



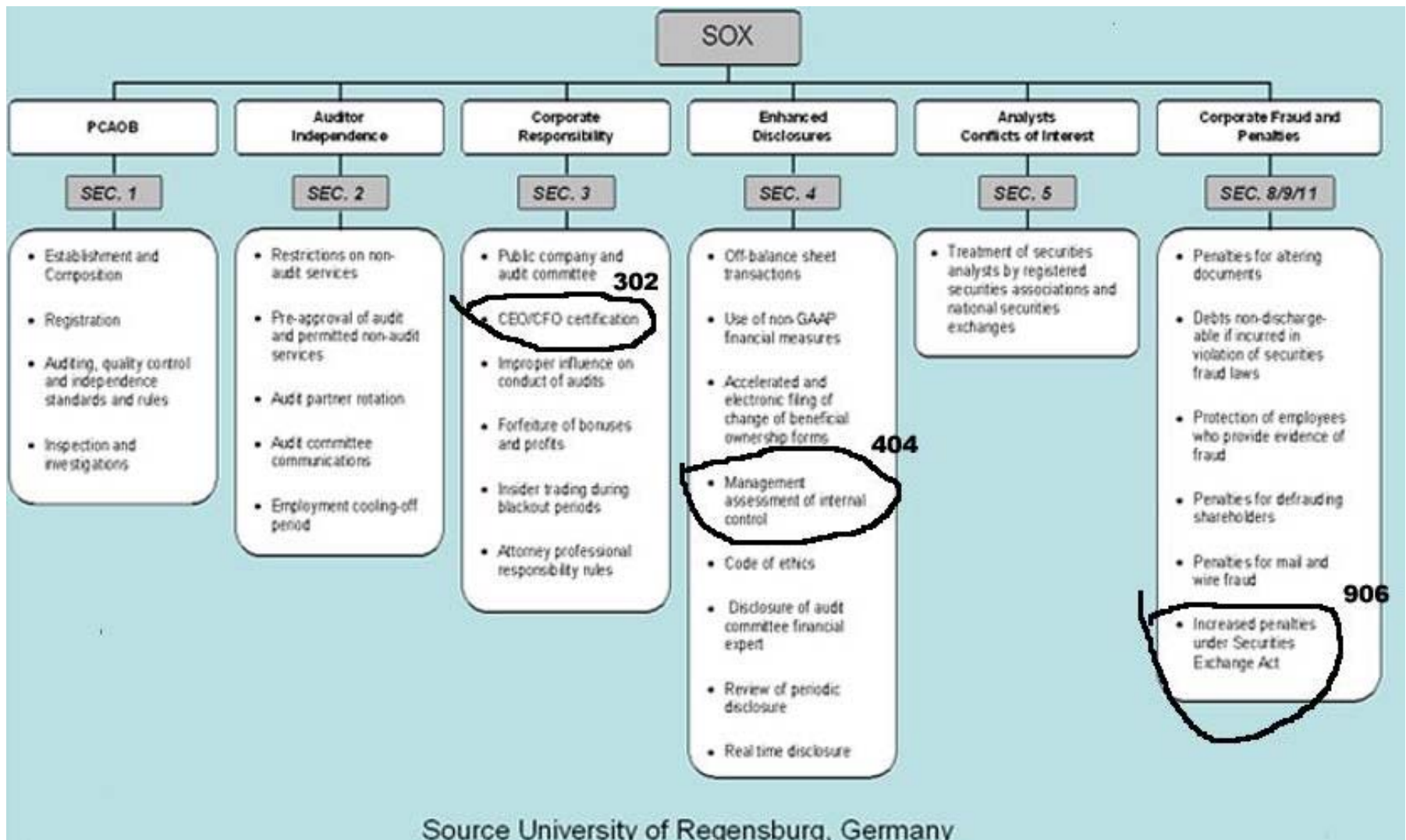
SOX AUTOMATION, INC.

