

Regulatory Compliance for Financial Services

IT Controls for Sarbox and Beyond

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VERTICAL SOLUTION FLYER

The Sarbanes-Oxley (Sarbox) Act of 2002 raises enterprise IT controls from an optional risk management project to legal mandate. You're working hard to address regulatory issues and improve operational efficiencies in your business. Novell can help grow your business through strategic IT investments that will increase security, automate manual processes, and protect your financial firm's reputation by complying with regulations like Sarbox.

IT CONTROLS FOR SARBOX AND BEYOND

Sarbox is a catalyst for change on how financial institutions use IT frameworks to prepare for future growth. Sarbox is more than a regulatory compliance measure for financial institutions—proper IT controls are essential to protect your firm's reputation and ensure strong security and access controls. Novell helps you meet the demand for rapidly achieving compliance while laying an agile foundation that enables you to respond to changing business challenges and seize opportunities outside the regulatory realm.

GROW BUSINESS WITH A SECURE INFRASTRUCTURE

Growing revenue, cutting costs, and getting closer to your customers are all key concerns for your financial institution. Novell® Nsure® secure identity management solutions facilitate Sarbox 404

IT controls compliance and provide a foundation for key business drivers:

- Reduce costs and improve operational efficiencies
- Enhance service levels and increase customer satisfaction
- Comply with governance and privacy regulations and minimize reputation risk
- Automate manual processes and improve productivity

Novell Nsure provides the leverage many financial services firms rely upon to address Sarbox and the business situations that demand control of access, devices, systems, resources and data—throughout the enterprise—and beyond. With Novell solutions, you can be assured that your financial services firm is protecting and strengthening your reputation, minimizing risk, maximizing return,

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growing business relationships and complying with regulations.

Secure identity management comprises:

- **Authentication**—who you are
- **Authorization**—what you are allowed to do by role and business policy
- **Administration**—controlling and managing identity interactions
- **Audit**—providing a history of all access and interaction

In the past, tracking network usage and access at a high level was acceptable, but recent regulations require precise system and user event logging. Security breaches are often highly publicized and can jeopardize the reputation of any financial institution.

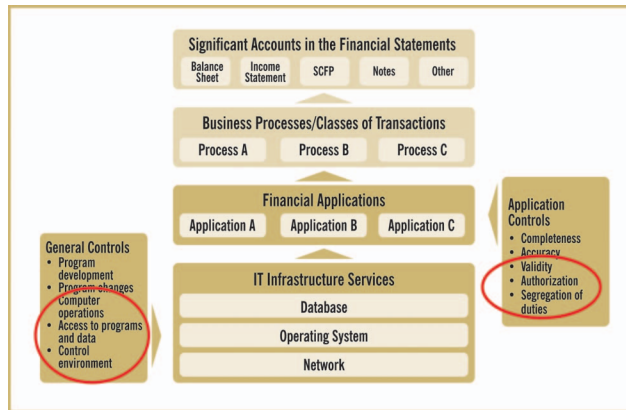
Don't risk your firm's reputation and future growth—invest in a solution that provides a strong foundation for internal controls. Novell Nsure solutions support IT controls and meet your Section 404 compliance efforts by enabling you to extend enterprise resources and services to the right people at the right time—and prove it.

AUTOMATE YOUR SARBOX 404 PROCESS

Financial organizations have scores of business applications, each with unique end user requirements. Without an automated process in place, managing these IT controls—coupled with pressure to quickly turn around reports—can be time consuming and costly.

Don't get stuck with limitations of manual reconciliation for Sarbox processes. With Novell

Nsure, new users receive appropriate access immediately and rights are modified across all systems in real time when a user's status changes, improving productivity and security. Novell Nsure manages the segregation of duties, through policies. Moreover, it provides the mechanisms you need to demonstrate that all access conforms to your business policies, which reflect both internal corporate guidelines and external regulatory requirements, like Sarbox 404 requirements.



Source: IT Governance Institute, IT Control Objectives for Sarbanes Oxley

WHY NOVELL?

Novell is the pioneer and innovator in identity management and understands you must maximize your Sarbox IT controls budget to meet changing business demands of your financial enterprise. With Novell Nsure, you can create a policy-driven, secure, adaptable environment that delivers long-term business improvements and competitive advantages throughout your enterprise.

Contact your Novell sales representative today to find out how Novell and its partners can help you meet your Sarbox compliance objectives in the context of the broader issues driving your business today. Visit: <http://www.novell.com> for more information.

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