

# SOX COMPLIANCE

## CHECKLIST

- BACKUP SYSTEMS**  
Ensure documentation and policies are in place, with regular testing for restoration capabilities.
- DATA ACCESS CONTROL**  
Require unique login credentials, prevent sharing, trace network sessions, and update access privileges.
- BUSINESS AND FINANCIAL REPORTING**  
Record and timestamp SOX compliance activities, maintain searchable logs, and secure data access.
- SECURITY BREACH RESPONSES**  
Monitor data for breaches, have an incident plan, manage cyberattacks, and disclose breaches.
- SEGREGATION OF DUTIES**  
Define employee roles, separate duties, prevent fraud, and follow the least privilege principle.
- STORAGE**  
Ensure cloud data meets SOX compliance and have a data management plan.
- VERIFICATION OF SAFEGUARDS**  
Provide daily compliance updates, report to auditors, test safeguards, and maintain critical incident reports.