



FACTS AND BENEFITS
THE CREDIT UNION RISK MANAGEMENT SOLUTION

“The Cavalry Compass™ can reduce your annual compliance costs by 60% or more.”

☆ John Devendorf, President and CEO
Cavalry Solutions, Inc..

WWW.CAVALRY SOLUTIONS.COM

1.877.376.4522

CAVALRY COMPASS™ PROCESS FLOW

EXTREMELY ECONOMICAL:

One time set-up fee and very low fixed annual rate.
Turn-key compliance solution with no hidden charges.

IMMEDIATE RETURN ON INVESTMENT:

Reduces the amount of personnel hours required for managing and conducting assessments and audits.

REDUCE EXAMINATION TIME:

Once a module is completed and approved, access can be granted to your examiners who can then begin conducting audits remotely; reducing on-site examination time.

ONGOING TIME AND COST SAVINGS:

Year-to-year reviews become faster & easier since the Cavalry Compass™ retains all information

ADDITIONAL EXPENSE REDUCTION:

If used internally and/or by contracted vendors your professional services fees will be reduced.

INCREASED PROJECT COMPLETION EFFICIENCY:

The Cavalry Compass™ facilitates efficient and easy project management & oversight.

INCREASED COMMUNICATION EFFICIENCY:

Role-based access allows for easy and clear communication of results.

ELIMINATES DOCUMENTATION REDUNDANCIES:

Regulation-to-regulation time savings by leveraging questions that you've already answered.

ONGOING CONTENT MAINTENANCE:

Content based on FFIEC guidance, adjusted for you as regulations change

APPROVED APPROACH:

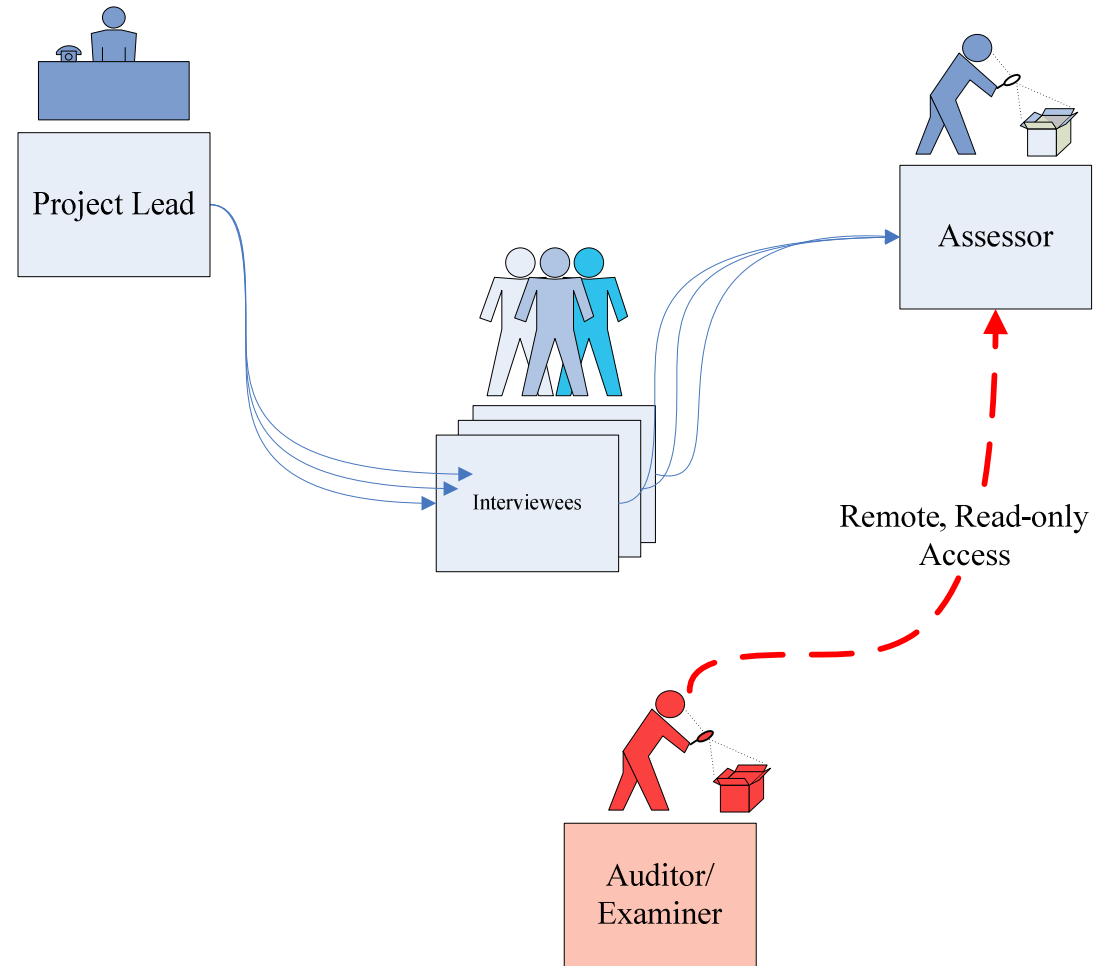
Cavalry Compass™'s content, design & reports have been reviewed and approved by Examiners

