



# Introducing Securities Mosaic

*The innovative research platform—powerful yet lightweight—combines the industry’s best current awareness tools with a multi-level, highly searchable database of vital securities news and real-time data.*

## Trusted by the Best

Since its launch in 2002, Securities Mosaic® has become an indispensable resource for thousands of corporate and securities professionals, who depend on it for comprehensive, up-to-the-minute disclosure and regulatory information.

Today, Securities Mosaic serves almost 600 organizations, including nearly all of the major North American law firms, numerous Fortune 500 companies, some of the world’s most prominent global financial institutions, major accounting firms, commercial and investment banks, government regulatory bodies, and leading law schools.

## A Bird’s Eye View

A license to Securities Mosaic gives you full access to all of the following:

- Current awareness *nonpareil*, anchored by our unrivalled News Service and personalized SEC Watchlist Alerts.
- A complete, fully text-searchable database of SEC EDGAR filings, with robust query and analysis tools.
- Authoritative guidance materials.
- Full, up-to-date legal, regulatory, enforcement, and litigation information for the corporate and securities arenas.
- Customizable features, include stored search capability, custom document generation, and a print cart for batch printing and emailing.
- On-call customer support and research assistance during regular business hours (typically with no wait).
- Live training conducted via web conferencing.

## Satisfy Your Need to Know

- Keep your ear to the ground with our Daily Securities News, an emailed digest of important SEC and national stories, notable NYSE® and FINRA® updates, and recent securities legislation.
- Our concise weekly regulatory report summarizes the week’s rulemaking and enforcement activities.

- Get a quick window into the latest opinions on hot topics in the securities industry with our Daily SM Blogwatch.
- Receive quick summaries of breaking SEC news, along with links to related information, from our regulation alerts.

## Find Data in Second with Smart, Targeted Searching

- Securities Mosaic renders the intricate maze of federal regulatory and disclosure information simple and supremely searchable.
- We’ve extracted data from millions of filings, and manually tagged thousand more, allowing you to search with pinpoint precision.
- Unique search pages allow you to target data buried in the filings, including risk factors, 8-K items, exhibits, and insider transactions.
- Survey the landscape of securities-related legal proceedings, with powerful search engines covering SEC and PCAOB enforcement action releases, investor claims fund information, SEC investigation disclosure, and selected court cases.
- With our Law Firm Relationships search page, track and analyze law firm and client relationships, or prospect for potential clients.

## Enjoy Easy Access to Expert Analysis

- Turn to Securities Mosaic to help you interpret ambiguous SEC disclosure obligations.
- Our SEC and PCAOB Staff Guidance section includes FAQs, electronically released no-action letters, telephone interpretations, industry guides, and more.
- Read in-depth commentary on hundreds of securities-related subjects from our database of more than 16,000 Legal & Accounting Memos, searchable by text string.
- Get a broad spectrum of news and opinion on the latest high-visibility issues in the securities industry with our Spotlight feature, a repository of world press stories, SEC documents, blog posts, and more.

## Content Outline: The Securities Mosaic Web Site and News Service

### Disclosure

- All SEC Filings
- Exhibits Search
- 8-K Item Search
- Risk Factors
- Registrations Search
- Law Firm Relationships
- Insider Search
- Exempt Offerings Search
- Investment Adviser Search
- SEC Forms
- SEC Watchlist Alerts

### SROs

- FINRA® & NYSE® Regulatory Materials
- SRO Rulemaking

### Guidance

- SEC Comment Letters
- SEC & PCAOB Staff Guidance
- Legal & Accounting Memos
- Legal & Accounting Memo Alerts
- SEC Glossary

### Regulation

- SEC Regulations
- SEC Regulatory Releases
- SEC Regulatory History
- PCAOB Rules & Standards
- PCAOB Regulatory Releases
- Federal Register
- Securities Laws
- Public Laws
- Public Law Amendments

### News Online

- SEC News Digest
- SEC News
- PCAOB News
- News & Spotlight Archive
- SM Blogwatch Archive

