



Sarbanes-Oxley IT Governance Capabilities

Ensure Documentation, Control, and Security of Processes Affecting Corporate Financial Reporting.

As specified in Sarbanes-Oxley Section 404, required controls on corporate operational and financial reporting systems affect not only accounting and finance, but information technology as well. To ensure the sanctity of “the numbers,” IT processes that are involved in any material way with financial reporting must be properly controlled. Even private companies may be subject to SOX if they are an Application Service Provider to a public entity. In addition, they gain competitive advantages by demonstrating accountable IT Governance that is required of their public-sector customers. Moreover, SOX information system controls signal reduced risks to potential private company investors, and to equity markets, if a private company ever decides to go public.

Anexinet Experience

Serving both public and private sectors, Anexinet provides the services of an experienced SOX partner with applied understanding of:

- SOX and other corporate governance regulations
- COSO and other corporate governance advisories
- Common IT Governance frameworks including COBIT (Control Objectives for Information and related Technology), ITIL (Information Technology Infrastructure Library), and others

Anexinet Approach

At the highest level, your engagement with Anexinet for effective IT Governance and SOX controls involves four phases:

- **Planning:** Entity level assessment and project planning
- **Remediation:** Evaluate existing controls and correct with new controls as necessary
- **Testing:** Produce evidence from which auditors can form conclusions about the integrity of IT Governance
- **Maintenance:** Provisions to evaluate and test SOX controls on an ongoing basis

Anexinet Expertise

Common risk areas associated with clients in need of IT Governance upgrades generally include:

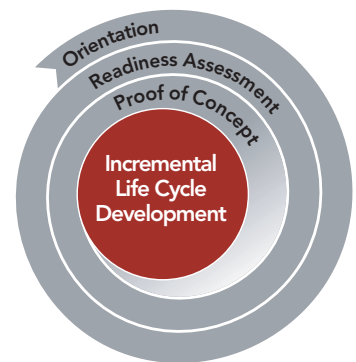
- Improper account provisioning and/or separation of duties
- Insufficient change management controls
- Misunderstanding key system configurations
- Not reviewing audit logs
- Inability to detect abnormal transactions in a timely manner

Most clients have some form of controls in place, but lack an integrated approach to IT Governance that is efficient and fully aligned with their unique business. Anexinet works with clients to treat SOX as a focused, repeatable, enterprise process. We help clients address all critical success factors for effective documentation, control, and security of processes affecting corporate financial reporting:

- Senior management buy-in and support
- Effective project management
- Skilled and knowledgeable resources
- Involvement of an external audit firm
- Appropriate documentation methods

Anexinet’s solutions emphasize areas at greatest risk for misstatement; verify, establish, or enhance controls early in the process; and implement well-defined testing. We engage with external auditors early, and our solutions include tools to make ongoing IT Governance for SOX compliance easier and more cost effective.

Proven and Pragmatic Approach with Tangible Deliverables



In every client engagement, Anexinet seeks clear understanding of needs, open communication of competencies, and a best-fit solution strategically planned and implemented through unfettered collaboration and partnership.

To maximize success, Anexinet manages projects through its internal Program Management Office (PMO).

The PMO of Anexinet provides for coordinated Enterprise Project Management (EPM) with real-time visibility, collaboration, and control from project inception through closure.

Anexinet Corporation
1040 First Avenue
Suite 108
King of Prussia, PA 19406 USA
Phone: 610-755-3400
Fax: 610-755-3420

ANEXINET.COM