AUDIT ANALYTICS®

GETTING STARTED GUIDE

Ensuring a successful start with Audit Analytics

WWW.AUDITANALYTICS.COM

Welcome to Audit Analytics!

We're excited to have you on board!

You are joining hundreds of universities and thousands of professors and students from more than 30 countries around the world who use Audit Analytics every day.

Audit Analytics is a leading data and research provider focused on audit, regulatory, and disclosure intelligence. Our data is collected, organized, and analyzed with rigor by our expert team of researchers.

Through a wide array of comprehensive datasets, Audit Analytics empowers faculty and students and provides a competitive edge.

In this Getting Started Guide, we've pulled together some useful information to help ensure you get the most out of our platform and products.

What's Inside

Access

In most cases, a university subscription provides campus-wide access to all current students and faculty.

To obtain login credentials, please visit https://go.auditanalytics.com/academic-registration with your full name. (Be sure to use your university email address.) You will receive an email with instructions to complete your account registration.

There are no limits to the number of times you can access Audit Analytics or download data for your research.

We also provide our data via the Wharton Research Data Services (WRDS) platform. Contact your university representative for more information and to access Audit Analytics via WRDS.


Logging In

To log in, simply go to AuditAnalytics.com and click the "Login" button at the top of the page. Enter your login credentials (email address and password).
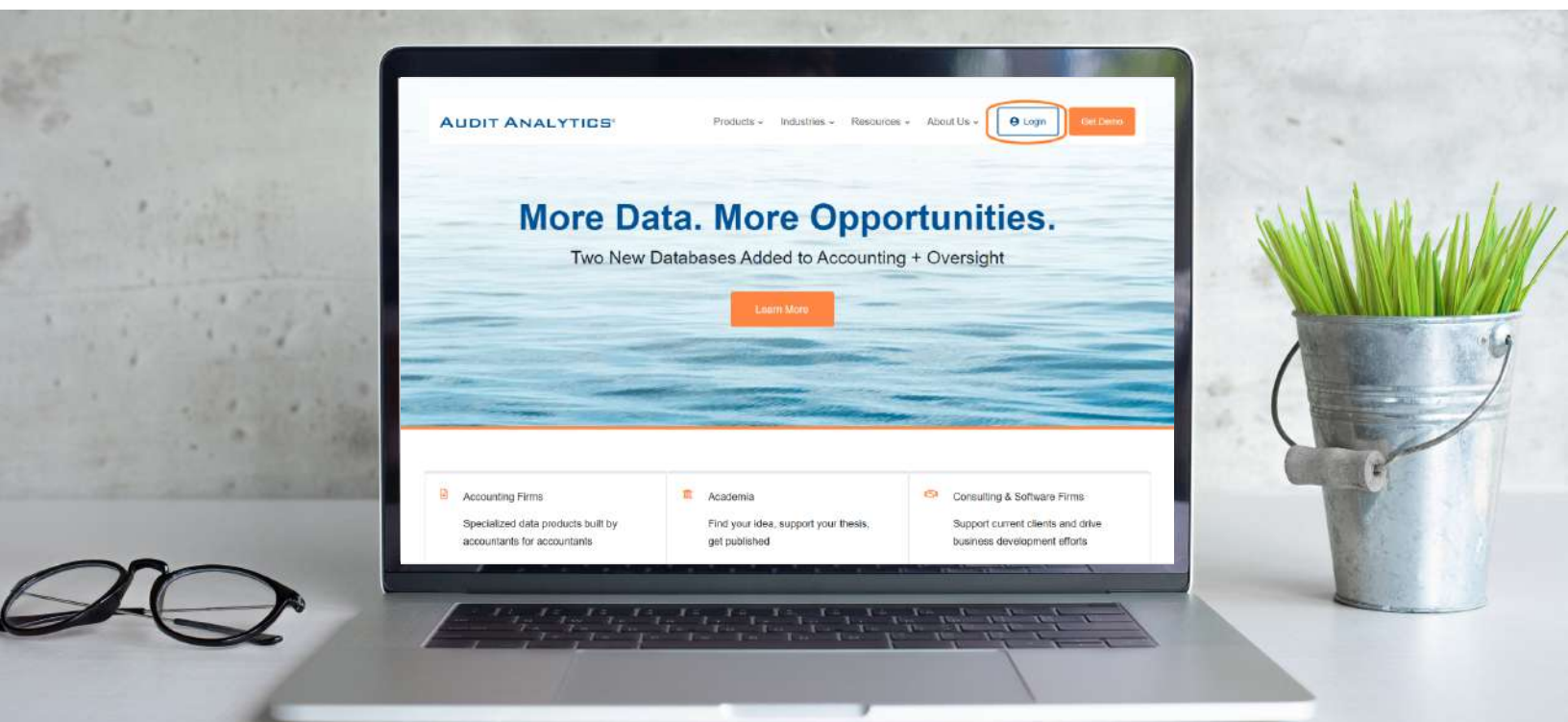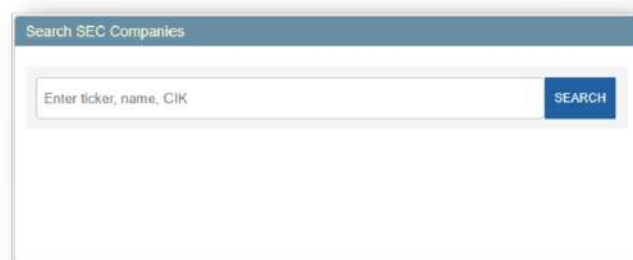
Dashboard

