

SOC 2 Type II Status & Roadmap

Mindshine Technologies Inc. · Document 02 · Version 1.1 · August 12, 2026 · Status: **Readiness complete** · independent examination scheduled

Current status – honest position

- **Complete:** a management-prepared SOC 2 **readiness assessment** of the Cortex platform, structured after an AICPA SOC 2 report (system description, criteria-mapped controls with tests and results, disclosed open matters). It draws on a continuous-audit system of record – an append-only, hash-chained evidence log – and an independent adversarial review that was instructed to refute each control claim.
- **Not yet done:** engagement of a licensed CPA firm. **No auditor-issued SOC 2 report exists today**, and nothing in this package should be represented as one.

Scope

The Cortex data-governance platform: application software, its EKS runtime infrastructure (AWS us-east-1), the versioned configuration store, the Flow execution engine, and supporting operational procedures. Subservice organizations (AWS, Anthropic, Atlassian, Google) are treated on a carve-out basis.

Trust Services Criteria

All five categories are mapped: **Security, Availability, Confidentiality, Processing Integrity, Privacy** – 76 controls in the mapped catalog. Controls and per-control test results are in documents 17-18 and the published audit findings report.

Evidence & testing

Evidence is generated by the platform itself, not assembled retroactively: automated collectors (repository settings, CI pipelines, AWS scans, incident register), weekly infrastructure scans, per-cycle application scans, quarterly access reviews, and change records – all landing on the tamper-evident audit log. Enforcement controls are tested *as the identity they constrain*, not by inspecting permission listings.

Roadmap

Phase	Milestone	Status
1	Controls implemented + continuous-audit evidence base	Done (this package)
1	Readiness assessment with disclosed open matters	Done (August 2026)

Phase	Milestone	Status
2	Close disclosed open matters (scheduled backups + retention TTL jobs, alerting, DPA countersignature, policy attestations, pen test; restore drill recorded 13 Aug 2026)	In progress
3	SOC 2 Type I examination by a licensed firm	Scheduled next
3	SOC 2 Type II observation window + report	Follows Type I

Customer assurance until then

Customers may rely on this package, the published readiness assessment, and – under NDA – the underlying evidence exports from the audit system of record. The formal auditor-issued report will be provided when issued.

Owner: CTO (Ken Bakke). **Review:** quarterly during the examination phase. **Contact:** security@mindshine.com.