

**Online Web Seminar:**  
**10 Pre-SOX Tips for Smaller Public Companies**

Sarbanes-Oxley compliance is so much bigger than documenting policies and procedures. But many public companies are waiting to comply with the provisions of SOX Section 404 until the year of compliance, for cost and other reasons. The problem with waiting is that if controls are not in place at the beginning of the year, adverse Section 404 reports are highly likely. This presentation will give the listeners 10 tips that could be implemented the year before SOX 404 is due, thereby minimizing the changes of compliance failure next year. Emphasis will be placed on key controls and company level controls that significantly influence the control structure in smaller organizations.

**Date:** Tuesday, 29 August 2006  
**Time:** 11:30 AM PDT | 2:30 PM EDT  
**Duration:** 1 Hour  
**Venue:** Online Event



**Instructor:** Bob Benoit is President and Director of SOX Research at Lord & Benoit, LLC.

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**Areas Covered in the seminar:**

How does effective risk assessment (legal, financial and disclosure risks) affect Section 404 results?  
What were the key accounting issues that caused adverse Section 404 reports in year one?  
Discussion of impact of IT on internal controls, computer systems conversions and timing.  
What were the key internal control findings in year one?  
Discussion of design of internal controls and impact on adverse Section 404 results.

**Who Will Benefit:**

This seminar will provide valuable assistance to CFOs, Controllers and Other Financial Managers responsible for complying with SOX Section 404.

Consultants  
Software providers  
Outside auditing firms  
Subject matter experts

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**Instructor Profile:**

**Bob Benoit** is President and Director of SOX Research at Lord & Benoit, LLC, a national Sarbanes-Oxley Research and Compliance firm [www.Section404.org](http://www.Section404.org). Bob has been teaching Compliance with Sarbanes-Oxley Section 404 throughout the U.S. through the State CPA Societies. He has been on Massachusetts AICPA Peer Review Acceptance Board for ten years. Bob's research has been quoted by three of the Big 4 CPA firms, PCAOB, SEC, SEC Staff, SEC Advisory Committee and AICPA-CPCAF. His research has been featured in the Wall Street Journal, FEI, CFO.com, Big4.com and Sarbanes-Oxley Compliance Journal to name a few. Colleges, legal

journals, CPA and other compliance firms have also referenced his work.

For more information, please contact the [event coordinator](#). We look forward to seeing you at the webinar.

Best regards,

Event-coordinator  
ComplianceOnline