



# FloQast Compliance Management

FloQast Compliance Management is an Advanced Workflow Solution designed for Finance, Accounting, and Audit to centrally manage and integrate compliance into business processes like the financial close for audit-ready compliance.

## The Heavy Burden of Controls and Compliance

Whether you are a small company needing to implement a controls management program or a large public company under requirements like SOX and ESG regulations, you need the agility to respond confidently to the roadblocks that can derail a business, like increasing regulations, changing market forces, and growing enterprise risk. At the core of this confidence is your controls management program.

But all too often, companies use disconnected solutions and manual processes to manage their compliance and controls programs or to identify program design gaps – during the audit.

Costly and difficult-to-maintain controls, low control owner accountability and responsibility, decentralized audit

evidence, and an overall lack of visibility into compliance integrity ultimately impact business performance.

## Audit-Ready Compliance Management

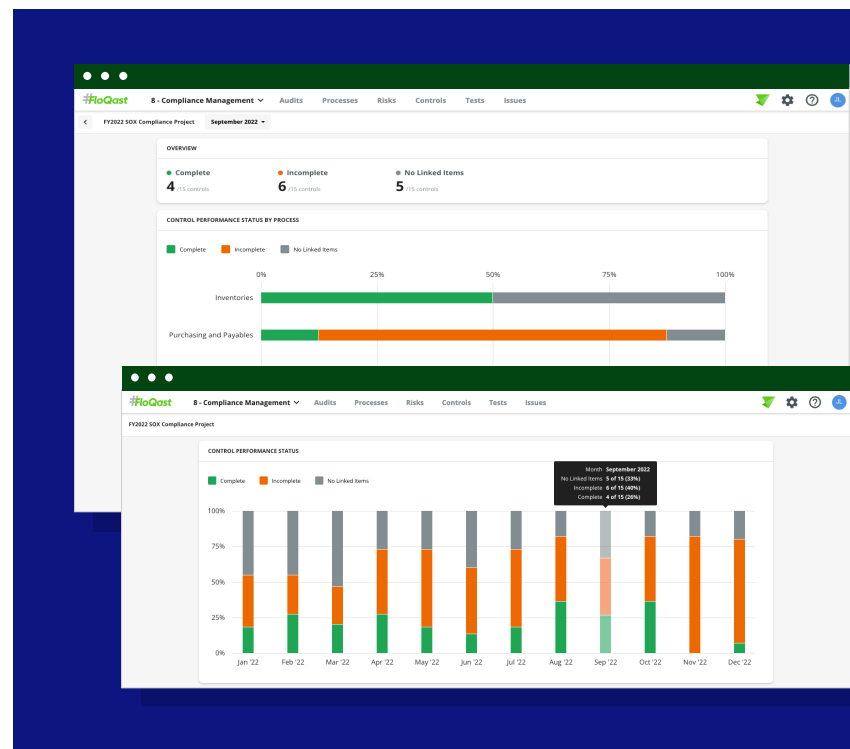
FloQast Compliance Management is an advanced workflow solution for Finance, Accounting, and Audit to integrate compliance into their business processes. Embedding compliance controls into critical business processes like the Close, payroll processing, or financial reporting aligns your organization around your compliance program to mitigate compliance risks and increase business performance. Audits now become more efficient and collaborative, and you gain the agility to respond confidently to changing regulations and business environments, avoiding disruption, and introducing new risks.

## Key Features

### Continuous Controls Capture for Better Visibility and Accountability

With FloQast Compliance Management, you capture controls while performing daily tasks like the Close or account reconciliation for clear visibility into control ownership, responsibilities, and execution. You enforce control execution and shift accountability back to business task owners.

FloQast Compliance Management also matches controls to risks for increased risk awareness and understanding, extending risk detection and prevention efforts to Finance and Accounting in addition to Audit. You align your organization around your compliance and controls programs and empower teams to help identify control design gaps to create a continuous cycle for optimization.