Once logged in, you will be taken to your Dashboard, which streamlines the user experience by ensuring the content and functionality most valuable to you is immediately accessible from one easy-to-use location.
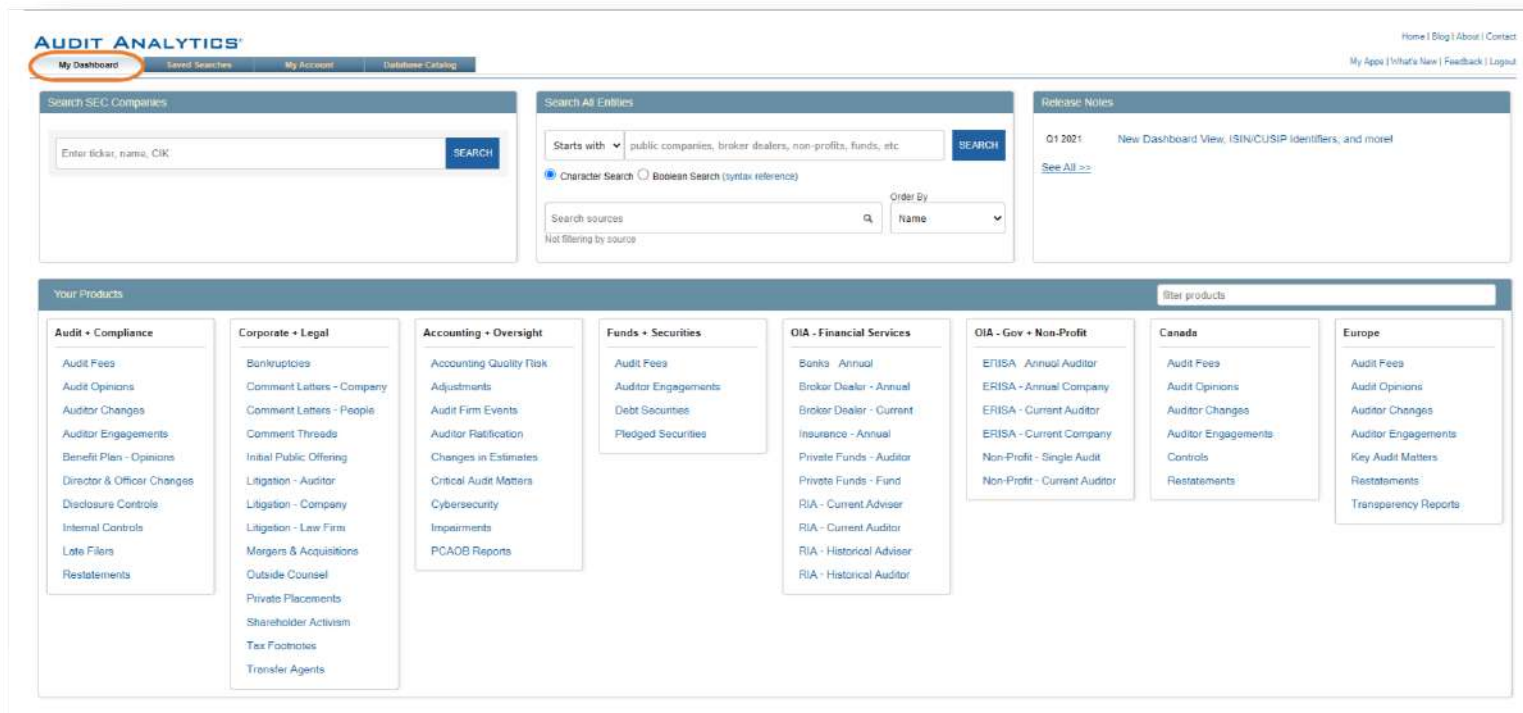
Company Search

