



TOPPAN
TOPPAN MERRILL

SOX AUTOMATION

SOX compliance is chaotic and fraught with the potential for human error and unmitigated expense.

SOX program management strains enterprise resources and increases risk of failure at each SOX program stage gate.

Control Execution ↔ Documentation ↔ Walkthrough Testing ↔ Full Testing ↔ Deficiency Remediation

Even with these obstacles, companies have been resistant to step away from legacy solutions which are often Excel® based.

Toppan Merrill's SOX Automation platform transforms SOX compliance management:

From a state of manual chaos, fraught with the potential for human error and unknown expense...

To an end-to-end, integrated SaaS platform built on efficiency, transparency and predictability of cost ...

Delivering compliant outcomes coupled with key insights and enriched intelligence to inform governance, compliance and business strategy.



All business locations, processes, risks and controls are maintained in a single, intuitive, collaborative SaaS solution. This is technology infused with expertise.



**A Single,
End-to-End Solution**



**Integrated Workflow
Management Engine**



**Real-Time Dashboards
and Reporting**



**Smart Tools for
Role-Based
Permissioning**

TOPPAN MERRILL. Expand Possible.



Toppan Merrill SOX Automation – Solutions for every SOX Stage Gate challenge



Control Execution

Challenges solved through...

1. Detailed Control Execution instructions and approval process (embedded workflow).
2. Establishment of a control execution calendar with clear expectations regarding due dates.
3. Pipelines and management dashboards for monitoring.
4. Automated Management §302 certification.

Documentation

Challenges solved through...

1. Integrated tracking of all changes and embedded workflow ensure version control, audit trail and that changes are accurate and properly authorized.
2. Hyperlinks within all documentation and flowcharts facilitate efficiency in updates.
3. Intuitive step-through logic designed by Compliance and SOX Practitioners enables users to complete tasks and stay in context of the bigger picture.
4. Integrated rules and logic to link controls to COSO 2013 principles.

Walkthrough Testing

Challenges solved through...

1. Platform intelligence means that changes required due to walkthrough testing flow through multiple “modules” quickly and simply.
2. Test scripts can be modified at any time with users applying updates to existing or future tests. Flexibility allows users to continue to utilize existing work and nothing is wasted.

Full Testing

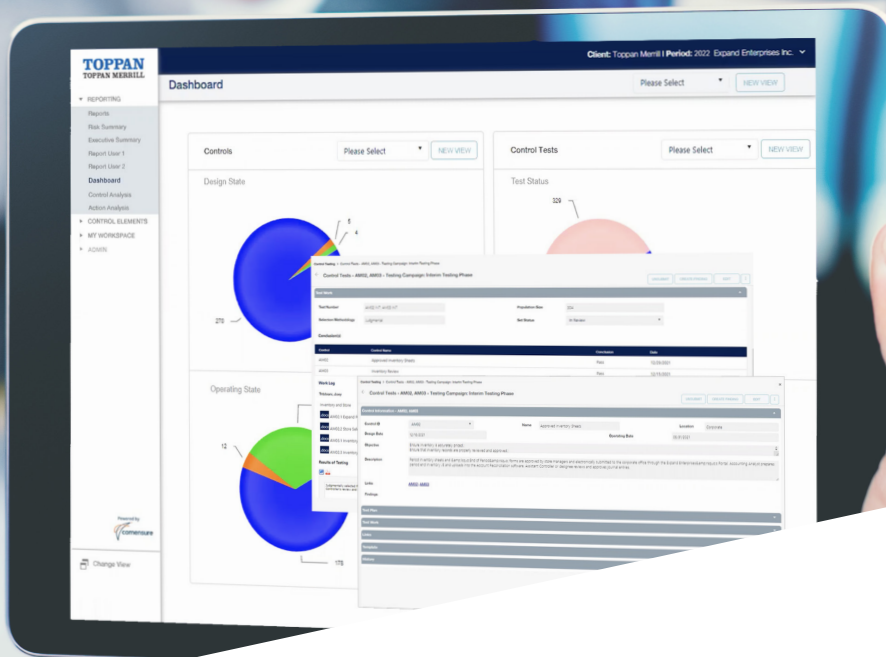
Challenges solved through...

1. Integrated testing process allows testing execution to be fully incorporated and seamlessly reviewed.
2. Ability to upload unlimited attachments to support the testing process.
3. Embedded worklog keeps open communication amongst the project team.
4. All elements of a given test (control, test objective, test attributes, test script) are fully integrated, reducing the likelihood for errors of interpretation by testers.
5. Full visibility into the testing process for multiple stakeholders encourages external auditor reliance.

Deficiency Remediation

Challenges solved through...

1. Clear, internal audit-style cataloging of findings with precise identification of the issue, resolution, management’s response, due date and responsible party.
2. Work logs to track progress against a given deficiency.
3. Deficiencies have a separately defined workflow which forces the Company to deal with and resolve issues before they can proceed.



One Platform. One End-to-End Solution. One Source of Truth.

A wholly integrated ecosystem built on SOX rules and business process logic, from control execution through to reporting.

- A single point of truth and transparency for progress visibility to every aspect of an organization's SOX program.
- Rapid, secure implementation, no matter the size or complexity of your current SOX program.



Integrated Workflow Management Engine

Customizable workflows that streamline control execution, documentation, testing, deficiency remediation and review.

- Real-time 360° reporting and analysis by Division, Location, Department, Control, Tester, Control Performer, etc...
- Automated Notifications and Alerts.



Intuitive, Real-Time Dashboards and Reporting

Transparency and visibility across your SOX program from a single, integrated and interactive dashboard.

- Executive Summary displays scorecards providing full visibility to every aspect of an organization's SOX program.
- "Create-Your-Own-View" features to monitor progress.
- Pipeline and management dashboards for progress monitoring.
- Flexible, robust reporting features that meet key stakeholder requirements, both internal and external to the company.



Smart Tools for Role-Based Permissioning

Facilitate secure communication and collaboration amongst key stakeholders internal and external to the organization.

- Unlimited user roles and permission levels.
- Integrated access controls let you manage visibility and restrict program access by role.

Contact us today to learn more about Toppan Merrill's SOX Automation Solution.



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