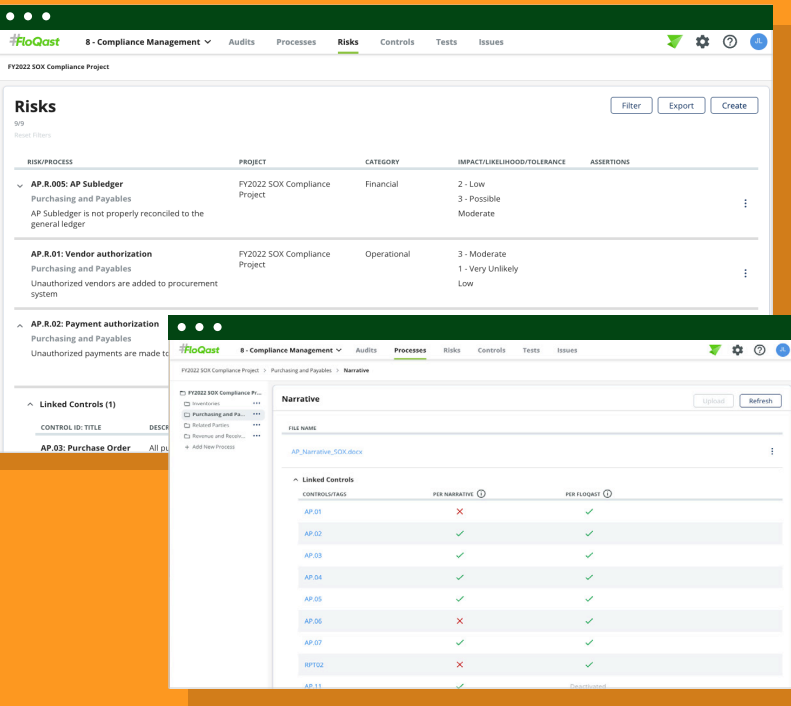


## Automatically Synchronized RCM, Process Narratives, and Flowcharts

FloQast Compliance Management automatically synchronizes your Risk Control Matrix (RCM) to process narratives and flowcharts for audit evidence that is always current and in sync, reducing the time and effort needed to prepare for audit by both accountants and auditors.

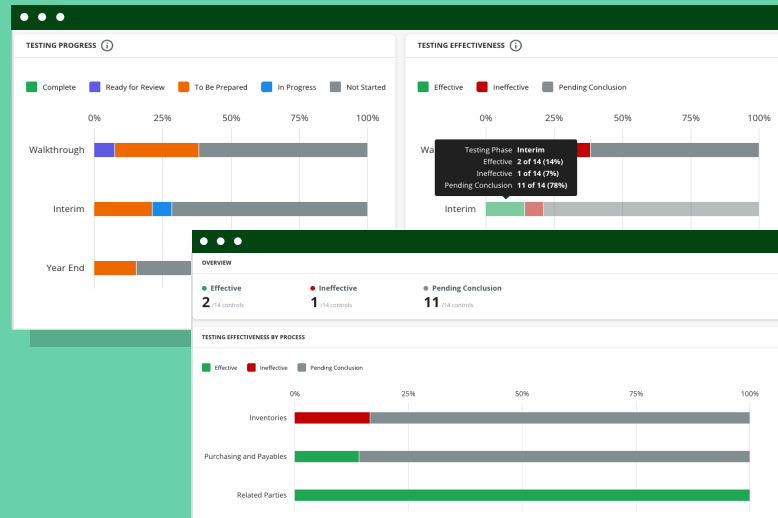
## PBC Automation for Simplified Collaboration

FloQast Compliance Management automates PBC processes for easier collaboration between Finance, Accounting, and Audit by capturing audit evidence during control execution and synchronizing it to your RCM. FloQast Compliance Management centralizes collaboration and increases control evidence transparency. Internal and external auditors work in parallel and off a single source of truth, eliminating duplicate audit activities. You simplify collaboration and reduce the number of requests for information and clarifications. Audit becomes more efficient with reduced audit cycle times and cleaner data that is easier to access.



## Embedded Testing for Audit Efficiency

FloQast Compliance Management increases collaboration and transparency between auditors and control owners. Auditors can track control owners' assignments and define and execute their testing plans in the system, eliminating the need for a separate testing platform. With intuitive dashboards, Auditors and control owners have real-time visibility into the progress of both the controls and the testing with easy drill-downs back to each business process. Finance, Accounting, and Audit can work as a unified team to find and address control design gaps for continuous optimization.



## Integrated Compliance to Drive Business Performance

Compliance done right drives higher business performance with reduced risk from financial misstatement to fraud to the audit. Foster happier professionals with less manual and repetitive work while making your business operations more efficient and less costly.