

AuditAnalytics.com Quick Start User Guide

August 2014

Audit Analytics is an independent provider of audit, regulatory and disclosure intelligence, serving the accounting, financial, corporate, legal and academic communities. Using our suite of products, our clients gain comprehensive insight into the issues, trends and opportunities in a range of markets and industries. The Audit Analytics team draws on its experience in public accounting to provide our customers with comprehensive and timely research to complement and enhance their research workflow processes. Our proprietary methodologies enable quantitative analysis of qualitative factors. Innovative technology is supported by personalized customer service and an ongoing commitment to product investment.

Easy-to-use features allow users to download data into Excel, receive daily e-mail alerts of important public company events, and benefit from advanced online filters and searches from the following data modules.

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.

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)

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

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Getting Started

As a user accessing Audit Analytics data via WRDS you are able to access our on-line service. For log in credentials please contact Tom Hardy @ Thardy@ivesinc.com .

The screenshot shows the Audit Analytics website interface. At the top, there is a navigation menu with categories: Audit + Compliance, Corporate + Legal, Accounting + Oversight, OIA Data, Canada (SEDAR), and Peer Reporter. The main header features a graphic of a human head profile with binary code and the text "Audit, Regulatory and Disclosure Intelligence".

On the right side, there is a "Please Sign In" form with the following fields and buttons:

- Email:**
- Password:**
-
- [Forgot your password?](#)
-

The main content area is divided into several sections:

- Who Benefits:**
 - Accounting & Professional Firms**
 - Market Share Analysis
 - Business Development
 - Law Firms**
 - SEC Filing Reviews
 - Disclosure Trend Awareness
 - Financial Institutions**
 - Portfolio Screening
 - Risk Assessment
 - Corporate Reporting**
 - Peer Benchmarking
 - SEC Comment Letter Reviews
 - Universities & Academics**
 - Peer Reviewed Data
- Products:**
 - A Premium Company Intelligence Service**

Audit Analytics provides detailed research on over 150,000 active audits and more than 10,000 accounting firms. Access to Audit Analytics data is available via:

 - Online user subscription
 - Enterprise data-feeds
 - Daily e-mail notifications
 - Custom research reports
 - [Products Overview](#)
- Press:**
 - September 3, 2014
 - USA Today: 11 Companies Fighting for Survival
- Events:**

We will be onsite at the following conferences. [Click here](#) to schedule a demonstration or meeting.

Overview - Home page

Audit Analytics data includes detailed categorizations of issues and is considered by many professionals to be the best primary data source for tracking and analysis of public company disclosures related to the audit, compliance, governance, corporate actions and federal litigation.

The following pages will give basic guidance in navigating the Audit Analytics website and how to create custom reports within the various databases.