You can search for specific companies directly on the Dashboard.

Simply use the "Search SEC Companies" field to search by company name, ticker, or CIK.

All Entities Search

Also conveniently located on the Dashboard, the "Search All Entities" field allows you to easily search all entities contained in our various datasets. This includes companies, audit firms, broker-dealers, non-profits, etc.

This enables users to quickly find and identify entity relationships and connections.

Release Notes

Release Notes, a quarterly update highlighting improvements and enhancements across all Audit Analytics' products, can be accessed directly from the Dashboard, as well.

With this feature, you can stay informed of what's new.

Release Notes	
Q1 2021	New Dashboard View, ISIN/CUSIP Identifiers, and more!
New Product	Mutual Fund Reorganizations

See All >>

Databases

Audit Analytics offers eight modules containing an aggregate of over 50 databases. Although all of our databases are listed on your dashboard, you will only be able to access the databases included in your subscription. For access to additional databases, please contact sales@auditanalytics.com.

Your Products

Audit + Compliance	Corporate + Legal	Accounting + Oversight	Funds + Securities	OIA - Financial Services	OIA - Gov + Non-Profit	Canada	Europe
Audit Fees	Bankruptcies	Accounting Quality Risk	Audit Fees	Banks - Annual	ERISA - Annual Auditor	Audit Fees	Audit Fees
Audit Opinions	Comment Letters - Company	Adjustments	Auditor Engagements	Broker Dealer - Annual	ERISA - Annual Company	Audit Opinions	Audit Opinions
Auditor Changes	Comment Letters - People	Audit Firm Events	Debt Securities	Broker Dealer - Current	ERISA - Current Auditor	Auditor Changes	Auditor Changes
Auditor Engagements	Comment Threads	Auditor Ratification	Pledged Securities	Insurance - Annual	ERISA - Current Company	Auditor Engagements	Auditor Engagements
Benefit Plan - Opinions	Initial Public Offering	Changes in Estimates		Private Funds - Auditor	Non-Profit - Single Audit	Controls	Key Audit Matters
Director & Officer Changes	Litigation - Auditor	Critical Audit Matters		Private Funds - Fund	Non-Profit - Current Auditor	Restatements	Restatements
Disclosure Controls	Litigation - Company	Cybersecurity		RIA - Current Adviser			Transparency Reports
Internal Controls	Litigation - Law Firm	Impairments		RIA - Current Auditor			
Late Filers	Mergers & Acquisitions	PCAOB Reports		RIA - Historical Adviser			
Restatements	Outside Counsel			RIA - Historical Auditor			
	Private Placements						
	Shareholder Activism						
	Tax Footnotes						
	Transfer Agents						

Saved Searches

For your convenience, we offer Saved Searches and Alerts. The Saved Search feature allows you to re-run a search that you plan to use relatively frequently. The Alerts option allows you to receive any updates related to your search straight to your inbox.

See page 6 for information on how to save searches.

See page 13 for information on how to set up alerts.

