

Tips and Tricks to Search the SEC.gov Site for the Prospect Researcher

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**APRA Metro DC Chapter
April 6, 2021**

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Presented by: Roger Magnus, Roger Magnus Research, Amherst, MA

Who Am I?



Researcher/Librarian

- 20+ years
- Experience as Prospect Researcher, Business Librarian, News Librarian, and Research Director for Business Publications

Own Research Company - Roger Magnus Research

Introduction

What motivated me to learn about site? - Keyword searching struggles

Why should you care? - Reasons for workshop:

- Maximize use of FREE resource containing original documents (no terms or restrictions)
- Learn about information on site not available elsewhere

Understand importance of forms for searching prospect in the SEC website :

- **Stock Ownership Changes** – Forms 4 and 13 series, also 3 and 5
- **Compensation/Bios** – Def. 14A (Proxy Statement)

Introduction

Improvements to Site:

- Auto Complete available multiple search interfaces
- Full-Text Search goes back 20 years (formerly 4 years)

Previous Presentations for NEDRA (Apr. 2019) and APRA NY (Oct. 2020)

http://rogermagnusresearch.com/__static/88fb56199b7dabc6049fo329664ebad5/sec-site-search-final.pdf?dl=1

[http://www.rogermagnusresearch.com/__static/9f5502f8ef8dd5686112bdb4616ofaaf/sec-site-search-final\(3\).pdf?dl=1](http://www.rogermagnusresearch.com/__static/9f5502f8ef8dd5686112bdb4616ofaaf/sec-site-search-final(3).pdf?dl=1)

POLL

What do you use **PRIMARILY** for public company insider research?

- A. SEC.gov
- B. Another free website
- C. A paid service
- D. Have not done public company insider research

What This Workshop WILL Cover:

Overview of the different ways to search the SEC website (SEC.gov portal) for prospect information (public company executives/directors/stockholders and financial professionals) and due diligence

Techniques to search the SEC website more easily and faster

Ways to connect biographical information to compensation data

SEC Website – Strengths

FREE

No registration

No licensing agreement

Original source of forms and content

SEC Website – Weaknesses

Poorly organized (search interfaces and Help materials)

Field searching on person's name doesn't bring up all forms

Multiple search interfaces (some don't work as expected)

“Conceptual Search” (too many off-target documents)

No Form Formats in Word, Excel, PDF, etc.

Note: Formats in HTML, XML, Text (XML/Text have code)

SEC Site – Structure

SEC.gov vs. EDGAR (kind of)

U.S. SECURITIES AND EXCHANGE COMMISSION

ABOUT | DIVISIONS | ENFORCEMENT | REGULATION

EDGAR Search and Access

Latest Filings

Company Filings

Mutual Funds

Variable Insurance Products

EDGAR | Company Filings

Company and Person Lookup

Name, ticker symbol, or CIK

More Options ▶

EDGAR | Filings

| | |
|-------------------|----------------|
| COOK DON | CIK 0001012074 |
| Cook Ira | CIK 0001310609 |
| COOK GARY | CIK 0001183895 |
| COOK JOHN | CIK 0001281951 |
| Cook Jeff | CIK 0001258146 |
| Cook Mark | CIK 0001396946 |
| Cook Brent | CIK 0001306542 |
| Cook Irene | CIK 0001549469 |
| Cook Kelly | CIK 0001602681 |
| Cook Kevin | CIK 0001501868 |

SEC.gov | Webpages & Documents

Search for "cook" in EDGAR filings

Search for "cook" on SEC.gov

for the inconvenience.

Ways to Search SEC.gov Data Public Company Insiders

Search SEC.gov (Main Screen)

EDGAR Company Filings Search

CIK Lookup

Boolean Archive Search

EDGAR Full Text Search (Past 20 Years)

Public Company Insiders Research - Search SEC.gov

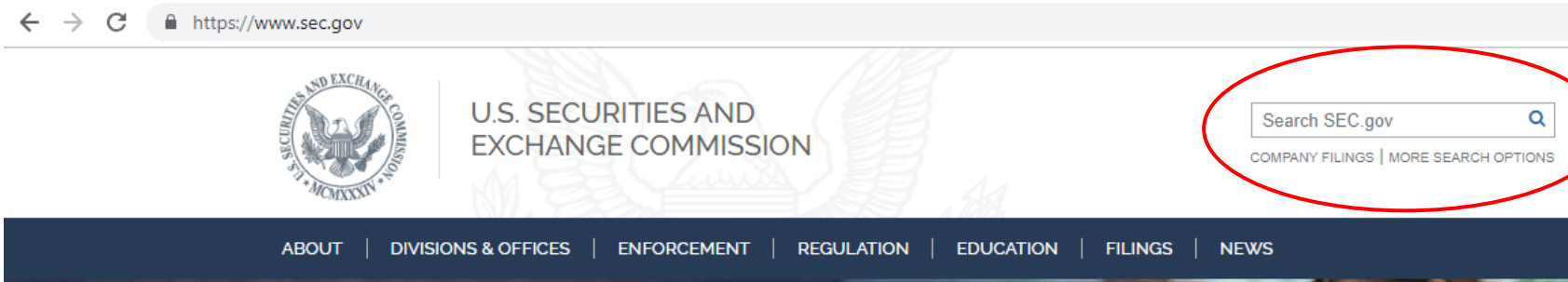
Location: Search box (upper right-hand corner of many pages)

Advantages:

- Easy to find search box
- **New – Auto complete**
 - Companies – Enter name or ticket symbol
 - Individuals – Enter last name then first name
- Single search term - Search EDGAR Documents OR sec.gov

