Status
1. 08PA	Lastname, Firstname	Brooklyn, NY	HOC	Schedule - IS 08/25/2018	0.75	Unscheduled
2. 08PN	Lastname, Firstname	Brooklyn, NY	HOC	Schedule - IS 03/12/2016	0.75	Unscheduled
3. Y2HE	Lastname, Firstname	New York, NY	Non-CG - IS	01/11/2017	4.00	Unscheduled

Branch ID	Manager	City	Type	Due Date	Units	Status
0LT5	Lastname, Firstname	Los Angeles, CA	HOC	Schedule - IS 04/07/2018	0.75	Central Review

ADDRESS		BRANCH DETAILS		BRANCH EXAM DETAILS	
1200 S. Hill Street, Los Angeles, CA, 90015 2212		Branch ID:	0LT5	Branch Exam ID:	34651
Tel: (000)000-0000		Manager:	Lastname, Firstname	Branch Exam Type:	Announced
		Manager ID:	2028	Audit Contact:	Audit Contact:1
		Office Type:	Schedule - IS HOC	Lead Examiner:	Audit Examiner
		Active:	Y	Calculated Due Date:	04/07/2018
		Number of advisors:	1	Allowed Due Date:	04/07/2018
		Office Sub Type:	IS HOC	Scheduled date:	11/12/2016 8:00 AM PST
		Last Lead Examiner:	Examinername	Scheduled End Date:	11/12/2016 1:00 PM PST
		Previous Lead Examiner:	Examinername	Notes:	Control Review
		# No Of Units:	0.75	Duration:	0.5
		Audit due type:	Default	Re-Audit:	No

WORKSHEET	ACTIVE
Demo Questionnaire	<input checked="" type="checkbox"/>

DATE AND TIME	BRANCH EXAM STATUS	AUDIT MESSAGE
2/12/2018 5:09 PM PST	Central Review	A QA Reviewer has reviewed and accepted all Remediation responses and passed the Audit to Central Review Group.
1/15/2018 4:16 PM PST	Remediate Next	A Compliance has reviewed the Remediation Letter and responded to all deficiencies.
1/15/2018 3:28 PM PST	Remediation Letter Sent	A Compliance has approved the Remediation Letter.
1/15/2018 3:28 PM PST	QA Group Review of Remediation Letter	Review of Remediation Letter is in progress by Audit QA Reviewers.
1/15/2018 3:25 PM PST	XYZ Examiner Review Complete	Remediation Letter has been reviewed by A Examiner and sent to QA Group.
1/15/2018 11:42 AM PST	XYZ Examiner Review	A Compliance has finished the branch exam remediation and the draft Remediation Letter has been generated.
1/11/2018 5:02 PM PST	Worksheet in progress	Branch Exam Worksheet is in progress by A Compliance Reviewer.
1/25/2015 1:34 PM PST	Scheduled	A Exam Manager has Scheduled a branch Exam.

Audit Trail Tracking & Reporting

Full reporting and tracking capabilities allow managers and compliance personnel to follow each stage of the audit all the way to closure.

SmartPros' AMS Benefits

Time and Cost Savings:

AMS' cogent beginning to end audit platform saves firms time and money

Risk Management:

Tools and reports that can preempt many types of risk, including operational, regulatory, and reputational

Streamlined Online Workflow:

Delivers well-documented and defensible audits

Full Audit Trail:

Hyperlink trail allows managers to easily view each audit stage

SmartPros' AMS Key Features

- Scheduler interface with mapping tools for geo-route planning
- Configurable solution with workflows and roles set up around client processes
- Dashboard with alerts and clickable links to monitor each audit stage
- Branch personnel are able to easily and quickly submit audit responses
- Automated remediation letters
- Comprehensive reporting documentation, including a full audit trail with date/time stamps
- Implementation and account management teams provide high quality, responsive customer service



SmartPros' AMS Supports iOS Mobile Devices!