



Product Name - Investment Company Complex Compliance, or ICC

Product Description – ICC is an online platform that allows users to design, monitor and access current data and business intelligence on the constitution of investment company complexes, as defined by the SEC.

Product Benefits – ICC standardizes this element of your independence process across all users in your firm, ensuring cost-effective compliance with independence testing standards spelled-out in SEC S-X 2-01, AICPA Statement on Audit Quality Control Standard #8 (Independence) and PCAOB QC 1000.

Product Features and Benefits

1. **Investment Advisers and Entity Coverage** – ICC data and business intelligence is available on 55,000 global investment advisers, the 450,000+ public and private funds they currently or formerly advised. This is the most complete coverage of advisers and investing entities in the market.
2. **Data-Coverage-Quality Control** – Convergence creates knowledge graphs to define entities into an ICC. This includes investing entities and their investments (operating companies), financial industry affiliates of the adviser (such as GPs, broker-dealers, and other owned businesses), as well as service providers connected to the ICC. Data and business intelligence is derived from Convergence’s 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 13 years of ICC and other data and business intelligence on active and inactive investment advisers.
3. **Independence** – ICC is independent and adds more objective data-driven business intelligence to your independence process.
4. **Convergence Data as a Service** – Our DaaS service can support you at every stage of your ICC process. You specify the business intelligence you want and we set up the data and platform to deliver it.

Product Users – Audit Partners and Independence and Risk Management teams

Get in touch to learn more about ICC

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