

CASE STUDY

SOX Compliance Readiness for an
International Specialty Insurer

Pro
GLOBAL



“This project showcased how a lean, focused approach can deliver not just compliance but meaningful and lasting improvements for our client. We were able to tailor solutions that fit each entity’s needs and embed sustainable practices that will serve them well into the future”

Client:

International Speciality Insurer

An international specialty insurer expanding operations beyond its home market needed to ensure full compliance with the Sarbanes-Oxley Act (SOX), a critical step for financial governance, transparency and long-term operational resilience. Partnering with Pro Global, the client achieved exceptional SOX readiness, meeting stringent regulatory requirements while optimising resources and enhancing internal capabilities.

The Challenge

The client faced the complex task of achieving compliance with SOX Sections 302, 404 and 906 across four diverse entities, each with varying levels of maturity in compliance processes and documentation. The challenge was to deliver this within an accelerated timeframe using a lean team, with minimal disruption to day-to-day operations. They needed a partner with deep industry expertise, practical solutions and the ability to drive long-term value beyond baseline compliance.

“Achieving compliance with SOX Sections 302, 404 and 906 across four diverse entities, each with varying levels of maturity in compliance processes and documentation.”

The Approach

Pro Global designed and delivered a comprehensive SOX compliance readiness programme across four international entities.

Using structured questionnaires, targeted interviews and independent testing, including a focused mock audit, we identified compliance gaps, assessed risks and created tailored remediation plans. A lean team, initially including a SOX subject matter expert, senior consultant, consultant and analyst, was later streamlined to just three roles, ensuring cost efficiency without sacrificing quality.

OUR APPROACH INCLUDED:

- Rapid SOX readiness assessment completed in just two weeks, analysing organisational structures, processes, documentation and governance across entities
- Independent mock audit covering financial reporting controls, IT general controls and business processes, with a focus on high-risk areas such as access management and financial close
- Structured, collaborative remediation including root cause analysis, corrective action planning, training, retesting and the implementation of monitoring tools
- Strategic recommendations to strengthen internal controls, improve documentation, upskill staff and embed automation for sustained compliance



The Results

- **Accelerated Delivery:** Full SOX compliance readiness achieved across four entities in just 18 months, outperforming typical industry timelines
- **Resource Optimisation:** Lean team structure achieved maximum efficiency, delivering cost savings without compromising quality
- **Tailored Solutions:** Entity-specific strategies addressed unique compliance gaps and maturity levels
- **Lasting Value:** Beyond compliance, the project strengthened governance, enhanced internal knowledge and set a foundation for future audits



KEY HIGHLIGHTS



Benefit 1 - Accelerated Timeline

Completed full SOX readiness across four entities in 18 months, significantly faster than standard industry timelines.

Benefit 2 - Efficient Use of Resources

Optimised lean team to achieve high-quality results with minimal internal disruption.

Benefit 3 - Customised Solutions

Delivered tailored strategies addressing distinct gaps and compliance needs across entities.

Benefit 4 - Sustainable Improvements

Implemented training, monitoring and automation to embed long-term resilience and compliance readiness.

Thank you for reading

For more information please contact
getintouch@pro-global.com

pro-global.com

Pro
GLOBAL