

ACCOUNTING ADVISORY

Public FinTech Company



CASE STUDY

ENGAGEMENT OVERVIEW

After going public, the client faced its first SEC reporting cycle with limited internal resources. Without a financial reporting system in place and with tight deadlines for its first Form 10-K and 10-Q, the company required immediate expertise to build reporting processes from the ground up while maintaining compliance with SEC and PCAOB standards. Alliance was engaged to provide project management, SEC reporting support, and system implementation. The team led preparation and reviews of filings, implemented Workiva, coordinated with external auditors and counsel, and built sustainable processes to transition smoothly to the internal SEC Manager.

ALLIANCE SOLUTION

Alliance came in to bring much-needed stability by providing:

01

Project Management

Established the SEC reporting calendar and coordinated with management, auditors, and counsel throughout the process.

02

Software Implementation

Implemented Workiva to streamline reporting and enable real-time collaboration.

03

Preparation of Forms

Drafted and reviewed initial 10-K and 10-Q filings, ensuring compliance with SEC requirements.

04

Financial Reporting Support

Enhanced accuracy and transparency by reviewing disclosures, coordinating XBRL tagging, and supporting investor relations with earnings release filings.

CLIENT OUTCOMES

- Successfully filed the first 10-K and 10-Q as a newly public company under tight deadlines, establishing a strong foundation for public company reporting and ongoing compliance.
- Implemented Workiva to streamline and centralize reporting, improving collaboration, efficiency, and overall data integrity.
- Built repeatable, scalable processes that ensure consistency, reduce risk, and enable a seamless transition to the new SEC Manager.

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