



Convergence Regulatory Filing Quality (RFQ)

Filing quality, peer benchmarking, and compliance effectiveness intelligence

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Product Description

- Regulatory Filing Quality tests, scores, and benchmarks the quality of Form ADV Part 1A, Form ADV Part 2A, Form D, Form 13F, and planned N-CEN and N-PORT modules. RFQ evaluates accuracy, consistency, frequency, readability, understandability, and disclosure quality, converting public filings, disclosure expectations, peer benchmarks, and Convergence test logic into an objective evidence package.

Product Benefits

- **Improves Filing Quality Evidence:** helps CCOs and advisers identify errors, omissions, inconsistencies, unclear disclosures, weak conflict language, and peer outliers.
- **Benchmarks Compliance Culture:** places advisers against relevant peers using Best Practices, Consistent Practices, Improvement Needed, and Watchlist conditions.
- **Reduces Internal Review Costs:** replaces repetitive manual review with standardized tests, source-backed findings, plain-English recommendations, and a repeatable evidence trail.

Product Features

- **Filing Testing and Scoring:** tests relevant forms for accuracy, consistency, frequency, readability, understandability, and disclosure quality.
- **Peer Benchmarking and Bell-Curve Placement:** compares scores by form, test category, and peer group to show relative filing quality.
- **Issue Drill-Down and Improvement Plan:** provides source-file evidence, item-level findings, and recommended actions to improve disclosures and reduce rework.

Primary Use Cases and Delivery

- **Primary Users:** investment advisers, CCOs, compliance teams, consultants, auditors, operational due diligence teams, and executive oversight groups.
- **Common Use Cases:** annual compliance reviews, filing quality assessment, disclosure remediation, peer benchmarking, due diligence evidence, and repeatable review documentation.
- **Positioning:** RFQ provides evidence-based filing intelligence and workflow support. It does not provide legal, regulatory, accounting, or compliance advice.

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