

# AUDIT + COMPLIANCE

Audit + Compliance is an innovative data service designed to help you track and understand customer and competitor activities and trends related to audit, regulatory and disclosure issues. The Audit + Compliance module is composed of ten databases and covers all SEC registrants. It is used daily by researchers around the world for:

- Market Intelligence
- Trend Analysis
- Due Diligence
- Compliance Monitoring

## FEATURED DATABASES

### Auditor Changes

Tracks auditor changes made by public companies since 2000.

### Auditor Engagements

Updated daily, we track who audits every public company. Key data points include auditor tenure and registration status.

### Audit Fees

Audit fee data on public companies since 2000.

### Audit Opinions

Tracks all auditor reports on financial statements disclosed since 2000. Key data points include office of auditor and going concern modifications.

### Benefit Plan Opinions

Tracks all auditor reports found in 11-K filings.

### Director and Officer Changes

Updated daily, we monitor all director and officer changes.

### SOX 404: Internal Controls

All SOX 404 assessments analyzed back to 2004 and categorized with our proprietary issues taxonomy.

### SOX 302: Disclosure Controls

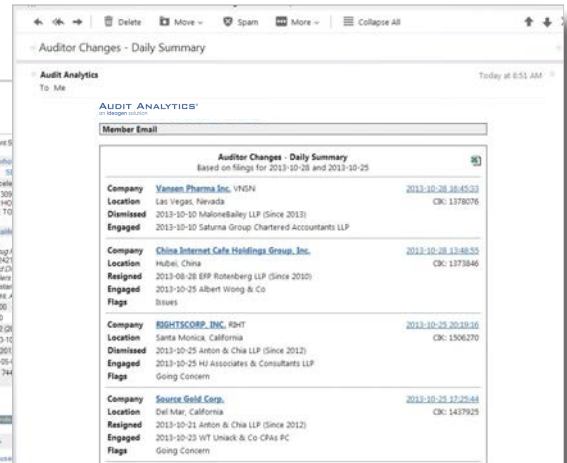
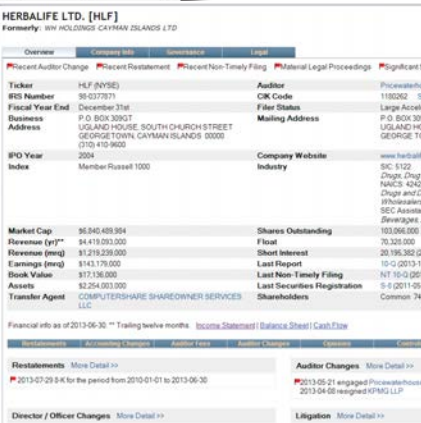
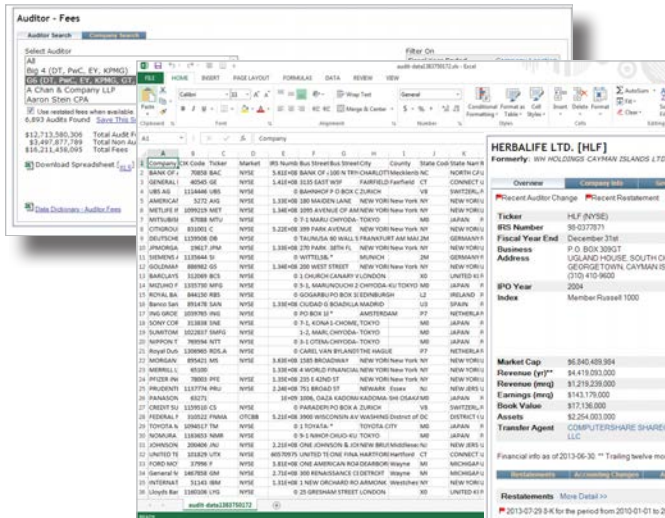
Every SOX 302 assessment analyzed back to 2002 and categorized with our proprietary issues taxonomy.

### Non-Timely Filers

Tracks all late filing notifications since 2000. Each notification is categorized with our proprietary issues taxonomy.

### Financial Restatements

Tracks all financial restatements disclosed since 2000. All accounting and accounting related issues are categorized for each restatement.



# AUDIT + COMPLIANCE

## ABOUT US

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 60,000 SEC registrants (including foreign and Canadian filers); nearly 7,000 Canadian SEDAR filers; roughly 8,000 European companies; more than 5,000 insurance companies filing with the NAIC; over 17 million ERISA plans filing IRS Form 5500; and more.

### Accounting and Professional Firms

- Market Share Analysis
- Business Development

### Law Firms

- SEC Filing Reviews
- Disclosure Trend Awareness

### Investment Managers

- Risk Assessment
- Portfolio Screening

### Corporate Reporting Professionals

- Peer Benchmarking
- SEC Comment Letter Reviews

### Universities & Academics

- Peer Reviewed Data
- Empirical Research

### Insurance Providers

- Due Diligence
- Informed Underwriting

## OUR DATA OFFERINGS

### 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, cybersecurity breaches, audit firm events, shareholder satisfaction with auditors and more.

### Funds + Securities

The Funds + Securities module is a new Audit Analytics bundle designed to give users further insight into funds and securities registered with the SEC.

### 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.

### Other Independent Audits (OIA)

Bring 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.

### 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.

### Europe

Provides auditor and audit-related information on public companies and EEA Public Interest Entities (PIEs). Our core offerings include auditor engagements, audit fees, audit opinions, auditor changes, key audit matters (KAMs), transparency reports, and financial restatements.

### 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.



## FIND OUT MORE

For complete information about our audit, regulatory, and disclosure intelligence, contact us today to schedule a personalized Audit Analytics demonstration.