

SeekEdgarSM

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Please Note: We recommend you to use one of the following web browsers: [Safari](#), [MS Explorer](#), or [Google Chrome](#). Firefox does not wrap up the text in the display window.

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Introduces

SeekîNFSM

Anytime, Anywhere, ...

SEC Filings and PCAOB Reports
at your finger tips in seconds

For a quick introduction, watch this 6 minutes video at
<https://www.youtube.com/watch?v=wR3TqoQpYQk&feature=youtu.be>

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SEC filings at your fingertips in seconds with SeekiNF

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Search SEC Filings for financial and non-financial information such as board members, executive compensation, audit committee, compensation committee, etc. in seconds through SeekiNF, a cloud technology by SeekEdgar.

CONGRATULATIONS

to the authors of publications as [listed here](#) that have used data from SeekEdgar.

2017, *Journal Accounting & Economics. The Real Effects of Mandated Information on Social Responsibility in Financial Reports: Evidence from Mine-Safety Records* by Hans Christensen, University of Chicago; Eric Floyd, University of California San Diego; and Lisa Yao Liu, University of Chicago; and Mark G. Maffett, University of Chicago.

Webinar on how to setup search criteria in SeekiNF, two slots, every Wednesday.

[Register HERE](#) for the webinar

SeekiNF



SeekiNF Search Engine to Extract Knowledge from Industry Filings is a cloud-based technology that provides searchable interface within different levels of resolutions in SEC filings. SeekiNF allows users to search for financial and non-financial information based on user specified search strings from the various SEC filings and PCAOB Inspection Reports from 1994-2019 with daily updates. It has around 17 million SEC filings and 33 million documents in its database spread over 24 years. SeekiNF provides tremendous opportunities for gathering information related to accounting, finance, marketing, tax, law, etc. to conduct research and develop various risk assessment models including financial risk and fraud risk using financial and non-financial information. In short, **SeekiNF is a Complete System, Second to None with its own Database and Incredible Search Engine.**

FRAANK



FRAANK allows users to get financial statements, especially Balance Sheet, Income Statements, and Cash Flow Statements, of public companies filed with the SEC. These statements are made available in Excel Spreadsheet format.

Also, FRAANK lets users download non-financial information from 10K and 10Q filings, such as: Audit Report, Summary of Audit Report - auditee, auditor, type of opinion, place and date of audit, and dumps into Excel Spreadsheet, SOX 404 Management and Audit Reports, Footnotes, Items, and MD&A, Signature - obtains names of people who signed 10K with their titles.

2021-2022 Subscribers

1. Australian National University
2. Bentley University, Boston
3. Brock University, Canada
- 4. City University of Hong Kong**
5. Florida Atlantic University
6. Fordham University, USA
- 7. IIM-Ahmedabad, India**
- 8. IIM-Kozhikode, India**
- 9. IIM –Visakhapatnam, India**
10. Louisiana Tech University, USA
11. Macquarie University, Sydney
12. McMaster University, Canada
13. National University of Singapore
- 14. National Central University, Taiwan**
15. New Mexico State University
16. Queen Mary University of London
17. Rutgers University – Newark
18. University of Alabama – Huntsville
19. University of Arkansas
20. University of Calgary, Canada
- 21. University of Chicago**
22. University of Illinois-Chicago
23. University of Louisville
24. University of Kansas
25. University of Nebraska - Lincoln
26. University of New Mexico
27. University of Queensland-AU
28. University of Southern California
- 29. University of Sydney, AU**
30. University of Texas-San Antonio
- 31. Univ. of Waterloo, Canada**
32. Villanova University
- 33. Washington Univ., St. Louis**
- 34. Yale University**



Unique Databases Available

Corporate Governance Related databases:

- 1. CEO is Chairman of the BOD** for 1994-2021.
- 2. No Financial Expertise in BOD** for 1994-2021.
- 3. Number of Audit Committee Meetings** for 1994-2021.
- 4. Number of Board of Directors Meetings** for 1994-2021.
- 5. Number of Risk Committee Meetings** for 1994-2021.

Other Databases:

- 6. Compensation and Executive Bio** from DEF 14A for 2003-2021.
- 7. Compensation and Executive Bio** from Form 424Bs, 2003-2021.
- 8. Public Float Value** from Annual Reports, 1994-2021.
- 9. Accounting and Finance Executives who Signed 10Ks**
- 10. Subsidiaries database** by year and country (1994-2021).
- 11. Conference calls** (who said what?), 1994-2020, from SEC Filings.



Unique Databases Available

12. **Company specific information** for the years 1994-2018 from 10Ks such as: CIK, Company Name, Business Address, Mailing Address, Filing Date, Date Accepted, Period of Report, IRS No., State of Incorporation, Fiscal Year End.
13. **File Analyses for all 10Ks and 10Qs for 25 years (1994-2018)**: Word Count, Word Count without Numeric, Total Number of Sentences, and six readability indices.
14. **Six Risk Sentiments** (Financial Risk, Litigation Risk, Tax Risk, Idiosyncratic, and others) based on Item 1A of 10K, for 2004-2021.
15. **Database based on Forms 3, and 4.**
16. **Competition Metrics** for all companies based on 10K Filings (1994-2020).
17. **Companies with Going Concern Opinion, 1994-2020**



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SEC Filings & PCAOB Reports

at

Your Fingertips

in Seconds



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Access SeekiNF using

- iPad
- Smart Phone
 - Laptop
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20 million Filings

and

37 million Documents

(1994-2023)

Daily Updated



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A Complete System! **Second to
None!!**

With its own Database

&

Incredible Search Engine.

