



# IMPLEMENTING SARBANES-OXLEY (SOX) COMPLIANCE WITHIN 90 DAYS.

## RISK MANAGEMENT

## THE CHALLENGE

Our client needed to fulfill SOX compliance requirements quickly, including a design and implementation of its internal controls program. The company had stretched its resources across multiple areas, so it needed an experienced team that could efficiently design and launch the financial and technology SOX program. They wanted a partner that understood their business, could move quickly, and provide a framework suitable for external audit review.

## VERTEX11'S ROLE

- Implemented our **Rapid Launch Kit** for SOX (Predefined controls matrix, set of controls, policies, flowcharts, control environment templates, fraud templates)
- Leveraged industry knowledge to launch SOX program within 90 days
- Coordinated with external auditors to design the program with their input
- Implemented a software program to document and test internal controls
- Transitioned to operating the program while training/coaching internal resources
- Helped design interview candidate job descriptions for internal controls roles

Meeting compliance requirements was a top priority of senior management and the Board. Doing so without unnecessary distraction was critical. The company easily implemented SOX compliance within 90 days of the engagement. The Vertex11 team has experience being both the control owner and the internal auditor, setting the company up for success.

## SUCCESS STORY

## THE VERTEX11 ADVANTAGE

Our vast experience across many industries means you spend less time teaching us about your business. This contextual background empowers you to be laser focused on your primary objectives. Vertex11 has created an extensive library of over five hundred pre-established financial and technology controls that are a part of our **Rapid Launch Kit**. Our experience and the kit allow us to hit the ground running at lightning speed. It would have taken an accounting firm 3-6 months to understand a client and document the controls. On the contrary, our team had them documented within the first sixty days. In addition, because of our expertise, we were able to keep the team small and nimble, helping to minimize the company's initial investment.

### AREAS OF EXPERTISE



Cybersecurity



Risk  
Management



Continuity of  
Operations



Data Protection  
& Governance

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