Disadvantage: Multiple term queries produce poor search results

Public Company Insiders Research – Search SEC.gov



Public Company Insiders Research – Search SEC.gov



U.S. SECURITIES AND
EXCHANGE COMMISSION

ABOUT

DIVISIONS & OFFICES

ENFORCEMENT

REGU

EDGAR – Information for
Filers

EDGAR - Information for Filers **SEC.gov** | Webpages & Documents

cook tim



EDGAR | Filings

| | |
|--------------------------------|--------------------------------|
| COOK TIMOTHY D | CIK 0001214156 |
| COOK TIMOTHY M | CIK 0001793397 |
| TIMOTHY SHANE COOK TRUST | CIK 0001552901 |

Search for "cook tim" in EDGAR filings

Search for "cook tim" in SEC.gov

Public Company Insiders Research – Search SEC.gov

Filings

All Search table From Date (yyyy-mm-dd) To Date (yyyy-mm-dd) Clear

Keywords
Search text in documents

Show columns:
 Form type Form description Filing date Reporting date Act Film number File number Accession number Size

Copy to clipboard CSV Excel Print RSS feed

| Form type | Form description | Filing date | Reporting date |
|-----------|---|-------------|----------------|
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-12-01 | 2020-11-30 |
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-09-29 | 2020-09-27 |
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-09-18 | 2020-09-17 |
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-08-25 | 2020-08-24 |
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-08-24 | 2020-08-20 |
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-01-03 | 2020-01-02 |
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-01-02 | 2019-12-27 |

Public Company Insiders Research – Search SEC.gov

Filings

All ▾

Show columns:

Form type
 Form description
 Filing date
 Reporting date
 Act
 Film number
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| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-08-24 | 2020-08-20 |
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-01-03 | 2020-01-02 |
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-01-02 | 2019-12-27 |

Public Company Insiders Research – Search SEC.gov

Document word or phrase ?
class b

Company name, ticker, CIK number or individual's name
COOK TIMOTHY D (CIK 0001214156)

Filing category [Browse filing types](#)
View all

Filed date range
Last 5 years

Filed from
2015-09-23

Filed to
2020-09-23

Principal executive offices in ?
View all

- less search options **SEARCH** Clear all

Refine search results by:

9 search results

Entity ▼

Form ▼

Show Columns

Filed Reporting for CIK Located Incorporated File number Film number

Roger Magnus Research - www.rogermagnusresearch.com

Public Company Insiders Research – Search SEC.gov



U.S. SECURITIES AND
EXCHANGE COMMISSION



[COMPANY FILINGS](#) | [MORE SEARCH OPTIONS](#)

[ABOUT](#)

[DIVISIONS & OFFICES](#)

[ENFORCEMENT](#)

[REGULATION](#)

[EDUCATION](#)

[FILINGS](#)

[NEWS](#)

Public Company Insiders Research - Search SEC.gov

The screenshot shows the SEC.gov website with a search bar containing the word "apple". The search results are displayed in a dropdown menu, showing a list of companies with their names and CIK numbers. The first result, "Apple Inc. (AAPL)", is highlighted in blue. Below the search results, there is a link to "Search for 'apple' in EDGAR filings" and another link to "Search for 'apple' in SEC.gov".

← → ↻ 🔒 sec.gov/edgar/filer-information

 U.S. SECURITIES AND EXCHANGE COMMISSION

ABOUT | DIVISIONS & OFFICES | ENFORCEMENT | REGULATORY

EDGAR - Information for Filers

- ▶ Filer Websites
- ▶ EDGAR Filer Manual
- ▶ Technical Specifications

EDGAR - Information for Filers

 The following are estimated EDGAR filing dates for the current quarter.

EDGAR | Filings

| Company Name | CIK Number |
|-------------------------------------|--------------------------------|
| Apple Inc. (AAPL) | CIK 0000320193 |
| Apple Hospitality REIT, Inc. (APLE) | CIK 0001418121 |
| APPLE JIM B | CIK 0001215379 |
| APPLEBY CG | CIK 0001505485 |
| WP APPLE LLC | CIK 0001318626 |
| APPLERA CORP | CIK 0000077551 |
| R APPLE PIE CO | CIK 0000081593 |
| APPLE C CHRIS | CIK 0001166766 |
| APPLE JAMES G | CIK 0001183012 |
| Apple Sun LLC | CIK 0001593426 |

[Search for "apple" in EDGAR filings](#)

SEC.gov | Webpages & Documents

[Search for "apple" in SEC.gov](#)

Public Company Insiders Research - Search SEC.gov

sec.gov/edgar/browse/CIK=320193&owner=exclude

Apps AIP Business Ownership Blog Business Research Census Bureau Citation Style Guides Current Awareness Data - Not Census Other bookmarks Reading list

- February 24, 2021 - 8-K: Current report [Filing](#)
- 5.07 - Submission of Matters to a Vote of Security Holders
- February 18, 2021 - PX1446G: Notice of exempt solicitation submitted by non-management [Filing](#)
- February 16, 2021 - SC 13G/A: Statement of acquisition of beneficial ownership by individuals - amendment [Filing](#)
- February 10, 2021 - SD: Form - SD [Filing](#)
- February 10, 2021 - SC 13G/A: Statement of acquisition of beneficial ownership by individuals - amendment [Filing](#)

[Hide filings](#)

[-] 8-K (current reports)

[-] 10-K (annual reports) and 10-Q (quarterly reports)

[-] Proxy (annual meeting) and information statements

[-] Ownership disclosures

Filings

Exclude insider transactions Search table 2011-04-21

To Date (yyyy-mm-dd) [Clear](#) [Learn about insider transactions](#)