You have to try it to believe it!



Anytime, Anywhere, at Your Fingertips!

Search All Filings by

- Paragraphs (All)
- Tables & Footnotes
 - Audit Reports
- SOX 404 Reports
 - MD&A



Anytime, Anywhere, at Your Fingertips!

Search All Filings by

- **CIK Codes**
- **SIC Codes**
- **Ticker Symbols**



Anytime, Anywhere, at Your Fingertips!

Search by

- One Company
- Multiple Companies
 - All Companies
 - One Filing
 - All Filings



Unique Search Features

1. Boolean Logic (use + for AND, | for OR, - for Negation)
 - ◆ Multiple Exact phrases (**with stop words**)
 - ◆ With all of the phrases/words (**use A + B + C**)
 - ◆ With at least one of the phrases/words (**use A | B | C**)
 - ◆ Without certain phrases/words (**A - B, with A but not B**)
- Examples (**No hyphen, instead use space, e.g., risk-free as risk free**)
- **We do not have a qualified financial expert** serving on our board of directors | We do not have an audit committee financial expert serving on our Board of Directors | No member of our Board of Directors qualifies as an audit committee financial expert in Exact Phrase, Paragraph, 2 minutes got 309 hits.
- **futures + options + swaps + hedging**, Paragraph, in 10K
- (block chain | blockchain | distributed ledger), paragraph, in 10K

----- Original message -----

From: "Kieschnick, Robert" <rkiesch@utdallas.edu>

Date: 07/26/2013 8:28 PM (GMT-06:00)

To: "Srivastava, Rajendra P." <rsrivastava@ku.edu>

Cc: "Radhakrishnan, Suresh" <sradhokr@utdallas.edu>

Subject: RE: trial version of FRAANK and SEEK-INF

Hi Raj,

Thank you for those examples. Actually I did a search with four key words (futures, options, swaps, hedging) for 2001 to 2002 and was very impressed as I read through the extracts of what the search turned up. I have a colleague that spent a year with 2 colleagues at UT@Austin trying to produce this type of information. Further, I plan to show two other colleagues that are trying to search for certain types of contracts. So, I can clearly see this system's potential.

However, I did not see how to save the search list nor the extracts and those are some of the things that I wanted to ask about when we talk. Moreover, I was not clear if it was possible to submit a list of specific firm reports to search. Hopefully we can discuss these questions. I have a meeting with my Dean in the morning, so would you have time around 2pm CST on Monday?

Thank you for your time,

Robert



Unique Search Features

2. **Wild Card Search** (works only with all of the words feature, **Example: Risk***)
3. **Proximity Search** (two or more words within few words)
 - **Compensation data** (**Bonus Salary**, within 2 words, table, DEF 14A)
 - **Executive bios** (**Name age** within 2 words, table in DEF 14A)
 - **Who signed 10Ks**, etc. (**title signature** within 4 words, table, 10Ks)
 - **Who invests where** (**Uber Preferred** within 10 words in Table, All)
 - **Infosys shares value** within 300 words in Table in N-CSR and NQ (Institutional investors)
 - Who all institutional investors have invested in General Motors, Exact Phrase: **General Motors**, Proximity: **shares value** within 2 words, Table, N-CSR and N-Q.

Unique Search Features

(Not Available from any Data Provider)

4. Display (few words before & after a phrase)

- Coronavirus
- Fiscal Year End from 10K (0, 1)
- STATE OF INCORPORATION, 10K (0, 1)
- Accession Number, 10K (1, 0)
- Business addresses, 10K (0, 22)
- **audit committee met** in DEF 14A (0, 1, try 0, 5)

Obtain Any Financial and Non-Financial Data

- Non GAAP Income
- Off Balance Sheet Items
- Air Traffic Liability
- Fuel Hedge Contracts
- Advertising expenses
- Marketing expense
- Off Balance Sheet items
- R&D Tax Credits (use R D Tax Credits | Research and Development Tax Credits) or .. Credit
- Executive Compensation Tables

Additional Information One Can Obtain through **Free Custom Service**

- **Any financial and non-financial information** from specific lines, paragraphs, tables, specific footnotes, specific Items, MD&As, Audit Reports, SOX 404 Reports, from 10Ks, 10Qs, 8Ks, Conference Calls, Exhibits, etc.
- Information related to “**Critical Audit Matters**” from Audit Reports, and “**Critical Accounting Policies**” from MD&A, and many other specific pieces of information from various documents.
- **Perform almost all the textual analyses** and calculate risk sentiments for all the filings specific to lines, paragraphs, MD&As, specific footnotes, specific items, conference call, etc.

