



KBL  **LLP**
CERTIFIED PUBLIC ACCOUNTANTS AND ADVISORS

Risk Management & Advisory Services Group



Innovative Thought, Inspired Results

KBL's Risk Management & Advisory Services Group (RiM) specializes in solving the business performance and risk management challenges of emerging businesses as well as Fortune 1000 companies.

We partner with you to help achieve your strategic goals and objectives and mitigate the risks that might prevent you from reaching them. We strive to bring success to each and every client through innovative thought and a fresh approach.

Our thought leading experts in corporate governance, risk management and internal audit work collaboratively with your Audit Committee and senior management to enable you to identify and manage your emerging strategic risks and opportunities.

Primary Services

Our services are tailored to meet the demands of today's challenging business environment and include:

- Corporate Governance Assessments
- Risk Health Check Workshops
- Internal Audit Services (Co-Sourced and Outsourced)
- Enterprise Risk Management (ERM)
- Sarbanes-Oxley Section 404 Compliance & Optimization
- Bank Secrecy Act / Anti Money Laundering program assessments (BSA/AML)
- Litigation Consulting & Forensic Accounting
- Information Technology Audit
- Training and Coaching

Corporate Governance Assessments

We help enhance your processes related to Corporate Governance, leadership, organizational culture and develop an adequate reporting structure, monitoring, oversight and transparency controls throughout your organization.

Risk Health Check Workshops

Our Risk Health Check Workshop is a facilitated rapid risk identification and assessment workshop that can provide you with insights on risks and opportunities that might not be fully considered or addressed.

Internal Audit Services

We provide a complete outsourced or co-sourced Internal Audit solution by implementing a customized, dynamic internal audit plan based on your unique business profile and risks. Our proven methodologies and results oriented approach provides specific assurance to Audit Committees and Boards that critical business, financial and operational risks are being monitored and mitigated through the internal audit process.



Enterprise Risk Management (ERM)

Applying a risk-based approach, we evaluate the methods and processes used to identify, assess and mitigate risks and capitalize on opportunities in the achievement of your business objectives. Our ERM assistance program helps address your most critical business risk exposures and to embed risk management considerations into your daily business processes and decision making.

Sarbanes-Oxley (SOX) Section 404 Compliance

We evaluate the company's internal controls over financial reporting through a top down risk-based approach, applying the COSO framework as well as testing identified controls at the entity and control levels, for design efficiency and operating effectiveness. We also bring significant expertise to optimize your SOX efforts and unlock cost savings and efficiencies under Auditing Standard No. 5 (AS-5) guidelines.

Bank Secrecy Act/Anti-Money Laundering (BSA/AML)

We identify, monitor and control your BSA/AML risk before the bank examiners perform their examination. Our review could alert you to potentially serious violations that can be corrected, thereby averting problem areas that may lead to substantial penalties.



Litigation Consulting & Forensic Accounting

We help build a robust, comprehensive fraud risk management program. Our forensic professionals utilize sophisticated computerized tools to discern patterns in data to help identify potential or actual fraud risks. Additionally, we can also help investigate business disputes and provide expert testimony for litigation cases.

Information Technology Audit

We examine the controls within your Information technology (IT) infrastructure and help mitigate key risks related to governance, application development and management, security, business continuity and technology outsourcing.

Training & Coaching

Given ongoing changes in regulations and audit standards, we provide our clients with training pertaining to all the above services. We educate all levels of staff through our half, full or multiple day seminars and workshops.



Industries Serviced

KBL's RiM specialists have expertise in a wide array of industries that enable us to staff engagements with the right blend of industry know how, business acumen and technical expertise. Among the industries served are:

1. Financial Services / Banking
 - Hedge Funds
 - Private Equity
 - Family Offices
 - Corporate & Retail Banking
 - Mortgage Banking
 - Mutual Funds
 - Broker-Dealers
 - Insurance
2. Media & Entertainment
3. Technology
4. Retail
5. Healthcare
6. Manufacturing & Distribution
7. Pharmaceutical
8. Racing & Wagering



The KBL Difference - Close Attention to Our Clients

Clients choose KBL not only for our expertise, but because of the continuous attention they receive from our partners and principals. The engagement team that is selected for a project includes senior partners / principals who have the know-how and authority to advise you and to make mission critical decisions. We are committed to responsive, efficient and effective service – something clients often don't find anywhere else.

We are able to accomplish this by providing our partners, principals and staff with the time necessary to know our clients, their business and the trends and issues affecting their respective industries. Taking the time to understand our clients allows us to develop valuable relationships that our clients expect and appreciate.



About KBL, LLP

KBL, LLP is a Certified Public Accounting and Business Advisory Services firm with a primary focus on meeting the needs of emerging businesses, both privately and publicly held, and Fortune 500 companies nationally and globally. We have a multi-disciplined practice that cultivates an environment of strategic problem solvers and business innovators, always keeping you, our client, ahead of the curve. We create personalized approaches that are based on each client's unique goals, business culture, and dynamics. We then assemble the specific solutions, procedures and people necessary to assist our clients in achieving their objectives. Our mission is to help our clients navigate the opportunities and challenges they face to compete more effectively, enhance products and services, improve systems and procedures and, more importantly, achieve significant and sustained growth.

Our partners have created KBL's infrastructure, using a combination of intellectual capital and technologies that allows us to remain lean, adaptive, and able to provide timely, affordable, and creative real time solutions to our clients. It is this strategic combination of technology, intellectual capital, creative energy, experience, and entrepreneurial spirit that makes KBL the firm of choice for emerging businesses with a passion for enterprise.



FOR MORE INFORMATION CONTACT:

STEVE Y. LEHRER CPA

Principal
slehrer@kbl.com

Tel: 212.785.9700 Ext. 312

KBL, LLP
Certified Public Accountants and Advisors
110 Wall Street
New York, NY 10005
Telephone: 212.785.9700

Visit us on the web at www.kbl.com