

Tips and Tricks to Search Sec.gov website for the Prospect Researcher

Resources List

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SEC Form Explanations

- Descriptions - <https://www.sec.gov/info/edgar/forms/edgform.pdf>
- Form ADV - <https://www.sec.gov/fast-answers/answersformadvhtm.html>
- Forms List - <https://www.sec.gov/forms> (Searchable)
- Forms 3-4-5 - <https://www.sec.gov/investor/alerts/forms-3-4-5.pdf>
- Using EDGAR to Research Investments
<https://www.sec.gov/oiea/Article/edgarguide.html> – (Scroll down to form types and broken down by categories.)

Free Sources of SEC Data (There are others.)

- EDGAR PRO - <http://pro.edgar-online.com/expandedsearch.aspx> - Can only access list of filings without registering (appears to cost).
- SEC Form 4 - <https://www.secform4.com/> - Can search 16 years back for Form 4 and categorizes by Common Stock Sales/Purchases and Stock Options.
- SEC GEMS - <https://secgems.com/> - Can search by name, limit by date (back to 1995) and form, and sort by date or relevance. XML format only for newer filings. Can retrieve extra hits for name with no way to change and has strict non-commercial use license. Premium version also.