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Video Links

Intro by Dr. Raj Srivastava: https://www.youtube.com/watch?time_continue=35&v=wR3TqoQpYQk

- ❖ **Example 1** (<https://youtu.be/AzPJBZGVjsA>, 3:59 min) - **Search for documents containing certain key words:** Suppose you want to get all 10Ks containing the following words: **futures, options, swaps, and hedging** for the years 1994-2015. Follow these steps. **Step 1:** Type the words separated by a space: **futures options swaps hedging** in the slot “With all of the words”. **Step 2:** leave the default choice “All” and select the desired time frame 1994-2015. **Step 3:** Paragraph (All). **Step 4:** Select all 10Ks. **Step 5:** Click on Submit button.
- ❖ In **few seconds, 17,647 10Ks** are obtained. The middle panel displays paragraphs containing the key words highlighted in yellow. The total word count with/without numbers, and total sentence count in the document are displayed on the right hand side for the company highlighted on the left. Click on the next company on the left hand side to get the total word count for this company. Frequency distribution of all the words can be downloaded in Excel by selecting “Download Distribution” on the right top corner of the display window. One can download all the snippets displayed in the middle by submitting a “Request Form” as described in **Example 4**.

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Video Links

- ❖ **Example 2** (<https://youtu.be/Qt7x-t-Kz1o>, 2:14 min) - **Presence and absence of phrases:** This video shows how to search for the presence and absence of certain phrases in filings/documents. For example, you can obtain all the DEF 14A and DEFA 14A by typing the following phrases: Bonus plans -Stock options -Equity incentives (+ for presence and – for absence) in the “With the exact phrase” slot in **Step 1**.
- ❖ **Examples 3 & 4** (<https://youtu.be/n9r57pNN4iU>, 4:17 min) - **Presence of Multiple Phrases:** **Example 3** deals with finding companies that received a going concern opinion (GCO) from their auditors. You can obtain easily by typing the following phrases in the “With the exact phrase” slot: (In my opinion | In our opinion) + (substantial doubt about| substantial doubts about | substantial doubts regarding | substantial doubt regarding) + going concern (+ for ‘AND’ logic, | for “OR” logic). Also, type the words, opinion concern, in the Proximity Search slot with 500 words apart. Please see the newsletter at https://www.seekedgar.com:8443/News_Brief_May_2016.pdf more details. **Example 4** deals with searching for documents containing the exact phrases like “We may never become profitable | We May Never Achieve or Sustain Profitability | we may never achieve or maintain profitability | We may never be profitable”. You can obtain this list in no time by typing in the above phrases in the exact phrase slot.

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Video Links

- ❖ **Example 5** (<https://youtu.be/PuMnJ5MLaH8>, 6:53 min) - **Proximity Search and download results: Example 5(a)** shows how to get **executive compensation** tables from DEF 14A for all the companies or a set of companies for all the years or for few years. Just type “**salary bonus**” without quotes in the “**Proximity Search**” in Step 1, select “All” in Step 2, select “Table” in Step 3, select DEF 14A in Step 4, and submit. You will get the result in a matter of seconds. In order to download all the data in Excel submit a **Request Form** as described in the video and also in the newsletter https://www.seekedgar.com:8443/News_Brief_May_2016.pdf. **Example 5(b)** shows how to obtain **executive bios**, similar to the above example by using “name age” without quotes within two words.
- ❖ **Example 6** (<https://youtu.be/frPklXdlkr4>, 1:53 min) - **Display few words before and few words after a phrase and download results:** This feature provides a powerful tool to users to find information given few words before and few words after a phrase documents/filings. **Example 6(a)** describes how to obtain Business addresses from 10Ks by selecting 0 words before and 21 words after the phrase **Business Address**. **Example 6(b)** shows how using the phrase **Fiscal Year End** with 0 word before and 1 word after one can get the fiscal yearend information. One can download the entire data by submitting a Request Form as described in **Example 5**.

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Video Links

- ❖ **Examples 7** (<https://youtu.be/L9lRrc5BWGI>, 2:41 min) - Count multiple phrases and words and download results.
- ❖ **Examples 8** (<https://youtu.be/sHlw1iB19ho>, 2:28 min) - Proximity Counter with/without Order and download results: Example 8 shows how one can use the Power Features of Seek iNF to compute PCTCOMP, a measure of competition, in a matter of no time. This measure was developed by Li, Lundholm, and Minnis in "A Measure of Competition Based on 10-K Filings., in *Journal of (Accounting Research)*, Vol. 51 No. 2 May 2013, pp: 399-436). See the newsletter for more details given at: https://www.seekedgar.com:8443/News_Brief_May_2016.pdf
- ❖ **Examples 9** (<https://youtu.be/dNy4-raxHto>, 2:52 min) - Unique line item from 10K or 10Q: Example 9 describes how to get unique financial information from 10K such as Air Traffic Liability.
- ❖ **Examples 10** (<https://youtu.be/fRZe52CE72U>, 1:18 min) - **Searching through the Subsidiary Database:** This video shows how to use the search engine for the subsidiary database.
- ❖ **General Comments:** You can use various features of SeekiNF to find the data you need. If you need our help in structuring the search criteria, please let us know. We can provide our help to get the data you want. If we don't have certain filings then let us know. We can add them within no time.

