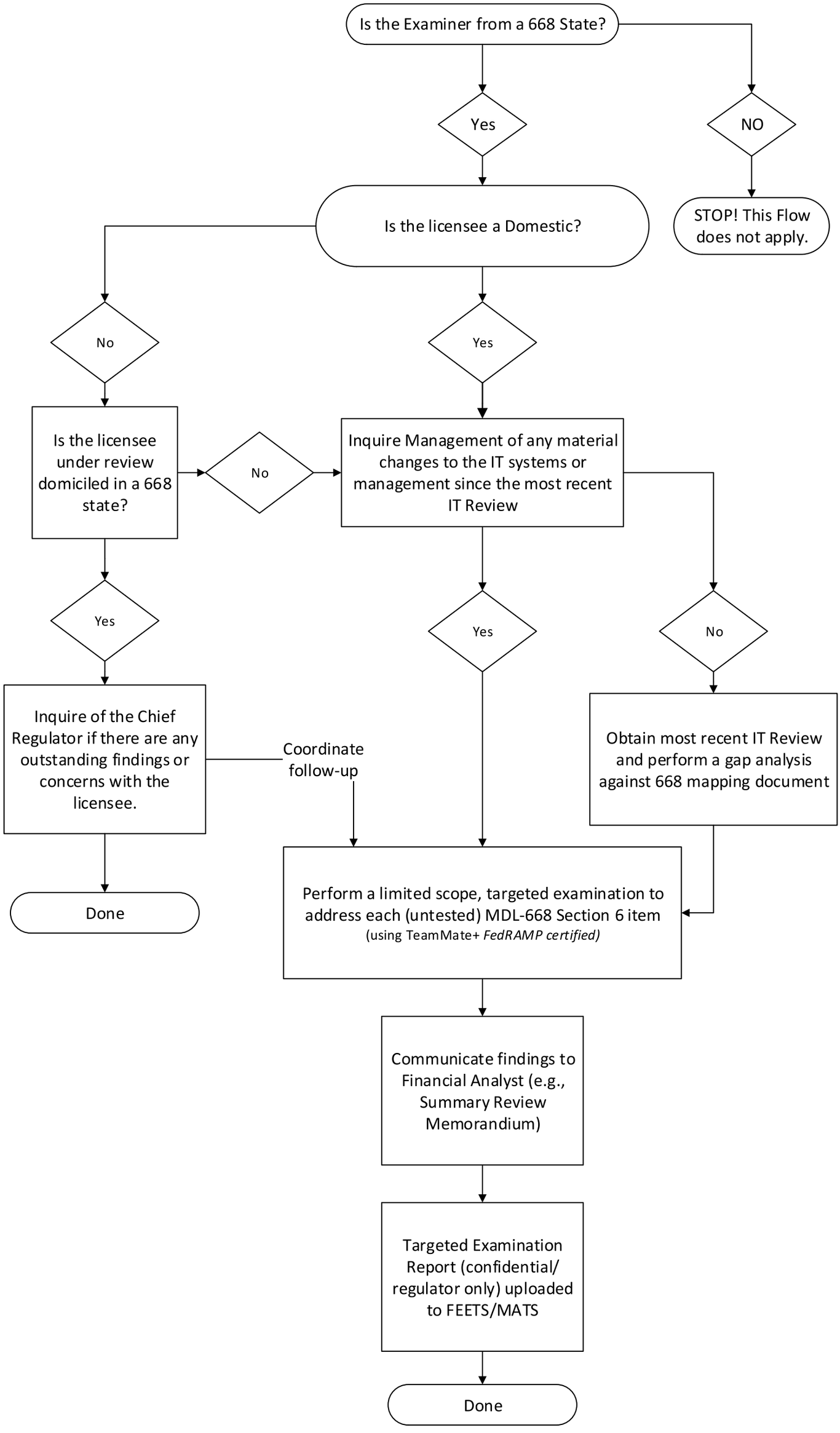
Is the Examiner from a 668 State?
Yes
NO
STOP! This Flow does not apply.
Is the licensee a Domestic?
No
Yes
Is the licensee under review domiciled in a 668 state?
No
Inquire Management of any material changes to the IT systems or management since the most recent IT Review
Yes
Yes
No
Inquire of the Chief Regulator if there are any outstanding findings or concerns with the licensee.
Coordinate follow-up
Obtain most recent IT Review and perform a gap analysis against 668 mapping document
Done
Perform a limited scope, targeted examination to address each (untested) MDL-668 Section 6 item
(using TeamMate+ FedRAMP certified)
Communicate findings to Financial Analyst (e.g., Summary Review Memorandum)
Targeted Examination Report (confidential/ regulator only) uploaded to FEETS/MATS
Done