TRAINING AND SUCCESSION PLANNING:

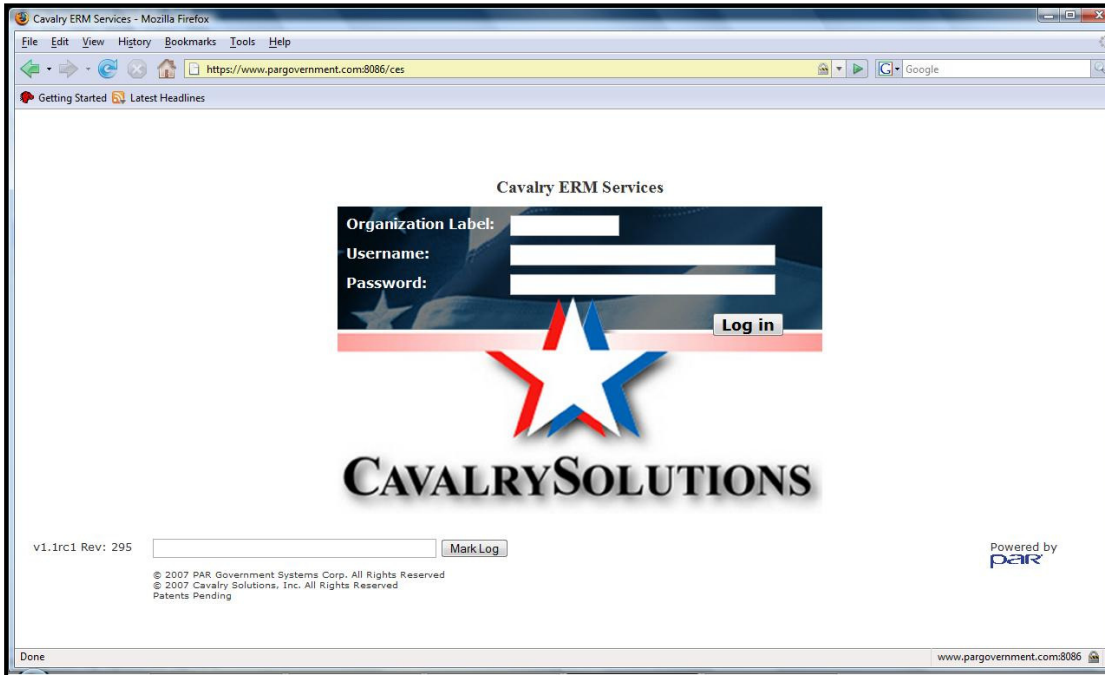
Essentially, the Cavalry Compass™ is an "Automated Compliance Expert"

WEB BASED:

