



## Bank Audit & Compliance Services

In the Past Five Years, Few Industries have undergone a more dramatic change in the nature of their compliance and monitoring activities than financial institutions,

The ability to maintain an adequate control environment and gather all relevant information, let alone document, test and ensure that internal controls and operating procedures are functioning as intended, is a Herculean task.

ALP-Consulting is a professional IT auditing & security firm. Our auditors have a diverse background that provides the experience necessary to ensure coverage of key audit areas, including those you might have limited expertise and/or experience. Some of the audits/reviews we can complete include :

- ◆ FFIEC Regulations
- ◆ Sarbanes Oxley Compliance
- ◆ AML/BSA/GLBA Reviews
- ◆ US Patriot Act Compliance
- ◆ Network Penetration
- ◆ Vulnerability Assessments
- ◆ General Controls Reviews
- ◆ Fraud Investigations
- ◆ Portfolio Analysis
- ◆ Risk Assessments
- ◆ Due Diligence Reviews
- ◆ Quality Assurance Reviews
- ◆ Traditional Financial/Operational Audits

## Areas of Expertise

### 1. FFIEC Regulations

- Are you aware of bank examiners' most frequent findings? Our audits follow the FFIEC IT Examination Handbook and Workprogram
- Have you integrated your FFIEC and SOX requirements into a single audit program?
- Are your FFIEC—IT audit requirements being met?

### 2. Sarbanes Oxley Compliance

Our auditors and security experts have extensive experience in the banking industry, having worked for the past three years on numerous SOX-related projects for several banking clients. In combination with our average of twenty-five years of auditing, networking, or security experience, you simply can't find a more qualified or cost-effective firm to ensure your compliance with SOX.

### 3. AML/BSA/GLBA/U.S. Patriot Act Reviews

We can complete everything from compliance work to risk assessments to ensure you comply.

### 4. Network Penetration/Vulnerability Assessments

The work we do in this area represents the most cost effective and highest quality in the industry. We specialize in exposing the access points of your network and in gaining access to sensitive data without detection - even with 24/7 monitoring. We then show you how to close the holes

### 5. General Controls Reviews

We've developed our own proprietary programs to ensure that the nine key areas of potential exposure to loss are evaluated in detail and corrective actions are identified in plain English.

### 6. Fraud Investigations

We have experience providing support to leading forensic experts, recovering data and interpreting results. In addition to meeting your SAS 99 requirements and providing traditional forensic investigations, we can assist you in all types of dollar recovery areas.

### 7. Portfolio Analysis

We can help you ensure that all procedures have been followed and documentation is in order.

### 8. Risk Assessments

Understanding the complexity of your business is a starting point for determining areas of greatest exposure and risk.

### 9. Due Diligence Reviews

We have a separate brochure specifically addressing due diligence reviews of potential acquisition candidates. We'd be happy to provide you with an overview of our approach.

### 10. Quality Assurance Reviews

Evaluating the compliance of your internal audit group with standards established by the Institute of Internal Auditors is one of our specialties. We are accredited by the IIA as QAR validators.

## THE ALP ADVANTAGE

- Information and Network Security Experts
- Extensive Banking and Financial Institution Audit and Security Experience
- Integrated FFIEC and SOX Control Objectives into single IT Audit Program
- Combination of Proprietary and Public Domain Software Utilized to Provide Realistic Analysis of Your Network Security
- Expertise in Establishing Comprehensive Strategies for Addressing Risk Mitigation, Regulatory Compliance and Internal Fraud Detection and Prevention

### The IT Professionals Group

ALP-Consulting • Unlimited Technology Solutions (UniTech)

*Partnership with Integrity*

## ALP TEAM KEYS TO YOUR SUCCESS

**A**ssisted by ALP, co-sourcing will work for you. ALP can complete security reviews and conduct audits of highly technical and sensitive areas. Clients call on us when they need specialized expertise but cannot justify the permanent costs or are unable to meet peak demands

**L**ed by IT and internal audit experts having CISA, CISSP, CIA, CPA, and other technically certified designations, our engagements are managed by individuals with more than fifteen years of IT security and audit experience

**P**rofessional IT audit capabilities set us apart. We've completed SOX IT & IT security requirements for several banks, including one of the top 100 Banks in the nation.



## Financial Institution Audit Services

### ALP-CONSULTING

*“The IT Auditing & Security Professionals”®*



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Visit Our Web Page  
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We help protect your most sensitive resources