Recent Saved Searches

Search Name	Action	Date Created
autosave	View	2019-10-22 21:34:06

To manage your saved searches and alerts please go to Saved Searches.
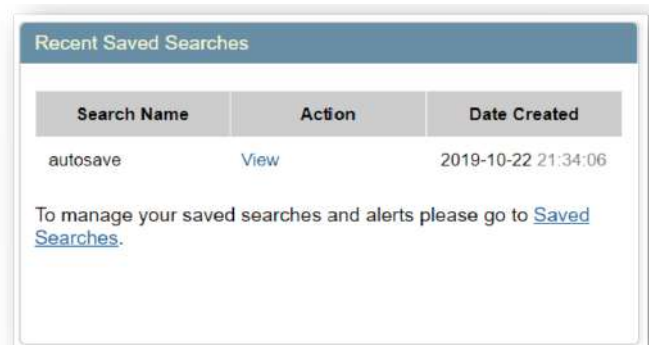
Audit Analytics Reports

Audit Analytics publishes several reports throughout the year, all of which are complimentary to our clients.

You can access these Reports directly from the Dashboard.

For more information on Reports see page 14.

Audit Analytics Reports

2021-03-30	Trends in Cybersecurity Breaches
2021-03-11	Going Concerns: A Twenty-Year Review
2021-02-16	Serving Their Purpose? Insights on Critical + Key Audit Matters

See All >>

Database Searches

To search a specific dataset, select a database from your Dashboard.

Here, for example, we selected the Audit Fees database in the Audit + Compliance module.
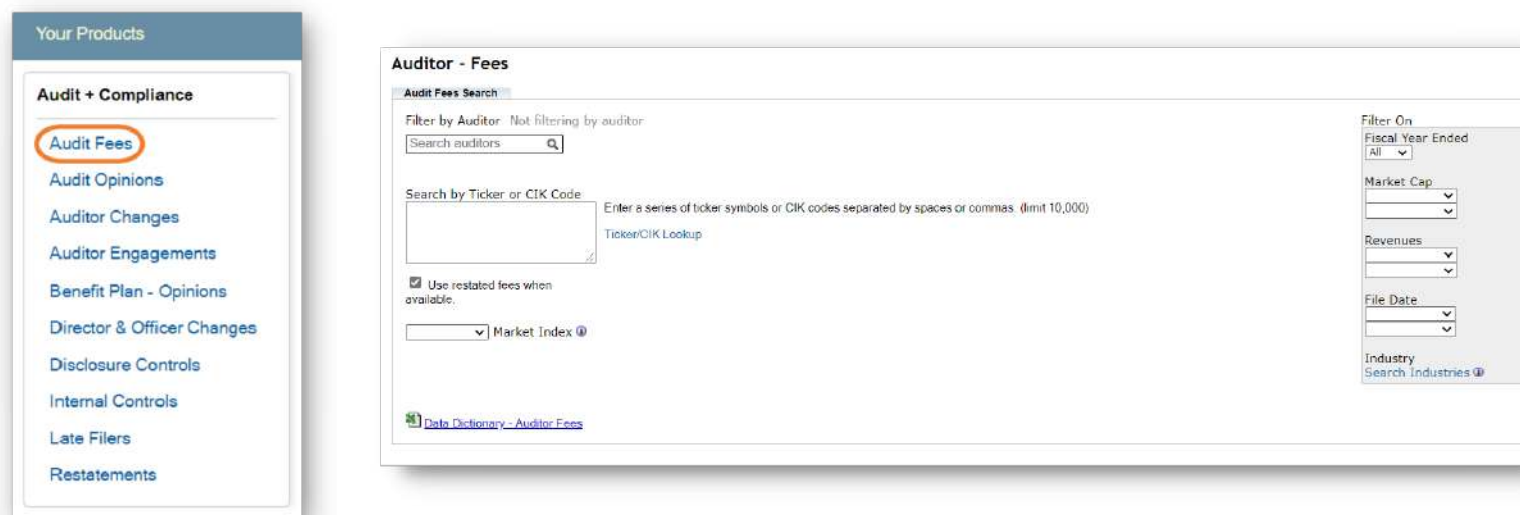
Data Dictionaries

On each database search page, you will find a Data Dictionary.