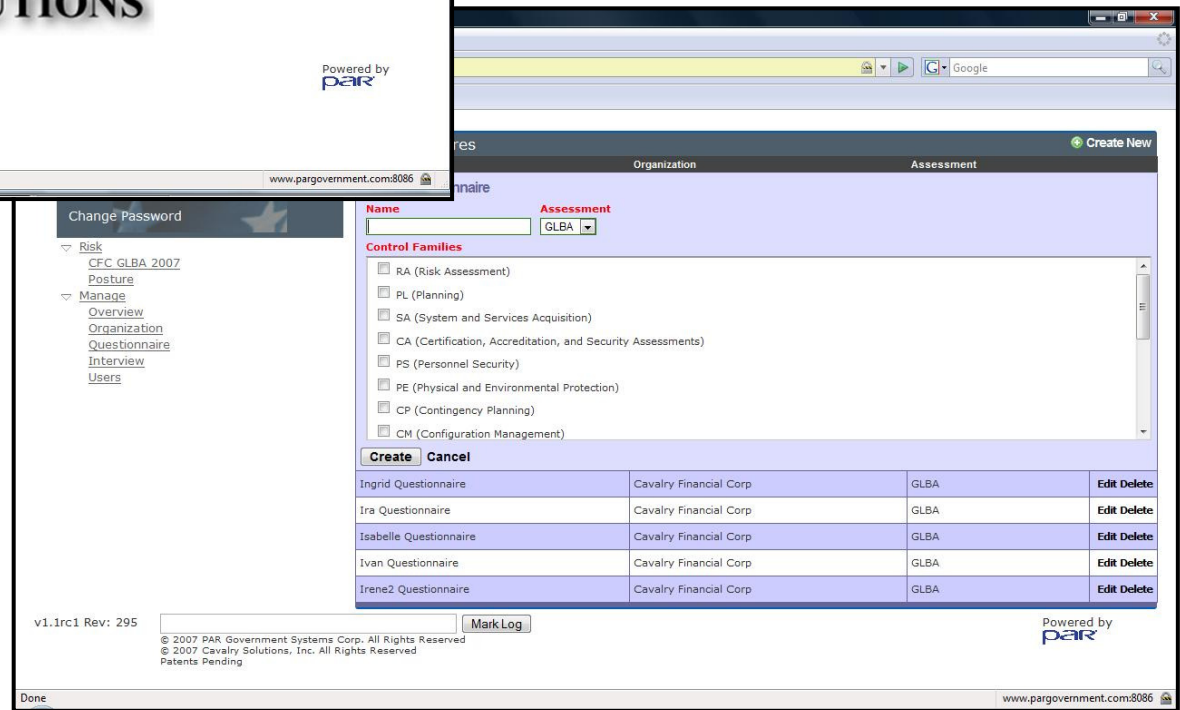
No additional hardware support or software upgrade charges. All this is included in your low fixed annual fee.