Keywords [Search text in documents](#)

Show columns:

Form type Form description Filing date Reporting date Act Film number File number Accession number Size

[Copy to clipboard](#) [CSV](#) [Excel](#) [Print](#) [RSS feed](#)

| Form type | Form description | Filing date | Reporting date |
|-----------|--|-------------|----------------|
| 8-K | Current report Filing | 2021-02-24 | 2021-02-23 |
| | 5.07 - Submission of Matters to a Vote of Security ... | | |
| PX1446G | Notice of exempt solicitation submitted by non-management Filing | 2021-02-18 | |
| SC 13G/A | Statement of acquisition of beneficial ownership by individuals - amendment Filing | 2021-02-16 | |
| SD | Form - SD Filing | 2021-02-10 | |
| SC 13G/A | Statement of acquisition of beneficial ownership by individuals - amendment Filing | 2021-02-10 | |
| 8-K | Current report Filing | 2021-02-08 | 2021-02-01 |
| | 8.01 - Other Events (The registrant can use this It... | | |

Filings

Exclude insider transactions Search table 2011-04-21

To Date (yyyy-mm-dd) [Clear](#) [Learn about insider transactions](#)

Keywords [Search text in documents](#)

Show columns:

Form type Form description Filing date Reporting date Act Film number File number Accession number Size

[Copy to clipboard](#) [CSV](#) [Excel](#) [Print](#) [RSS feed](#)

| Form type | Form description | Filing date | Reporting date |
|-----------|--|-------------|----------------|
| 8-K | Current report Filing | 2021-02-24 | 2021-02-23 |
| | 5.07 - Submission of Matters to a Vote of Security ... | | |
| PX1446G | Notice of exempt solicitation submitted by non-management Filing | 2021-02-18 | |
| SC 13G/A | Statement of acquisition of beneficial ownership by individuals - amendment Filing | 2021-02-16 | |
| SD | Form - SD Filing | 2021-02-10 | |
| SC 13G/A | Statement of acquisition of beneficial ownership by individuals - amendment Filing | 2021-02-10 | |
| 8-K | Current report Filing | 2021-02-08 | 2021-02-01 |
| | 8.01 - Other Events (The registrant can use this It... | | |

Public Company Insiders Research - Search SEC.gov



U.S. SECURITIES AND
EXCHANGE COMMISSION

[Everything](#) [Litigation](#) [Forms](#) [More](#) ▾

69 results

apple tim cook



[cik-lookup-data.txt](#)

<https://www.sec.gov/Archives/edgar/cik-lookup-data.txt>

ADAMS THOMAS WILSON:0001303764: ADAMS **TIM** M:0001457431: ADAMS TIMOTHY
C:0001314127:...TRUST:0001621894: ADS **APPLE** VALLEY INC:0001281227: ADS **APPLE** ...

[Comments on Rulemaking Petition 4-637](#)

<https://www.sec.gov/comments/4-637/4-637.shtml>

Colleen Kirby Jun. 11, 2015 Suzanne **Cook** May 29, 2015 Nicholas Johnson, Brookline...2014 Peter Brazitis Nov.
27, 2014 Paul **Cook** Nov. 25, 2014 Keith ...

Public Company Insiders Research - EDGAR Company Filing Search

Location: Filings menu (Main Page) > Company Filing Search
(www.sec.gov/edgar/searchedgar/companysearch.html) > More
Options

Advantage: Search by Company or Person Name (Auto Complete)

Disadvantage: Exclude button when searching for person does not
show other forms.

Two Screens Displaying Search Options

EDGAR Search & Access -

<https://www.sec.gov/edgar/search-and-access>

Company Filing Search (Additional link for Boolean Archive Search) -

<https://www.sec.gov/edgar/searchedgar/companysearch.html>

Two Search Screens for Filings - Company Filings Search

| |
|-------------------------------|
| Latest Filings |
| Company Filings |
| Mutual Funds |
| Variable Insurance Products |
| Daily Filings by Type |
| Boolean Archive Search |
| EDGAR Full Text Search |
| CIK Lookup |
| Confidential Treatment Orders |



Company and Person Lookup

How to Use this Search?

Enter name, ticker or CIK into the single search field.

Suggestions as you type link directly to filings.

Guides

How to Research Public Companies

Learn how to quickly research a company's operations and financial information with EDGAR search tools.

Form Types

Review [reference versions of EDGAR forms](#) filed by companies, funds, and individuals.

Investor.gov

Your [online resource](#) to help you make sound investment decisions and avoid fraud.

Search Tools

EDGAR Full Text Search

New versatile tool lets you search for keywords and phrases in over 20 years of EDGAR filings, and filter by date, company, person, filing category or location.

CIK Lookup

Find a company or person EDGAR filings by their SEC Central Index Key (CIK).

Save Your Search

Want to get updates on new filings? [Learn how to save](#)

Public Company Insiders Research - CIK (Central Index Key) Lookup

Purpose: ID Number for companies and people

Note: Search last name and then first name

Location: Filings menu (Main Page) > EDGAR Search & Access/Company Filing Search > CIK Lookup (Left Banner) -

<https://www.sec.gov/edgar/searchedgar/cik.htm>

Advantage: Group all filings by name

Disadvantages:

- Only finds Ownership filings (4, etc.) for people
- Auto complete in SEC.gov and Company Search can now do (fewer access steps)

Public Company Insiders Research - CIK (Central Index Key) Lookup

| |
|-------------------------------|
| EDGAR – Search and Access |
| Latest Filings |
| Company Filings |
| Mutual Funds |
| Variable Insurance Products |
| Daily Filings by Type |
| EDGAR Full Text Search |
| CIK Lookup |
| Confidential Treatment Orders |
| Effectiveness Notices |
| About EDGAR |



EDGAR Company Filings | CIK Lookup

The Central Index Key (CIK) is used on the SEC's computer systems to identify corporations and individual people who have filed disclosure with the SEC.

