



## Product Name - Regulatory Filing Quality, or RFQ

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**Product Description** – RFQ™ is an online platform that allows you to design, monitor and access data on the quality of your client’s regulatory filings and incorporate the data and business intelligence into your annual audit plans. The RFQ™ technology tests the accuracy, consistency and frequency of the filings and the conciseness, understandability, consistency and quality of disclosures with SEC rules and guidelines. RFQ™ test scores are benchmarked against relevant peer groups using a bell curve to develop consistency and inconsistency observations.

**Product Benefits** – RFQ™ data and business intelligence can improve the quality of your annual audit, generate additional audit fees from additional testing work needed and new advisory business and improve your client’s satisfaction.

### Product Features

1. **Form Coverage and Testing Approach** – RFQ™ covers SEC Forms ADV Parts 1 and 2A, Forms 13F, 13D, and 13G, Form N-CEN, N-PORT and Form D.
2. **Data-Coverage-Quality Control** - RFQ™ data and business intelligence is derived from Convergence’s RIA Knowledge Center which contains 6,500 proprietary and non-proprietary data fields structured by Convergence into 36 subjects that define and standardize the measurement of business activities in 55,000 global investment advisers. The Knowledge Center maintains RFQ™ test scores for hundreds of thousands of regulatory filings made by global investment Advisers over the past 13 years.
3. **Independence** – RFQ™ is independent and its business intelligence adds more objectivity to your review of clients and can strengthen your pre-audit planning process.
4. **Pre-Audit Planning and Advisory Support** – RFQ™ data and business intelligence enhances your pre-audit planning in areas of their client’s business, such as the fund accounting and operations teams, which often create compliance quality issues that need advisory services.
5. **Convergence Data as a Service** – Our DaaS service can support you at every stage of your RFQ process. You specify the business intelligence you want and we set up the data and platform to deliver it.

**Product Users** – Audit Partners, Advisory Partners and Internal and External Quality Control Teams

### Get in touch to learn more about RFQ

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