STEP ONE: SIGN-IN AND SETUP

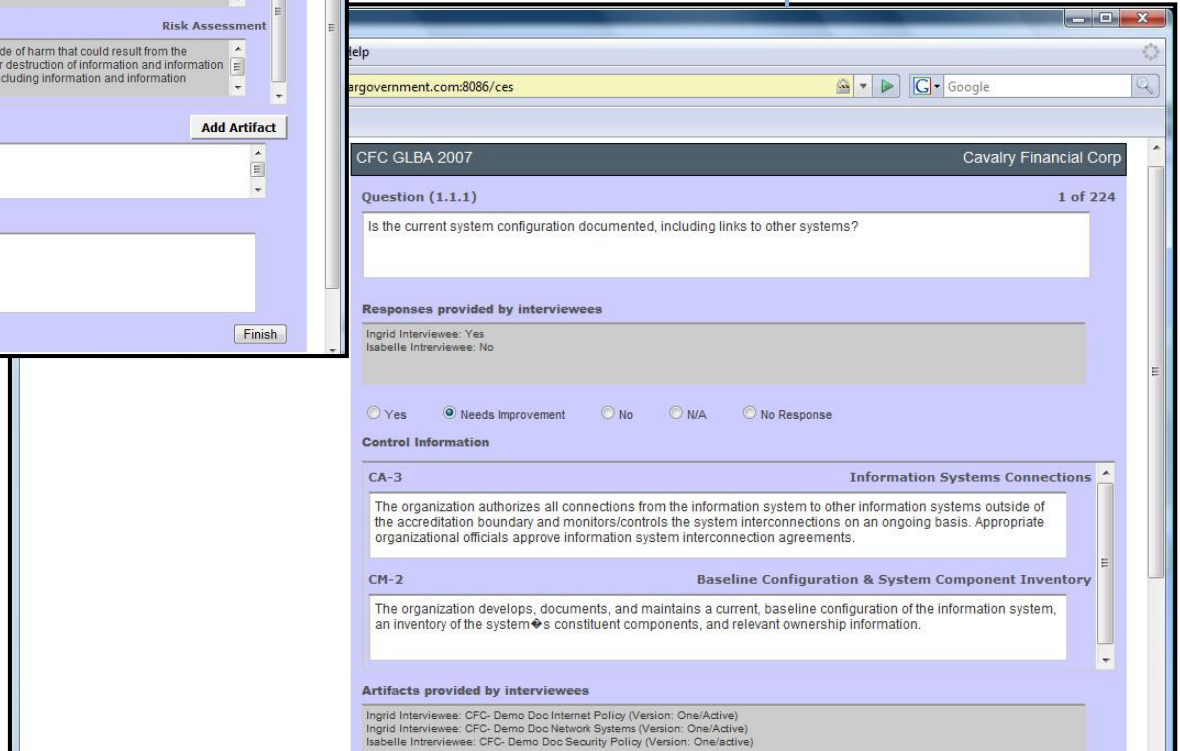
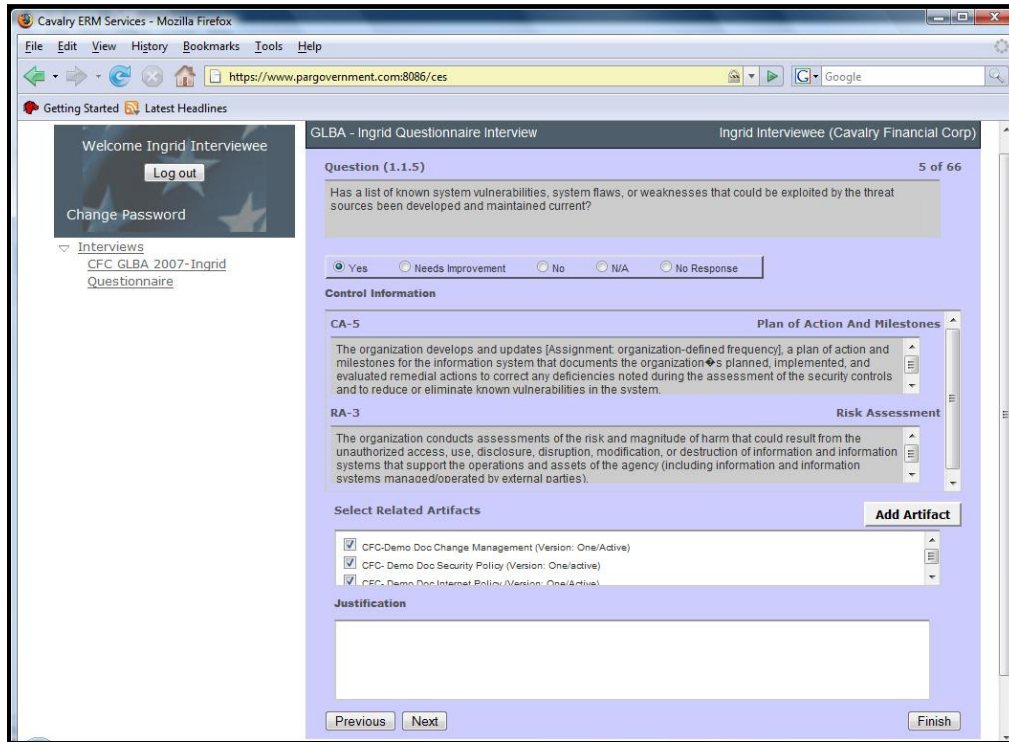


The CAVALRY COMPASS™ provides, organizes and delivers assessment materials quickly and efficiently to whomever you want... wherever they may be.



STEP TWO: DOCUMENTATION AND ANALYSIS

The CAVALRY COMPASS™ incorporates a proprietary standards-based control questionnaire format with additional clarification information for the Interviewee. Each Interviewee can then support their answers with “Artifacts” and/or written “Justifications”.