To find a CIK for a company, fund, or individual type in as much of the company name as you know. For example: "Bank of" would find both "Bank of New York" and "Bank of Boston."

NOTE: The name may be listed differently than expected.

- the (fictitious) "John Smith" might be "Smith John"
- "ABC Company" may well be abbreviated as "ABC CO" (with no period at the end)

Search Tips

- The search will return as many as 100 records that match your keyword(s), but after that it will truncate (cut off) the list. If this happens, it means that you need to be more specific.
Example: If you wanted the CIK for "Putnam Global Growth Fund" and found your search truncated when you searched on "Putnam" then you might try searching on "Putnam Global" instead.

Public Company Insiders Research - CIK (Central Index Key) Lookup

Results of EDGAR CIK Lookup

Your search had 2 hits.

| CIK Code | Company Name |
|----------|--------------|
|----------|--------------|

| | |
|----------------------------|----------------|
| 0001214156 | COOK TIMOTHY D |
| 0001793397 | COOK TIMOTHY M |

[Perform another Company-CIK Lookup.](#)

Generated at 14:19:11 EST on March 10, 2021

Show columns:

Form type Form description Filing date Reporting date Act Film number File number Accession number Size

| Form type | Form description | Filing date | Reporting date |
|-----------|---|-------------|----------------|
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-12-01 | 2020-11-30 |
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| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-08-24 | 2020-08-20 |
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-01-03 | 2020-01-02 |
| 4 | Statement of changes in beneficial ownership of securities Filing | 2020-01-02 | 2019-12-27 |
| 4 | Statement of changes in beneficial ownership of securities Filing | 2019-09-23 | 2019-09-19 |

Public Company Insider's Research - Boolean Archive Search

Location: Filings menu (Main Page) > Company Filings > Boolean Archive Search (Left Banner) - www.sec.gov/cgi-bin/srch-edgar

Advantages:

- Search back to 1994 (useful for searches prior to 2000)
- Quotes, operators, and headers (optional) work for company searches

Disadvantages:

- No Advanced Search with multiple fields to search
- Doesn't search correctly for a person

Public Company Insider's Research - Boolean Archive Search

Search Help - www.sec.gov/edgar/searchedgar/search_help.htm -
Boolean Operators (AND [works only with headers], OR, NOT);
Truncation (Wildcard - *); Order of Operations – Parentheses

Header Information (may not need) - use quotes with; none for
person - www.sec.gov/edgar/searchedgar/edgarzones.htm

Public Company Insider's Research - Boolean Archive Search



Welcome to the archive of historical EDGAR documents. This search allows you to enter complex queries to retrieve all but the most recent day's EDGAR filings (from **1994** through **2020**). If a simple search will suffice or if you need real-time, up-to-the-minute filings, please visit the [main EDGAR Search page](#) for other choices.

EDGAR Search: Enter a [Search String](#) Start: End:
 Search
 (e.g., "health and life") See [Search Help](#)

[SEC Home](#) | [EDGAR Search Home](#)

Your search matched **109** documents.
80 are presented. [RSS Feed](#)

| | | | | | |
|------|---------------------------|---|---------|------------|---------|
| 936 | APPLE INC | [text] [html] | DEF 14A | 01/08/2019 | 5440318 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 12/27/2017 | 5449826 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 01/06/2017 | 5563572 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 01/06/2016 | 2288246 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 01/22/2015 | 1532332 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 01/10/2014 | 1583731 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 01/07/2013 | 1317830 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 01/09/2012 | 1366027 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 01/07/2011 | 1223541 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 01/12/2010 | 1386176 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 01/07/2009 | 857848 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 01/23/2008 | 1098942 |
| 866 | APPLE INC | [text] [html] | DEF 14A | 04/16/2007 | 1401823 |
| 1000 | Apple Inc. | [text] [html] | DEF 14A | 01/03/2020 | 4865788 |

Public Company Insider's Research - Boolean Archive Search

EDGAR Search: Enter a [Search String](#) Start: End:

(e.g., "rule or law") See [Search Help](#)

[SEC Home](#) | [EDGAR Search Home](#)

Your search matched **114** documents.
80 are presented. [RSS Feed](#)

| | | | | |
|---|---|---------|------------|--------|
| 767 APPLE COMPUTER, INC | (text) (html) | DEF 14A | 03/15/2005 | 556794 |
| 767 APPLE COMPUTER, INC | (text) (html) | DEF 14A | 03/11/2004 | 309307 |
| 767 APPLE COMPUTER, INC | (text) (html) | DEF 14A | 03/24/2003 | 517165 |
| 767 APPLE COMPUTER, INC | (text) (html) | DEF 14A | 03/21/2002 | 341805 |
| 767 APPLE COMPUTER, INC | (text) (html) | DEF 14A | 03/12/2001 | 145663 |
| 767 APPLE COMPUTER, INC | (text) (html) | DEF 14A | 03/06/2000 | 135046 |
| 767 APPLE COMPUTER, INC | (text) | DEF 14A | 02/09/1999 | 75448 |
| 767 APPLE COMPUTER, INC | (text) | DEF 14A | 03/16/1998 | 203172 |
| 767 APPLE COMPUTER, INC | (text) | DEF 14A | 12/27/1996 | 174055 |
| 767 APPLE COMPUTER, INC | (text) | DEF 14A | 12/19/1995 | 111287 |
| 767 APPLE COMPUTER, INC | (text) | DEF 14A | 12/12/1994 | 61019 |

Public Company Insider's Research - Boolean Archive Search



Welcome to the archive of historical EDGAR documents. This search allows you to enter complex queries to retrieve all but the most recent day's EDGAR filings (from **1994** through **2021**). If a simple search will suffice or if you need real-time, up-to-the-minute filings, please visit the [main EDGAR Search page](#) for other choices.

