OIA: Financial Services and Government + Non-Profit

Expanding Your View of the National Audit Market
The Other Independent Audits (OIA) database brings into focus hundreds of thousands of audits of non-public entities. Comprising two separate modules - Financial Services and Government + Non-Profit - this product covers a number of boutique industries, from broker dealers to benefit plans. These tools can help identify market and engagement opportunities.

- Market Intelligence
- Business Development
- Due Diligence
- Industry Relationships

Comprehensive Disclosure
Audit Analytics collects and analyzes data from a variety of sources, including the SEC, NAIC, and IRS. With over a million records, these databases provide comprehensive insight into these industries.

Financial Services
- Broker Dealers
  - Search our database of broker-dealers annual reports submitted to the SEC.
  - Key data points include auditor, assets and contacts.

- Investment Advisers
  - The Investment Adviser (RIA) module provides a detailed description of all state and SEC registered advisers.
  - Key data points include engaged auditor (for those advisers with custodial responsibilities), assets under management and the funds they manage

Government + Non-Profit
- ERISA
  - The ERISA database is comprised of all IRS Form 5500 filing benefit plans.
  - Key data points include auditor (for those plans with over 100 participants), assets and administrator.

- Insurance Companies
  - The Insurance database is comprised of all NAIC filing insurance companies.
  - Key data points include auditor of the financial statements, assets and revenue.

- Private Funds
  - The Private Fund (hedge funds, private equity, real estate and venture capital funds) database is comprised of all funds disclosed in Form ADV.
  - Key data points include auditor, administrator, prime broker and gross value.

- Single Audit (Non-Profit)
  - The Single Audit database is comprised of non-profits and municipalities receiving over $500,000 annually in federal funding.
  - Key data points include auditor, contacts, funding agency, assets and total federal expenditures.

Who Uses Audit Analytics OIA Databases:
- Accounting Firms
- Staffing Firms
- Consultants
- Regulators
- Financial Institutions
Audit Analytics is an independent research provider of audit, regulatory and disclosure intelligence. Through an easy-to-use online interface, Audit Analytics’ comprehensive research is used daily around the world by the accounting, investment and legal communities for market intelligence, due diligence, compliance monitoring and trending.

Audit Analytics tracks in detail the issues related to audit, compliance, governance, corporate actions and federal litigation from a broad range of public disclosures, including: approximately 20,000 SEC registrants (including foreign and Canadian filers); nearly 4,000 Canadian SEDAR filers; more than 4,300 insurance companies filing with the NAIC; 750,000 ERISA plans filing IRS Form 5500; and more.

- Market intelligence based on expert analysis.
- Comprehensive databases of disclosures from sources including the SEC, IRS, NAIC, SEDAR and more.
- Up to date changes and custom alert notifications.
- Custom research projects and professional services.

Audit Analytics subscribers include:
- 18 of the top 20 public accounting firms
- Over 200 universities
- 4 of the top 5 errors and omissions insurers
- 7 regulatory bodies

Audit + Compliance
Track and understand customer and competitor activities and trends related to audit, regulatory and disclosure issues. The Audit + Compliance module addresses core informational demands for a variety of research needs including market intelligence, due diligence, benchmarking, compliance monitoring and trend analysis.

Corporate + Legal
An integrated collection of databases focused on actions, disclosures, and correspondence by companies, advisors, regulators, and investors. Leading investment and legal professionals use this intelligence to achieve cost and time savings for accounting and securities law work, due diligence, and business development.

Accounting + Oversight
Designed to illuminate the big picture of the audit and regulatory environment. Gain insight into audit and accounting quality, trends in PCAOB inspections, shareholder satisfaction with auditors and more.

Canada (SEDAR)
Provides detailed research and expert analysis on nearly 4,000 Canadian public companies. We process filings required by the Canadian Securities Administrators that are submitted to the online SEDAR database, enabling powerful and efficient data analytics.

Peer Reporter
Benchmark and track key audit and compliance issues within defined peer groups on a daily basis. Comprehensive and timely custom reports are easily generated with the Peer Reporter application.

Data Feeds
Integrate Audit Analytics data with internal information systems like CRM, compliance and risk management systems. Audit Analytics data feeds are designed for easy development of custom applications and dynamic reports.

Custom Research
Apply Audit Analytics expertise to better understand specific public company disclosure trends and identify new business opportunities. Our analysts and development teams are available to help with custom research projects and expert analysis.