

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
- **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.

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.
- **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

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 Broker-Dealer: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Overview

SEC Number	001-14235	CRD Number	7691 MR Form ADV
Address	ONE BRYANT PARK NEW YORK, NY 10036	Business Hours	Monday - Friday 9 A.M. TO 5 P.M.
Organization Type	Corporation	Fiscal Year End (Month)	DECEMBER
Number of Employees	38,700	Number of Clients	705,200
Cash/Bank Account Custody	Yes	Securities Custody	Yes
RP Cash/Bank Account Custody	Yes	RP Securities Custody	Yes
Total Accounts*	1,349,469	Total Assets Under Management*	\$384,978,824,030

* As of the most recent year

Current Auditor
 (Form ADV Section 9)

Auditor Name
 PricewaterhouseCoopers

Historical Filings

Name	Direct Owners	Indirect Owners	Control Persons	Private Funds	Public Funds	Ownership	Control Person
Dannell, David C	Individual	Director & Co-Chief Executive Officer				>=75%	Yes
Greco, Gloria Regina	Individual	Co-Chief Compliance Officer/ Broker Dealer and Chief Compliance Officer Registered Investment Adviser				< 5%	No
Hill, Jennifer Murphy	Individual	Chief Financial Officer				< 5%	No
Montag, Thomas Kell	Individual	Director & Co-Chief Executive Officer				< 5%	Yes
Radelet, Michael Benjamin	Individual	Interim Chief Operations Officer & Finop				< 5%	Yes
		Co-Chief Compliance Officer/ Broker Dealer and Chief Compliance Officer/ Futures Commission Merchant				< 5%	No

ERISA Current Auditor Search - Beta

Select Auditor: [Filter On] Campaign Location

Filter by plan features: [Filter On]

Download ERISA Data [Filter On]

ES	BT	BJ	EV	BW
1	1	1	1	1
2	2	2	2	2
3	3	3	3	3
4	4	4	4	4
5	5	5	5	5
6	6	6	6	6
7	7	7	7	7
8	8	8	8	8
9	9	9	9	9
10	10	10	10	10
11	11	11	11	11
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30	30	30	30	30
31	31	31	31	31
32	32	32	32	32
33	33	33	33	33
34	34	34	34	34
35	35	35	35	35
36	36	36	36	36
37	37	37	37	37
38	38	38	38	38
39	39	39	39	39
40	40	40	40	40

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
- 4 of the top 5 errors and omissions insurers
- Over 200 universities
- 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.

IRS Number	52-099050	Auditor	KPMG LLP PCAOB Registered Auditor
Address	2025 E ST NW WASHINGTON, DISTRICT OF COLUMBIA	Auditor Contact	MATTIA, GREGORY Dr. Director General Accounting P: (703) 861-7777 F: (703) 843-6884 E: mattia@kpmg.com/redcross.org
Classification Code	Charitable Organization	Employment	1500
Assets	\$1,779,350,000	Revenue	\$2,444,138,202
Revenue	\$1,024,328,293	Total Federal Expenditures*	\$5,395,467

Audit Year	FYE	Auditor	Signature Date	City, State	Auditor Contact	Auditor Contact Title
2012	2012-06-30	KPMG LLP	2013-03-28	Washington, District of Columbia	KATIE ARMSTRONG BISHOP	Partner
2011	2011-06-30	KPMG LLP	2012-03-28PMCC	Washington, District of Columbia	KATIE ARMSTRONG BISHOP	Partner
2009	2009-06-30	KPMG LLP	2010-05-13PMCC	Washington, District of Columbia	JOSEPH E SEIBERT	Partner
2008	2008-06-30	KPMG LLP	2008-03-27PMCC	Washington, District of Columbia	JOSEPH E SEIBERT	Partner
2007	2007-06-30	KPMG LLP	2008-03-24PMCC	Washington, District of Columbia	RICHARD T. MCKINLESS	Partner
2006	2006-06-30	KPMG LLP	2007-03-29PMCC/PMW	Washington, District of Columbia	RICHARD T. MCKINLESS	Partner
2005	2005-06-30	KPMG LLP	2006-03-31	Washington, District of Columbia	RICHARD T. MCKINLESS	Partner
2004	2004-06-30	KPMG LLP	2007-11-12	Washington, District of Columbia	RICHARD T. MCKINLESS	Partner
2003	2003-06-30	KPMG LLP	2003-10-27	Washington, District of Columbia	RICHARD T. MCKINLESS	Partner

FIND OUT MORE

For Complete Information on Audit Analytics and all of its databases offered, contact us today to schedule a personalized Audit Analytics Demonstration.

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