

OUR TRUSTED GUIDANCE ALLOWS YOU TO FOCUS ON BEING AN EXPERT AT WHAT YOU DO.

GEARING UP FOR SOX COMPLIANCE

TAKING A PROACTIVE STANCE WITH ITS SIGHTS SET ON A PUBLIC OFFERING, THIS COMPANY TURNED TO AN EXPERT TEAM TO SHARPEN ITS SOX SKILLS.

CHALLENGE

The company's IPO date was a moving target, but leadership felt a pressing need to be ready as soon as possible: They did not want to miss the opportunity once the window opened up.

First, the company had to overcome some deep issues: its siloed organizational structure prevented teams from getting aligned. At the same time, the company was moving fast with rapidly growing operations and the intake of new systems and processes that would better match the company's size and complexity.

The company needed to adapt to these new ways of working in addition to more rigorous yet efficient corporate governance practices.

AT A GLANCE

Company Type:

Midsize, private company

Industry:

Technology

Solution area:

Corporate Governance,
Sarbanes-Oxley
Compliance (SOX)

ABOUT THE CLIENT

In scaling mode, this private technology company was headed toward an initial public offering but knew it first needed rigor in its processes to be ready for SOX compliance.

SOLUTION

RoseRyan's group of SOX pros infused the company with expertise and a tailored plan for becoming SOX compliant that would address both the company's current situation and its goals.

- RoseRyan's phased approach to compliance started with establishing a scalable foundation, enabling the company to efficiently meet the full requirements of SOX as it grew. We worked closely with the team to find the right balance between its current state and its desire to eventually meet auditor expectations under SOX's Section 404(b) expectations. And we helped bridge the inherent siloes by meeting with various stakeholders, to understand their constraints and help them understand their role in SOX.
- RoseRyan was a part of the team, as we designed controls and documented processes that established accountability throughout the organization. From our practical training, control owners learned their responsibilities around evidence control execution.

RESULTS

- **READY FOR THE IPO, WITH A CLEAR PATH FOR SOX 404(B) COMPLIANCE**
- **A WELL-DESIGNED SOX PROGRAM THAT ALIGNS WITH CURRENT RISKS AND WILL SCALE WITH THE COMPANY'S CONTINUED GROWTH**
- **TEAMS THROUGHOUT THE ORGANIZATION ARE EDUCATED ON THE MORE RIGOROUS COMPLIANCE DEMANDS OF SOX 404(B) AND EXTERNAL AUDITOR REQUIREMENTS**
- **DETAILED DOCUMENTATION IN CRITICAL ACCOUNTING AREAS, SO THAT WORK IS PERFORMED CONSISTENTLY AND CAN BE TRANSITIONED AS TEAM MEMBERS CHANGE**

RoseRyan became an essential partner on the company's journey toward an IPO.

We met the company on its terms, at its level of expertise, to create a customized, manageable phased plan that works for everyone involved. Now, with SOX controls integrated into the workflow and organizational discipline, the team is ready to take on the IPO.

ABOUT ROSERYAN

TAILORED OUTSOURCED EXPERTISE TO HELP SOLVE EVOLVING COMPANIES' FINANCE & ACCOUNTING CHALLENGES.

Award-winning RoseRyan is a ZRG company offering on demand leadership, advisory and consulting services in the Finance & Accounting disciplines.

Since 1993, our deeply experienced and innovative consulting professionals have unlocked the potential of more than 1,500 companies through outsourced, customized, and full-stack solutions.

How can we guide your organization to transform its performance and accelerate its progress towards success?

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