EDGAR Search: Enter a [Search String](#) Start: End:
(apple inc. or apple computer) and def 14a Search 2000 2021
(e.g., "company-name = (fund bond)") See [Search Help](#)

[SEC Home](#) | [EDGAR Search Home](#)

Your search matched 22 documents.
22 are presented. [RSS Feed](#)

| No. | Company | Format | Form Type | Filing Date | Size |
|-----|------------------------------------|---|-----------|-------------|---------|
| 875 | APPLE COMPUTER INC | [text] [html] | DEF 14A | 03/13/2006 | 1162088 |
| 875 | APPLE COMPUTER INC | [text] [html] | DEF 14A | 03/15/2005 | 556794 |
| 875 | APPLE COMPUTER INC | [text] [html] | DEF 14A | 03/11/2004 | 309307 |
| 875 | APPLE COMPUTER INC | [text] [html] | DEF 14A | 03/24/2003 | 517165 |
| 875 | APPLE COMPUTER INC | [text] [html] | DEF 14A | 03/21/2002 | 341805 |
| 875 | APPLE COMPUTER INC | [text] [html] | DEF 14A | 03/12/2001 | 145663 |
| 875 | APPLE COMPUTER INC | [text] [html] | DEF 14A | 03/06/2000 | 135046 |
| 965 | APPLE INC | [text] [html] | DEF 14A | 01/08/2019 | 5440318 |
| 889 | APPLE INC | [text] [html] | DEF 14A | 12/27/2017 | 5449826 |

Public Company Insiders Research - EDGAR Full Text Search (NEW Interface)

Location: Filings menu (Main Page) > EDGAR Search Tool/Company Filings Search > EDGAR Full Text Search (Left Banner) > More Search Options - www.sec.gov/edgar/search/ (FAQ page: www.sec.gov/edgar/search/efts-faq.html)

Advantages:

- Can search back 20 years and by specific date ranges
- Browse Filing Types (above Filing Types Search box) – Select category or check specific SEC form(s)
- Search by phrase (""), any search term (OR operator), exclude search term (minus sign/NOT operator) and word stems (Wildcard symbol = *)
- Company Name ... search box - Current company name captures earlier names also

Public Company Insiders Research - EDGAR Full Text Search (NEW Interface)

Disadvantages:

- Searching by name (with auto complete) in ... Individuals Name search box – brings up only stock ownership-related forms
- Searching in **multiple** fields – results order cannot be changed (not Chronological or Reverse Chronological)
- All search terms (AND operator) automatic and not needed in a search
- Results often come back automatically without Search button being pressed

Public Company Insiders Research - EDGAR Full Text Search (NEW Interface)

Check forms that you want to search. Use the category select to narrow the choices.

| | | |
|---------------------------------|---------------------------------|-------------------------------|
| <input type="checkbox"/> 1 | <input type="checkbox"/> 1-A | <input type="checkbox"/> 1-A |
| <input type="checkbox"/> 1-E AD | <input type="checkbox"/> 1-K | <input type="checkbox"/> 1-SA |
| <input type="checkbox"/> 1-Z-W | <input type="checkbox"/> 10-12B | <input type="checkbox"/> 10-1 |
| <input type="checkbox"/> 10-KT | <input type="checkbox"/> 10-Q | <input type="checkbox"/> 10-C |
| <input type="checkbox"/> 13F-HR | <input type="checkbox"/> 13F-NT | <input type="checkbox"/> 13F |
| <input type="checkbox"/> 15-12G | <input type="checkbox"/> 15-15D | <input type="checkbox"/> 15F |
| <input type="checkbox"/> 18-12B | <input type="checkbox"/> 18-K | <input type="checkbox"/> 19B |

View all

- View all
- All annual, quarterly, and current reports
- Insider equity awards, transactions, and ownership (Section 16 Reports)
- Beneficial ownership reports
- Exempt offerings
- Registration statements and prospectuses
- Filing review correspondence
- SEC orders and notices
- Proxy materials
- Tender offers and going private transactions
- Trust indenture filings

Public Company Insiders Research - EDGAR Full Text Search (NEW Interface)

SEC.gov | EDGAR

FAQ Other search tools

Document word or phrase ?
tim* cook

Company name, ticker, CIK number or individual's name
Apple Inc. (AAPL) (CIK 0000320193)

Filing types Browse filing types
DEF 14A cancel

Filed date range
All (since 2001)

Filed from Filed to
2001-01-01 2021-03-13

Principal executive offices in ?
View all

- less search options SEARCH Clear all

Where Else Is Tim Cook a Director?

Other Current Public Company Directorships

NIKE, Inc.

Selected Directorships and Memberships

Board of Directors, The National Football Foundation & College Hall of Fame, Inc.

Board of Trustees, Duke University

Leadership Council, Malala Fund

Source: 2021 Apple Inc. Proxy statement

Tim Cook - Bio - Apple Inc.











Tim Cook, 60, has been Apple's Chief Executive Officer since August 2011 and was previously Apple's Chief Operating Officer since October 2005.

