KENNEDY AND COE, LLC
CERTIFIED PUBLIC ACCOUNTANTS AND CONSULTANTS
NOT YOUR AVERAGE ACCOUNTANTS℠

Financial Institutions Group Checklist

Financial institutions have seen increasing challenges in their industry in recent years, including significantly increased competition, greater reliance on information systems, expansion into new areas such as insurance and brokerage operations, as well as a more complex regulatory environment. This checklist is designed to help you review these priorities and determine which are areas for improvement within your organization. The professionals at Kennedy and Coe can help steer you through any or all of these processes. It is important to select a firm that has experience in these areas. Kennedy and Coe offers specialized services in a number of areas, including:

HUMAN RESOURCES

- ☐ Personnel Policies and Implementation
- ☐ Team Building and Communications
- ☐ 401(k) Plan Consulting and Administration
- ☐ Deferred Compensation Plans
- ☐ Executive Search
- ☐ Interviewers
- ☐ Performance Management System
- ☐ Coaching of HR Personnel
- ☐ Management Assessments
- ☐ Executive Benefit Packages
- ☐ ESOP Consulting and Plan Administration
- ☐ Cafeteria Plans
- ☐ Interview and Recruitment Process/Training
- ☐ Affirmative Action Plans
- ☐ Human Resources Audit

INFORMATION SYSTEMS

- ☐ Information Security Program and Policy Reviews
- ☐ Information Systems Auditing and Security Reviews
- ☐ Internal and External Vulnerability Assessments
- ☐ Contingency Planning
- ☐ Long Term Technology Planning
- ☐ Information Technology Risk Assessment
- ☐ Penetration Testing
- ☐ Internet Banking Review
- ☐ IT Personnel Support
- ☐ Vendor and Product Evaluation

OPERATIONS MANAGEMENT SERVICES

- ☐ Operating Efficiency Analysis
- ☐ Profit Enhancement
- ☐ Deposit Reclassification
- ☐ Business Process Re-Engineering
- ☐ Budgeting and Capital Planning
- ☐ Comparative Analysis/Benchmarking

LOAN MANAGEMENT SERVICES

- ☐ Loan Review and Rating
- ☐ Loan Related Due Diligence
- ☐ Analysis of Allowance for Loan Losses
- ☐ Training Programs for Lending Officers
- ☐ Portfolio Administration
- ☐ Loan Policy Development and Procedure
- ☐ Problem Loan Workout Plans
- ☐ Customer Peer Benchmarking
- ☐ Lending Processes and Workflow Analysis

TAX MANAGEMENT SERVICES

- ☐ S Corporation Analysis and Elections
- ☐ Tax Planning Strategies
- ☐ Federal/State Tax Examinations
- ☐ Services for Owners and Directors
- ☐ Federal and State Tax Returns
- ☐ Tax Free Reorganizations
- ☐ Fiduciary Tax Planning/Compliance
- ☐ Cost Segregation

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RISK MANAGEMENT SERVICES

- ☐ Risk Assessment Consulting
- ☐ Directors' Examinations
- ☐ Internal Control Reviews
- ☐ Trust Examinations
- ☐ Internal Audit Outsourcing and Consulting
- ☐ Audits
- ☐ Agreed Upon Procedures Engagements
- ☐ Internal Audit Policies and Procedures
- ☐ Litigation Consulting
- ☐ FHLB Loan Collateral Verification

COMPLIANCE

- ☐ Policy Compliance
- ☐ Assessment of Overall Compliance Program
- ☐ Help Desk Support
- ☐ Regulatory/Administrative Order Consulting
- ☐ Training Programs
- ☐ Compliance Outsourcing and Review
- ☐ Federal Reserve Reporting

MERGERS AND ACQUISITIONS

- ☐ Business Valuation
- ☐ Assist Board and Management in Analyzing Pertinent Issues
- ☐ Buyer Representation
  - Identification of Potential Candidates
  - Pricing Analysis
  - Regulatory and Financing Feasibility
  - Due Diligence
  - Accounting and Tax Structuring
  - Applications
- ☐ Managing the People Side of Mergers
- ☐ Seller Representation
  - Identification of Potential Buyers
  - Assistance with Bid Package
  - Analysis of Offers
  - Accounting and Tax Structuring

STRATEGIC PLANNING

- ☐ Analysis of the Financial, Strategic and Operational Goals of Your Institution
- ☐ Market Feasibility Studies
- ☐ Succession Planning
- ☐ Family Business Consulting
- ☐ Directors' Retreat
- ☐ Executive Coaching
- ☐ Facilitation and Management of Planning Process
- ☐ Comparative Ratio Analysis of Your Major Competitors
- ☐ Director Development
- ☐ Participation in Shareholder Meetings

TRAINING MANAGEMENT AND STAFF

- ☐ Customer Service Training
- ☐ Supervisory Training and Coaching
- ☐ Personality and Behavior Profiles
- ☐ Managing Diversity
- ☐ Conflict Resolution Skills
- ☐ Sales Training
- ☐ Team Building
- ☐ Problem Solving Process
- ☐ Leadership and Motivation
- ☐ Communication and Facilitation Skills

WEALTH MANAGEMENT SERVICES

- ☐ Investment Advisory Services
- ☐ Personal Financial Planning

Call 800-303-3241 for more information.