

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.

At Audit Analytics we track in detail the issues related to audit, compliance, governance, corporate actions and federal litigation for all SEC registrants (including foreign and Canadian filers).

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

SEC Comment Letters

The Audit Analytics SEC Comment Letters database provides a large body of non-binding SEC rules interpretations. The database is a collection of SEC staff reviews and company responses searchable by issues, company, text strings and people (SEC staff, lawyers and executives). Audit Analytics experts have categorized each letter according to a comprehensive index of more than 2,800 issues and citations.

This database enables users to:

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

Litigation Database

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

Bankruptcy Database

The Bankruptcies database tracks SEC filings of bankruptcy declarations under Chapters 7 and 11 by court and date.

Shareholder Activism Database

The Shareholder Activism database tracks the disputes, actions and intentions of activist shareholders as disclosed in Schedule 13-D filings.

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 web application. The top navigation bar includes 'Home', 'Reports', 'Help', and 'Logout'. The main content area is titled 'SEC Comment Letters' and shows a search results table with columns for Company, CK Code, Ticker, Market, Form Type, File date, Letter date, People To, People From, Filings, and Accounting Issue and Accounting Disclosure Type Issues. Below the table, there are filters for 'Date Range' and 'Form Type'. A detailed view of a comment letter is shown on the right, including the 'SEC Comment Letter' header, the 'SEC Staff' name, and the 'Company' name. The letter text is displayed in a scrollable area, and there are navigation buttons for 'Previous', 'Next', and 'Print'.

WHO BENEFITS

Leading investment and legal professionals rely on 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

DATA COVERAGE

SEC Comment Letters

Audit Analytics SEC Comment Letters database is comprised of more than 125,000 fully analyzed letters, individually categorized by experts according to more than 2,800 issues and citations.

- Accounting and financial reporting issues
- FAS, IFRS, SOP, SAB, Reg S-K, Reg S-X, EITF
- New and secondary registration issues
- Management discussion and analysis issues
- Internal control, D&O, compensation issues
- Fair value, related party, and FCPA issues

Litigation Database

The Audit Analytics Litigation database contains information on and analysis of 19,000 cases, including:

- Federal securities class action claims
- SEC actions
- Material Federal civil litigation
- Cases filed in federal district court concerning any of the top 100 public auditing firms.

Bankruptcy

The Bankruptcies database tracks SEC filings of bankruptcy declarations under Chapters 7 and 11 by court and date.

Shareholder Activism

The Shareholder Activism database contains more than 63,000 SC 13-D filings indexed according to a taxonomy of more than 30 shareholder issues, actions, and intentions.

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 disclosure issues. The Audit + Compliance module addresses core informational demands for a variety of research needs including market intelligence, due diligence, compliance monitoring and disclosure trend analysis.

Other Independent Audit (OIA)

Expanding our view of the national audit market, Audit Analytics now tracks who audits the 4,800+ Broker Dealers. Additionally, our new non-profit data base is composed of over 40,000 federally funded audited institutions and can be easily broken out for your business intelligence needs.

Peer Reporter

Benchmark and track key audit and compliance issues within defined peer groups on a daily basis. Comprehensive and timely custom reports based on issue type 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.

Call 508.476.7007
www.auditanalytics.com
info@auditanalytics.com

AUDIT ANALYTICS®

Audit Analytics
9 Main Street, Suite 2F
Sutton, MA 01590

Tel: 508.476.7007
Fax: 508.519.0479