

CORPORATE + LEGAL

Audit Analytics is an independent research provider of audit, regulatory and disclosure intelligence. Through an easy-to-use online interface, Audit Analytics enables the accounting, investment, legal and academic communities to track, analyze and understand public company disclosure issues and trends.

The **Corporate + Legal** module is an integrated collection of databases focused on actions, disclosures and correspondence by companies, advisors, regulators and investors.

- Securities Law Research
- Due Diligence
- Corporate Reporting
- Business Development

Comment Letters

The Audit Analytics SEC Comment Letter database is an extensive collection of SEC staff reviews and company responses. Each letter is indexed according to approximately 2,500 proprietary issues regarding specific accounting rules and regulations.

Our database is easily searchable by company, people, location, industry and market cap. Searches may also be filtered by issues including US GAAP, IFRS and federal securities laws.

- Easily find relevant responses to similar SEC Comments.
- Improve filing reviews through preventive compliance by tabulating the frequency of SEC concerns.

Comment Letter Threads

The Comment Letter Threads database has arranged SEC comment letter narratives into threads of numbered SEC comments matched with corresponding response and follow up questions between the SEC staff and registrant. These threads capture the initial SEC comment to the final resolution of accounting and legal issues.

Litigation Database

The Litigation database provides analysis and breakdown of all federal securities class action claims, SEC actions, and material federal civil litigation.

Other Databases:

- Initial Public Offerings
- Shareholder Activism
- Private Placements
- Outside Counsel
- Transfer Agents
- Tax Footnotes
- Bankruptcies
- Mergers & Acquisitions

AUDIT ANALYTICS IN ACTION

Comment Letters

Audit Analytics delivers, via its easy-to-use online interface, a relational database of SEC Comment Letters. Each letter is individually analyzed and categorized for specific audit, regulatory and disclosure issues.

Litigation Database

The Litigation database provides an analysis of SEC registrants for federal securities class action claims, SEC actions and material federal civil litigation disclosed to the SEC.

The screenshot displays the Audit Analytics SEC Comment Letters interface for Boeing Co [BA]. The interface includes a search bar, filters for Market Cap, Revenues, Letter Date, and Company Location. It also shows a table of comment letters with columns for Ticker, Revenue, Fiscal Year End, Business Address, IPO Year, Index, Market Cap, Revenue (9/11), Revenue (enr), Earnings (enr), Assets, Transfer Agent, and Shareholders.

Ticker	Revenue (9/11)	Revenue (enr)	Earnings (enr)	Assets	Transfer Agent	Shareholders
BA (NYSE)	\$94,571,000,000	\$23,286,000,000	\$1,631,000,000	\$89,997,000,000	Computershare Inc /TA	Common 113,517 (2017-02-08)

DATA COVERAGE

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; 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.

■ SEC Comment Letters

- An extensive database of SEC comment letters and company responses.
- Search and browse by: issue or citation, text string, people (SEC staff, lawyers, executives) and more.

■ Mergers & Acquisitions

- Tracks M&A activity for all SEC registrants since 2010 – data includes the auditor of record (where available), and details about the transaction, including value, description, and more.

■ Litigation

- Provides analysis and breakdown of all federal securities class action claims, SEC actions and material federal civil litigation.

■ Outside Counsel

- Provides outside counsel and law firm client relationships for all SEC registrants. Data allows you to analyze current client's risks, understand relationships for onboarding, and monitor C-level moves including General Counsel.

■ Initial Public Offerings

- Tracks initial public offerings since 2000 - including auditor at IPO date, current auditor and IPO related accounting and legal fees.

■ Private Placements

- Tracks the private securities offerings as disclosed under Reg D.
- Key data points include total amount of offering, amount sold, directors and officers.

■ Shareholder Activism

- Tracks the disclosed disputes, actions and intentions of activist shareholders as disclosed in Schedule 13D filings.

■ Transfer Agents

- Tracks the stock transfer agents for over 11,000 SEC registrants.
- Key data points include number of shareholders and current stock transfer agent.

■ Tax Footnotes

- Tracks the tax information disclosed in the footnotes of SEC registrants including their effective tax rates, deferred taxes, current taxes and acquired tax benefits.

■ Bankruptcies

- Tracks SEC filings of bankruptcy declarations under Chapter 7 and 11 by court and date.

WHO BENEFITS

Investment, accounting and legal professionals use the Corporate + Legal module to achieve significant cost and time savings for accounting and securities law work, due diligence and business development.

- Attorneys
- Public Accountants
- Analysts
- Research Librarians
- Consultants
- Marketing & Business Development Professionals

COMPREHENSIVE RESEARCH

Audit Analytics comprehensive research is used daily around the world for market intelligence, due diligence, compliance monitoring and trend analysis. All disclosure issues are individually reviewed and categorized with Audit Analytics proprietary issues taxonomy.

Audit + Compliance

Track and understand customer and competitor activities and trends related to audit, regulatory and 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.

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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