### Enforcement & Litigation

- Defendant Name Search
- SEC Enforcement Actions
- SEC Enforcement—Defendant Search
- SEC Investigation Disclosures
- SEC Investors Claims Funds
- PCAOB Enforcement & Inspection Releases
- CFTC Enforcement—Defendant Search
- FINRA Adjudication—Defendant Search

# What Sets Knowledge Mosaic Apart?

*Unsurpassed Search Tools — Customer Commitment — Price Appeal*

## Rulemaking, Enforcement, and Litigation Data at Your Fingertips

- Both our SEC and PCAOB release databases give you unprecedented access to rulemaking histories and significant (but hard to isolate) release types.
- Survey the full suite of NYSE<sup>®</sup> and FINRA<sup>®</sup> data, offering a quick, convenient, and fully searchable format to keep on top of exchange compliance.
- Search all SEC Federal Register publications since 1998.
- Our unique enforcement and litigation databases offer powerful searching capability on securities-related proceedings.
- Hand-tagged enforcement data—aggregated from across six discrete data sources for the SEC, PCAOB, CFTC and FINRA—allows you to search for actions taken against an individual or company in one fell swoop.
- Search enforcement data by a variety of parameters, including violation, sanction, penalty type and amount, and defendant.
- Easily perform action trend analysis or model the range of likely actions and penalties against a client or employee.

## Flexible Search of Laws and Rules

- U.S. Code and federal securities regulations are current, cross-referenced, and fully text-searchable.
- View the public law amendments to pinpoint how and where public laws have affected the federal securities acts.
- Our comprehensive regulatory history database puts more than 10,000 securities regulation amendments dating back to 1937 at your fingertips.

## Custom Document Creation

On nearly every search page you can now create custom documents. From SEC filings to laws and regulations, you can check a few boxes and instantly generate your own hand-tailored document to print, email, or save for later use.

## Customer Commitment

Knowledge Mosaic provides unmatched levels of personal attention and responsiveness to customer needs.

- We actively partner with our customers in a variety of ways, including the provision of research assistance, user support, and training.
- Website enhancements often reflect direct feedback from our customers.



## Price Appeal

Our online tools are not just easy to use, they are easy on the pocketbook.

- We offer significant discounts for multi-user and firm-wide licenses.
- Licenses are tailored to your organization's specific needs.

## Set up Custom Alerts to SEC Filings and Legal & Accounting Memos

- Receive real-time alerts for SEC filings you can't afford to miss, delivered straight to your email inbox.
- Set up SEC Watchlist Alerts by company, industry, text string, and form types/group.
- Establish a customized daily email alert to Legal & Accounting memos by text and firm name.

## How We Do More with Less (and Pass the Savings on to You)

- Unlike many other, similar providers, Knowledge Mosaic Inc. is a pure Internet company, with no legacy print commitments and heavy overhead to maintain and support.
- As a small, private company with a simple organizational structure, we are able to be nimble, flexible, and exceptionally responsive to our customers.
- We rely on innovative, state-of-the-art technology, commanded by a small but incomparable team of engineers.
- We don't offer extras you won't need. For example, we exclude from our platform certain esoteric reporting features that would seldom if ever be used by the vast majority of our customers.

## About Knowledge Mosaic Inc.

Located in the industrial underbelly of Seattle—in modern facilities amidst train yards and commercial fishing docks—Knowledge Mosaic Inc. ([www.knowledgemosaic.com](http://www.knowledgemosaic.com)) employs the most advanced digital technologies to serve the information needs of legal and financial professionals around the world.

Founded in 2001, Knowledge Mosaic has developed strong business relationships and a rapidly accelerating market presence by delivering high quality current awareness and research platforms and unparalleled customer service at very reasonable prices.

## For More Information

Email [info@knowledgemosaic.com](mailto:info@knowledgemosaic.com) or call toll-free at **866.650.3600**. You can register for a free trial or subscription online at [www.knowledgemosaic.com](http://www.knowledgemosaic.com).