

LexisNexis® Securities Law At A Glance

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- Sarbanes-Oxley Corporate Reform Materials
- Mealey's Emerging Securities Litigation Report
- Federal & State Securities Cases and Court Rules
- SEC No-Action, Exemptive, and Interpretative Letters
- SEC Decisions, Orders & Releases
- SEC and CFTC Rules and Regulations
- The *Code of Federal Regulations* (Titles 12 & 17)
- The United States Code Service – Securities (Titles 7, 12, 15, 18 and 31)
- SEC Filings (full text and abstracts), including EDGAR® filings (plus exhibits)
- 18,000 news, business and financial sources
- Detailed profiles of private and public companies worldwide, including financial statements
- Complete line of Matthew Bender® analytical treatises, treatises from the Practising Law Institute, and Loss and Seligman's *Securities Regulation, Third Edition*
- BNA® *Securities Law Daily*
- More than 4.6 billion public records, including corporate ownership, bankruptcy filings, judgment and lien filings, deed transfers & mortgage records, stock ownership, and more
- CCH® Federal Securities Law Reporter, Blue Sky Decisions, and Blue Sky Law Reports by state
- House and Senate Committee Reports of the 1933 and 1934 Acts

Use Get a Document by Citation for quick retrieval of a document

When you know the citation for a document, e.g., case law, code section, public law, use the Get a Document by Citation on the LexisNexis services. Simply select the Get a Document tab (by Citation is the default template) and enter the correct citation format.

Document type	Sample citation format
Case law	521 us 642
Code section	15 uscs 77 aa
Federal Register	63 fr 29104
<i>Code of Federal Regulations section</i>	17 cfr 202.3
Tracking report for a bill	104 hr 1058
Full text of a bill	1999 hr 100
Public law	103 pl 328

The vast securities law resources available to you on the LexisNexis services help to keep you in-the-know about issues vital to your work. To better assist you with developing efficient search strategies, these sample searches show the source selection path and a useful search request example. For additional search help, call LexisNexis Customer Support, available 24/7 at 1.800.543.6862

EDGAR Online®

Access real-time EDGAR filings and search for 10-K filings for Microsoft for the past three years.

PATH: Legal > Area of Law – By Topic > Securities > EDGAR – Online Real Time SEC Filings

Click Continue.

ENTER: Microsoft in the Company box, select Annual Reports – 10K in the Form-Type box, and choose Last 3 Years from the Time Frame drop-down menu.

Click Search.

SEC Releases

Locate a particular release under one of the securities acts, for example, Securities Exchange Act of 1933 Release No. 33-7289.

PATH: Legal > Area of Law – By Topic > Securities > SEC Decisions, Orders and Releases

SEARCH: *release-no (33-7289)*

SEC No-Action Letters

Retrieve No-Action Letters that refer to a specific regulation or section, for example, Regulation 14d-1 or Section 14D.

PATH: Legal > Area of Law – By Topic > Securities > SEC No-Action, Exemptive and Interpretative Letters

SEARCH: *reference (14d-1 or section 14d)*

Federal Regulations

Review federal statutes that discuss insider trading under Title 15.

PATH: Legal > Area of Law – By Topic > Securities > Statutes & Legislative Materials > USCS – Securities – Titles 7, 12, 15, 18 and 31

SEARCH: *heading (title 15) and text (inside* /3 trad!)*

Retrieve a particular item number, for example, item 501 in Regulation S-K of the *Code of Federal Regulations*.

PATH: Legal > Area of Law – By Topic > Securities > Administrative Materials & Regulations > Federal > CFR – Titles 12 (Banks & Banking) & 17 (SEC & CFTC Rules & Regs)

SEARCH: *section (501) and part (s-k)*

NOTE: Updated provisions from the Federal Register are incorporated directly into *Code of Federal Regulations* (CFR) sections. Each CFR section heading displays a message about any updates to a section, and each CFR section includes references to amendment history and enabling statutes.

Property Ownership

Determine the real property owned by a company, for example, Titanic Ice*.

PATH: Public Records > People, Business and Asset Locators > Real Property Locator > Combined Deed Transfers, Tax Assessor Records and Mortgage Records

Click New Search.

SEARCH: *name (titanic ice)*

Lien Filings

Identify outstanding liens for which a particular company (e.g., Titanic Ice*) is a creditor.

PATH: Public Records > Public Records > Judgments & Liens > Combined Judgments & Liens > Combined Judgment & Lien Filings

Click New Search.

SEARCH: *secured-party (titanic ice)*

Key Executives

Locate the names and contact information for a company's decision makers, for example, Titanic Ice*.

PATH: News & Business > Company & Financial > Company Directors & Executives > Dun's Decision Makers

Click New Search.

SEARCH: *company (titanic ice)*

Legal Treatises

Find treatise materials that discuss the issue of meeting due diligence obligations in a shelf registration.

PATH: Legal > Area of Law – By Topic > Securities > Treatises & Analytical Materials > Securities Law Techniques

Click the **Terms and Connectors** and **Full-text** radio buttons.

SEARCH: *due diligencel 10 shelf registration*

* Fictitious name used for illustrative purposes only.

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