

SOX Documentation Overview



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Case Study for a Wall Street giant

Company profile

A leading think-tank and systems integrator company in Japan has been a long term customer of Anshinsoft for designing and implementing of new-generation, STP enabled back-office solutions based on Java EE framework and messaging architecture for deploying across global securities business operations. It acts as the IT wing of a big financial services company having worldwide operations including Wall Street.

Business situation

A leading security brokerage firm in Wall Street has a legacy back-office system for its operations. However, with the world moving fast, the firm is keen to implement a STP in the house. IT wing of the same group has designed and developed new-generation STP enabled back-office system for that. Anshinsoft has been involved in this engagement from the very beginning as a key strategic outsourcing partner of them. For the go-live of the system, it must ensure SOX compliance as required by Sarbanes-Oxley Act, 2002 of United States mandates a set of regulations for the accounting firms. The IT wing has been aiming at a complete and accurate documentation of the system for this purpose.

Technical situation

The security brokerage firm has been aiming at a complete and accurate documentation of the STP solution being developed by Anshinsoft. The documentation framework must be a collaborative one to allow contributors around the globe to provide information about various parts of the system. Confidentiality of these documents is a key issue and that has to be ensured. Proper framework must be identified to meet these requirements along with flexibility to reflect the fast-changing needs of the business. Appropriate content is extremely important to meet the mandatory requirement of SOX compliance as well.

Solution

Anshinsoft evaluated the options and identified a Wiki-based system called [Confluence](#) to develop a high-quality documentation of the entire system with emphasis on the following areas:

- Availability around the globe
- Multi-level access control to ensure confidentiality
- Well-structured format
- Complete Coverage of requirement and implementation details
- Accuracy & Integrity

Benefits

First and foremost, the system documentation is a big step towards meeting the SOX compliance which is essential for the STP to go live. Identification of proper framework serves the purpose of addressing the major technical issues of the documentation. It enabled different parties efficiently and effectively contributing information without compromising the security. Proper documentation of the entire system adds to the transparency, usability and maintainability of the system.

Services used

Anshinsoft solely relied on the experience and expertise of its own technical architects to provide the framework. It also leveraged the knowledge of its own domain experts and the STP development team to a great deal to develop a rich content.