



Compliance Auditing - Schedule PROF-3

Effective Date: October 14, 2025 | Supersedes prior versions.

Service Summary

Service Provider shall facilitate Compliance Auditing services (“Compliance Auditing”) by coordinating with independent, accredited third-party audit firms on behalf of Client. Compliance Auditing services are intended to assist Client in engaging auditors, preparing required documentation, and managing the audit process. Service Provider is not an auditor and does not issue compliance certifications or audit reports. All audit opinions, attestations, or certifications are the sole responsibility of the engaged audit firm.

Scope of Services

- Identification and referral of appropriate audit firms (e.g., AssuranceLab, Deloitte, or other accredited providers).
- Facilitation of agreements between Client and the selected audit firm; Service Provider may act as reseller of audit services for administrative convenience.
- Coordination of evidence collection and delivery to auditors through compliance automation platforms (e.g., Drata) or other approved channels.
- Liaison services during audit fieldwork, including communication between auditors and Client stakeholders.
- Assistance with remediation planning for findings identified during the audit.

Exclusions

- Service Provider is not an auditor, does not perform auditing, and does not issue compliance certifications.
- Responsibility for audit outcomes, opinions, attestations, or certifications lies solely with the engaged audit firm.
- Legal, regulatory, or financial advisory services are not included.
- Remediation of audit findings is not included in this Schedule and will be scoped separately as projects.
- Fees charged directly by audit firms outside of any reseller arrangement are the sole responsibility of the Client.

Client Responsibilities

- Select and approve the independent audit firm to be engaged.
- Provide complete and accurate information, access, and documentation required for audit procedures.
- Maintain all organizational policies, processes, and controls necessary to meet compliance requirements.
- Implement remediation efforts recommended in audit reports.
- Retain ultimate responsibility for compliance status and regulatory obligations.

General Terms

- Compliance Auditing services are facilitation-only; Service Provider does not provide audit opinions or certifications.
- If Service Provider resells auditor services, Client understands that the auditor is an independent entity responsible for the audit engagement, findings, and certifications.
- Fees for this Schedule are billed in accordance with the Payment Terms of the Master Service Agreement. Where Service Provider acts as reseller of audit services, those auditor fees are passed through to Client in addition to Service Provider’s facilitation fees.
- Service Provider disclaims liability for regulatory fines, penalties, or damages arising from audit results or compliance failures.