

Certified Financial Services Auditor Cfsa Study Guide

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the certified financial services auditor cfsa is a specialty
certification which measures an individual's knowledge of and
proficiency in audit principles and practices within the banking
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part cfsa exam includes multiple choice questions that span
across these domains domain i financial services auditing 25 35
domain ii auditing financial services products 25 35 domain iii

auditing financial service processes 25 35 domain iv the regulatory environment 10 20 we create these self practice test questions referencing the concepts and principles currently valid in the exam each question comes with an answer and a short explanation which aids you in seeking further study information for purpose of exam readiness drilling this product includes questions that have varying numbers of choices some have 2 while some have 5 or 6 we want to make sure these questions are tough enough to really test your readiness and draw your focus to the weak areas think of these as challenges presented to you so to assess your comprehension of the subject matters the goal is to reinforce learning to validate successful transference of knowledge and to identify areas of weakness that require remediation the questions are not designed to simulate actual exam questions realistic or actual questions that are for cheating purpose are not available in any of our products

we updated this book in march 2015 the certified financial services auditor cfsa is a specialty certification which measures an individual s knowledge of and proficiency in audit principles and practices within the banking insurance and securities financial services industries the one part cfsa exam includes 125 multiple choice questions covering 1 financial services auditing2 auditing financial services products3 auditing financial services processes4 the regulatory environmentthis is a highly condensed set of study reference material topics include intellectual properties trademarks and copyrights 1contents update 2page formatting and typeface 2the exam 2internal audit of financial institutions 5organization and governance 7governance 8agency theory 10the iia s international standards 11the iia s standards and guidelines 11regulating the profession 12audits 13internal audit 15the charter 16how to proceed 17audit planning 18resources for performing the audit 19engagement letter and engagement partner 19professionalism 20audit evidence 20supervision 22fieldworks 23qualified opinion vs adverse opinion vs disclaimer of opinion 24audit follow up 25ethics and independence 26classes of impairments to independence 28internal control 29types of control 30is controls 31regulatory environment and standards 34the gramm leach bliley act 36the sarbanes oxley act 36the usa patriot act 37truth in lending disclosure 38real estate sales disclosures 39insider transactions 39ifrs and ias 39gaap fasb and sfas 40sas 55 70 and ssae 16 41reporting contingencies 42reporting earnings 42off balance sheet entities 43purchase accounting vs pooling of interest 44risk management 46mitigation 46risk analysis vs risk assessment 47risk analysis tools 48liability risk and management 48financial risk management 50financial theory definitions and trends 51bond indenture and warrant 52npv 53irr 53npv vs irr 54cash flow interests and payback 54short to mid term investment instruments 56present worth sinking fund and other concepts 56float 58line of credit 58commercial paper 58risk financing 59cash conversion cycle 59du pont analysis 60working capital management 61wacc 62operating leverage 62eva 62credit analysis 63trade credits and debt collection 64open book credit vs dso 64accounts receivable 65factoring and forfaiting 65asset based lending 65invoice discounting 66payment instruments 67dividend policies drips spp and retirement plans 70retirement funds and the treasury function 72retirement plans 72fraud and reporting 75bribery 75illegal gratuity 75conflicts of interest 75embezzlement 76false statements and false claims 76breach of fiduciary duty 76forensic accounting and auditing 77leasing arrangements 79monetary policy and fiscal policy 81economic growth inflation and cpi 81balance

of payments and balance of trade 82money supplies foreign exchange and currency valuation 83interest rates bond prices yields and credit ratings 84national debt borrowing limits and rating downgrade 85instruments for international trade 88

the certified financial services auditor cfsa is a specialty certification which measures an individual's knowledge of and proficiency in audit principles and practices within the banking insurance and securities financial services industries the one part cfsa exam includes 125 multiple choice questions covering 1 financial services auditing2 auditing financial services products3 auditing financial services processes4 the regulatory environmentthe cfsa exam is comprehensive one has to go through a lot of readings for learning the various exam topics however most readings are not exam focused as they are never intended for exam prep use right from the beginning this exametrix pocket notes condenses most necessary facts found in the exam into an easy to carry pocket guide a quick portable study tool designed to be quick convenient and less overwhelming also a great tool to use for last minute cramming

auditing it infrastructures for compliance second edition provides a unique in depth look at u s based information systems and it infrastructures compliance laws in the public and private sector this book provides a comprehensive explanation of how to audit it infrastructures for compliance based on the laws and the need to protect and secure business and consumer privacy data

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auditing is constantly and quickly changing due to the continuous evolution of information and communication technologies as the auditing process is forced to adapt to these changes issues have arisen that lead to a decrease in the auditing effectiveness and efficiency leading to a greater dissatisfaction among users more research is needed to provide effective management and mitigation of the risk associated to organizational transactions and to assign a more reliable and accurate character to the execution of business transactions and processes organizational auditing and assurance in the digital age is an essential reference source that discusses challenges identifies opportunities and presents solutions in relation to issues in auditing information systems auditing and assurance services and provides best practices for ensuring accountability accuracy and transparency featuring research on topics such as forensic auditing financial services and corporate governance this book is ideally designed for

internal and external auditors assurance providers managers risk managers academicians professionals and students

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the purpose of this study guide is to help you prepare to pass the certified financial services auditor cfsa examination the guide provides a general overview of the topics that will be covered in the exam however it is critical that you perform additional study in areas where your experience or background dictates the need for additional review a list of reference materials is included to provide additional resources to supplement your study editor

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