

SOX, ICFR & PROVISION 29 CONTROLS ADVISORY

Aureliant Global Advisory

Chartered Accountants

Regulated ICAEW member firm

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Expert guidance on regulatory
compliance and controls



AURELIANT GLOBAL ADVISORY — CONTROLS & GOVERNANCE EXCELLENCE

UK SOX, ICFR & PROVISION 29 CONTROLS ADVISORY



Comprehensive Advisory Support

Aureliant provides senior-led guidance for boards and auditors to meet internal control and governance demands effectively.

Regulatory Compliance Focus

Our advisory ensures alignment with SOX, ICFR, Provision 29, and COSO frameworks, emphasizing effective controls and accountability.

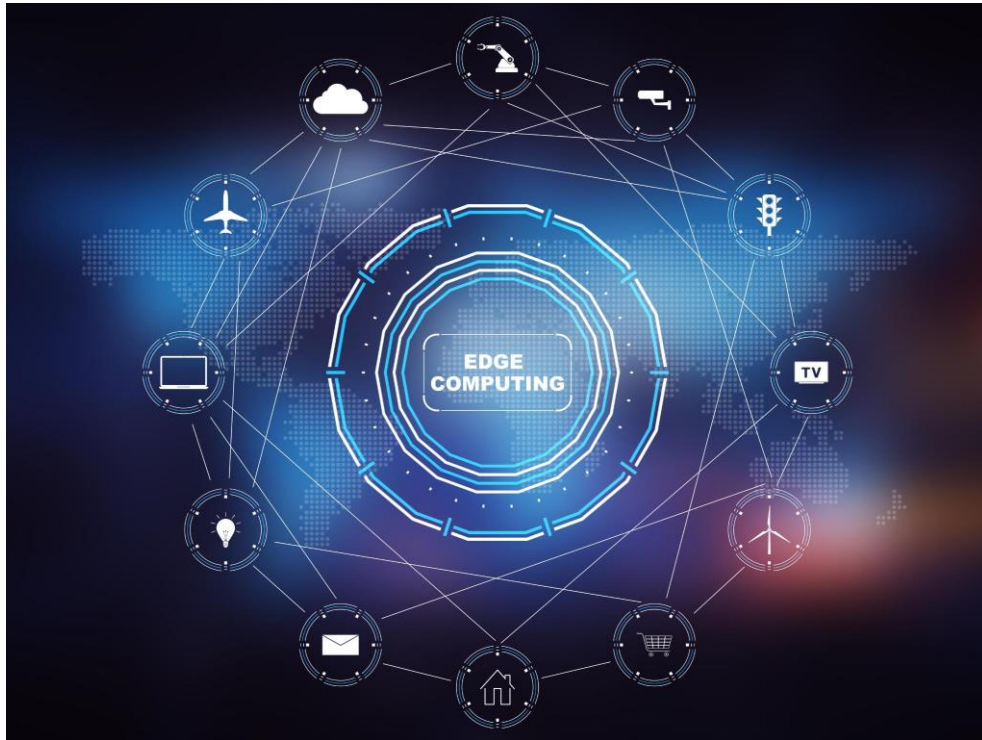
Tailored Risk-Based Approach

Services are customized based on organizational structure, risk profile, and maturity to deliver pragmatic control solutions.

Sustainable Control Lifecycle Support

From framework design to annual testing and reporting, we support sustainable and defensible internal control programs.

THE NEW GOVERNANCE REALITY



Shift Toward Transparency

Governance now demands transparency, accountability, and explicit effectiveness of internal controls.

Regulatory Compliance Requirements

Provision 29 and SOX require rigorous controls, testing, and remediation to ensure control effectiveness.

Risks of Control Failures

Control failures indicate governance weaknesses, risking reputational damage and regulatory consequences.

Opportunities in Strong Controls

Strong ICFR frameworks improve decision-making, accountability, and operational resilience.

END-TO-END SOX, ICFR & PROVISION 29 SUPPORT

ICFR Framework Design

Establishes a defensible controls universe based on COSO principles with clear ownership and governance.

Process Documentation

Transforms framework into detailed narratives and risk-control matrices ensuring design effectiveness.

Controls Testing

Independently tests control design and operation with clear evidence and consistent methodologies.

Remediation and Uplift

Supports management with gap analysis, redesign, implementation and retesting for sustainable fixes.

Governance and Reporting

Effectively communicates outcomes including audit reports, maturity assessments and Provision 29 support.



WHY AURELIANT

Technical Expertise and Experience

Aureliant combines deep regulatory knowledge with practical experience from Big-4 firms and regulated industries.

Focused Specialism on Controls

Core services include SOX, ICFR, governance, and assurance, ensuring high-quality and up-to-date technical insight.

Partner-Led Collaborative Engagements

Engagements are led by Managing partner and senior professionals who work closely with clients from design to board reporting.