SeekiNFSM

Here are some highlights of SeekiNF

- 1. Boolean Logic:** Search for information and documents using Boolean logic with multiple words and phrases containing words like 'a', 'in', 'if', 'no', 'of', 'to', etc. This feature is very important for obtaining data that is not available from any other source. For example, you can get all the companies that have mentioned "**We do not have a qualified financial expert serving on our board of directors**" in a matter of seconds. Please do not use hyphenated words. In place of a hyphen use a space, e.g., use Risk Free for Risk-free.
- 2. Proximity Search two or more words** within any number of words. This feature can get you **compensation data, executive bios, who all have signed the 10K**, etc., in matter of seconds. Download results in Excel file. Basically, you can find any table from all the filings, provided you structure the search that is unique to that table. For example, for compensation table **salary and bonus** within two words is unique to such tables. [See Examples 5 & 6 in this document.](#)
- 3. Display few words before & few words after a phrase** (containing words like a, in, it, of, etc.)/word. This feature is again very unique and can provide data that cannot be obtained from any other source. [See Example 7.](#)

SeekiNFSM

Here are some highlights of SeekiNF

- 4. Counters:** We have built-in counters for words, sentences, and multiple phrases with words including articles, preposition, and small words such as 'a', 'an', 'it', 'in', 'of', 'for', etc.
- 5. Proximity Counter** with order or no order, two words within few words. This feature allows you to develop models similar to Prof. Mike Minnis model in JAR for measuring competition. See Example 9.
- 6. Built in Cosine Similarity and vector similarity** measures, **Word Variation** year-to-year, and **Readability Metrics** (Six readability indices). These features are available for all the SEC filings and PCAOB Reports. These features are very important for assessing fraud risk and other types of risk. See Examples 12, 13, & 14.
- 7. Built-in Risk Sentiment (RS) Metrics** based on Feng Li (https://papers.ssrn.com/sol3/papers.cfm?abstract_id=898181) and Campbell et al. models (<https://link.springer.com/article/10.1007/s11142-013-9258-3>): Financial, Litigation, Tax, Systematic, Idiosyncratic, and Overall risks. These metrics are very useful in building fraud risk other risk assessment models such as financial risk, litigation risk, and tax risk. See Example 16 for details.

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Here are some highlights of SeekiNF

8. **Download Results** of all your searches including tables, and snippets in Excel and HTML documents using [Request Form](#). See Example 5 for details.
9. **Perform Textual Analysis** on all SEC Filings and PCAOB Reports with the built-in features without any programming skills and download the output in Excel. Also, we do custom service to perform any sentiments analysis with your list of words.
10. **Obtain unique financial information** such as [Air Traffic Liability](#), [Off Balance Sheet items](#), [Fuel Hedge Contracts](#), for all companies for all years (1994- 2018) in matter of seconds.
11. **Extract any number, financial or non-financial, mentioned in a line in Excel** such as number of board meetings, active patents, etc. See Example 15.

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Here are some highlights of SeekiNF

- 12. Search by different resolution** (paragraph, table, footnote, SOX 404 report, Audit Report, MD&A) and by specific industry.
- 13. Special Note:** Get all the documents of a specific type by typing “**a | the | of**” without the quotes in “**With the exact phrase**”. In addition, you can search separately **Press Releases, Conference Calls, Shareholders Letters, Exhibits 10 and 95, and Items 1A.**

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SEC Filings in our Database, 1994-2023, Daily Updated

List of SEC Filings and Description

(Please [CLICK HERE](#) for SEC site link)

Category	File Type Or Exhibit Type	Description
Annual Reports	10-K, 10-K/A	Annual report pursuant to Section 13 and 15(d), and amendment
Annual Reports	10-KT, 10-KT/A	Annual - Transition report pursuant to Rule 13a-10 or 15d-10, and amendment
Annual Reports	10-K405, 10-K405/A	Annual Reports - Reg. S-K Item 405, and amendment
Annual Reports	10KT405, 10KT405/A	Annual-Transition Reports - Reg. S-K Item 405, and amendment
Annual Reports	10KSB, 10KSB/A	Annual Reports by Small Businesses, and amendment
Annual Reports	10KSB40, 10KSB40/A	Annual Reports by Small Businesses - Reg. S-B Item 405, and amendment
Quarterly Reports	10-Q, 10-Q/A	Quarterly report pursuant to Section 13 or 15(d) and amendment
Quarterly Reports	10-QT, 10-QT/A	Quarterly -Transition report pursuant to Rule 13a-10 or 15d-10 and amendment
Quarterly Reports	10QSB, 10QSB/A	Quarterly Reports by Small Businesses and amendment
Current Reports	8-K, 8-K/A	Current report filing (Disclosure of significant economic events), and amendment
Current Reports	6-K, 6-K/A	Current report of foreign issuer pursuant to Rules 13a-16 and 15d-16, and amendment
Foreign Annual Reports	20-F, 20-F/A	Annual and transition report of foreign private issuers pursuant to Section 13 or 15(d), and amendment
Foreign Annual Reports	40-F, 40-F/A	Annual reports filed by certain Canadian issuers pursuant to Section 15(d) and Rule 15d-4, and amendment
Proxies	DEF 14A	Definitive proxy statements
Proxies	DEFA14A	Definitive additional proxy soliciting materials including Rule 14(a)(12) material <u>Note</u> : Submission type DEFA14A can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms
Proxies	DEFM14A	Definitive proxy statement relating to a merger, acquisition, or disposition
Proxies	DEFM14C	Definitive information statement relating to merger or acquisition

