

Financial Services

Credit Unions, Broker-Dealers, RIAs & Investment Firms

"Regulatory confidence for institutions that can't afford to guess."

Financial institutions operate under some of the most demanding regulatory regimes in any industry. GLBA, SEC Reg S-P, FINRA, and FFIEC expectations create overlapping obligations that require documented, auditable evidence — not just good intentions. Auditerra combines platform technology with certified auditors to help financial services firms achieve compliance maturity and maintain it through every examination cycle.

GLBA

SEC Reg S-P

FINRA

FFIEC CAT

NCUA ACET

The Challenge

- SEC Reg S-P amendments (effective 2024) require broker-dealers and RIAs to notify affected individuals within 30 days of a breach — a significant operational challenge for firms without incident response programs.
- FFIEC examinations evaluate maturity across five domains; institutions at 'Baseline' maturity face increased scrutiny and remediation orders.
- Credit unions face NCUA examination cycles where cybersecurity maturity is scored, ranked, and increasingly tied to share insurance conditions.
- FINRA cybersecurity sweeps have intensified — firms without documented vendor management programs and access control evidence are primary targets.
- The cost and complexity of maintaining compliance across multiple regulators simultaneously overwhelms most internal compliance teams.

Compliance Frameworks We Cover

GLBA Safeguards Rule

Requires financial institutions to develop, implement, and maintain a comprehensive information security program. Updated requirements include risk assessments, access controls, encryption, and annual board reporting.

SEC Reg S-P (2024)

Requires broker-dealers, investment advisers, and investment companies to maintain written policies for safeguarding customer financial information and notify individuals within 30 days of a covered data breach.

FINRA Cybersecurity

FINRA's cybersecurity framework and examination priorities focus on access controls, vendor management, incident response, branch supervision, and penetration testing documentation.

FFIEC CAT

The FFIEC Cybersecurity Assessment Tool evaluates maturity across Inherent Risk Profile and Cybersecurity Maturity domains. Examiners use it to identify gaps and set remediation expectations.

NCUA Cybersecurity

The NCUA's examination program evaluates credit unions against the ACET framework — assessing governance, controls, external dependency management, and cyber incident management.

How Auditerra Engages — Our Process

Step 1 — Demo

A no-pressure, industry-tailored demo so you see exactly how our platform and auditors work together before any commitment.

Step 2 — Readiness Check

We conduct a gap assessment to map your current compliance posture, identify risk areas, and build a prioritized remediation roadmap.

Step 3 — Active Engagement

Our certified auditors don't hand you a to-do list. They work alongside your team — reviewing evidence, walking through controls, and personally resolving gaps in real time.

Step 4 — Continuous Monitoring

Compliance doesn't end at certification. Auditerra monitors your posture year-round, alerts you to drift, and keeps you audit-ready at all times — not just during audit season.

Why Not Big 5 or SaaS-Only?

Provider	What You Get	What's Missing
Big 5 Consulting	Deep expertise, global reach	Enterprise pricing — out of reach for most
SaaS-Only Platforms	Evidence collection platform	No human auditor — you're on your own
Auditerra	Platform + certified human auditors	Nothing. Custom pricing. Full engagement.

Examination Readiness & Regulatory Relationship Management

Regulatory examinations are not surprise events — they follow predictable cycles and known frameworks. Auditerra prepares financial institutions to enter every examination cycle with organized, auditor-ready evidence mapped to examiner expectations. We help credit unions advance through NCUA maturity tiers, assist broker-dealers in documenting Reg S-P incident response programs, and build FFIEC CAT maturity roadmaps that satisfy examiners while actually reducing risk. Our auditors have worked directly with financial institution compliance officers — we understand how examiners think, what they look for, and how to present your program in the most favorable and accurate light.

What You Get with Auditerra

- ✓ GLBA Safeguards Rule information security program development and annual board reporting package
 - ✓ SEC Reg S-P incident response program and 30-day notification workflow
 - ✓ FFIEC CAT maturity assessment and roadmap to target maturity level
 - ✓ NCUA ACET readiness assessment for credit union examination cycles
 - ✓ FINRA examination preparation including vendor management and access control documentation
 - ✓ Continuous monitoring with regulatory change alerting for financial services
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Ready to See It in Action?

Book your no-obligation demo at auditer.com/demo or reach out directly at compliance@auditer.com. We'll tailor the conversation to your industry, your frameworks, and your timeline — no generic pitch decks.