

COMPLIANCE

MANAGEMENT

SYSTEM

DUE DILIGENCE

Our CMS Tune-up!™ can help to determine which aspects of a financial institution's Compliance Management System ("CMS") may be considered inadequate by the CFPB. The goal of this review is to provide information that will enable an organization to develop effective guidelines for a CMS.

Comprehensive review that highlights a financial institution's regulatory strengths and weaknesses in its CMS mandate.

Our professionals have an average of 25 years in the residential mortgage origination industry, consisting of compliance professionals, attorneys, former regulators, and subject matter experts, who have created and implemented successful compliance programs. We are actively engaged in monitoring ever-changing laws and regulations that affect the industry.

We are the first, full-service mortgage risk management firm in the country.



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CMS TUNE-UP!™

Pioneers in Compliance Tune-ups!

Deep Dive Due Diligence

Our professionals have the unique expertise to provide a comprehensive compliance administration overview of the Compliance Management System.

CMS Tune-up!™

Entrance and Exit Interviews
Issue Document Request
Conduct CMS Tune-up!™
Issue Preliminary Report
Issue Final Report

- Conducted by Directors and Compliance Managers
- Report evaluates each department and function area of a CMS and provides an overall risk rating based on the institution's size, complexity, and risk profile
- Recommendations and Risk Rating to enable compliance solutions

Compliance Management System

3 Interdependent Elements

Board and/or Management oversight
Compliance Program
Compliance Audit

Compliance Management System

4 Evaluations

Determine compliance responsibilities
Ensure employees understand these responsibilities
Confirm requirements are incorporated into business processes
Reviews operations to ensure responsibilities are carried out
Takes corrective action that can be confirmed and tested

When all elements are strong and working together, a financial institution will be able to manage its regulatory compliance responsibilities and exposure to regulatory risks.

Request an Engagement Proposal

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