SEC Filings in our Database, 1994-2023, Daily Updated (continued)

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Registrations	S-1, S-1/A	General form of registration statement for all companies including face-amount certificate companies, and amendment
Registrations	S-4, S-4/A	Registration of securities issued in business combination transactions, and amendment
Registrations	15-12B, 15-12B/A	Notice of termination of registration of a class of securities under Section 12(b)
Registrations	15-12G, 15-12G/A	Notice of termination of registration of a class of securities under Section 12(g)
Registrations	15-12D, 15-12D/A	Notice of suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act
Registrations	15F-12B, 15F-12B/A	Notice of termination of a foreign private issuer's registration of a class of securities under Section 12(b)
Registrations	15F-12G, 15F-12G/A	Notice of termination of a foreign private issuer's registration of a class of securities under Section 12(b)
Registrations	15F-12D, 15F-12D/A	Notice of a foreign private issuer's suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act
Proxies	PRE 14A	Preliminary proxy statement not related to a contested matter or merger/acquisition
Ownership	Form 3, Form 3/A	Registration statement for specified transactions by certain foreign private issuers, and amendment
Ownership	Form 4, Form 4/A	Registration statement for securities issued by foreign private issuers in certain business combination transactions, and amendment
Ownership	Form 5, Form 5/A	Annual statement of changes in beneficial ownership of securities, and amendment
Ownership	13F-HR, 13F-HR/A	Initial Quarterly Form 13F Holdings Report filed by institutional managers, and amendment
Ownership	13F-NT, 13F-NT/A	Initial Quarterly Form 13F Combination Report filed by institutional managers, and amendment
Ownership	SC 13D, SC 13D/A	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities, and amendment
Ownership	SC 13G, SC 13G/A	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities by passive investors and certain institutions, and amendment
Prospectuses	424B1	Prospectus filed pursuant to Rule 424(b)(1)
Prospectuses	424B2	Prospectus filed pursuant to Rule 424(b)(2)
Prospectuses	424B3	Prospectus filed pursuant to Rule 424(b)(3)
Prospectuses	424B4	Prospectus filed pursuant to Rule 424(b)(4)
Prospectuses	424B8	Prospectus filed pursuant to Rule 424(b)(5)
Prospectuses	424B5	Prospectus filed pursuant to Rule 424(b)(7)
Prospectuses	424B7	Prospectus filed pursuant to Rule 424(b)(8)

SEC Filings in our Database, 1994-2017, Daily Updated (continued)

Annual Reports	N-CSR, N-CSR/A	Certified annual shareholder report of registered management investment companies filed on Form NCSR, and amendment
Annual Reports	N-CSRS, N-CSRS/A	Certified semi-annual shareholder report of registered management investment companies filed on Form NCSR, and amendment
Annual Reports	NSAR-A, NSAR-A/A	Semi-annual report for management companies filed on Form N-SAR, and amendment
Annual Reports	NSAR-AT, NSAR-AT/A	Transitional semi-annual report filed on Form N-SAR, and amendment
Annual Reports	NSAR-B, NSAR-B/A	Annual report for management companies filed on Form N-SAR, and amendment
Annual Reports	NSAR-BT, NSAR-BT/A	Transitional annual report filed on Form N-SAR, and amendment
Annual Reports	NSAR-U, NSAR-U/A	Annual report for unit investment trusts filed on Form NSAR, and amendment
Annual Reports	N-Q, N-Q/A	Quarterly Schedule of Portfolio Holdings of Registered Management Investment Company filed on Form N-Q, and amendment
Reports	SD, SD/A	Specialized Disclosure Report filed pursuant to Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act relating to the use of conflict minerals (Rule 13p-1), and amendment
Letters	CORRESP (Comment Letters)	A correspondence can be sent as a document with another submission type or can be sent as a separate submission.
Letters	UPLOAD (Response Letters)	Response by SEC to the above correspondence
Letters	AAER	Accounting and Auditing Enforcement Releases (Enforcement actions concerning civil lawsuits related to fraud and other reporting violations)
Extractions	PRESS RELEASE	Press Releases - extracted from exhibits of 8-K, 6-K, & Form 425
Extractions	SHAREHOLDERS MEETINGS	Shareholders Meetings - extracted from exhibits of 8-K, 6-K, & Form 425
Extractions	SHAREHOLDERS LETTER	Shareholders Letters - extracted from all available filing including N-30D, N-30D/A and Form 425
Extractions	CONFERENCE CALLS	Conference Calls - extracted from exhibits of 8-K, 6-K, & Form 425
Extractions	OTHER 8-K EX	Other exhibits extracted from 8-K filings
Extractions	EXHIBIT 95 (10-K & 10-Q)	Mine Safety Disclosure extracted from 10-K and 10-Q filings
Extractions	EXHIBIT 10 (10-K)	Material Contracts and Obligations extracted from 10-K
Extractions	EXHIBIT 10 (10-Q)	Material Contracts and Obligations extracted from 10-Q
Extractions	EXHIBIT 99 (10-K)	Additional Exhibits extracted from 10-K
Extractions	EXHIBIT 99 (10-Q)	Additional Exhibits extracted from 10-Q
Extractions	EXHIBIT 21 (10-K & 10-Q)	List of Subsidiaries extracted from 10-K and 10-Q filings