Use of AI-Enabled Tools

AI tools enhance documentation, testing, and reporting, improving accuracy and reducing manual effort.



OUR STRUCTURED DELIVERY MODEL

Discovery and Planning

This phase focuses on understanding risk profiles and regulatory obligations through interviews and scoping activities.

Documentation Phase

Translates risk understanding into clear process maps, narratives, and control walkthroughs to articulate risk mitigation.

Testing Phase

Applies methodology to assess design and operating effectiveness using defined evidence standards and evaluation criteria.

Remediation and Reporting

Addresses gaps with action plans and control redesign, followed by clear reporting and transition to business-as-usual.

WHO WE WORK WITH

Diverse Client Sectors

Aureliant serves sectors including financial services, manufacturing, energy, infrastructure, fintech, and insurance.

High Accountability Environments

Clients operate under strict governance codes and regulatory regimes such as UK Corporate Governance and SOX.

Tailored Control Frameworks

Aureliant customizes control frameworks to be scalable, proportionate, and aligned with strategic objectives.

Addressing Common Challenges

Clients face challenges like fragmented controls, inconsistent documentation, and limited board visibility.



OUTCOMES YOU CAN EXPECT

Clear ICFR Framework

Clients receive a well-defined, documented ICFR framework aligning risks, controls, and ownership clearly.

Reduced Audit Findings

Disciplined testing and remediation reduce audit findings and control deficiencies effectively.

Improved Reporting and Confidence

Boards benefit from concise, decision-useful reporting supporting compliance and strategic decisions.

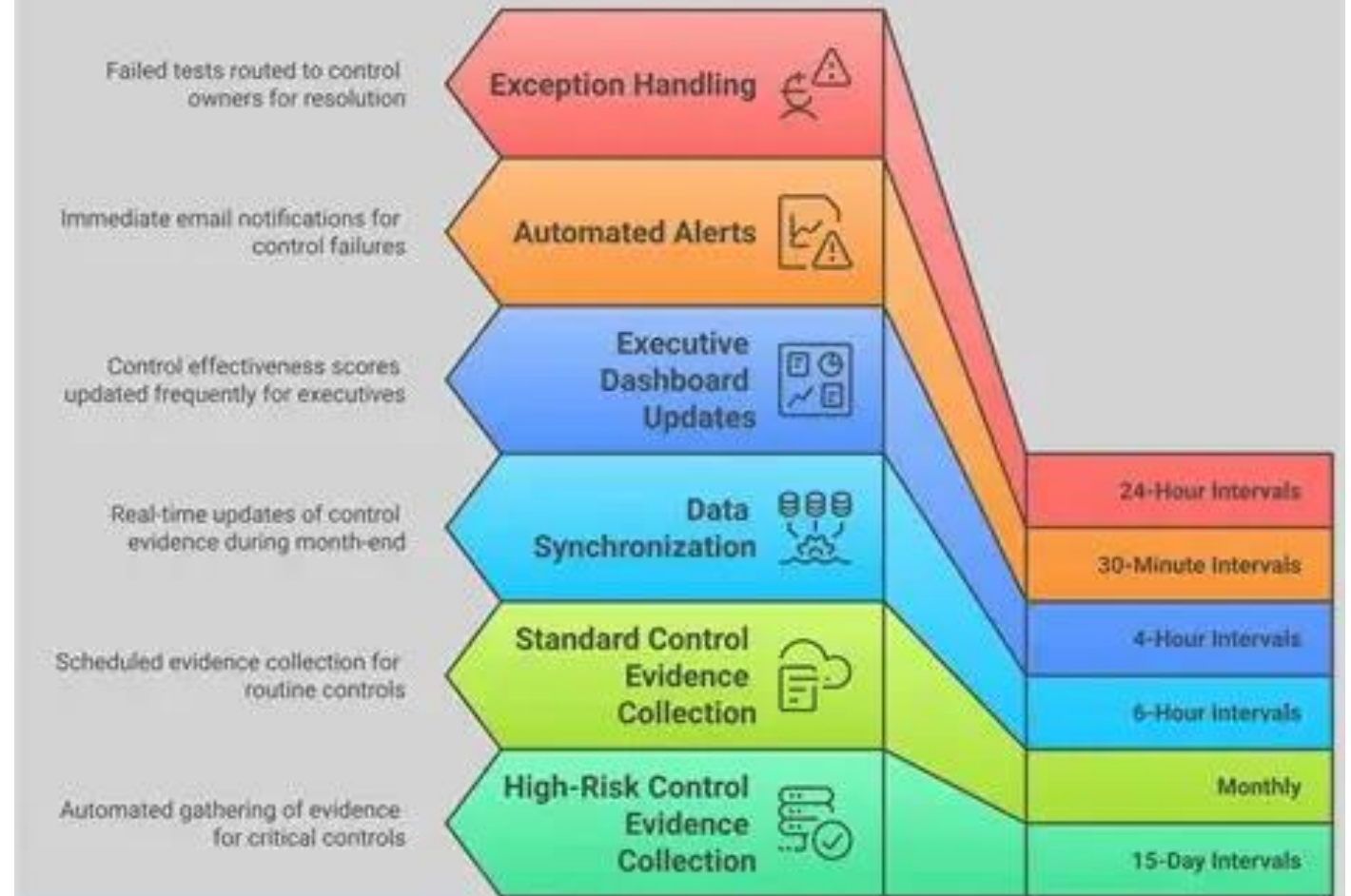
Sustainable Testing Cycle

Clients establish sustainable, repeatable testing cycles integrated with routine business operations.