STEP THREE: REPORTING AND REMEDIATION

CFC GLBA 2007
Cavalry Financial Corp

Welcome Alexis Assessor

[Log out](#)

[Change Password](#)

- ▼ [Interviews](#)
- ▼ [Assessments](#)
- [CFC GLBA 2007-Cavalry Financial Corp](#)

Risk Posture

Control Family	Risk Posture
Risk Assessment	Medium
Planning	Low
System and Services Acquisition	High
Certification, Accreditation, and Security Assessments	Low
Personnel Security	Medium
Physical and Environmental Protection	High
Contingency Planning	Low
Configuration Management	Low
Maintenance	Low
System and Information Integrity	Medium
Media Protection	Low
Incident Response	High
Awareness and Training	Low
Identification and Authentication	Medium
Access Control	High
Audit and Accountability	Medium
System and Communications Protection	High
Organizational Risk Posture	Medium

[Reconcile questions](#)
[Review risks](#)
[Allocate risks](#)

The CAVALRY COMPASS™ provides reports at the click of a mouse. Identify risks and develop remediation plans. Enable secure read-only access to your organizational state, supporting artifacts and justifications to approved parties (senior management, auditors, examiners etc.).

Review risks
Allocate risks

- [Overview](#)
- [Organization](#)
- [Questionnaire](#)
- [Interview](#)
- [Users](#)

	Risk Posture	
ent	Medium	Details
data been	No	
hed?	Yes	
Are risk assessments performed and documented on a regular basis or whenever the system, facilities, or other conditions change?	No	
Have threat sources, both natural and manmade, been identified?	Yes	
Has a list of known system vulnerabilities, system flaws, or weaknesses that could be exploited by the threat sources been developed and maintained current?	Yes	
Has an analysis been conducted that determines whether the security requirements in place adequately mitigate vulnerabilities?	Needs Improvement	
Are final risk determinations and related management approvals documented and maintained on file?	Yes	
Has a mission/business impact analysis been	Yes	

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CAVALRY COMPASS™ MODULES FOR CREDIT UNION CLIENTS

Compliance Modules	Internal Audit Modules	Information Security Modules
<p>Credit Practices Rule (Reg AA) Bank Secrecy Act (BSA) Community Reinvestment Act (Reg BB) Electronic Funds Transfers (Reg E) Equal Credit Opportunity Act Expedited Funds Availability Act (Reg CC) Fair Credit Reporting Act (Reg V) Fair Debt Collection Practice Act Fair Lending (Reg V) Flood Disaster Protection Act Home Mortgage Disclosure Act (Reg C) Homeowners Protection Act (HPA) Identity Theft Red Flags (Sec 114) Real Estate Settlement Procedures Act (HUD Reg X) Reserve Requirements for Deposit Institutions (Reg D) Right to Financial Privacy (Reg S) Truth in Lending Act (TILA-Reg Z) Truth in Savings Act (TISA-Reg DD)</p>	<p>ALCO Allowance for Loan Lease Loss Bank Insurance Branch Audit – ATMs Branch Audit – Cash Items Branch Audit – Emergency Preparedness Branch Audit – Night Deposit Branch Audit – Official Checks Branch Audit – Online Teller Branch Audit – Safe Deposit Boxes Branch Audit – Travelers Checks Branch Audit – Vaults Commercial Loans Federal Funds Installment Loans Investments Official Checks Payroll and Personnel Related Organizations Trust Department</p>	<p>Automated Clearing House BCP/DRP Detailed Testing Controls BCP/DRP Planning Daily IT Ops – Environment Documentation Daily IT Ops – Environmental Monitoring Daily IT Ops – Help Desk Review Daily IT Ops – Imaging Systems Review Daily IT Ops – Items Processing Review Daily IT Ops – Overview Daily IT Ops – Physical Security Review Daily IT Ops – Problem Management Review Daily IT Ops – Storage-Backup Review Development and Acquisition of Systems Electronic Banking Review FedLine Review Graham Leach Bliley Act (GLBA) Management of IT Review Vendor Management</p>