Sarbanes-Oxley Compliance Software

Solution Provider

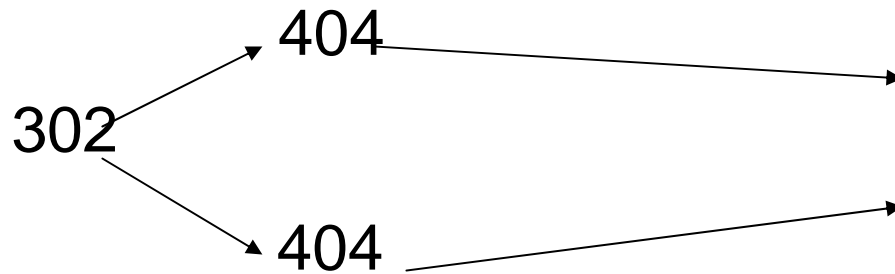
Complexity Made Simple

Complex SEC Sarbanes-Oxley Act



COSO Rubik Rules - So Complicated

CEO & CFO must certify

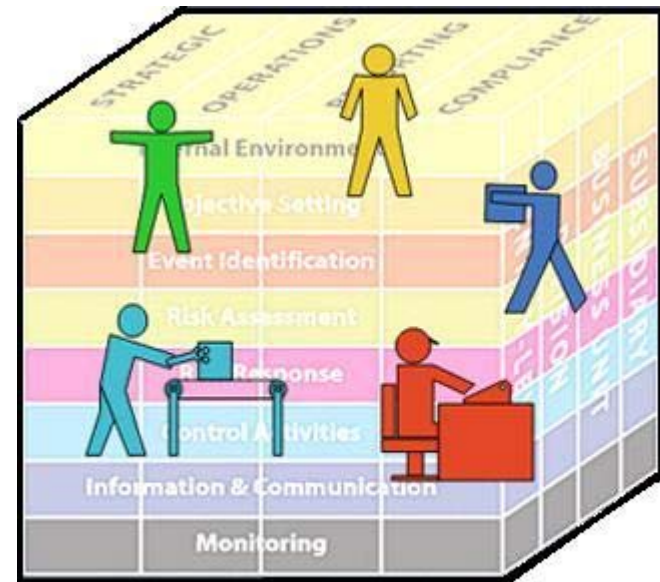


SOX-DISC Simplifies and Integrates

Governance, Process, Controls and People

Transparent Organizational Oversight
Accountability:

1. Roles
2. Responsibilities
3. Controls Assigned
4. Activities aligned with Business Objectives



Complexity Made Simple

SOX-DISC™

Dynamic up-to-date status

Integrated database, seamless interface

Sustainable change management

Compliance Made Easy

Intuitive, clearly designed,
very well thought-out and matured



Dashboard

SOX-DISC™ System 3.0

Control Environment

Company Info... Basic Info... Org Chart... Guide Line

Exit

Control Environment
Risk Assessment
Control Activities
Info. & Communication
Monitoring & Feedback

Delta Version Lock©
My Dashboard
Resources

System Administration

Current User: System Admin

November, 2007

Sun	Mon	Tue	Wed	Thu	Fri	Sat
28	29	30	31	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	1
2	3	4	5	6	7	8

