



WEB Entries ACH Website Security Audit Certification

Each WEB entries Originator shall, in accordance with standard auditing procedures, conduct an internal or external audit of compliance with provisions of the ACH rules in accordance with the requirements of the *2016 NACHA Rules & Guidelines, Section Two, Subsection 2.5.17.3*. These audit provisions do not prescribe a specific methodology to be used for the completion of an audit, but identify key rule provisions that should be examined during the audit process. Such annual audit shall be conducted under the Rule Compliance Audit Requirements no later than December 1, of each year. This audit shall be performed under the direction of the audit committee, audit manager, senior level officer, or independent (external) examiner or auditor of the Participating DFI or third-party service provider. The Originator must retain proof that they have completed an audit of compliance in accordance with these rules.

Documentation supporting the completion of an audit must be (1) retained for a period of six years from the date of the audit, and (2) provided to the National Association upon Request.

Company Legal Name: _____ DBA Name: _____

Tax ID Number: _____ ACH ID#: _____

Website address: _____

Date completed audit: _____

Audit firm, examining body or individual conducting the audit:

Name: _____ Contact: _____

Phone: _____

Address: _____

I hereby confirm this company has conducted its Rule Compliance Audit Requirements in accordance with *2016 NACHA Rules & Guidelines, Section Two, Subsection 2.5.17.3*

Signed: _____

Name and Title: _____ Date: _____

Website content copies to be submitted with Certification:

- Home page that includes identity of the legal entity that owns and operates the website.
- Customer Service contact with phone numbers to live attendants during normal business hours.
- Agreement for product(s) or service(s) to which an ACH authorization will apply, including the electronic signature capture location and methods, plus what "Unique Identifier" is also entered by the consumer and captured and stored by the business, in addition to DNS numbers, etc.
- ACH authorization language, plus other payment terms offered for both funding and collection as required by Federal Regulation E, Section 206.10 (c), Compulsory use.

PLEASE RETURN TO: Compliance Team, Fax: 702-256-0271

If you should have any questions regarding the NACHA Audit Operations Guideline for WEB entries, please call us at 888-718-6767 or by email at accounting@advantageACH.com