

Securities Mosaic Features

Securities Mosaic® equips you to navigate the labyrinth of SEC data with speed, precision and ease.

Disclosure

All SEC Filings

- Locate any EDGAR filing using text search and a robust selection of search fields.
- Build custom documents by selecting the base and individual exhibits within a filing.

These new features are now available on our beta page:

- Keywords-in-Context display for search results.
- Filter by NAICS, Metropolitan Statistical Area, and company location worldwide.
- Search by company market and financial data, including index membership (Fortune 500, etc.)

Exhibits Search

- Text search more than 9 million exhibits.
- Dual-level searching offers detailed precedent language and model document search.

8-K Item Search

- Search 8-K filings parsed at the item level.
- Results display with keywords in context.

Risk Factors

- Search more than 1 million individually parsed risk factor statements.

Registrations Search

- Search fields include type of security, registered dollar amount, and representing law firm.

Law Firm Relationships

- Identify more than 100,000 law firm-company relationships by company

Insider Search

- Search Forms 3, 4, and 5 by issuer, owner, date, type of security, and SEC transaction code.

Exempt Offerings Search

- Zero in on electronic Form D private offerings data by issuer size, offering amount, and much more.

Investment Adviser Search

- Delve into Investment Adviser Public Disclosure Form ADV filings via a rich search taxonomy.

SEC Forms

- Complete and current database of SEC forms in PDF format, along with form descriptions and instructions.

SEC Watchlist Alerts

SEC Filing Email Alerts

- Establish personalized Watchlist Alerts for prompt notification of filings you can't afford to miss.
- Customize alerts by company name, ticker, industry, text string, and form type/group.

Regulation

Our comprehensive regulation database is easily searched using any text string, and up-to-date with the laws and rules you need.

Securities Laws and Regulations

- Full text of Title 15, Chapters 2A-2D and 98, including all amendments.
- CFR Title 17, Parts 200-301, with complete amendment history back to 1937. Quick reference links to related code sections.
- Searchable Federal Register content.
- Complete text of recently enacted public laws.
- Complete and current PCAOB rules and standards.

Regulatory Releases

- We provide the full set of SEC and PCAOB Regulatory Releases—fully text-searchable and updated every 20 minutes.
- Search our archives back to 1994.

Guidance

SEC Comment Letters

- Granular search of more than 90,000 SEC comment letters and responses.
- Quickly locate SEC interpretation on a myriad of disclosure dilemmas.

Legal & Accounting Memos

- More than 16,000 memos offer expert analysis of current securities issues from US and Canadian firms.
- Search by nearly 200 firm names and text.
- Set up customized alerts to memos by text and firm name.

SEC & PCAOB Staff Guidance

- Includes FAQs, Q&As, electronically released no-action letters, telephone interpretations, and other types of guidance.

SEC Glossary

- Locate all definitions for a term as defined in the CFR.



Enforcement & Litigation

Defendant Name Search

- Search across thousands of SEC, PCAOB, CFTC, and FINRA enforcement releases by defendant name.
- Predictive searching allows you to quickly identify and locate an individual or company.

SEC Enforcement Actions

- Search more than 11,000 unique defendants across an array of categories, including name, place of employment, violation, penalty, and dollar amount.
- Perform enforcement action trend analysis. Model and profile possible actions and penalties against a client or employee.

SEC Enforcement — Defendant Search

- Use precision-searching categories to narrow SEC Enforcement searches to a specific type of defendant.

SEC Investigation Disclosures

- Search over 1,800 public company SEC investigation disclosures for notices of preliminary and formal investigations and for Wells Notices.

SEC Investors Claims Funds

- Find information on enforcement actions in which a Receiver, Disbursement Agent, or Claims Administrator has been appointed.

PCAOB Enforcement & Inspection Releases

- Track performance and compliance of registered public accounting firms.
- Search Inspection Reports by ownership structure, firm size, and deficiency topics.

CFTC Enforcement - Defendant Search

- Search more than 2,000 unique defendants by name, court, violation, and penalty types and amounts.

FINRA Adjudication - Defendant Search

- Search a rich database of hand-tagged decisions to zero in on specific types of violation, penalties, and much more.

Court Cases Update

- Selected judicial opinions from the U.S. Supreme Court and Circuit Courts of Appeal related to the securities and financial services industries.

Email Alerts Keep You Updated

The Securities Mosaic News Service

- Daily Securities News
- Daily SM Blogwatch
- Weekly Regulatory Report
- Regulation Alerts & Spotlights
- Daily SEC News Digest
- Paper Trail

Self-Regulatory Organizations

FINRA & NYSE Regulatory Materials

- Search across 17 different datasets for materials published by both the NYSE® and FINRA®.
- Datasets include rules, enforcement actions, regulatory notices, interpretations, and more.

SRO Rulemaking

- SRO Rulemaking database contains notices published by the SEC in the Federal Register regarding the rulemaking activities of more than 35 exchanges, and includes proposed and approved rules and registration actions.
- Search fields include type of action, exchange, SEC file number, and release number.

News

SEC News Digest

- Search all Digest issues back to 2002 by category, text, release number, or date range.

SEC News

- Access SEC press releases, speeches, and testimony by action type, speaker, and more. Search SEC speeches back to 1956.

PCAOB News

- Find news releases and notification of upcoming events from the PCAOB.

News & Spotlight Archive

- Searchable news and blog archive.
- Access the last six months of Securities Mosaic news publications, Spotlights and Paper Trail documents.

Resources & Support

Data Details

- How current is Securities Mosaic? Where does the data derive from and how far back does it go? Find this information and more in our Data Details, located at the upper right corner of every search page.

Training and Support

- Training, research assistance, and technical support are included in your Securities Mosaic license.
- Call us toll-free at 866.650.3600 or email us at support@knowledgemosaic.com.