Today: 11/21/2007

Show By Day
 Show By Month
 Show By Week
 Show By Year

Reload Task New Task

Business Unit: Semiconductor Location: All Locations

Select a Chart: 2 - Control Design Effectiveness Show Chart

Design Effectiveness of Locations

Location	Yes	No
Beijing	22	0
US	1	10

November, 2007

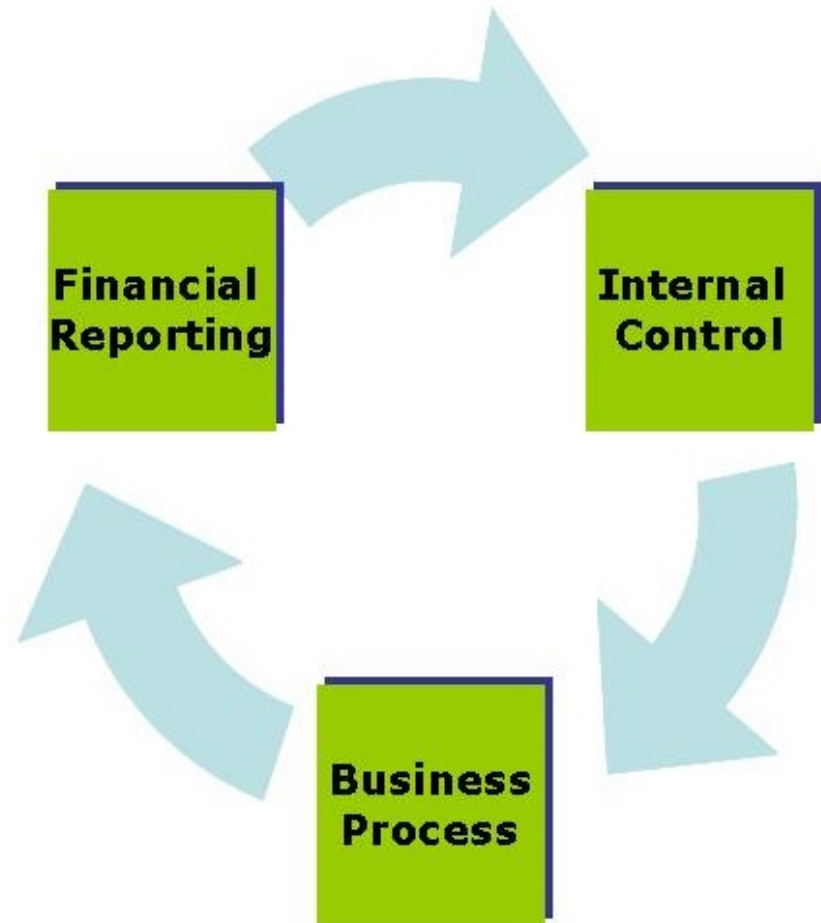
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25	26	27	28	29	30	1
2	3	4	5	6	7	8

Today: 11/21/2007



Integrate, Automate, and Manage SOX Process and Documentation

- Integrates
 - Word for Narratives
 - Excel for Control Matrix
 - Testing & Risk Matrix
 - Visio for Organization Chart, and Work Flow
- Automates and streamlines business processes and controls



One Seamless Interface

SOX-DISC™ System 3.0

Control Activities

Business Cycle ... Processes... Walkthrough Testing ... Guide Line **Current Business Cycle** US-Revenue Cycle **Exit**

Process Overview

Show Current Business Cycle Only Show Key Controls Show Testing Result 2007

Show Detail Process Show Non-Key Controls Show Issues

Show Testing Plan Show Remediations

Semiconductor

- Beijing
- US
 - [US-RV] US-Revenue Cycle
 - [A.3.1.0] Overview
 - [A.3.2.0] Customer Contract Administration
 - [A.3.3.0] Billing
 - [A.3.4.0] Submitting and Reviewing Time Sheets
 - [A.3.5.0] Invoice Billing / Revenue Recognition
 - [A.3.5.0.1] Invoices are properly processed/sales are recorded when services are provided
 - [A.3.5.0.2] Sales are recorded only after services are provided
 - [A.3.6.0] Credit / Re-Bill
 - [A.3.7.0] Forecasting
 - [A.3.8.0] Education Services

Navigation Sidebar:

- Control Environment
- Risk Assessment
- Control Activities
- Info. & Communication
- Monitoring & Feedback
- Delta Version Lock®
- My Dashboard
- Resources
- System Administration

Current User: System Admin

September, 2007

Sun	Mon	Tue	Wed	Thu	Fri	Sat
26	27	28	29	30	31	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	1	2	3	4	5	6