Mr. Cook joined Apple in March 1998 and served as Executive Vice President, Worldwide Sales and Operations from February 2002 to October 2005. From October 2000 to February 2002, Mr. Cook served as Senior Vice President, Worldwide Operations, Sales, Service and Support. From March 1998 to October 2000, Mr. Cook served as Senior Vice President,

Tim Cook – Bio – Nike Inc.

10 NIKE, INC.

TIMOTHY D. COOK, LEAD INDEPENDENT DIRECTOR

| AGE | DIRECTOR SINCE | COMMITTEE | OTHER CURRENT PUBLIC DIRECTORSHIPS | FAVORITE NIKE PRODUCT(S) |
|---|----------------|---|--|--|
| 59 | 2005 | Compensation, Chair | Apple Inc. | Nike Epic React and Nike Flex |
|  | | SKILLS, EXPERIENCES AND QUALIFICATIONS | | |
| | |  FINANCIAL EXPERTISE |  DIGITAL/TECHNOLOGY |  HR/TALENT MANAGEMENT |
| | |  CEO EXPERIENCE |  RETAIL INDUSTRY |  GOVERNANCE |
| | |  INTERNATIONAL | | |

Mr. Cook is the Company's Lead Independent Director and is the Chief Executive Officer of Apple Inc. ("Apple").

- Mr. Cook joined Apple in March 1998 as Senior Vice President of Worldwide Operations and also served as its Executive Vice President, Worldwide Sales and Operations and Chief Operating Officer.
- Mr. Cook was Vice President, Corporate Materials for Compaq Computer Corporation from 1997 to 1998.
- Previous to his work at Compaq, Mr. Cook served in the positions of Senior Vice President Fulfillment and Chief Operating Officer of the Reseller Division at Intelligent Electronics from 1994 to 1997.
- Mr. Cook also worked for International Business Machines Corporation from 1983 to 1994, most recently as Director of North American Fulfillment.

Mr. Cook is a member of the Board of Directors of Apple. In addition to this public company board service, he is also a member of the Board of Directors of the National Football Foundation and Duke University Board of Trustees.

Tim Cook – Bios Comparison

| | Apple Inc. | Nike Inc. |
|------------------------------|------------|-----------|
| Photo | Yes | Yes |
| Age | Yes | Yes |
| Year Started on Board | Yes | Yes |
| Education | No | No |
| Employment | Yes | Yes |
| Other Board Memberships | Yes | Yes |
| Historical Board Memberships | No | No |

Suggested Research Procedure - Steps

#1 - Use **Search SEC.GOV Search/Company Filings Search/CIK Lookup** to find all **equity Ownership Change forms (3,4,5, 13 group, etc.)** donor.

#2 - Use **EDGAR Full-Text Search – More Search Options** to search name [may need to try “last name first name” (with or without wild card symbol) or just “last name”] in **Document Word ...** field and **DEF 14A** in **Browse Filing Types** link back to 2000 for **compensation, length of board service, other company and nonprofit board affiliations, employment, etc.** OR substitute company in **Company Name ...** field and search for last name in form.

Suggested Research Procedure - Steps - Continued

#3 - Use **Boolean Archive Search** for company files >20 years old back to 1994.

Public Company Insiders Research – Forms Sources

Filings and Forms - <https://www.sec.gov/edgar.shtml>

Using EDGAR to Research Investments -
<https://www.sec.gov/oiea/Article/edgarguide.html>

Public Company Insiders Research – Final Thoughts

Major Weaknesses:

- CIK Search (basis for Auto Complete in other search options)
 - only pulls up equity ownership forms (not DEF 14a)
- Repetition of incomplete search results for individuals between search options, except EDGAR Full Text-Search
- Full text Search results for multiple fields based on relevancy (dates out of order)

Public Company Insiders Research – Final Thoughts

Major Strengths

- Auto Complete eliminates need to use CIK Lookup
- EDGAR Full Text Search goes back 20 years (formerly 4 years)
- Entering individual's name in EDGAR Advanced Full Text Search in Document Word ... search box - captures more than stock ownership holdings (only interfaces that does)
- EDGAR Full Text Search targeted form(s) search

Other Free Resources of SEC Insiders Data

Strengths:

- Easier searching by person's name
- Better sorting capabilities by category or result listing options
- Additional Form formats such as Word, Excel, PDF, etc.

Weaknesses:

- Registration (may cost now or future)
- Licensing/copyright restrictions
- Only certain Form formats found in free version

Due Diligence Research - SEC Enforcement

Location: Enforcement Menu (Main Page)

- **Litigation Releases** (Civil Lawsuits in Federal Court) - www.sec.gov/litigation/litreleases.shtml
- **Administrative Hearings** (Institution or Settlement; some closed or personal names redacted) - www.sec.gov/litigation/admin.shtml
- **Trading Suspensions** (halt trading for 10 days in public interest or to protect investors) - www.sec.gov/litigation/suspensions.shtml

Due Diligence Research - SEC Enforcement

Strengths:

- Time coverage: 1995-2021 (26 years)
- Original cases with linked history
- RSS Feed – automatic updates

Weakness: Can now search 2020 and 2021 but earlier years must browse to year link – Browse by year and use Cntrl + F on last name or company name

Due Diligence Research - SEC Enforcement

ENFORCEMENT

- Accounting and Auditing Enforcement Releases
- Administrative Proceedings
- ALJ Initial Decisions
- ALJ Orders
- Amicus / Friend of the Court Briefs
- Delinquent Filings
- Fair Funds
- Information for Harmed Investors
- Litigation Releases
- Opinions and Adjudicatory Orders
- Receiverships
- Stop Orders
- Trading Suspensions

Litigation Releases

The list below provides links to litigation releases concerning civil lawsuits brought by the Commission in federal court.

