



FIDELITY BANK

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JOB TITLE: SOX 404 & Audit Manager
DEPARTMENT: Internal Audit
ORGANIZATIONAL RELATIONSHIP: Reports to Director of Internal Audit
FLSA STATUS: Exempt
JOB LOCATION: 3 Corporate Square, Atlanta, GA

INTERESTED PARTIES SHOULD SUBMIT THEIR RESUME TO: gabby.griffin@lionbank.com

Position Summary:

Responsible for assisting senior management with its Sarbanes-Oxley 404 (SOX) reporting obligation to annually assess the adequacy of Fidelity Southern Corporation's internal control over financial reporting. This position will ensure that key controls over significant processes and financial statement accounts or groups of accounts are tested for adequacy and effectiveness. This position will also lead internal audits of Bank departments and functions. Other duties as assigned.

Essential Duties and Responsibilities:

- Using the COSO 2013 Framework, evaluate internal control at the entity level by evaluating the control environment, risk assessment, information and communications systems, control activities, and management's monitoring activities, as well the 17 relevant principles of these five components.
- Work with department managers and staff to document significant processes and activities and identify significant risks over financial statement misstatements and the related key controls.
- Identify, document, and evaluate the design of the controls in place to prevent or detect errors in financial reporting, and perform procedures, including testing and verification, to evaluate the operating effectiveness of internal controls. Evaluate the results of those procedures, recommending corrective action in instances where there were control exceptions, or otherwise identifying matters for improvement.
- Maintain SOX Tests of Internal Controls Status Report and Summary of Control Deficiencies.
- Oversee Crowe Horwath's documentation and testing of SOX 404 IT controls.
- Plan or assist in planning internal audits including conducting necessary planning meeting(s); reviewing prior audit reports and regulatory examinations; identifying potential risks; documenting the system of internal controls in place through process narratives or other means; and developing an audit program responsive to the risks identified in the planning process.
- Perform audit testing procedures in accordance with generally accepted auditing standards. This includes observation and inquiry of Bank personnel, analytical reviews, tests of transactions, and review of reconciliations. Testing should be documented by complete, neat, and accurate audit work papers that document the auditor's conclusion of the testing performed.
- Document and present concerns to the Director of Internal Audit and to the responsible manager or supervisor; provide recommendation to resolve the concern.
- Follow up on reported audit concerns to assess the adequacy of corrective action taken on the identified concerns. Document results.
- Supervise Staff and Senior Auditors and review and approve the work that they perform on SOX 404 testing and internal audits. This includes providing instructions, guidance, and training; seeing that



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the approved audit program is carried out, reviewing audit work papers to ensure accuracy and that they support audit findings and conclusions, and ensuring that effective and efficient audits are performed.

- Perform special reviews, research, and administrative duties as requested by the Director of Internal Audit, the Senior Risk Manager, or Executive Management.
- Provide information and perform audit procedures as requested by Ernst and Young, LLP, in connection with their financial audit of the Company. Assist in the coordination of internal and external audit efforts to ensure adequate audit coverage and minimize duplicate efforts.
- Review publications and emails from regulatory agencies, and auditing and accounting organizations in order to stay abreast of changes to banking laws and regulations, areas of regulatory focus, accounting and auditing standards, changes in examining procedures, industry trends, etc.
- Audit activities should be performed in a timely manner and within budgeted hours in order to complete all audits on the audit schedule.

Job Skills/Required Experience:

- Bachelor's degree.
- 5+ years' experience in Public Accounting or working in accounting, financial reporting, or internal audit at a Public Company.
- Relevant professional certification, such as CPA, CIA, or CFSA.
- Proficiency in applying internal auditing standards, procedures, and techniques.
- Extensive knowledge of Sarbanes-Oxley Act.
- Strong understanding of accounting principles and SEC financial reporting requirements
- An understanding of information technology

Language Ability:

Requires ability to read, analyze and interpret simple instructions, short correspondence, and memos. Must possess excellent interpersonal, verbal, and written communication skills and the ability to respond to common inquiries from internal and external customers. Demonstrated presentation and public speaking skills required to effectively present information in one-on-one and small group situations by phone, email or in person.

Physical Demands:

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

While performing the duties of this job the employee is regularly required to sit; use hands to finger, handle, or feel; reach with hands and arms and talk or hear. The employee is occasionally required to stand; walk and stoop, kneel or crouch.

The employee may occasionally be required to lift up to 40 pounds. The vision requirements include: close vision.



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Disclaimer: *The above information describes the general nature and level of work performed by employees in this position. It is not intended to be a comprehensive inventory of all duties, responsibilities and qualifications of employees so classified.*

Equal Employment Opportunity Statement of Policy: *In accordance with Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, the Vietnam-Era Veterans Readjustment Assistance Act of 1974, Section 503 of the Rehabilitation Act of 1973, and the Genetic Information Nondiscrimination Act of 2008, Fidelity Southern Corporation and its subsidiaries ("Fidelity") will ensure that all qualified persons are considered for employment, promotion, benefits and other personnel actions without regard to their race, color, religion, sex, age, national origin, sexual orientation, gender identity, disability status, genetic information, or eligible veteran status.*