Today: 9/5/2007

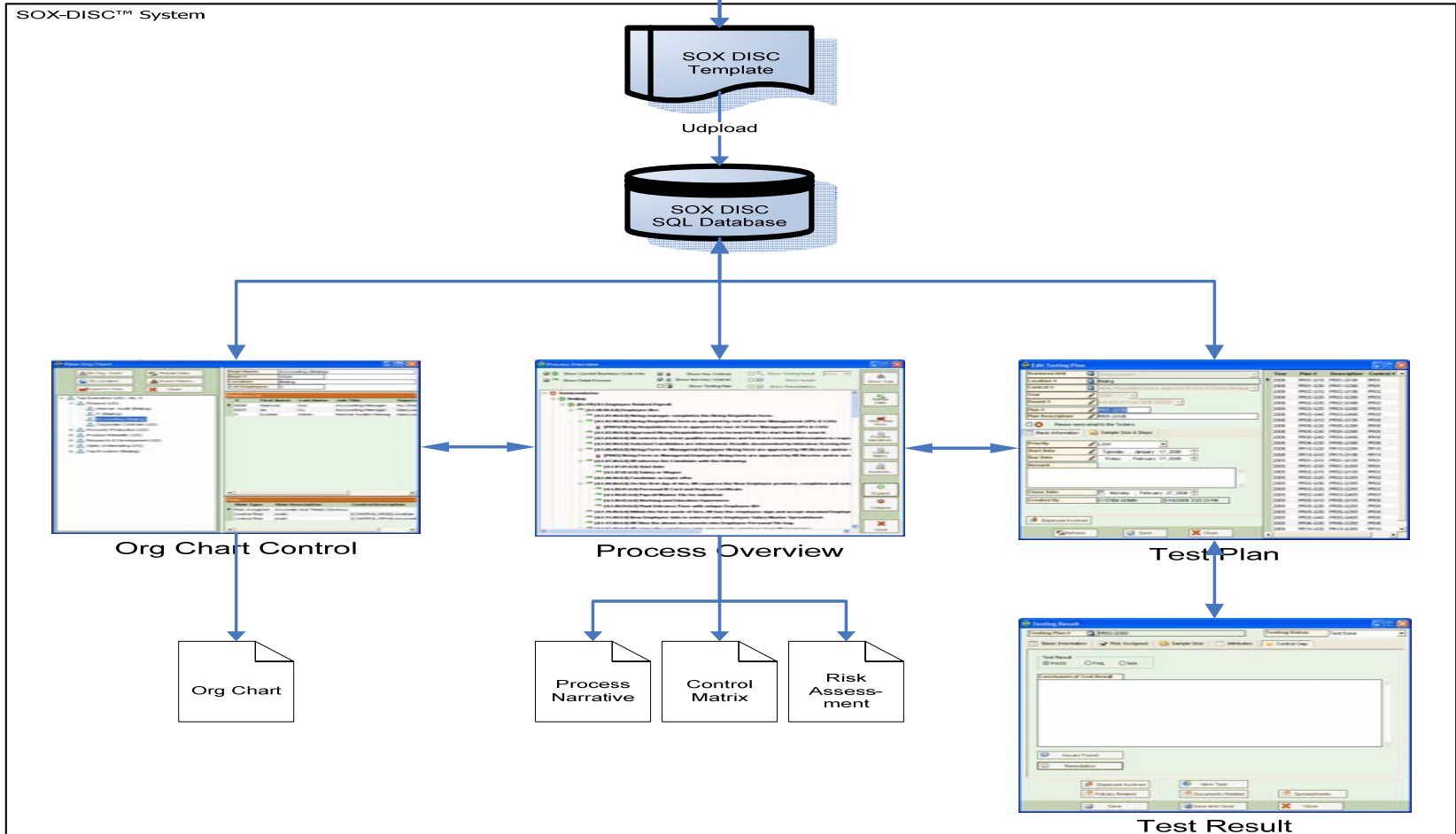
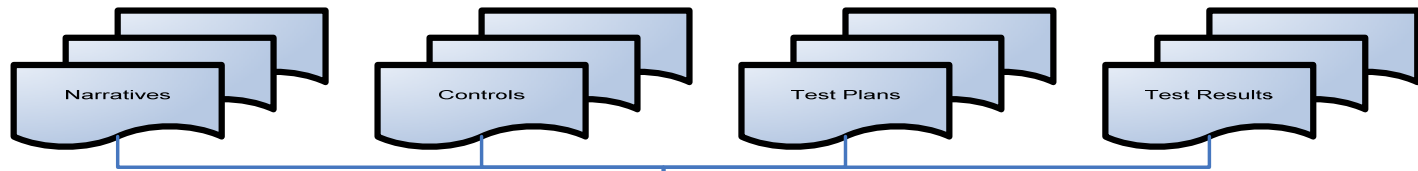
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← Visio

← Word

← Excel

Integrated Open Architecture



Change Management Compliance Made Easy

Cycle, Process, Control, Testing Plan, Testing Result, and Dashboard



Compliance Made Easy

- Risk Control Matrix Report
Request Demo Reports with Dashboard and Charts to replace Excel
- Other Reports
Risk Assessment, Control Deficiencies, Testing Results Summary and much more



Risk/Control Matrix Report

ABC Company LTD.