The Data Dictionary contains all the fields and definitions for the specific database you're using and defines the title columns in the excel download associated with your search.

It also contains other useful information particular to that database, including the historical scope of the dataset and data sources.
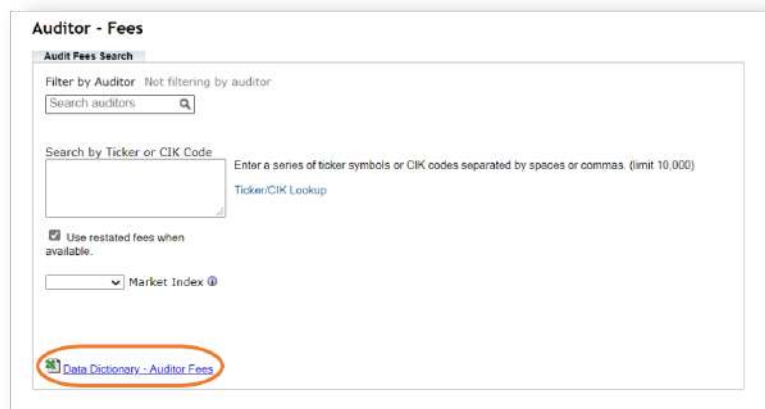
Applying Filters

The interface offers several filters to help you narrow your search.

Here, for example, we've used filters to search for Audit Fees of the Big Four for Telecommunications companies with a Market Cap of over $1 billion.

Viewing + Saving Search Results

Our filtered audit search returned 1,119 audits.

You can view all your search results directly below the search interface. There is also an option to download your search results in an Excel spreadsheet.

At this point, you have the option to save your search. Select the "Save This Search" hyperlink. Then, name and save your search.

You will now have access to your search at any time from the "Saved Searches" tab at the top of your screen.

To return to your search results, select "view," and your previous search results will appear.

> **❗ Note:**
>
> For some of our databases, you can opt into "Alerts" for your saved search, allowing you to receive an email notification anytime there is new information related to your search added to the database.
>
> *See page 12 for more details on alerts and how to opt into them.*

As shown in the image below, our 1,119 search results appear under "Search Results."

From this view, you can identify each company, ticker, auditor, fees, market cap, and revenue that falls within the scope of your search.

Downloading Data + Further Analysis

We also offer the option to download an Excel spreadsheet that contains more in-depth information. Once downloaded, you can apply formulas to your spreadsheet and further analyze the data.

The Excel download will display company information (including unique identifiers, market, industry, location, and financials), audit firm information, and, in this case, audit fee information (including the source, categorized fees, and fiscal year-end).

Note:

You can find an explanation of the Excel spreadsheet column titles in the Data Dictionary located directly below the Download Spreadsheet hyperlink.

Finally, depending on the size of the database you're using, you can select "Search" without applying any filters if you wish to retrieve all the data.

Note:

Audit Analytics Excel downloads are limited to 200,000 rows, so be sure to take advantage of the filter tools for large databases to narrow your search results.

Company Profiles

Audit Analytics provides extensive Company Profiles that include company overviews, source documents, and access to filings.

You can access these profiles directly from your dashboard, or you can select a company name in your search results.

Dashboard Access

If you wish to find a specific company profile, simply type their name into the search bar on your Dashboard Page.

Database Search Access

After completing a database search, a list of companies will appear in your search result. When you select a company name, you will be taken to their company profile.

Company Profile Highlights

As an example, we've accessed the company profile for AT&T.

There are four tabs at the top (Overview, Company Info, Governance, and Legal), and each tab contains the relevant subtabs of data.

For example, here, at the Overview tab, you will see subtabs for Restatements, Estimate Changes, Audit Fees, Auditor Changes, Opinions, Controls, Late Filings, and Impairments data.

At the subtabs, you will find an overview of that data and links to source filings. For example, here at the Audit Fees tab, you can see the audit, audit-related, tax, and other fees by year. You can also access source filings here.

Risk Indicators

Prominently displayed at the top of the Company Profile, you will notice red flags (if applicable). These indicate categories where there is a risk factor present for that company.

