



Product Name – Form N-CEN Analytics, or NAS

Product Description – NAS is an online platform that allows you to design, monitor and access the diversification disclosures made by mutual funds and ETFs that have been tested by Convergence. NAS was created to respond to Convergence clients who complained that the funds and ETFs reported to them by third party providers were incomplete and in many cases the diversification disclosures were wrong.

Product Benefits – NAS improves the efficiency and accuracy of the testing that you need to do to ensure that your employees are not invested in non-diversified mutual funds and ETFs. This is consistent with SEC Rule S-X 2-01, PCAOB Rule QC 1000 and AICPA Statement on Audit Quality Control Standard #8. NAS standardizes this aspect of your independence process for all users in your firm, ensuring cost-effective compliance with independence testing requirements.

Product Features

1. **US Mutual Fund & ETF Coverage** – NAS data and business intelligence is available on 12,000+ active and 2,000 inactive US Mutual Funds and ETFs, and the “Diversification” disclosures made by those funds. NAS leverages N-CEN and N-PORT filings made by US mutual funds and ETFs. These filings undergo a rigorous quality control testing process, which includes identifying the “Diversification” disclosure made by the fund and validating the accuracy of that disclosure
2. **Data-Coverage-Quality Control** – NAS data and business intelligence is derived from the Convergence 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 NAS test scores for thousands of N-CEN filings made by investment Advisers over the past 13 years.
3. **Independence** – NAS is independent and adds more objective business intelligence to your N-CEN testing process.
4. **Convergence Data as a Service** – Our DaaS service can support you at every stage of your NAS testing process. You specify the business intelligence that you want and we set up the data and frontend to deliver it.

Product Users – Partner in Charge of Independence Testing and PCAOB Compliance

Get in touch to learn more about NAS

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