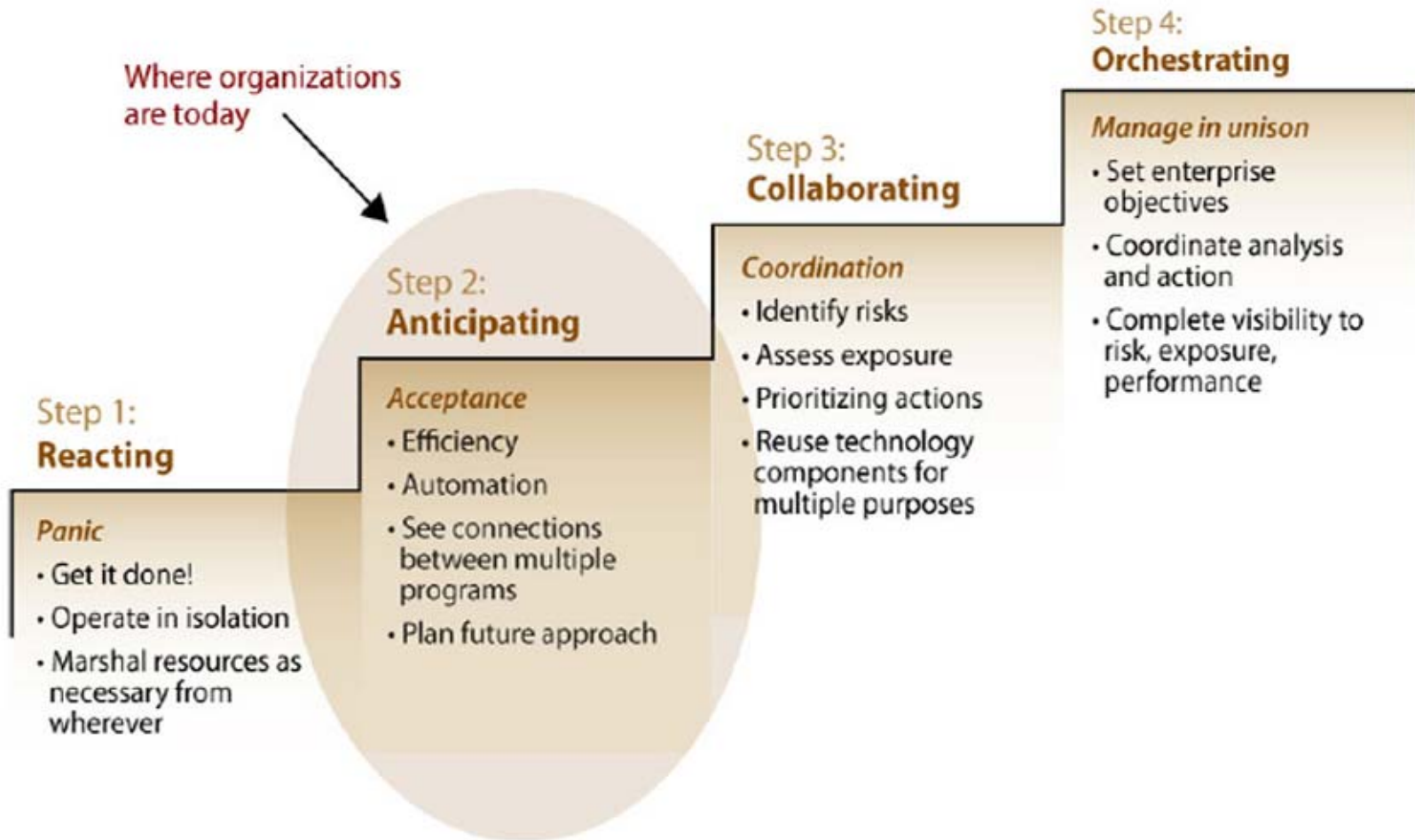
Control Matrix

Business Cycle : US-Revenue Cycle

Ref #	Control Activity	Key Control	Control Objective	Control Point	Control Risk	Control Assertions							
						Frequency	System vs. Manual	Sample Size	Prevent. vs. Detective	Assertion	F/S Risk	Effective Design	COSO Comp.
Business Unit : Semiconductor		Location : US											
A.3.4.0 Submitting and Reviewing Time Sheets													
A.3.4.4.1	Time Sheets information is input to the Project Batch, which is used to extract information for invoice preparation	Yes	Invoices are properly processed/sales are recorded when services are provided	<input checked="" type="checkbox"/> Completeness <input type="checkbox"/> Accuracy <input checked="" type="checkbox"/> Validity <input type="checkbox"/> Restricted Access	Annually	System	0	Detective	<input checked="" type="checkbox"/> Completeness <input type="checkbox"/> Disclosure or Presentation <input type="checkbox"/> Existence <input type="checkbox"/> Occurrence <input type="checkbox"/> Rights and Obligation <input type="checkbox"/> Valuation or Measurement	<input checked="" type="checkbox"/> Acc Liab <input type="checkbox"/> AR <input type="checkbox"/> AR Reserve <input type="checkbox"/> Bad Debit Exp <input type="checkbox"/> Cash <input type="checkbox"/> Def. Comp <input type="checkbox"/> Def. Rev. <input type="checkbox"/> Payroll Exp <input type="checkbox"/> Rev. <input type="checkbox"/> Com. Stock	Yes	<input type="checkbox"/> Environment <input type="checkbox"/> Risk Assess <input type="checkbox"/> CA <input type="checkbox"/> Monitoring <input type="checkbox"/> Information	
A.3.4.4.2	Time Sheets information is input to the Project Batch, which is used to extract information for invoice preparation	Yes	Sales are recorded only after services are provided	<input checked="" type="checkbox"/> Completeness <input type="checkbox"/> Accuracy <input checked="" type="checkbox"/> Validity <input type="checkbox"/> Restricted Access	Annually	System	0	Detective			No	<input type="checkbox"/> Environment <input type="checkbox"/> Risk Assess <input type="checkbox"/> CA <input type="checkbox"/> Monitoring <input type="checkbox"/> Information	
A.3.4.6.1	RSD reviews the Project Batch	Yes	In T&E, the RSD reviews the Project Batch by using the My Projects Batch to Approve portlet. This review includes reasonableness check to ensure that time and rates are within reason for the project. The RSD approves the batch. (Authorization)	<input type="checkbox"/> Completeness <input checked="" type="checkbox"/> Accuracy <input checked="" type="checkbox"/> Validity <input checked="" type="checkbox"/> Restricted Access	Annually	System	0	Detective				<input type="checkbox"/> Environment <input type="checkbox"/> Risk Assess <input type="checkbox"/> CA <input type="checkbox"/> Monitoring <input type="checkbox"/> Information	
