



# 2009 ACH Annual Audit Certification

*“Each Participating DFI (Depository Financial Institution), and any third-party service provider that provides ACH services to the Participating DFI, 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 this Appendix Eight. 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 these 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 Participating DFI and its third party service provider 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.” (2009 ACH Rules, Appendix Eight, Section 8.1, OR 168)*

Financial Institution: \_\_\_\_\_

ABA Number: \_\_\_\_\_

Date completed ACH annual audit: \_\_\_\_\_

Name and Address of audit firm, examining body or individual conducting the audit:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I hereby confirm this financial institution has conducted its Rule Compliance Audit Requirements in accordance with Appendix Eight of the ACH Operating Rules, and if applicable, has received certification from any third-party service provider of completion of their audit.

Signed: \_\_\_\_\_

Name and Title: \_\_\_\_\_

Date: \_\_\_\_\_

**PLEASE RETURN TO:  
GACHA - 3250 Riverwood Parkway Suite 150 - Atlanta, GA 30339  
Or Fax to 678-384-9796**