

WHY CHOOSE DHG?

Whether outsourcing or co-sourcing, our professionals remain ahead of the constantly changing regulatory and business environment and can help optimize your resources and elevate your internal audit and compliance function to the next level.

navigating risk & regulatory complexities in the financial services industry

Between economic uncertainty, volatile financial markets and regulatory overhaul, it becomes imperative for financial services companies to identify professional service providers that will prepare them to respond and adapt to a continuously challenging environment. DHG, a top 20 accounting and advisory firm, offers comprehensive risk management and internal audit services.

WHAT WE DO

DHG's Internal Audit & Compliance team offers subject matter leaders that bring a risk-focused approach, helping you improve your control environment and compliance function. Through frequent discussions with industry leaders and regulators, our professionals are well informed and work with you to prepare for evolving issues.



A RESOURCEFUL TEAM



Dave Niles, CPA

Partner
DHG Financial Services
dave.niles@dhg.com



Lori Charlebois, CPA

Partner
DHG Financial Services
lori.charlebois@dhg.com



Jon Tomberlin, CPA

Partner
DHG Financial Services
jon.tomberlin@dhg.com



Rodney Murray, CISA, CRISC

Principal
DHG IT Advisory
rodney.murray@dhg.com



Michelle Nuckols, CRCM

Senior Manager
DHG Financial Services
michelle.nuckols@dhg.com

As a trusted advisor to our clients, we bring an integrated client service approach with dedicated industry experience. Our experienced professionals have a thorough understanding of pressing internal audit matters, such as process efficiency, regulatory compliance, cybersecurity and more. We are able to draw from our extensive cross-functional experiences to customize our approach to meet your needs. We have successfully delivered internal audit services with the right balance of advisory insight, resourcefulness and strategies.

SERVICES TO MEET YOUR NEEDS

We provide a wealth of internal audit and compliance services to both public and private financial services companies through co-sourcing or outsourcing arrangements. Our services include:

- Automated Clearing House (ACH) Audits
- Bank Secrecy Act Audit
- Compliance Management System Review
- Compliance Training
- Cybersecurity Assessment
- Enterprise Risk Management
- Fraud Risk Management & Investigations
- Internal Controls Documentation & Testing
- IT Audits
- Model Risk Management & Model Validation
- Operational Audits
- Quality Assurance Review
- Regulatory Compliance Audits
- Regulatory Remediation
- Risk Assessment & Audit Plan Design
- Sarbanes-Oxley/FDICIA
- Vendor Management

