At last … here’s relief for one of the biggest headaches suffered by SEC filings researchers: filings or exhibits incorporated by reference. The enhanced Lexis® Securities Mosaic® Reference Retriever serves up these referenced documents with ease and speed.

Here’s the problem ...

The SEC often allows filers to incorporate information from previously filed documents simply by referencing the information, in lieu of actually including it. This “incorporation by reference” disrupts research workflow and costs your firm valuable time. You must leave your current document and hunt down the referenced document.

Here’s the solution ...

Access referenced documents directly from the document you’re viewing - just click the hyperlink. The enhanced version of the Reference Retriever is not only fast and easy, it also offers unparalleled coverage. Hyperlinking isn’t limited to just exhibits, but also includes full filings. And it isn’t limited to instances of incorporation by reference, but includes any references to an EDGAR® document.

Here’s how the Securities Mosaic Reference Retriever works ...

Open the standard (HTML) version of an SEC filing after you’ve run a search. You’ll see that within that document, the names of referenced documents (“10-K,” “Exhibit 4,” etc.) are hyperlinked in red. When you click that link, the Reference Retriever tool opens, revealing a link to the referenced document and associated data, such as filer and filing date. Click it, and the document opens.

This functionality is made possible by a proprietary algorithm that identifies form types and exhibits within the text of a document, along with other identifying data. The data is converted to search parameters that are executed when you click the link.

Occasionally, more than one document will meet the criteria, in which case links to all relevant documents are provided. In even more rare instances, when the Reference Retriever is not able to return the target document automatically, the user may view and edit the auto-populated search parameters in order to refine the initial search.

Ready to find out more? Contact us.
Call 866-650-3600 or to
www.lexisnexis.com/lsmSupport