[First Quarter](#)

Additional Archives

2021 | 2020 | 2019 | 2018 | 2017 | 2016 | 2015 | 2014 | 2013 | 2012 | 2011 | 2010 | 2009 | 2008 | 2007 | 2006 | 2005 | 2004 | 2003 | 2002 | 2001 | 2000 | 1999 | 1998 | 1997 | 1996 | 1995

XML [SEC Litigation Releases RSS Feed](#)

(Search any column) [Reset Search](#) [Reset Sort](#)

| Release No. | Date | Respondents |
|----------------------|---------------|--|
| First Quarter | | |
| LR-25056 | Mar. 19, 2021 | Jessica Richman and Zachary Apte See also: SEC Complaint |
| LR-25055 | Mar. 19, 2021 | Chatfield PCS Ltd. et al. See also: SEC Complaint |
| LR-25054 | Mar. 19, 2021 | Seth P. Levine See also: SEC Complaint |

Quick Links

- [Litigated AP Case Materials \(Open\)](#)
- [Litigated AP Case Materials \(Closed\)](#)

- Fair Funds
- Information for Harmed Investors
- Litigation Releases
- Opinions and Adjudicatory Orders
- Receiverships
- Stop Orders
- Trading Suspensions

XML [SEC Litigation Releases RSS Feed](#)

(Search any column) [Reset Search](#) [Reset Sort](#)

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| LR-25056 | Mar. 19, 2021 | Jessica Richman and Zachary Apte See also: SEC Complaint |
| LR-25055 | Mar. 19, 2021 | Chatfield PCS Ltd. et al. See also: SEC Complaint |
| LR-25054 | Mar. 19, 2021 | Seth P. Levine See also: SEC Complaint |
| LR-25053 | Mar. 17, 2021 | Chris A. Dantin, and Christopher D. Dantin, David P. Ortiz, Andrew L. White See also: SEC Complaint - Dantin ; SEC Complaint - Ortiz ; SEC Complaint - White |
| LR-25052 | Mar. 17, 2021 | Andrew L. Fassari See also: SEC Complaint |
| LR-25051 | Mar. 12, 2021 | APEG Energy, GP, Paul W. Haarman and Patrick E. Duke See also: SEC Complaint |
| LR-25050 | Mar. 11, 2021 | Kevin R. Kuhnash and Jason P. Jimerson |
| LR-25049 | Mar. 12, 2021 | Shamoon Omer Rafiq, a/k/a Shamoon Rafiq, Omer Rafiq, and Omar Rafiq |

Ways to Search SEC.gov – Investment Professionals

SEC Action Lookup

Investment Adviser Public Disclosure (Individual and Company)

Note: Some data from FINRA and NASAA sites – www.adviserinfo.sec.gov/resources

Investment Professionals Research - SEC Action Lookup

Location: Education menu (Main Page) > Check Your Financial Professional > SEC Action Lookup -

www.sec.gov/litigations/sec-action-look-up

Note: See www.sec.gov/sec-action-lookup-information

Investment Professionals Research - SEC Action Lookup

Advantages:

- Covers any “SEC federal court actions or administrative proceedings” against
- Back to 1995 (Administrative Proceedings) and 1998 (Federal Court Actions)

Disadvantages:

- Can ONLY search by Last Name (and First Name)
- Current through Feb. 21, 2021 (Can lag several months)
- ONLY completed cases
- State charged in may differ from state residence

Investment Professionals Research SEC Action Lookup

SEC Action Lookup - Individuals



Individuals with Court or Commission Orders Entered Against Them

| | | |
|------------------------------------|----------------------|--------|
| Last Name (required) | First Name | SEARCH |
| <input type="text" value="jones"/> | <input type="text"/> | |

ANTHONY TYRONE JONES JR

Current Age: 48 - 50
State: Florida (per Complaint/Order Instituting Proceedings)
Enforcement Action: In the Matter of Anthony Tyrone Jones, Jr., SEC File No. 3-17395
Date Filed: Aug. 16, 2016
Releases & Documents: [3-17395](#)

Investment Professionals Research SEC Action Lookup

Administrative Proceeding File No. 3-17395

Respondents:

Jones, Anthony Tyrone Jr.

Documents

| Release Date | Release Number | Other Release Numbers | Name of Document |
|---------------|----------------|-----------------------|--|
| Aug. 16, 2016 | IA-4488 | | Order Instituting Administrative Proceedings Pursuant to Section 203(f) of the Investment Advisers Act of 1940 and Notice of Hearing |
| Aug. 18, 2016 | AP-4075 | | Order Scheduling Hearing and Designating Presiding Judge |
| Aug. 31, 2016 | AP-4106 | | Postponement Order |
| Sep. 16, 2016 | AP-4156 | | Order |
| Sep. 30, 2016 | AP-4215 | | Order |
| Nov. 16, 2016 | AP-4356 | | Order to Show Cause |
| Dec. 12, 2016 | ID-1088 | | Initial Decision Making Findings and Imposing Sanction by Default |
| Jan. 27, 2017 | IA-4628 | | Notice That Initial Decision Has Become Final |

Investment Professionals Research - Investment Adviser Public Disclosure (IAPD)

Location: Education menu (Main Page) > Check Your Financial Professional > Investment Adviser Public Disclosure - www.adviserinfo.sec.gov (See also Learn More about IAPD)

Advantages (Useful for PE and VC people/firms also)

- Search by Individual - Employment History (in field) and Other Business Activities (sometimes)
- Search by Company (100M+ AUM) - Form ADV (Section 5 – Assets and Schedule A - Ownership %)

Investment Professionals Research - Investment Adviser Public Disclosure

Investment Adviser Public Disclosure

Investment Adviser Search

Investment Adviser Data

Resources

Welcome to the Investment Adviser Public Disclosure website

INDIVIDUAL FIRM

Individual Name/CRD# at Firm Name or CRD/SEC# (optional) in City, State or ZIP (optional) SEARCH

All official Website of the United States Government

SECURITIES AND EXCHANGE COMMISSION SECURITIES DIVISION

Investment Adviser Public Disclosure

Investment Adviser Search

Investment Adviser Data

Resources

Welcome to the Investment Adviser Public Disclosure website

INDIVIDUAL FIRM

Firm Name or CRD/SEC# (optional) in City, State or ZIP (optional) SEARCH

For a complete compilation of Investment Adviser Firms currently registered with the SEC and states securities regulators, download the [Investment Adviser Data](#).

