



FACTSHEET | ACTIVE DISCLOSURE SOX COMPLIANCE FOR IPO

# Are You SOX Ready?

As your company plans for an Initial Public Offering (IPO), there are two things of importance to consider.



The first is preparing for SEC reporting regulatory requirements. In the face of complex rules, fixed deadlines and dispersed teams, you need a solution that makes compliance filing as simple and efficient as possible aligned with a service team that has successfully guided thousands of companies through this process. ActiveDisclosure<sup>SM</sup> is the leading online filing compliance solution to help you ensure that these regulatory requirements are seamlessly met. [Learn more here.](#)

The second is SOX compliance. Of the many priorities on a company's IPO checklist, SOX receives the least attention. Most companies initially spend millions of dollars hiring consulting firms or building SOX programs internally, only to spend even more money in the future fixing the same documentation or rebuilding their initial programs.

Protiviti is the leading global consulting firm delivering deep expertise and solutions in SOX compliance. With access to Protiviti's consultants and KnowledgeLeader resources, you will gain access

to the industry-leading library of templates, forms, and matrices to get your SOX program off the ground. Protiviti helps companies apply a top-down, risk-based approach, in accordance with the Securities and Exchange Commission's interpretive guidance, to implement a cost-effective compliance process.

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**“The overall number of companies spending over \$2 million on SOX annually rose this year compared to last.”**

**BRIAN CHRISTENSEN,  
EXECUTIVE VICE PRESIDENT,  
GLOBAL INTERNAL AUDIT  
PROTIVITI**

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Preparing for SOX by approaching it the right way early on will reduce the need for revisions and rebuilding SOX the subsequent year. Building the right SOX program is like building a house. You can build it from the ground up, or you can find the right framework that will help you set a solid foundation. AuditBoard can help provide the right framework for your SOX program so that you do not waste time or resources fixing your SOX environment.

## SOXHUB

Automate your entire SOX compliance process in one intuitive, easy-to-use platform.

## OpsAudit

Collaborate with your team and manage audit planning fieldwork and reporting.

## WorkStream

Save time and resources with our powerful, automated workflow and task management tools.

## ERM Oversight

Identify, prioritize and plan for risk with our flexible, user-friendly ERM platform.

## The AuditBoard advantage

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### A FRAMEWORK THAT COMES OUT OF THE BOX

AuditBoard comes with standard risks and controls to help your business assess and document its control environment for the first time. Instead of manually documenting your processes, risks and controls, simply run down a checklist identifying what applies to your environment. Your instance will be instantly pre-populated with a risk and control framework that can be used immediately.

### STANDARDIZATION AND VERSION CONTROL

For companies with multiple locations and entities, different business units often categorize the same control or risk under different names. When a business implements AuditBoard, these controls and risks will be assigned the same index names and titles, automatically standardizing your controls and documentation, and eliminating version control.

### EASY TRANSFER OF KNOWLEDGE

During implementation, our world class customer success team will take all of your control documentation and upload it into AuditBoard's centralized database. Throughout the IPO process and as your company matures, AuditBoard is the single source where your SOX environment lives and evolves. Transfer of knowledge is extremely easy with AuditBoard, as it is contained to the tool itself.

Learn about DFIN's end-to-end risk and compliance solutions.

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