Find FCPA Disclosure and Enforcement Records

Here’s how to search for FCPA disclosure and enforcement records once you log in at www.securitiesmosaic.com.

FCPA Records for Enforcement

You have several options:

Go to the Agency Docs, Laws, Rules tab
Select the Laws, Rules, & Agency Materials subtab/search page.

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Search DOJ records
1. Click the DOJ link from the agency list on the Laws, Rules, & Agency Materials screen. You move to a list of subtopics. Four are specifically focused on the FCPA.
2. Click the FCPA Enforcement Actions link.
3. A database of enforcement actions displays. You’re ready to search:
   • By text. Enter language you wish to find, e.g., a company name or specific concept. ENTER: “motion to dismiss” and click Search.
   • By date range, e.g., last six months. Or create a custom range.
   Review your results. You can sort, share, print or download your results list.

Search SEC records
1. Click the SEC link in the agency list on the Laws, Rules, & Agency Materials screen. Your screen refreshes to show a list of subtopics.
2. Select Administrative Proceedings or Litigation Releases links from the subtopics list.
3. A document list displays. You’re ready to search:
   • Enter a text search. For example, ENTER: (“FCPA” or “Foreign Corrupt Practices Act”) w/10 (enforcement or litigation) and click Search.
   • Or select a date range.

Get document updates sent to your inbox!
Create watchlist alerts from your search results. It’s simple. Review your search results, then click the Save as Alert or RSS link at the top of your results screen.
Request alert updates daily, weekly digest—or in real time as documents become available.

Go to the SEC Filings tab

Search for public companies’ disclosures of pending or ongoing FCPA investigations through the Investigations subtab/search page.

1. Select the SEC Filings tab, then the Investigations subtab.
2. Enter your search terms in the Text Search box at the top of the screen, e.g., ENTER: “FCPA” or “Foreign Corrupt Practices Act.”
3. Select the Internal Investigation option from the Investigating Entity pull-down menu.
4. Select a date range (optional) and click Search.

Contact us to learn more.
866.650.3600
www.lexisnexis.com/lsm-support
Go to the SEC Filings tab

Uncover public company disclosure about ongoing FCPA investigations as part of assessing forward-looking risk to the business. Lexis Securities Mosaic resources allow you to search from the Risk Factors subtab/search page.

1. Select the Disclosure & Transactions tab, then the Risk Factors subtab.
2. Select a Risk Factor Category if you wish. (FCPA violations are often categorized under “General Risk” or “Operations Risk,” but there may be other categories too.)
3. Enter your search terms in the Text Search box, e.g., ENTER: “FCPA” and (“under investigation” or “internal investigation”) and click Search.

FCPA Records for Guidance

Get valuable insights into FCPA decisions—and the ramifications of those decisions.

Go to the Agency Docs, Laws, Rules tab

1. Select the Laws, Rules & Agency Materials sub-tab/search page, and select the DOJ link from the agency list of Agency Material.
2. You have several refining options. Select the:
   - FCPA Opinion Procedure Releases link
   - FCPA Review Procedure Releases link
   - FCPA International Agreements link
3. You’re ready to search:
   - Enter a text search. For example, after selecting FCPA Opinion Procedure Releases, ENTER: adoption agencies and click Search
   - Or select a date range.

Go to the News & Law Firm Memos tab

1. At the Memos Search subtab/search page, you can refine by Practice Area. Though you may find documents mentioning the FCPA under most practice areas, consider refining by the Foreign Corrupt Practices Act practice area or:
   - Corporate
   - Criminal Law & Prosecution
   - Enforcement, Litigation & ADR
   - Foreign Law
   - International Trade & Investment
   - Securities
2. Enter a text search on your topic. Please note: Include “FCPA” or “Foreign Corrupt Practices Act” in your text search if you are not already searching that specific practice area.
3. View results and/or create an alert to have new relevant documents pushed to you. You can also refine your search to specific law firms.

Contact us to learn more.
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