The Lexis® Securities Mosaic® service equips law firms, businesses and industries to meet the challenges of global securities–related work by pulling together a comprehensive selection of sources including SEC EDGAR®, SEDAR® and UK filings; current awareness tools; and a broad spectrum of relevant information ranging from international private placement memoranda to law firm memos. In addition to efficiency and decision making is enhanced with exclusive tools like Federal Rulemaking Trackers, Reference Retriever and deeper filings research by more attributes.

- Stay on top of the international regulatory landscape.
- Track companies, law firms, lawmakers and rule makers across myriad sources.
- Follow business deals and transactions.

QUICK TIPS FOR USING SECURITIES MOSAIC®

1. What if I want to limit to a particular type of filing, such as an Annual Report?

If you know the specific form type you want, enter it in the Form Type text box. (Tip: Select it from the auto-suggest pull-down menu.) Otherwise, use the Form Groups menu to search by a more inclusive group of form types and their variations that fall under a general category, such as the “Annual Reports (10-K)” form group. This will include variants of the 10-K, including amended versions and alternate versions like the 10KSB.

2. How do I search on exhibits attached to SEC Filings?

From the SEC Filings search page, go to the Base Filing & Exhibits section (located under Forms & Exhibits) of the page. Select the radio button to limit your search by base filing or exhibits; the box labeled Specify allows you to specify exhibit level (All Exhibits) or a particular exhibit(s) by number. You also can use keywords (e.g., merger agreement) in the Exhibit Label text box to search on a specific document title. (This filer-provided label option is used in about half of all exhibits). Once you get to the results page, click the link with the EX-(e.g., EX-2) to go straight to the exhibit.
3. How do I pull recent SEC EDGAR® filings by a particular public company?

Click the SEC Filings tab to open our SEC Filings search page. Enter the company name (or ticker) in the Company Name, Ticker, or CIK text box. When your company appears in the auto-suggest pull-down menu, select it to execute your search. You may also choose to limit filings by selecting date range or form type, among other filters.

4. What’s the difference between the Model Business Documents page and SEC Filings exhibit search page?

Model Business Documents offer subscribers fast and intuitive access to more than four million exhibits attached to SEC Filings that have a filer-provided exhibit label (capturing the document title), so the content overlaps with exhibit searching on our SEC Filings search page. It’s an alternative search interface that allows users to look for the latest guidance and templates for drafting business documents.

5. Can I do a redline comparison of documents on Securities Mosaic?

Yes, the Securities Mosaic Redline Tool compares item (section) level results across all filings, as well as risk factor disclosures. For example, you can compare the Management’s Discussion & Analysis section of a company’s Annual Report as it changes year to year, or compare the MD&A sections from two different companies. To use this tool, run a search and, from the results page, check the boxes corresponding to the items you want to compare. Click Save Checked to Redline, then go to the Redline Tool and click Compare Checked for the two items you wish to compare. Finally, the Redline Tool allows you to import your own text for comparison, by using the Add Your Own Selection option.
6. How can I find and access SEC guidance materials on a particular topic?

If you want SEC No-Action Letters or Comment Letters in particular, use our advanced search pages for those materials. If you want administrative guidance from the SEC, click on the Agency Docs, Laws, Rules tab and select the SEC Materials page. Simply check the box (or boxes) next to the dataset(s) you are interested in. Then enter keywords for your topic and run your search. To search broadly across all SEC guidance materials (including No-Action Letters, FAQs, C&DI, etc.), first run your search across all SEC datasets, then narrow your results under the “Guidance” category filter using the sidebar on the left.

7. How does text search work on Securities Mosaic?

Most Securities Mosaic search pages support both full Boolean/nested text searching in addition to natural language searching structure supported by search engines like Google™.

8. How do I set up an alert for a 10-K filing from a specific company?

You can set SEC filings alerts in minutes. Simply go to Manage Alerts in the menu under your name at the top right and select SEC Filings Watchlist. The easy-to-use input form lets you specify Filer, Forms & Exhibits, Company Information, Market & Finance Information and Delivery Options.

Learn more about Lexis Securities Mosaic and how it can support your business today.

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