A.3.4.7.1	Invoices are properly processed/sales are recorded when services are provided	Yes	Senior Financial Analyst compares the invoice data in Oracle against the total invoice amount per Billings Template before invoices are printed	<input type="checkbox"/> Completeness <input type="checkbox"/> Accuracy <input checked="" type="checkbox"/> Validity <input type="checkbox"/> Restricted Access	Annually	System	0	Detective				<input type="checkbox"/> Environment <input type="checkbox"/> Risk Assess <input type="checkbox"/> CA <input type="checkbox"/> Monitoring <input type="checkbox"/> Information	
A.3.4.7.2	Correct pricing/quantity is included on services invoice	Yes	Senior Financial Analyst verifies invoice data from Oracle by matching the total invoice amount against the Billings Template before invoices are printed	<input type="checkbox"/> Completeness <input type="checkbox"/> Accuracy <input checked="" type="checkbox"/> Validity <input type="checkbox"/> Restricted Access	Annually	System	0	Detective				<input type="checkbox"/> Environment <input type="checkbox"/> Risk Assess <input type="checkbox"/> CA <input type="checkbox"/> Monitoring <input type="checkbox"/> Information	
A.3.4.7.3	Duplicate invoices are not recorded	Yes	Senior Financial Analyst compares the invoice data in Oracle against the total invoice amount per Billings Template before invoices are printed	<input type="checkbox"/> Completeness <input type="checkbox"/> Accuracy <input checked="" type="checkbox"/> Validity <input type="checkbox"/> Restricted Access	Annually	System	0	Detective				<input type="checkbox"/> Environment <input type="checkbox"/> Risk Assess <input type="checkbox"/> CA <input type="checkbox"/> Monitoring <input type="checkbox"/> Information	



Figure 1: AMR Research's governance, risk, and compliance (GRC) maturity model



Which Stage are you in?

- Accelerated Filers ready to automate
- Implement Governance Suite to roll out
- Non-accelerated filers to use our principal based methodology
- Non-public companies to adopt ICFR internal control over financial reporting for funding and acquisition positioning



Experience the Simplicity of Total Control

SOX Automation Sarbanes-Oxley software
And Solution

Contact us for a demo - Email: info@soxautomation.com