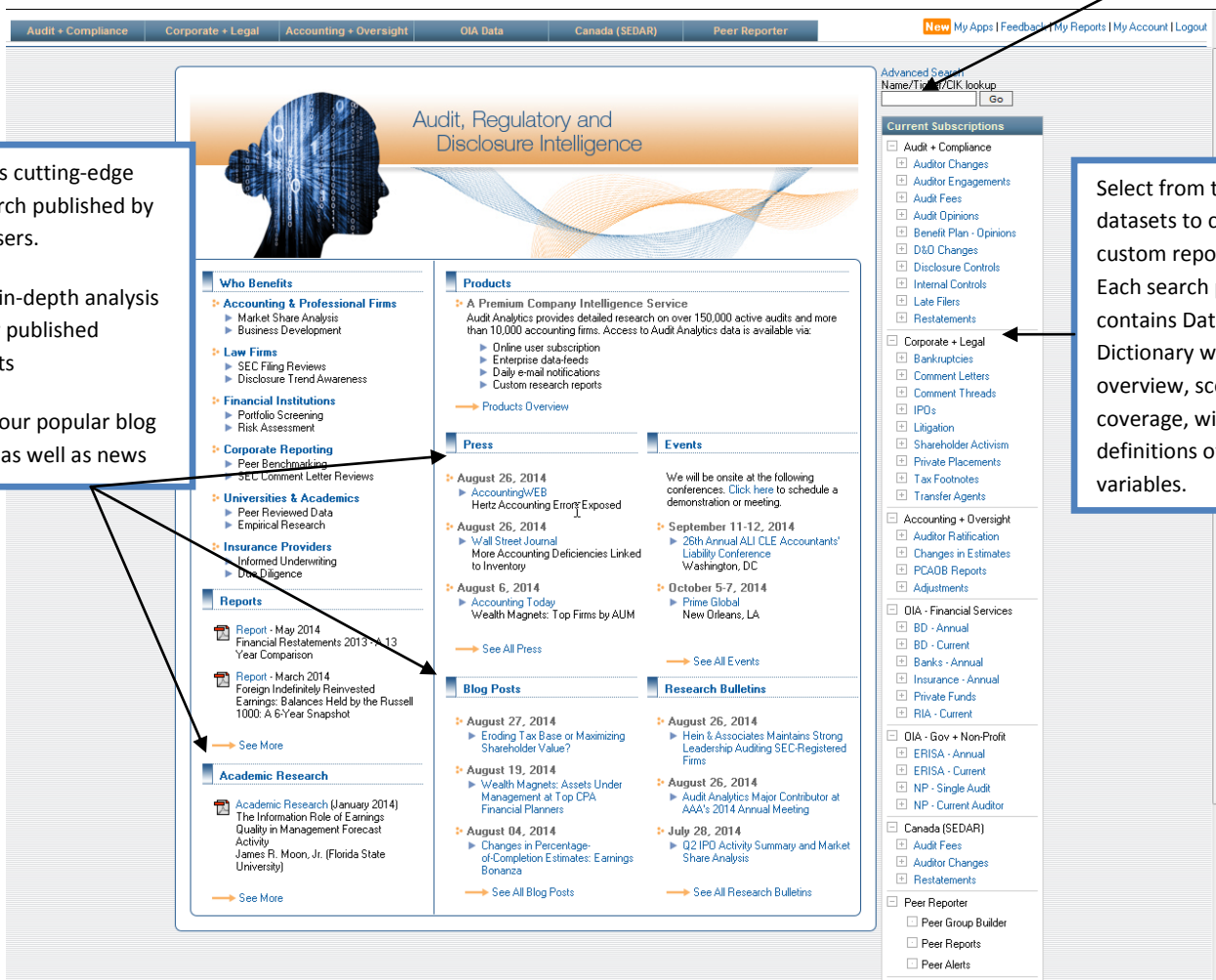
Use CIK or Ticker to search for SEC registrant. Use the Advanced Search to look up Auditor, Bank Holding Company, Broker Dealer, Non- Profit or Private Placement etc.

Access cutting-edge research published by our users.

Read in-depth analysis in our published reports

Read our popular blog posts as well as news

Select from the list of datasets to create custom report. **Note** - Each search page contains Data Dictionary with overview, scope of coverage, with definitions of data variables.



Searching Audit Analytics Datasets

Auditor Search

Where applicable the search pages allow users to filter the population of SEC registrants by financial, geographical, file dates, industry, filer status or market.

An example of typical search is shown below using the Auditor – Engagements dataset.

- Search “Current Engagements” for the most recent auditor of record for each company.
- Search “All Engagements” for historical information for audit firm selected.

Filter your population based on Audit Firm

Search by Auditor

Once the auditor, financial, geographical, market and filer status filters are selected, click “Search by Auditor”

Select XLS or CSV to download the search results.

Link to Audit Analytics comprehensive Company Profile and Auditor Profile displayed for each record.

Company	Ticker	Auditor	Activity	Last Report	State
APPLE INC	APPL	Ernst & Young LLP	2013 Opinion	10Q 2014-07-23	CA
AMGEN INC	XOM	PricewaterhouseCoopers LLP	2014 Opinion	10Q 2014-08-06	TX
MICROSOFT CORP	MSFT	Deloitte & Touche LLP	2014 Opinion	10K 2014-07-31	WA
JOHNSON & JOHNSON	JNJ	PricewaterhouseCoopers LLP	2014 Opinion	10Q 2014-08-07	NJ
Netflix, Inc.	NTES	PricewaterhouseCoopers LLP	2014 Opinion	20F 2014-04-24	CA
WELLS FARGO & COMPANY/MN	WFC	KPMG LLP	2014 Opinion	2014-08-06	CA
GENERAL ELECTRIC CO	GE	KPMG LLP	2014 Opinion	10Q 2014-07-31	CT
CHINA MOBILE LTD ADR/	CHL	PricewaterhouseCoopers LLP	2014 Opinion	20F 2014-04-25	K3
CHEVRON CORP	CVX	PricewaterhouseCoopers LLP	2014 Opinion	10Q 2014-08-06	CA
WAL MART STORES INC	WMT	Ernst & Young LLP	2014 Opinion	10Q 2014-08-06	AR

Search results can be downloaded into a spreadsheet. Note - Refine your population by using one or more of the many filters. Check the Notes worksheet in the Data Dictionary attached to the search page for overview and frequently asked questions.