SECURITIES AND EXCHANGE COMMISSION SECURITIES DIVISION

Investment Professionals Research Investment Adviser Public Disclosure



Investment Professionals Research

Investment Adviser Public Disclosure

| Previous Registration(s) | | | |
|--------------------------|-------------------------|---|-----------------|
| | | Name | Location |
| IA | 11/20/2007 - 05/11/2020 | SAGEPOINT FINANCIAL, INC. (CRD#:133763) | MADISON, NJ |
| B | 11/20/2007 - 05/11/2020 | SAGEPOINT FINANCIAL, INC. (CRD#:133763) | MADISON, NJ |
| IA | 01/28/2004 - 11/27/2007 | A. G. EDWARDS & SONS, INC. (CRD#:4) | SHORT HILLS, NJ |
| B | 01/28/2004 - 11/27/2007 | A. G. EDWARDS & SONS, INC. (CRD#:4) | SHORT HILLS, NJ |
| IA | 08/07/2002 - 01/13/2004 | MORGAN STANLEY (CRD#:7556) | FAIRFIELD, NJ |
| B | 07/01/2002 - 01/13/2004 | MORGAN STANLEY DW INC. (CRD#:7556) | PURCHASE, NY |
| B | 10/10/2000 - 10/16/2001 | CREDIT SUISSE FIRST BOSTON CORPORATION (CRD#:816) | NEW YORK, NY |
| B | 04/19/1983 - 10/10/2000 | DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION (CRD#:7560) | JERSEY CITY, NJ |

For additional information about investment advisers or broker-dealers, please visit www.investor.gov

Investment Professionals Research Investment Adviser Public Disclosure

| |
|---|
| Item 5 Information About Your Advisory Business |
| Item 6 Other Business Activities |
| Item 7.A Financial Industry Affiliations |
| Item 7.B Private Fund Reporting |
| Item 8 Participation or Interest in Client Transactions |
| Item 9 Custody |
| Item 10 Control Persons |
| Item 11 Disclosure Information |
| Item 12 Small Businesses |

| |
|---------------------------------|
| PART 1B |
| Item 1 - State Registration |
| Item 2 - Additional Information |
| SCHEDULES |
| Schedule A |
| Schedule B |
| Schedule D |
| Schedule R |
| DRPs |
| Signature Page |

ADV Form – Calculate Compensation

- Item 5 – Assets Under Management
- Schedule A – Ownership Percentage

Investment Professionals Research Investment Adviser Public Disclosure

Assets

Item 5 Information About Your Advisory Business - Regulatory Assets Under Management

Regulatory Assets Under Management

Yes No

F. (1) Do you provide continuous and regular supervisory or management services to securities portfolios?

(2) If yes, what is the amount of your regulatory assets under management and total number of accounts?

| | U.S. Dollar Amount | Total Number of Accounts |
|--------------------|--------------------|--------------------------|
| Discretionary: | (a) \$ 840,488,525 | (d) 432 |
| Non-Discretionary: | (b) \$ 8,790,706 | (e) 5 |
| Total: | (c) \$ 849,279,231 | (f) 437 |

Ownership %

6. Ownership codes are: NA - less than 5% B - 10% but less than 25% D - 50% but less than 75%
A - 5% but less than 10% C - 25% but less than 50% E - 75% or more

7. (a) In the *Control Person* column, enter "Yes" if the person has control as defined in the Glossary of Terms to Form ADV, and enter "No" if the person does not have control. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are control persons.
(b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.
(c) Complete each column.

| FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name) | DE/FE/I | Title or Status | Date Title or Status Acquired MM/YYYY | Ownership Code | Control Person | PR | CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No. |
|---|---------|--|---------------------------------------|----------------|----------------|----|---|
| [REDACTED] | I | MANAGING MEMBER AND CHIEF INVESTMENT OFFICER | 12/2005 | D | Y | N | 5069626 |
| [REDACTED] | I | MEMBER | 01/2007 | NA | N | N | 2163189 |
| [REDACTED] | I | MEMBER | 01/2007 | B | N | N | 5310096 |
| [REDACTED] | I | MEMBER | 04/2014 | A | N | N | 6360130 |
| [REDACTED] | I | CHIEF COMPLIANCE OFFICER | 01/2016 | NA | N | N | 6599176 |

Final Thoughts

- SEC.gov useful beyond just public company insiders
- SEC.gov useful for more than compensation (biographical and due diligence)
- Proxy Statements biographical information importance for prospect research on compensation, employment, education, board work, volunteer activities, etc.
- CIK Lookup importance (along with Auto Complete) - finding ALL equity ownership changes for a prospect
- Other free resources usefulness for research and verification (search ease, formats, etc.)

Thank You!

Roger Magnus

Roger Magnus Research

+++++

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Protopage: protopage.com/roger_magnus