PCAOB Reports

Accounting Reports	INSPECTION REPORTS	PCAOB reports inspecting registered public accounting firms to assess compliance with the Sarbanes-Oxley Act, the rules of the Board, the rules of the Securities and Exchange Commission, and professional standards, in connection with the firm's performance of audits, issuance of audit reports, and related matters involving U.S. companies, other issuers, brokers and dealers.
Accounting Reports	ADJUDICATED DISCIPLINARY ACTIONS	Board Orders in Settlements with Registered Firms or their Associated Persons
Accounting Reports	SETTLED DISCIPLINARY ORDERS	Opinions, Orders, and Other Final Board Action Imposing Sanctions in Contested Disciplinary Proceedings and SEC Actions on Review of those Sanctions

Example 1:

Search for Documents
Containing Certain Key
Words

SeekingINFSM

Example 1: Search for Documents Containing Certain Key Words

Suppose you want to get all 10Ks that contain the following words: [futures](#), [options](#), [swaps](#), and [hedging](#) for the years 1994-2018. Follow these steps (see the screenshots in the next two slides):

Step 1. Type the words separated by a space [futures + options + swaps + hedging](#) in the slot "With the exact phrases. The symbol '+' is used for the logic 'AND'. This means we are searching for documents that contain all the words listed above.

Step 2. Since we want all the companies, leave the default choice "All" and select the desired time frame 1994-2018.

Step 3. Select [Paragraph \(All\)](#).

Step 4. Select all types of [10Ks](#).

Step 5. Click on **SUBMIT** button.

In few [seconds](#) you will get [20,882](#) 10Ks. See the next two slides

STEP 1: Please enter Phrase(s)/Keyword(s) you wish to search:

With the exact phrase(s):

The following features are for Single Phrase/Word only: (In case of Multiple Phrases/Words, please use the [Request Form](#) to submit the request.)

Phrase/Word Counter

Display words before & after

Number of words before: Number of words After:

Proximity Search:

Please input within how many words:

With all of the words:

With at least one of the words:

Without the words:

STEP 2: Please select the options below (Default - ALL):

COMPANY:

From: To:

SIC (Optional):

STEP 3: Please select the search Resolution here:

Paragraph(All) Footnote SOX 404 Mgt Report MD&A

Table Audit Report SOX 404 Audit Report

STEP 4: Please select the Document(s) you want to search here:

All

Select (Please see [Filing Description](#) for more information): Un-Check All

Annual Reports Check All Annual Reports Un-Check All Annual Reports

10-K 10-KT 10-K405 10KT405 10KSB 10KSB40

10-K/A KT/A K405/A 10KT405/A 10KSB/A 10KSB40/A

Quarterly, Current & Foreign Annual Reports

10-Q 10-QT 10QSB 8-K 6-K 20-F 40-F

10-Q/A QT/A 10QSB/A 8-K/A 6-K/A 20-F/A 40-F/A

Proxies & Registrations

DEF DEFM14A S-1 S-4 15-12B 15-12G

14A DEFM14C S-1/A S-4/A 15-12B/A 15-12D

DEFA14A DEFM14C 15F-12G 15F-12D ABS-15G 12G/A

15-12D 15F-12B 15F-12G/A 15F-12D/A ABS-14A PRE

15-12D/A 15F-12B/A 12G/A 12D/A 15G/A 14A

Ownership & Prospectuses

Form 3 Form 4 Form 5 424B1 424B3

Form 3/A Form 4/A Form 5/A 424B2 424B4

13F-HR 13F-NT SC 13D SC 13G SC 13D/A

13F-HR/A 13F-NT/A SC 13D/A SC 13G/A

Other Filings

N-CSR N-CSR/A NSAR- NSAR-AT NSAR-RESP (Comment Letters)

BT NSAR- NSAR-UPLOAD (Response Letters)

NSAR- U NSAR-CT NSAR-ORDER

BT/A NSAR- NSAR-CT NSAR-ORDER

AAER** U NSAR-CT NSAR-ORDER

10-K & 10-Q

10-K Shareholders Letters CONFERENCE CALLS*

10-K & 10-Q SHAREHOLDERS MEETINGS* EXHIBIT 21 (10-K & 10-Q)

10-K & 10-Q SHAREHOLDERS LETTER* EXHIBIT 10 (10-Q)

EXHIBIT 99 (10-K) EXHIBIT 10 (10-K) EXHIBIT 10 (10-Q)

EXHIBIT 99 (10-Q) EXHIBIT 99 (10-Q) ITEM 1A (10-K)

Public Company Accounting Oversight Board

INSPECTION REPORTS** SETTLED DISCIPLINARY ORDERS**

ADJUDICATED DISCIPLINARY ACTIONS**

*** These extraction are from various filings, filed by companies to the SEC website and not from company websites.**

**** AAER & PCAOB do not have CIK's, they have File number and Firm number respectively**

Example 1: Search for . . . Key Words (continued)

STEP 5: SUBMIT

SeekingINFSM

Example 1: Search for . . . Key Words (continued)

