

Strengthen Confidence in Your Internal Controls with SOX Compliance Assessments

As a PCAOB-registered audit firm with deep experience across multiple industries and geographies, we provide comprehensive Sarbanes-Oxley (SOX) assessments to help management and audit committees strengthen financial reporting, reduce risk, and meet regulatory expectations. Our team of former Big 4 partners and senior professionals leverages proven methodologies to deliver tailored, efficient, and practical SOX solutions.

Key Service Offerings

- **SOX Readiness Assessment** – Evaluate current processes, identify gaps, and prepare for first-time SOX compliance.
- **Internal Controls Documentation** – Map processes, risks, and controls to meet Section 404(a)/(b) requirements.
- **Control Testing & Validation** – Perform walkthroughs, design effectiveness reviews, and operating effectiveness testing.
- **Remediation Support** – Provide actionable recommendations for deficiencies and assist with remediation plans.
- **Ongoing Compliance Monitoring** – Establish sustainable frameworks for continuous improvement and annual updates.
- **Technology & Automation** – Leverage AI-enabled audit tools to improve control testing efficiency and accuracy.

Why Choose Us

- **PCAOB Registered** – Trusted by companies listed in the U.S. capital markets.
- **Global Coverage** – Teams in the U.S., China, Southeast Asia, and beyond support multinational operations.
- **Experienced Leadership** – Partners with 20–40 years of Big 4 and regulatory experience.
- **Tailored Approach** – Scalable solutions for emerging growth companies and established multinationals.
- **Value Driven** – Efficient, cost-effective solutions without compromising on quality.

Case Study Snapshot

Client Profile

A U.S.-listed electric vehicle and off-road vehicle manufacturer with operations in both China and the United States.

Challenge

As a newly public company, the client faced its first SOX 404(b) compliance cycle. With limited internal control resources, ensuring readiness for a rigorous audit environment was a significant hurdle.

Solution

Our team conducted a comprehensive compliance assessment of internal controls over financial reporting (ICFR). This included a thorough review of:

- Entity-level controls
- IT general controls
- Activity-level controls
- Fraud risk factors

Result

Delivered an unqualified ICFR opinion, providing confidence to investors and supporting the company's ongoing compliance journey.

Contact us today to discuss how we can help your organization strengthen SOX compliance, reduce risk, and **build investor confidence**.



Contact us at 949-326-2727
or visit us at pkcllp.com

Global Professionals Serving Clients Worldwide



Kreit & Chiu CPA LLP is a global professional services firm delivering forward-thinking strategies that support financial success and sustainable growth. With professionals and clients located around the world, we provide a full spectrum of services backed by both global expertise and local insight.

Audit & Assurance

- Audits under PCAOB and AICPA Standards
- Financial Statement Reviews
- Agreed-Upon Procedures
- Other Attestation Audits
- Internal Control Assessments
- SOX Compliance

SEC Audits & Compliance

- IPO Readiness
- Financial Due Diligence
- SEC Compliance

Outsourced Accounting Services

- SPAC (Special Purpose Acquisition Companies) Research and Review of Complex Issues:
 - » GAAP & SEC Compliance
 - » Warrants and Temporary Equity
 - » International Reporting Standards
- Technical Accounting Assistance:
 - » Revenue Recognition (ASC 606)
 - » Credit Losses (ASC 326)[GU1]
 - » Lease Accounting (ASC 842)
- Bookkeeping
- Interim CFO services
- SEC Financial Reporting Assistance & Assurance
- Private Company Reporting Assistance