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Lexis® Securities Mosaic®
Changes to the Securities Landscape Today Impact the Future of Businesses

Perhaps the two greatest influences on business and industry are the securities marketplace and the regulations that shape that marketplace. Not only do they determine critical corporate and financial structures, but they can also influence daily operations and interactions with the public. Staying compliant is a constant challenge.

**Lexis® Securities Mosaic® opens the door to a unique range of resources featuring newly enhanced search capabilities and access to more global resources.**

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**New! The Enhanced SEC Filings Search Page** offers a streamlined design that reflects the increased efficiency and ease with which you’ll be able to construct searches and utilize results to your best advantage. You will find new tools like the Predefined Search Library and gain an unprecedented ability to refine results.

**New! UK Filings** from the National Storage Mechanism of the UK Listing Authority cover filings (including prospectuses, financials and annual meetings) of companies trading on the London Stock Exchange® and Irish Stock Exchange. They’re continuously updated, easily searchable and date back to the late 1990s.

**SEDAR® Filings** are real-time filings of Canadian publicly traded companies and mutual funds dating back to 1997. They include prospectuses, financial statements and relevant disclosure documents.

**Global Exempt Offerings** are covered in our Private Placement Memoranda collection, which includes international prospectuses detailing offerings by international companies.
Lexis Securities Mosaic Offers Information Relevant to Many Industries & Practice Areas

A comprehensive collection of SEC EDGAR filings is updated in real time. Quickly find relevant language by filtering for company, industry, financial characteristics, etc.

SEC Comment Letters are searchable by industry, location and subject-form type—plus you can view related letters as a single thread. More than 70,000 No-Action Letters can be filtered by company, SEC subject category or position.

Private Placement Memoranda cover SEC-exempt offerings under Rule 144A, Reg S and Reg D and international prospectuses to inform your due diligence and precedent language needs.

International Filings include new UK Filings and SEDAR Filings of Canadian publicly traded companies. Both provide prospectuses, financials and ownership documents.

Agreements and Model Docs offer model precedent language for a variety of business documents—including agreements, contracts, covenants, bylaws, opinions and more. Sample documents are culled from public companies’ SEC disclosures.


Our Daily News service allows you to receive real-time information from top news sources and key regulators. Law Firm Memos offer expert commentary covering 46 practice areas like Energy and Corporate Governance.
What Can You Achieve Across Your Business by Using Lexis Securities Mosaic?

We strive to enable you to achieve better outcomes in your key activities so you can successfully accomplish your goals. Review some of the examples of how we can help.

Other ways Securities Mosaic can help your business:

**Proxies Research**
Compare shareholder proposals from previous years relating to issues such as compensation and benefits, corporate governance and board composition, shareholder rights and benefits, and more. Find examples of similar disclosures for precedent language or conduct research on a company or industry.

**Energy & Environmental Information**
Stay on top of FERC regulatory updates and track risk disclosures by public companies in relevant industries, including risks relating to, Climate Change, Environmental Laws, Natural Disasters and much more.

**Securities Litigation & Enforcement**
Search FCPA enforcement actions from the SEC and DOJ; perform trend analysis on SEC enforcement by violation (conspiracy, insider trading, mail fraud, money laundering, options backdating and much more), penalty type and penalty amount; track investigation disclosure by public companies, including the reception of Wells Notices from the SEC.

**Labor & Employment Research—Executive Compensation**
Search SEC filings and Model Business Documents to find precedent language (employment agreements, employee stock option plans, ERISA considerations); search Law Firm memos to discover how they handled timely issues like “Compensation Clawbacks”; and stay on top of regulatory updates from the National Labor Relations Board, Department of Labor and other regulators.
Current Awareness Tools Keep You on Top of the Changing Securities Landscape

The fast-paced world of securities challenges everyone to stay on top of its many rapid changes. The extensive collection of Securities Mosaic current awareness tools helps you stay informed—and our collection continues to grow.

**Newsletters**
Access and manage delivery of the newsletters of your choice from a lengthy list that provides unparalleled current awareness coverage in the corporate, securities, communications and energy industries. These include:

- **Securities Mosaic® Daily News**—provides SEC, corporate and securities news updates from key world news sources
- **Securities Mosaic® Blogwatch**—offers daily posts from industry leaders covering a broad selection of current and salient SEC-related topics
- **Litigation News**—wraps up the day’s SEC enforcement actions, relevant judicial opinions, public company investigation disclosures and other key events.
- **Corporate Counsel Report**—compiles the most recent, relevant and substantive information of interest to in-house general counsel in the areas of Securities, M&A and Corporate Governance. Includes:
  - Top stories
  - Recent law firm memos
  - Recent no-action letters

**Trackers**
Stay informed of the latest Federal Rulemaking Releases for these groundbreaking acts:
- Dodd-Frank Tracker
- Affordable Care Act Tracker

**Alerts**
Customizable alerts and RSS feeds can be set for most of our primary data and guidance materials. Your delivery options are: Real Time, Daily Digest, Weekly Digest or RSS Feed. Some typical alert choices include:
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- SEDAR Filings Alerts
- Agency Materials Alerts
- Law Firm Memos Alerts
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**The Reference Retriever Tool:** Avoid the hassle of having to manually hunt down exhibits and other documents incorporated by reference in SEC filings. With the Reference Retriever, they are only a click away. Now the number of references is displayed to help you assess the document’s relevance.

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