1 - 20 of 20882 < >
Download Results

GOLDEN GRAIN ENERGY
CIK :1206942
SIC :2860
File Type :10-K
File Date :12-21-2018
Filename :0001206942-18-000020.txt

Avaya Holdings Corp.
CIK :1418100
SIC :3661
File Type :10-K
File Date :12-21-2018
Filename :0001418100-18-000192.txt

EATON VANCE CORP
CIK :350797
SIC :6282
File Type :10-K
File Date :12-21-2018
Filename :0001144204-18-066037.txt

PHOTRONICS INC
CIK :810136
SIC :3674
File Type :10-K
File Date :12-21-2018
Filename :0001140361-18-045611.txt

CIENA CORP
CIK :936395
SIC :3661
File Type :10-K
File Date :12-21-2018
Filename :0000936395-18-000048.txt

AGILENT TECHNOLOGIES INC
CIK :1090872
SIC :3826
File Type :10-K
File Date :12-20-2018
Filename :0001090872-18-000019.txt

Oaktree Strategic Income II, Inc.
CIK :1744179
SIC :-
File Type :10-K
File Date :12-20-2018
Filename :0001744179-18-000005.txt

GREIF INC
CIK :43920

GOLDEN GRAIN ENERGY CIK: 1206942 TYPE: 10-K DATE: 12-21-2018

View File

Download Raw File

Cosine Similarity/Word Variation

Raw Non Dollar Values in CSV

Raw Dollar Values in CSV

Derivative financial instruments: Commodity **futures** and exchange-traded commodity **options** contracts are reported at fair value utilizing Level 1 inputs. For these contracts, the Company obtains fair value measurements from an independent pricing service. The fair value measurements consider observable data that may include dealer quotes and live trading levels from markets such as the CME and NYMEX. Crush **swaps** are bundled contracts or combined contracts that include a portion of corn, ethanol and natural gas rolled into a single trading instrument. These contracts are reported at fair value utilizing Level 2 inputs and are based on the various trading activity of the components of each segment of the bundled contract.

We engage in **hedging** transactions which involve risks that could harm our business. We are exposed to market risk from changes in commodity prices. Exposure to commodity price risk results from our dependence on corn and natural gas in the ethanol production process, along with sales of ethanol. We seek to minimize the risks from fluctuations in the prices of corn, natural gas and ethanol through the use of **hedging** instruments. The effectiveness of our **hedging** strategies is dependent on the price of corn, natural gas and ethanol and our ability to sell sufficient products to use all of the corn and natural gas for which we have **futures** contracts. Our **hedging** activities may not successfully reduce the risk caused by

We enter into short-term cash, option and **futures** contracts as a means of securing corn and natural gas for the ethanol plant and managing exposure to changes in commodity and energy prices. We occasionally also enter into derivative contracts to hedge our exposure to price risk as it relates to ethanol sales. As part of our risk management process, we use **futures** and option contracts through regulated commodity exchanges or through the over-the-counter market to manage our risk related to pricing of inventories. All of our derivatives, other than those excluded under the normal purchases and sales exclusion, are designated as non-hedge derivatives, with changes in fair value recognized in net income. Although the contracts are economic hedges of specified risks, they are not designated or accounted for as **hedging** instruments.

- The effect our **hedging** activities has on our financial performance and cash flows;
-

Com

Our plant currently uses approximately 42 million bushels of corn per year. In October 2008, we received our Iowa grain dealer license which allows us to purchase corn directly from local producers in addition to local grain elevators as intermediaries. Our commodity manager is responsible for purchasing corn for our operations, scheduling corn deliveries and establishing **hedging** positions to protect the price we pay for corn.

price fluctuation which may leave us vulnerable to high corn and natural gas prices or relatively lower ethanol prices. Alternatively, we may choose not to engage in

Word Distribution:

Download Distribution Download File Analysis

FILE ANALYSIS

Total Word Count (TWC)	31294
Total Word Count without numerics (TWCWN)	28974
Sentence Count	1131
Gunning-Fog Index	20.4
Smog Index	18.139
Flesch Reading Ease	24.702
Flesch-Kincaid Grade Level	16.183
Automated Readability Index	16.26
Coleman-Liau Index	14.301

RISK SENTIMENT ANALYSIS

RISK TYPE	COUNT (NR)	LN(1+NR)	NR PERCENT TWC	NR PERCENT TWCWN
RS Feng Li	67	4.22	0.214	0.231
RS Financial	161	5.088	0.514	0.556
RS Litigation	123	4.82	0.393	0.425
RS Tax	17	2.89	0.054	0.059
RS Systematic	856	6.753	2.735	2.954
RS Idiosyncratic	481	6.178	1.537	1.66
RS Overall	1638	7.402	5.234	5.653

Example 1: Search for . . . Key Words (continued)

- ◆ The middle panel displays paragraphs containing the key words highlighted in yellow
- ◆ Download the output results (list of all companies along with the company specific information) in MS Excel
 - ❖ By clicking on the “Download Result” on the left hand side (see the screenshot in the slide after the next).
- ◆ The right hand panel shows **WORD DISTRIBUTION** and **FILE ANALYSIS**
- ◆ **WORD DISTRIBUTION** gives you the frequency distribution of all the words in the document for the company highlighted on the left. You can download this list by clicking on the “Download Distribution” button (see a screenshot of this in the second slide after the next).

