

SAS No. 7 A Practical Risk-Based Approach Webinar

August 2, 2007 ■ 1:30-3:30 pm, CT

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FAX: Fax completed form with credit card info to 512-891-9640

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LATE REGISTRATION: Late registrations are accepted until the
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Presenter

Tom Grottko, partner, Carlin, Charron & Rosen, LLP, leads the firm's Bank Advisory Services practice as well as its SAS No 70 and its Information Technology Audit practices. This practice group performs internal controls reviews, out-sourced internal audit services, and provides public bank clients with assistance and support with the Sarbanes-Oxley Act of 2002.

Grottko has over 22 years of professional services experience assisting banks from de novo to global financial institutions. Grottko has worked directly with and assisted his clients improve business practices, evaluate controls, audit and review their systems and processes, comply with laws and regulations, select and implement new applications/core systems, and develop business and technology plans.

Grottko has been the lead audit and/or consulting partner, manager, and senior accountant for numerous clients throughout New England and New York State with CCR and with his other past accounting firms, KPMG Peat Marwick, LLP, and Arthur Andersen & Company.

**Bankers Ed books all registrations.
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SAS No. 70 A Practical Risk-Based Approach

*All banks must address
the business and compliance risks
associated with vendor performance
and reliability.*

*This seminar will provide you
with the tools and techniques
to assess effectively
the SAS No. 70 Reports
you receive.*

WEBINAR

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SAS No. 7 A Practical Risk-Based Approach

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Regulatory agencies, internal auditors, and public accounting firms alike are expecting an improved level of understanding and oversight of your key vendors. Those vendors who have access to or affect your customer information and/or financial information are as important today as those vendors that directly assist you in the delivery of service to your customers.

The traditional AICPA Statement on Auditing Standards No 70 (eg, the SAS No 70) has been increasing in vogue as an established vehicle for such service organizations to communicate the design and operating effectiveness of selected internal controls to their customers.

All banks must address the business and regulatory compliance risks associated with vendor performance and reliability. Whether for data security or for the obvious requirement of performance reliability, your vendor management program must address the potential threats and risks associated with your vendor relationships. The most well-respected tool available to bankers to provide some level of assurance that your vendors are managing their risks effectively, is the timely receipt of a SAS No 70 Service Auditor Report on the controls at your vendor.

Program Highlights

- What is a SAS No 70?
- Bank regulatory compliance weighs in
- Vendor risk management
- Potential pitfalls with SAS No 70 Audit Reports
- How should a bank respond
- Key documentation required

Why Participate?

Use of the SAS No 70 Report is not as easy and straight forward as bankers expected. Various types of reports and the scope of what has been audited can be tough to understand and relate to the needs of your bank. Our presentation and discussion will provide you with the tools and techniques you will need to be able to effectively and efficiently assess the SAS No 70 Reports you receive.

Audience

Chief operating officers, chief risk officers, chief financial officers, controllers, department heads, compliance officers, internal auditors, and those charged with establishing a risk management program within their institution.

Continuing Education

Applied: 2.5 hours per session CRCM/CFSSP credit with the Institute of Certified Bankers.

Approved: 2 hours with the Texas State Board of Public Accountancy.

What Is a Webinar?

A webinar is an enhanced telephone seminar. The audio portion of the program is still delivered by speaker phone; however, you now have the option of viewing a corresponding visual presentation using your PC or a PC connected to an A/V projector for multiple participants. No special hardware is needed. You may still participate without the added web component.

The program includes 90 minutes of instruction and 30 minutes live Q&A. Each registration provides one connection to the live webinar, written materials, and 30-days' access to the online seminar (recorded copy of the event). You may have unlimited listeners on your connection by speaker phone and PC. You will receive a PIN, written materials, and instructions prior to the seminar. **E-mail confirmations may be intercepted by your E-mail security system as spam. If you do not receive a confirmation within 2 days of the event, please contact 888-262-7701.** You may also purchase the CD and materials.

New: Free 30-day Online Seminar — All presentations are archived within 5 working days of the broadcast. Webinar participants will receive a URL providing unlimited access to the presentation for 30 days. This enables you to participate in the live webinar, train additional staff, and review the material as needed.

Transmission, retransmission, or republishing of the audio portion of the seminar is prohibited. Your registration entitles you to 1 connection at 1 location with permission to make copies of materials for all participants.