Searching Audit Analytics Datasets (con't)

Company Search

Below is an overview of searching the Audit Opinions data by Company (SEC registrant).

Filter by Going Concern Issue, Form Type and Accounting Basis.

Search Results

Company	Ticker	Auditor	Auditor Location	Year Ended	Signature	Market Cap	Revenue	State	
AMERICAN INTERNATIONAL GROUP I	AIG	PricewaterhouseCoopers LLP	New York, New York	10-K	2000-12-31	2001-02-07	\$29,919 M	\$42,440 M	NY
AMERICAN INTERNATIONAL GROUP I	AIG	PricewaterhouseCoopers LLP	New York, New York	10-K	2001-12-31	2002-02-06	\$20,865 M	\$55,911 M	NY
AMERICAN INTERNATIONAL GROUP I	AIG	PricewaterhouseCoopers LLP	New York, New York	10-K	2006-12-31	2007-03-01	\$196,402 M	\$113,194 M	NY
AMERICAN INTERNATIONAL GROUP I	AIG	PricewaterhouseCoopers LLP	New York, New York	10-K	2005-12-31	2006-03-16	\$177,169 M	\$108,905 M	NY
AMERICAN INTERNATIONAL GROUP I	AIG	PricewaterhouseCoopers LLP	New York, New York	10-K	2003-12-31	2004-02-11	\$172,888 M	\$81,303 M	NY
AMERICAN INTERNATIONAL GROUP I	AIG	PricewaterhouseCoopers LLP	New York, New York	10-K/A	2004-12-31	2005-03-27	\$170,507 M	\$57,666 M	NY
AMERICAN INTERNATIONAL GROUP I	AIG	PricewaterhouseCoopers LLP	New York, New York	10-K	2004-12-31	2005-05-27	\$170,507 M	\$57,666 M	NY
AMERICAN INTERNATIONAL GROUP I	AIG	PricewaterhouseCoopers LLP	New York, New York	10-K	1999-12-31	2000-02-09	\$167,500 M	\$36,356 M	NY
AMERICAN INTERNATIONAL GROUP I	AIG	PricewaterhouseCoopers LLP	New York, New York	10-K	2002-12-31	2003-02-12	\$150,965 M	\$67,482 M	NY
AMERICAN INTERNATIONAL GROUP I	AIG	PricewaterhouseCoopers LLP	New York, New York	10-K	2007-12-31	2008-02-28	\$147,476 M	\$110,064 M	NY

Company based searches can be done by entering in a list of CIK codes or company tickers into the text box. When searching the entire database “All Companies” it is recommended to filter the results based on company or auditor location, range of audit fees, financial and/or dates. Applying the filters will prevent the result set from exceeding the 30,000 row limit. For details on all the variables, overview with FAQ and a list of all Going Concern issues, please see the data dictionary attached to the search page.

Searching Audit Analytics Datasets (con't)

Text search

In datasets containing the full text disclosure, users can search with keywords using the Text Search.

Syntax reference sheet is located on the search page for reference.

Audit - Opinions

Search by Keyword: loss of assets, syntax reference

Filter On: Fiscal Year (All), Company Location, Auditor Location, Market Cap, Fiscal Year Ended, Revenue, Signature Date, Audit Fees, Industry (Search Industries), Sort By (Market Cap)

3 Audit Opinions Found [Save This Search](#)
 \$820,574 Total Reported Audit Fees
[Download Spreadsheet \[XLS\]](#) | [CSV] 2 KB
[View GC Issue Breakdown](#)

[Data Dictionary - Audit Opinions](#)

Search Results Page 1 of 1

Company	Ticker	Auditor	Auditor Location	Year Ended	Signature	Market Cap	Revenue	State
MAHANAGAR TELEPHONE NIGAM LTD		P Parikh & Associates CA	Mumbai, India	20-F	2012-08-08	\$321 M	\$665 M	K7
BKF CAPITAL GROUP INC		Grant Thornton LLP	New York, New York	10-K	2006-12-31	NA	\$25 M	FL
BKF CAPITAL GROUP INC		Holtz Rubenstein Frennick LLP	New York, New York	10-K	2007-12-31	NA	\$4 M	FL


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Audit Analytics Company Profile

At a glance users can access to all of the current and historical data available in our database.

