

Regulatory Compliance Cybersecurity Assessment for Finance

1. Assessment Overview

Assessment Date	
Assessor	
Organization	
Location	
Scope	

2. Applicable Regulations & Standards

- GLBA (Gramm-Leach-Bliley Act)
- SOX (Sarbanes-Oxley Act)
- PCI DSS (Payment Card Industry Data Security Standard)
- FFIEC Cybersecurity Assessment Tool
- Other:

3. Key Cybersecurity Controls

Control Area	Status	Comments
Access Control & Authentication		
Data Encryption		
Network Security		
Incident Response		
Vendor Management		
Employee Training & Awareness		
Audit & Monitoring		

4. Findings Summary

Finding	Risk Level	Recommendation

5. Action Plan

Action Item	Responsible	Deadline	Status

6. Sign-Off

Name & Title

Date