



SOC 2 Type 1 report final draft is fully expected to be available to both existing and prospective clients August 22<sup>nd</sup>, 2013. - *Chris Carpenter, CIO*

**SECURITY, CONFIDENTIALITY AND PEACE OF MIND – THE NIGHTHAWK STANDARD**

NightHawk Investigations, Inc. gains its SOC 2 (AT101) data compliancy certification.



**SUCCESSFULLY COMPLETED 07-10-2013**

“NightHawk Investigations, Inc. goes the extra mile to ensure compliancy.” - *Joe Hayes, President & CEO*

**Beginning the Process**

NHI began the process of seeking the SOC 2 certification in mid January, 2013. We knew it would be quite an undertaking but the peace of mind it would bring to our client base meant it had to be done. We have always put the client first and will continue to do so to remain an industry leader offering best in class services nationwide.

**Learning Along the Way**

As the audit process began, we quickly realized that it was an excellent learning opportunity for everyone involved. Led by Chris Carpenter (CIO), the entire NHI family put forth every effort imaginable to ensure that we were ready for all aspects that this rigorous audit process would present to us. Every aspect of our network design, both physical and logical was examined for security compliancy. All policies regarding security, confidentiality, availability, processing integrity and privacy were examined. Believe us when we say that absolutely no stone was left unturned. Ultimately, all internal controls at NHI were found to meet compliance standards and we are proud to say that we have been awarded the SOC 2 compliance certification.

**Best in the Business**

Before beginning the audit process, we realized that we needed to spare no expense. We sought out an industry leader in the field of compliance audits to help us achieve our goal. We ultimately decided to go with A-Lign CPA. This is a decision that we have been very happy with. From the initial engagement agreement to the completion of the audit process they have been extremely helpful and professional. They maintain a wonderful reputation in the industry for a reason. We thank our friends at A-Lign CPA for guiding our way through this process.

**SOC 2 (AT101) at a glance**

SOC 2 is a rigorous audit that is challenging for service organizations. The audit criteria have been developed over time and include a comprehensive list of control activities to meet the principles of security, availability, confidentiality, privacy and processing integrity. One of the most compelling reasons for a service organization to undergo a SOC 2 audit is to communicate the control environment to a broader group of stakeholders than is allowed in a SOC 1 (SSAE 16) review. --*Gene Geiger, A-Lign CPA*



**Annual Revisits planned**

NHI will be re-audited on an annual basis to ensure that we maintain compliance standards. As regulations evolve, so will we. We strive to continue to offer industry leading results in a secured environment which is second to none. Every effort, bar none, will be made to keep the confidential and proprietary information that our clients trust us with safe. As our business grows, so shall our attention to detail in every aspect of security, availability, confidentiality, privacy and processing integrity.

**Contact Us Directly to Inquire**

Telephone – 972-222-HAWK (4295)  
Address – PO Box 852968, Mesquite, TX, 75185

**What we realized along the way**

When we began the audit process, we realized that we may be attempting to acquire the wrong certification. As of June 30<sup>th</sup>, 2011 the SAS 70 reports have been a thing of the past. We were initially inquiring on the SOC 1 (SSAE 16) report. There has been quite a buzz in the industry as of late regarding this type of audit report. So we assumed that this was the logical choice to ensure compliance standards were met. We came to learn however that maybe this was not quite the right path for us. Thanks to our friends at A-Lign CPA, some additional light was shed on the situation. We would like to share this information with you to add some clarity on our choice of audit reports. See chart at right for SOC report comparison table.

**Service Organization's Controls Reporting Comparison**

FEATURE	SOC 1	SOC 2	SOC 3
<i>Alternate name</i>	SSAE 16	AT 101	Trust Services
<i>Companies typically Subject to Examination</i>	Service organizations which affect the internal control over financial reporting of their user entities	Service organizations which provide an outsourced service but does not affect the internal control over financial reporting of their user entities	Service organization which provide an outsourced service but does not affect the internal control over financial reporting of their user entities.
<i>Criteria to Evaluate Service Organization</i>	No predefined criteria	AICPA trust services criteria regarding Security, Confidentiality & availability	Predefined trust services criteria
<i>Components of Report</i>	Auditor's Report Detailed System Description Management Assertion Management Controls Auditor tests of controls and results of those tests – control objectives	Auditor's Report Detailed System Description Management Assertion Management Controls Auditor tests of controls and results of those tests – criteria	Auditors Report Detailed System Description Management Assertion
<i>Intended Users of Report</i>	Service Organization Management User Entity Management User Entity Auditors	Generally: Service Organization Management User Entity Management	Anyone
<i>Seal Issued Upon Completion of Engagement</i>	No Seal Issued	No Seal Issued	Seal issued which can publicly appear on service organization's Website

**Looking forward**

So far, 2013 has been a fantastic year for NHI. We are advancing in our technology and tactics. Professionalism and integrity are the foundation that NHI was built upon and we will continue the tradition. Technology changes, policies and procedures change, methods change, and demands may rise and fall on a day to day basis. One thing that will never change is our dedication to being the best. When you need results, you need NightHawk Investigations, Inc.

NOTE : The term "seal" (Which is only issued with SOC 3 compliance certification) refers to a WebTrust certification that is awarded to websites that comply to the WebTrust Principles and Criteria. A website visitor can view the WebTrust certification and WebTrust Auditors Report by clicking on the WebTrust Seal (a hyperlink). Our SOC 2 (AT 101) report will be available upon request for inquiring clients.

**Contact Us Directly**  
 Telephone – 972-222-HAWK (4295)  
 Address – PO Box 852968, Mesquite, Tx, 75185  
 Email – Chris@NHawk.com