

Ideagen Audit Analytics

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

Ideagen 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.

▶ Bank holding companies

- ▶ The bank holding companies database is comprised of all Federal Reserve supervised banking institutions (currently over 5,000).
- ▶ Key data points include auditor, assets and revenue.

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 \$750,000 annually in federal funding.
- ▶ Key data points include auditor, contacts, funding agency, assets and total federal expenditures.

Who uses Ideagen Audit Analytics OIA databases:

- Accounting firms
- Staffing firms
- Consultants
- Regulators
- Financial institutions

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Name/Ticker/SEC lookup: Advanced Search

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 Broker-Dealer: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 Parent: BANK OF AMERICA CORP /DE/

[Overview](#)

SEC Number	801-14235	CRD Number	7691 MR Form ADV
Address	ONE BROWNT 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	36,687	Number of Clients	NA
Cash/Bank Account Custody	Yes	Securities Custody	Yes
RP Cash/Bank Account Custody	Yes	RP Securities Custody	Yes
Total Accounts*	2,864,234	Total Assets Under Management*	\$1,093,689,238,206

* As of the most recent year

Current Auditor
 (Form ADV Section 9C - Independent Public Accountant)

Auditor Name	Auditor Location	PCAOB Reg.	Audited Pooled Investment	Surprise Exam	JG Report	Unqualified Opinion
PricewaterhouseCoopers LLP	New York, New York	Yes		✓	✓	✓

Historical Filings

Name	Sig/File Date	Clients	Custody	Total Accounts	Total Assets	Filing
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	2023-08-17	NA	Cash, Securities	2,864,234	\$1,093,689,238,206	Form ADV
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	2023-08-09	NA	Cash, Securities	2,864,234	\$1,093,689,238,206	Form ADV
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	2023-08-04	NA	Cash, Securities	2,864,234	\$1,093,689,238,206	Form ADV
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	2023-08-03	NA	Cash, Securities	2,864,234	\$1,093,689,238,206	Form ADV
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	2023-07-28	NA	Cash, Securities	2,864,234	\$1,093,689,238,206	Form ADV
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	2023-07-05	NA	Cash, Securities	2,864,234	\$1,093,689,238,206	Form ADV
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	2023-06-06	NA	Cash, Securities	2,864,234	\$1,093,689,238,206	Form ADV

[Download CSV](#)
(Schedule A - Direct Owners)

Legal Name	DE/EE/I	Title/Status	Ownership	Control Person
BAC NORTH AMERICA HOLDING COMPANY	Domestic Entity	Shareholder	>=75%	Yes
Alam, Syed Faruqe	Individual	Chief Financial Officer	< 5%	No
Glenfield, Keith David	Individual	Director	< 5%	Yes
Guardino, Joseph Anthony Jr	Individual	Chief Operations Officer & Finop	< 5%	No
Hans, Lindsay Denardo	Individual	State Designated Principal	< 5%	No
Heaton, David Carleton Jr	Individual	Chief Legal Officer	< 5%	No
Levine, Aron Daniel	Individual	Director	< 5%	Yes
Piscitelli, David Allen	Individual	Chief Compliance Officer	< 5%	No
Sabbia, Lorna Rose	Individual	Director	< 5%	Yes
Schimpf, Eric A	Individual	Director & Chief Executive Officer, State Designated Principal	< 5%	Yes

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ERISA Current Auditor Search | Auditor Search | Company Search

Select Auditor: (Big 4 (DT, PwC, EY, KPMG), G6 (DT, PwC, EY, KPMG, GT, BDO), A BROWN & ASSOCIATES LLC, A DOWL KNIGHT & COMPANY PC)

Plan Type:

Filter by plan features: 2,536 records found [Save This Search](#)

[Download ERISA Info \[CSV\] 1,700 KB](#)

[Data Dictionary - ERISA](#)

Filter On: Plan Assets, Company Location, Participants, Industry, Sort By (Assets)

Who we are

Ideagen Audit Analytics is an independent research provider of audit, regulatory and disclosure intelligence. Through an easy-to-use online interface, Ideagen 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.

Ideagen 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 8,000 Canadian SEDAR filers; more than 5,000 insurance companies filing with the NAIC; over 17 million 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.

Ideagen Audit Analytics subscribers include:

- ▶ 18 of the top 20 public accounting firms
- ▶ 4 of the top 5 errors and omissions insurers
- ▶ Over 300 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 Ideagen Audit Analytics data with internal information systems like CRM, compliance and risk management systems. Ideagen Audit Analytics data feeds are designed for easy development of custom applications and dynamic reports.

Custom Research

Apply Ideagen 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 Ideagen Audit Analytics demonstration.

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