

# INFORMATION TECHNOLOGY AUDIT

## ABOUT AC LORDI

AC Lordi is a boutique consulting firm of 100+ professionals founded in 2001 offering accounting and finance, risk and compliance, business advisory, and CFO services. Headquartered in the Greater Philadelphia area, we have performed work throughout the U.S. and in more than 20 countries for a broad range of clients from emerging growth through multi-national organizations. Our Risk & Compliance service line provides clients with high-level professionals with expert skills, strong work ethics, and the proven tools necessary for effective internal and IT audit, risk assessment, Sarbanes-Oxley, and other regulatory compliance needs. Our services focus on financial, operational, information technology, and compliance risks, and helping companies ensure that their risk management strategies, governance effectiveness, and internal controls meet the increasing expectations of stakeholders.



### **Bill Dawson, CPA**

*Principal – Service Line Lead*

- 30+ years of diverse accounting, reporting, tax, SOX compliance, and audit experience with public and privately held corporations.
- Served as VP of Internal Audit and VP of Income Tax for a \$2B+ apparel retailer.
- Former Audit Partner with over 18 years of experience with PwC.



### **Jeff Flynn, CPA**

*Principal, Risk & Compliance*

- 20+ years of experience, including 7 years with Big 4 and 15+ planning global and single site SOX 404 compliance efforts.
- Co-developed the firm's proprietary SOX methodology.
- Led initial implementation efforts and control optimization efforts for 70+ clients.



### **Jennifer McCloskey, CPA, CRISC**

*Director, Risk & Compliance*

- 20+ years of experience in internal audit functions, including assessing business risks, performing operational audits, SOX compliance, IT audits and identifying opportunities for process efficiencies.
- Previous experience as a Director of Internal Audit for apparel retail and utility company.



### **Khai Trinh, CISA**

*Sr. Manager, Risk & Compliance*

- 15+ years in IT Audit and Information Systems including 7 years with Big 4 firms.
- Previous experience as the Director for a global media & technology company leading the IT SOX group.
- Served as IT Audit Manager for a global high performance material manufacturer.



### **Tom Roy, CISA**

*Sr. Manager, Risk & Compliance*

- 15 years of experience in IT Audit including seven years with Big 4 firms.
- Coordinated global internal and external SOX, PCI, Infrastructure and Application Audit activities for multinational company.
- Served as IT Audit Manager for a global leader in residential real estate.



### **Pam Stacey**

*Manager, Risk & Compliance*

- 15+ years of accounting and auditing experience in both Big 4 and private industry.
- Experienced with SOX Compliance Audits of IT, financial process and operational audits.
- Wide variety of industry experience including automotive, oil & gas, utilities, pharma, healthcare, automotive, and retail.



### **Stoyan Vasilev, CISA**

*Manager, Risk & Compliance*

- 10 years of experience in IT audit including seven years with the Big 4.
- Wide variety of industry experience including telecommunications, life sciences, manufacturing, and consumer products.

## SELECTED CLIENTS

				
				

## REPRESENTATIVE ENGAGEMENTS

<b><i>A multi-vertical cloud SaaS technology company</i></b>	AC Lordi led a multi-year, comprehensive redesign of the company's Sarbanes-Oxley compliance efforts including planning and assessing process and IT risks, documenting processes and controls, evaluating IT general computer controls, identifying control gaps, and assisting with implementing remediation plans, testing, and reporting. In addition, AC Lordi documented a fraud risk management program, performed a scenario-based fraud risk assessment, and documented an end user computing policy. The end result of the redesign resulted in the remediation of numerous material weaknesses.
<b><i>Global marketer of foil technology products</i></b>	AC Lordi provided co-sourced IT audit services. We lead a 9 month SOX compliance re-design methodology project that spanned across eight global locations in the US, Israel, EU and Asia. The project included global coordination with multiple technology leaders and data centers to provide oversight with project management, risk assessment, training, remediation assistance, testing and reporting. Additionally, as part of our support to their SOX compliance re-design efforts, we assisted with process level flowcharting across the global locations.
<b><i>UK-based global games technology company</i></b>	AC Lordi implemented initial SOX compliance program in a 7-month span following the company's reverse merger transaction which thrust the previously private company into immediate SOX status. The implementation included planning, risk assessment, identification of key controls and gaps, evaluation of IT general computer controls, remediation assistance, testing, reporting, development of a fraud risk management program, and audit committee reporting. Despite the compressed timeline for initial SOX compliance, the company reported effective internal controls in its first 10-K subsequent to the reverse merger including remediation of a prior material weakness.
<b><i>Global life sciences company</i></b>	AC Lordi provided co-sourced IT audit services. We assisted in the defining of audit procedures and testing of IT general computer controls as well as application controls in a PeopleSoft environment for SOX compliance.
<b><i>Global gas and chemical company</i></b>	AC Lordi provided co-sourced IT audit services. We assisted in the defining of audit procedures and testing of IT general computer controls as well as application controls in an SAP environment for SOX compliance.
<b><i>Large-scale, single-source supplier of gases</i></b>	AC Lordi provided co-sourced internal audit services, including assisting the Internal Audit group with divisional audits and SOX testing. Divisional audits included gaining an understanding of the processes and procedures in place, developing audit programs, developing analytic tools and testing. We also provided co-sourced IT audit services, including assisting in the defining of audit procedures and testing of IT general computer controls as well as application controls for SOX compliance.

## AC LORDI SERVICES

### Accounting

- Accounting Outsourcing
- Interim Resources
- SEC & Financial Reporting
- Special Projects
- Technical Accounting
- Valuation

### Risk & Compliance

- Delegating of Authority
- Enterprise Risk Management
- Internal Audit
- Internal Controls
- SOX & J-SOX Compliance
- IT Audit & Consulting

### Business Advisory

- Business Analytics & Reporting
- ERP/Financial Systems
- Finance Transformation / Change Management

### Office of the CFO

- Budgeting & Forecasting
- Financial Due Diligence
- Fractional & Interim Executives
- Post-Acquisition Integration & Carve-outs
- Transaction, IPO and Audit Readiness