



# Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies

By Lynford Graham

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## Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies By Lynford Graham

**A step-by-step approach for planning and performing an assessment of internal controls**

Filled with specific guidance for small-business compliance to SEC and PCAOB requirements relating to Sarbanes-Oxley 404, *Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies* provides you with specific guidance on working with auditors to achieve benefits and cost reductions.

This practical guide helps you knowledgeably interpret and conform to Sarbanes-Oxley 404 compliance and features:

- Clear, jargon-free coverage of the Sarbanes-Oxley Act and how it affects you
- Links to current guidance online
- Specific guidance to companies on how to work with auditors to achieve benefits and cost reductions
- Coverage of IT and IT general controls
- Examples and action plans providing blueprints for implementing requirements of the act
- Easy-to-understand coverage of the requirements of the SEC and PCAOB
- Discussion of the requirements for assessing internal control effectiveness
- A look at how the new guidance will reduce your costs
- In-depth explanations to help professionals understand how best to approach the internal control engagement
- Practice aids, including forms, checklists, illustrations, diagrams, and tables

Continuing to evolve and bring about business and cultural change, this area of auditing and corporate governance is demystified in *Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies*, your must-have, must-own guide to SOX 404 implementation and an effective tool and reference guide for every corporate manager.

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**Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies** By Lynford Graham **Bibliography**

- Sales Rank: #3017740 in Books
- Published on: 2010-04-05
- Original language: English
- Number of items: 1
- Dimensions: 9.40" h x 1.12" w x 6.25" l, 1.30 pounds
- Binding: Hardcover
- 368 pages

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### Editorial Review

From the Inside Flap

#### **Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies**

Once your small, publicly held company has successfully completed its initial implementation of Sarbanes-Oxley Section 404 compliance, it needs to establish an ongoing process to maintain compliance. This requires a workable system in which new employees can be easily trained in compliance rules and regulations, and in which effective internal control evaluation is in place without draining your company's assets.

*Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies* provides in-depth guidance and citations from authoritative sources to allow professionals to better distinguish among requirements, suggestions, and guidance. Focusing on proven techniques to make the 404 implementation and annual compliance process more efficient, this book features a step-by-step process for evaluating a company's internal control and proving these systems are effectively in place.

This hands-on resource is packed with such practice aids as forms, checklists, illustrations, diagrams, and tables to assist anyone who participates in the planning or performance of an evaluation—including CFOs, internal auditors, and outside consultants. Clearly and logically organized, *Complying with Sarbanes-Oxley Section 404* covers:

- Management's required assessment of internal control
- Working and coordinating with independent auditors
- Information technology controls
- Understanding fraud risk assessment
- Documenting your planning decisions
- Evaluating the effectiveness of entity-level controls
- Testing and evaluating activity-level controls
- Evaluating control deficiencies

Providing smaller public companies with guidance for understanding and complying with the SOX 404 requirements, this book provides updated citations and references to SEC and PCAOB materials, links to current guidance online, and specific guidance on working with auditors to achieve benefits and cost reductions. It also provides invaluable coverage of IT and IT general controls, and clarifies guidance directed to companies versus guidance directed to auditors.

### About the Author

**LYNFORD GRAHAM**, CPA, PhD, CFE, is coeditor of *Accountants Handbook*, Eleventh Edition; *Internal Controls: Guidance for Private, Government, and Nonprofit Entities*; and contributing author to *Montgomery's Auditing*, Twelfth Edition, all published by Wiley. He is also the author of *Information Technology Audits*. Dr. Graham consults on professional accounting and auditing matters, focusing on multidimensional problem solving requiring "leading-edge" thinking and "hands-on" management. With diversified experience as author, executive, consultant, auditor, and educator, he has a solid record of accomplishments, having served on the AICPA Auditing Standards Board.

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#### **Nellie Ferguson:**

Have you spare time to get a day? What do you do when you have far more or little spare time? Yep, you can choose the suitable activity regarding spend your time. Any person spent their own spare time to take a stroll, shopping, or went to often the Mall. How about open or read a book titled Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies? Maybe it is to be best activity for you. You understand beside you can spend your time together with your favorite's book, you can smarter than before. Do you agree with it is opinion or you have various other opinion?

#### **Ernest Pettaway:**

The experience that you get from Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies will be the more deep you rooting the information that hide inside the words the more you get considering reading it. It does not mean that this book is hard to comprehend but Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies giving you excitement feeling of reading. The copy writer conveys their point in selected way that can be understood by means of anyone who read it because the author of this guide is well-known enough. This particular book also makes your own vocabulary increase well. Making it easy to understand then can go with you, both in printed or e-book style are available. We highly recommend you for having this Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies instantly.

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Information is provisions for folks to get better life, information presently can get by anyone with everywhere. The information can be a expertise or any news even a concern. What people must be consider while those information which is in the former life are difficult to be find than now could be taking seriously which one would work to believe or which one typically the resource are convinced. If you have the unstable resource then you get it as your main information there will be huge disadvantage for you. All those possibilities will not happen with you if you take Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies as your daily resource information.

#### **Emily Boyd:**

Spent a free time to be fun activity to try and do! A lot of people spent their free time with their family, or their friends. Usually they carrying out activity like watching television, likely to beach, or picnic inside the park. They actually doing same every week. Do you feel it? Do you wish to something different to fill your own personal free time/ holiday? Could possibly be reading a book might be option to fill your totally free time/ holiday. The first thing that you'll ask may be what kinds of publication that you should read. If you want to try look for book, may be the guide untitled Complying with Sarbanes-Oxley Section 404: A Guide for Small Publicly Held Companies can be great book to read. May be it may be best activity to you.

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