SOX IMPLEMENTATION



SOX Automation Implementation Timeline



CALL TO ACTION



Tailored Advisory Support

Aureliant provides senior-led advisory tailored to unique organisational challenges and evolving regulatory demands.

Proactive Engagement Benefits

Early engagement helps identify gaps, reduces last-minute issues, and smooths audit and board processes.

Board-Ready Insights

Experienced professionals translate complex requirements into practical actions and clear insights for governance.

Invitation to Connect

Boards, CFOs, and Audit Committee leaders are invited to discuss how internal controls enhance governance and performance.

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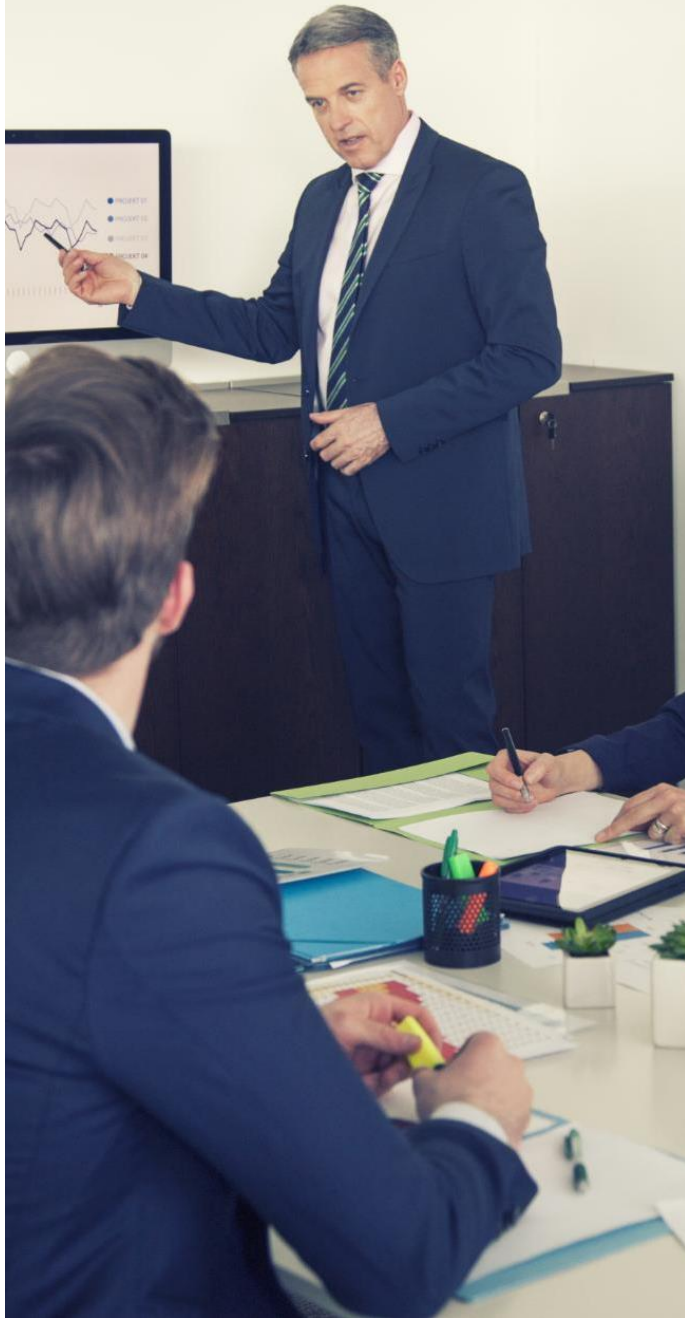
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AURELIANT GLOBAL ADVISORY — BRAND SIGNATURE

Specialist Governance Services

Aureliant offers expert support in controls, governance, internal audit, and risk across multiple jurisdictions and regulatory frameworks.

Technical Excellence & Collaboration

The firm emphasizes senior-led delivery and a collaborative approach that builds trust and capability within client teams.

Focused, High-Quality Outcomes

Aureliant maintains a focused service offering with specialist expertise ensuring consistent, high-quality results for clients.

Building Resilient Governance

Internal controls are viewed as foundational for resilient governance and informed decision-making, not just compliance.