

# Audits and Risk Assessments

Compliance support from trusted payments experts!

## AUDITS

### → ACH for Financial Institutions

We review your compliance with the Nacha Operating Rules, 31 C.F.R. Part 210 (Federal Government payments), Regs CC & E, and OFAC screening requirements.

### → ACH for Third Parties

We review your compliance with the legal framework outlined in the Nacha Operating Rules & Guidelines as they relate to sound business practices for Originators, Third-Party Senders, and Third-Party Service Providers.

### → Merchant RDC

We test the quality of your internal controls and your compliance with laws & regulations, management policies, procedures, and limits, with a risk focus.

### → Wire

We examine your funds transfer operations, policies, and procedures to verify the effectiveness of controls and identify opportunities for improvement in accordance with FFIEC guidance.

### → RTP®

We review your compliance with The Clearing House RTP Participant Rules and the RTP Operating Rules.

## RISK ASSESSMENTS

### → ACH for Financial Institutions

We assess your controls across the ACH delivery channel based on OCC ACH Risk Management Guidance, including credit risk exposure, high-risk activities, and more.

### → ACH for Third Parties

We assess your controls across the ACH delivery channel as they relate to sound risk management practices for the specific roles of Originators, Third-Party Senders, and Third-Party Service Providers.

### → Merchant RDC

We take a critical eye to your Merchant RDC risk management practices to ensure they reflect an understanding of FFIEC guidance requirements.

### → Mobile Deposit Capture

We evaluate your controls across the Mobile Deposit Capture delivery channel and recommend methods to further reduce your risk.

### → Wire

We scrutinize your existing Wire Transfer monitoring and controls to ensure they support risk avoidance and mitigation in accordance with FFIEC guidance.

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Request a quote or book an engagement



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Option 5



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