- Links to source filings
- Ability to export past 4 years of financial information – Income Statement, Balance Sheet, Cash Flow
- Shareholder Activism
- Litigation
- SEC Comment Letters
- Governance – Director & Officer changes
- Link to Auditor Profile

AMERICAN INTERNATIONAL GROUP INC [AIG]
View Subsidiaries



Overview	Company Info	Governance	Legal
<div style="display: flex; justify-content: space-between;"> Recent Director/Officer Resignation Material Legal Proceedings Recent Staff Comments </div>			
Ticker	AIG (NYSE)	Auditor	PricewaterhouseCoopers LLP since 1980
IRS Number	13-2592361	CIK Code	5272 SEC Filings '34 Act Filer
Fiscal Year End	December 31st	Filer Status	Large Accelerated Filer as of 30 June 2014
Business Address	175 WATER STREET NEW YORK, NEW YORK 10038 (212) 770-7000	Mailing Address	175 WATER STREET NEW YORK, NEW YORK 10038
IPD Year	1969	Company Website	www.aig.com
Index	Member S&P 500 Member Russell 1000	Industry	SIC: 6331 <i>Fire, Marine, and Casualty Insurance</i> NAICS: 524130 <i>Reinsurance Carriers</i> SEC Assistant Director : 1 <i>Health Care and Insurance</i>
Market Cap	\$78,535,696,384	Shares Outstanding	1,426,880,000
Revenue (yr)**	\$65,507,000,000	Float	1,448,668,000
Revenue (mrq)	\$16,105,000,000	Short Interest	20,945,564 (2014/08/15)
Earnings (mrq)	\$3,073,000,000	Last Report	10-Q (2014-08-04)
Assets	\$529,109,000,000	Last Non-Timely Filing	NT 10-Q (2005-11-09) More Detail >
Transfer Agent	WELLS FARGO BANK NA /TA	Last Securities Registration	S-8 POS (2013-05-15)
Shareholders	Common 36,319 (2014-02-20)	State of Incorporation	Delaware

[Income Statement](#) | [Balance Sheet](#) | [Cash Flow](#) Market Cap as of 2014-09-05. Financial info as of 2014-06-30. ** Trailing twelve months.

Restatements	Estimate Changes	Auditor Fees	Auditor Changes	Opinions	Controls	Late Filings
<p>Restatements More Detail >></p> <ul style="list-style-type: none"> 2007-05-10 10-Q for the period to 2007-01-01 (FIN 48) 2005-11-09 8-K for the period from 2000-01-01 to 2005-06-30 2005-05-01 PR for the period from 2000-01-01 to 2004-12-31 			<p>Auditor Changes More Detail >></p> <p>None found.</p>			
<p>Director / Officer Changes More Detail >></p> <p>2014-06-10 8-K Resigned Robert H Benmosche President/ CEO/ Director (retains other positions) Appointed Peter D Hancock President/ CEO/ Director</p> <p>2013-05-15 8-K Appointed Robert H Benmosche Director Appointed W Don Cornwell Director Appointed John H Fitzpatrick Director Appointed Suzanne Nora Johnson Director Appointed William G Jurgensen Director Appointed Christopher S Lynch Director Appointed Arthur C Martinez Director Appointed George L Miles Director Appointed Henry S Miller Director Appointed Robert S Miller Director Appointed Ronald A Rittenmeyer Director Appointed Douglas M Steenland Director Appointed Theresa M Stone Director</p> <p>2013-03-13 8-K Employment Ceased Joseph D Cook Principal Accounting Officer (retains other positions) Appointed Joseph D Cook Deputy CFO - AIG Property Casualty</p>			<p>Litigation More Detail >></p> <p>Lead plaintiff in American International Group Inc v. New York State Department of Financial Services et al Defendant in Almont Ambulatory Surgery Center LLC et al v. UnitedHealth Group Inc et al Lead defendant in Dow 305M Enhanced Premium & Income Fund et al v. American International Group Inc et al Lead defendant in British Coal Staff Superannuation Scheme et al v. American International Group Inc et al Nominal Defendant in Stair International Company Inc et al v. Federal Reserve Bank of New York et al Non-Party Parent in AIU Insurance Company et al v. Chemtura Canada Co/CIE Lead defendant in Fitzpatrick et al v. American International Group Inc et al Defendant in Brookfield Asset Management Inc et al v. AIG Financial Products Corp et al Lead defendant in Lebron v. AIG Inc et al Lead plaintiff in American International Group Inc v. United States of America</p> <p>Show more records</p>			

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