

# Certified Financial Services Auditor Cfsa Study Guide

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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 auditing 2 auditing financial services products 3 auditing financial services processes 4 the regulatory environment this is a highly condensed set of study reference material topics include intellectual properties trademarks and copyrights 1 contents update 2 page formatting and typeface 2 the exam 2 internal audit of financial institutions 5 organization and governance 7 governance 8 agency theory 10 the iia's international standards 11 the iia's standards and guidelines 11 regulating the profession 12 audits 13 internal audit 15 the charter 16 how to proceed 17 audit planning 18 resources for performing the audit 19 engagement letter and engagement partner 19 professionalism 20 audit evidence 20 supervision 22 fieldworks 23 qualified opinion vs adverse opinion vs disclaimer of opinion 24 audit follow up 25 ethics and independence 26 classes of impairments to independence 28 internal control 29 types of control 30 is controls 31 regulatory environment and standards 34 the gramm leach bliley act 36 the sarbanes oxley act 36 the usa patriot act 37 truth in lending disclosure 38 real estate sales disclosures 39 insider transactions 39 ifrs and ias 39 gaap fasb and sfas 40 sas 55 70 and ssae 16 41 reporting contingencies 42 reporting earnings 42 off balance sheet entities 43 purchase accounting vs pooling of interest 44 risk management 46 mitigation 46 risk analysis vs risk assessment 47 risk analysis tools 48 liability risk and management 48 financial risk management 50 financial theory definitions and trends 51 bond indenture and warrant 52 npv 53 irr 53 npv vs irr 54 cash flow interests and payback 54 short to mid term investment instruments 56 present worth sinking fund and other concepts 56 float 58 line of credit 58 commercial paper 58 risk financing 59 cash conversion cycle 59 du pont analysis 60 working capital management 61 wacc 62 operating leverage 62 eva 62 credit analysis 63 trade credits and debt collection 64 open book credit vs dso 64 accounts receivable 65 factoring and forfaiting 65 asset based lending 65 invoice discounting 66 payment instruments 67 dividend policies 68 drips spp and retirement plans 70 retirement funds and the treasury function 72 retirement plans 72 fraud and reporting 75 bribery 75 illegal gratuity 75 conflicts of interest 75 embezzlement 76 false statements and false claims 76 breach of fiduciary duty 76 forensic accounting and auditing 77 leasing arrangements 79 monetary policy and fiscal policy

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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

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

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 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

for the nontechnical auditor the first complete guide to assessing the control and security of virtually any computer information system auditing information systems is a first of a kind handbook to auditing in an information systems environment allowing the nontechnical auditor to quickly and thoroughly assess the effectiveness of a company s controls in physical and logical security as well as other general controls the book also includes a detailed look at leading edge control self assessment processes including one of the first applications in an information systems environment providing a total look at the newest issues in information systems and auditing the book also examines computer forensics encryption year 2000 viruses software piracy computer assisted audit techniques internet security service organizations systems development humanistic aspects of auditing an ideal reference for the auditor navigating the complex world of information systems auditing information systems offers complete detailed guidance in the newest of accounting challenges with the increased use of client server networks in industry today the need for auditors who can perform information system audits is now more important than ever with the proliferation of different types of computer systems and applications over the past decade nontechnical auditors as well as managers and board members are being asked to assess the risks and evaluate the controls over these computer systems many of these individuals are unfamiliar with techniques they can use to efficiently and effectively perform and evaluate audits of information systems auditing information systems is a practical modern guide to assessing the control and security of virtually any type of computer information system the author also provides a detailed approach to the leading edge control self assessment processes including one of the first applications in an information systems environment other topics include computer forensics encryption year 2000 viruses software piracy computer assisted audit techniques internet security service organizations systems development humanistic aspects of auditing auditing information systems is the only contemporary auditing book with over 80 real world case studies no other work incorporates such a tremendous breadth of information systems auditing concepts and resources any auditor

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profiles ninety percent of the jobs in the economy nearly 270 in total covering each one's nature working conditions required skills training advancement outlook earnings and related occupations

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provides descriptions of the fastest growing careers with details on working conditions earnings training projected growth and related jobs and advice on career planning and job search techniques

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occupational outlook handbook has the most authoritative career data available compiled by the u s government and is fully updated every two years with record numbers of students graduating from college there is a need for comprehensive up to date career information related occupations included in each listing introduces readers to other jobs of possible interest

provides detailed facts and current statistics for over 750 occupations in more than 90 key career fields contains more than 500 photographs

up to date authoritative job information from the most trusted source the u s department of labor does your resume tell employers what they really need to know which fields are showing the most growth opportunity what is a realistic salary for the job you want whether you've recently earned a degree decided to change careers or reentered the workforce after an extended absence is the guide you need to make the right decisions the first time around the job seekers

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