These risk indicators make it easy to identify all "at-risk" items for each company at a glance. To understand what led to a flag, you can click on each one for more information.

> ⊘ **Note:**
>
> You may also notice an orange AQRM button at the top of your screen.
>
> This button will compile a risk matrix for you showing any notable, significant, or critical risk for that company.
>
> Access the AQRM legend for more information about what each flag means.

Audit Firm Profiles

Similarly, each audit firm in the database has a profile page. To access an audit firm profile, search for an audit firm using the "Search All Entities" feature on the Dashboard (see page 3). Under "Search Sources," select "Auditor" and search for an audit firm by name. You can also access audit firm profiles using the jump links on the Search Results pages and the Company Profile pages.

Also, note the tabs of information available and the links to downloads and reports. Similar to the company profiles, the auditor profiles provide a vast amount of information including firm history, locations, legal actions, clients, transparency reports, affiliates, inspection reports, and more.

Saved Search Alerts

The majority of our databases allow you to set up Saved Search Alerts. With this tool, an alert will be sent directly to your inbox whenever new data related to your Saved Search is available.

For example, we used our Audit Opinions database and ran a filtered search for Audit Opinions of the Big Four for Telecommunications companies with a Market Cap of over $1 billion.

After completing and saving a search, you can then set up alerts in your "Saved Searches" tab. Simply select "Create Alert."

From there, a drop down will appear, allowing you to opt into daily, weekly, or monthly alerts related to your search.

> **❗ Note:**
>
> While many of our databases do include this convenient tool, not all of them do. If the database you are using does not have this feature, "N/A" will appear under the "Alert" tab in your list of saved searches (as shown above for our "Audit Fees" search).

Reports

In addition to the databases, your Audit Analytics subscription also provides access to our reports. Here, our analysts provide complete analyses on popular topics including audit fees, going concerns, financial restatements, critical + key audit matters, cybersecurity breach disclosures, and more!

As an Audit Analytics client, you can download these reports directly from your Dashboard.

To view these reports, select "See All" under the "Audit Analytics Reports" tab on your dashboard.

From here, you will be able to access and download all the reports that Audit Analytics has published from 2006 to the present.

Audit Analytics Reports

2021-03-30	Trends in Cybersecurity Breaches
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See All >>

Audit Analytics Reports

Industry Briefs

2021 | 2020 | 2019 | 2018 | 2017 | 2016 | 2015 | 2014 | 2013 | 2012 | 2011 | 2010 | 2009 | 2008 | 2007 | 2006

Report	Trends in Cybersecurity Breaches	March 2021
Report	Going Concerns: A Twenty-Year Review	March 2021
Report	Serving Their Purpose? Insights on Critical + Key Audit Matters	February 2021

Worksheets for these summaries are available to subscribers by sending a request to info@auditanalytics.com.

Downloads

Spreadsheet - Auditor rankings by number of SEC filing entities currently engaged. [XLS] | [CSV]
Spreadsheet - SAB 108 Adjustment [XLS] | [CSV]
Spreadsheet - FIN 48 Adjustment [XLS] | [CSV]
Spreadsheet - Historical Name Changes [XLS] | [CSV]

Citing Audit Analytics

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Source: Audit Analytics

Audit Analytics is a premium online market intelligence service available from IVES Group, Inc., a leading research provider focused on audit, accounting, regulatory, and disclosure intelligence.

For information, call +1 508.476.7007, email info@auditanalytics.com, or visit www.auditanalytics.com.

About Audit Analytics

Founded in 2003, Audit Analytics offers more than 50 unique, comprehensive databases of normalized qualitative data for tracking and analyzing public company disclosures related to audit, accounting, regulatory, and disclosure intelligence.

Audit Analytics provides comprehensive, accurate, timely, and historical data for the archival research and analysis of our worldwide university clients.

Client Support

We are here to provide high-quality, comprehensive, and accessible data for your analysis, research work, and publications.

If, at any time, you have questions or need assistance, please contact us so that we can provide personalized and timely assistance.

We also greatly value your feedback and learning from and about your research findings.

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