

AUDIT + COMPLIANCE

Data Solutions for a Competitive Advantage

Audit + Compliance is an innovative data service that addresses core informational demands for a variety of professional research needs. 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
- Due Diligence
- Compliance Monitoring
- Trend Analysis

Expert Analysis

Audit Analytics specializes in combining automated data aggregation with expert analyst review. Disclosure issues are individually reviewed and categorized by analysts using our proprietary issues taxonomies. This innovative process enables quantitative analysis of qualitative factors through the normalization of disclosures.

DATABASES

- Auditor Changes
 - Tracking 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 & 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.

The screenshot displays the Audit Analytics software interface, which is a web-based application for analyzing financial data. The main window is divided into several sections:

- Auditor - Fees:** A table showing audit fees for various companies, including columns for Company, Auditor, Fee, and Date.
- HERBALIFE LTD. [HLF]:** A detailed view of a specific company's data, including its financial statements, auditor information, and various metrics.
- Auditor Changes - Daily Summary:** A summary of auditor changes for a specific company, including columns for Company, Auditor, Change Date, and Change Type.

The interface includes a navigation menu on the left with options like "Home", "Auditor Changes", "Audit Fees", "Audit Opinions", "Benefit Plan Opinions", "Director & Officer Changes", "SOX 404", "SOX 302", "Non-timely Filers", and "Financial Restatements". The top right corner shows the user's name and the date.

WHO WE ARE

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.

- 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

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

IN THE WORDS OF A USER

"If one is looking to perform any kind of risk assessment – whether SOX Section 404 Entity Level, AS 5, or SAS 103 to 109 or other – one cannot do it expertly, comprehensively, or justifiably without access to this data set. Using this data set will save you time, money and anxiety. It is the only data set of its kind in the world."

Bob Benoit, CPA

Founder, Lord & Benoit LTD

Served on the COSO Monitoring Project Task Force
and the AICPA Peer Review Acceptance Board (MA)

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)

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.

FIND OUT MORE

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

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