Example 1: Search for . . . Key Words (continued)

- ◆ **FILE ANALYSIS** lists the total word count with/without numbers along with the six measures of readability of text in this document. You can download the total word counts and the readability indices through “**Request Form**” as explained in Example 4.
- ◆ Just above the middle display window, there are five menu items: [View File](#), [Download Raw File](#), [Cosine similarity/Word Variation](#), [Raw Non Dollar Values in CSV](#), and [Raw Dollar Values in CSV](#).
 - ❖ [View File](#): Lets you see the file from our Cloud
 - ❖ [Download Raw File](#): Lets you download the file from the SEC site
 - ❖ [Cosine similarity/Word Variation](#): “Cosine similarity” measures how similar are two documents of a company for two different years, or of two companies for the same year. For example, this feature would allow users to compare 10Ks of a company for two different years or 10Ks of two different companies for the same year. “Word Variation” provides variation of words used in a document of one year versus another year. See Examples 13 and 14.
 - ❖ [Raw Non Dollar Values in CSV](#): See Example 15 for details, Slides 145-149.
 - ❖ [Raw Dollar Values in CSV](#): See Example 15 for details, Slides 145-149.

SeekingINFSM

Example 1: Search for . . . Key Words (continued)

data-3.xlsx

Search Sheet

Home Insert Draw Page Layout Formulas Data Review View

Calibri (Body) 12

General

AutoSum Fill Clear Sort & Filter Find & Select

H3

1	ENTERED SEARCH FIELDS:								
2	TERM	RESOLUTION	DOCUMENT TYPE	COMPANY	DATE				
3	EXACT: futur Paragraph (ALL)		10-K & 10-K/A & 10	ALL	FROM 1994 to 2018				
4	CIK	COMPANY NAME	SIC	DATE	FILETYPE	PERIOD OF REPORT	FISCAL YEAR END	ACCEPTED TIME	SEC LINK
7	1206942	GOLDEN GRAIN ENERG	2860	12/21/18	10-K	10/31/18	1031	12/21/18 15:45	http://www.sec.gov/Archives/edgar/data/1206942/0001206942-18-000020-index.html
8	1418100	Avaya Holdings Corp.	3661	12/21/18	10-K	9/30/18	930	12/21/18 16:14	http://www.sec.gov/Archives/edgar/data/1418100/0001418100-18-000192-index.html
9	350797	EATON VANCE CORP	6282	12/21/18	10-K	10/31/18	1031	12/21/18 16:11	http://www.sec.gov/Archives/edgar/data/350797/0001144204-18-066037-index.html
10	810136	PHOTRONICS INC	3674	12/21/18	10-K	10/31/18	1031	12/21/18 15:56	http://www.sec.gov/Archives/edgar/data/810136/0001140361-18-045611-index.html
11	936395	CIENA CORP	3661	12/21/18	10-K	10/31/18	1031	12/21/18 15:21	http://www.sec.gov/Archives/edgar/data/936395/0000936395-18-000048-index.html
12	1090872	AGILENT TECHNOLOGI	3826	12/20/18	10-K	10/31/18	1031	12/20/18 16:27	http://www.sec.gov/Archives/edgar/data/1090872/0001090872-18-000019-index.html
13	1744179	Oaktree Strategic Inco	-	12/20/18	10-K	9/30/18	1231	12/19/18 20:00	http://www.sec.gov/Archives/edgar/data/1744179/0001744179-18-000005-index.html
14	43920	GREIF INC	3412	12/20/18	10-K	10/31/18	1031	12/20/18 17:22	http://www.sec.gov/Archives/edgar/data/43920/0000043920-18-000034-index.html
15	1359687	RED TRAIL ENERGY LLC	2860	12/17/18	10-K	9/30/18	930	12/17/18 17:21	http://www.sec.gov/Archives/edgar/data/1359687/0001359687-18-000021-index.html
16	315189	DEERE & CO	3523	12/17/18	10-K	10/28/18	1028	12/17/18 12:00	http://www.sec.gov/Archives/edgar/data/315189/0001047469-18-007694-index.html
17	1578776	PRUDENTIAL BANCOR	6036	12/14/18	10-K	9/30/18	930	12/14/18 14:55	http://www.sec.gov/Archives/edgar/data/1578776/0001144204-18-064623-index.html
18	837852	IDEANOMICS INC.	4841	12/14/18	10-K	12/31/17	1231	12/14/18 11:27	http://www.sec.gov/Archives/edgar/data/837852/0001144204-18-064706-index.html
19	47217	HP INC	3570	12/13/18	10-K	10/31/18	1031	12/13/18 16:07	http://www.sec.gov/Archives/edgar/data/47217/0000047217-18-000052-index.html
20	913760	INTL FCSTONE INC.	6200	12/12/18	10-K	9/30/18	930	12/11/18 17:57	http://www.sec.gov/Archives/edgar/data/913760/0000913760-18-000157-index.html
21	315131	PANHANDLE OIL & GA	1311	12/11/18	10-K	9/30/18	930	12/11/18 17:19	http://www.sec.gov/Archives/edgar/data/315131/0001564590-18-030818-index.html
22	1715268	Golub Capital BDC 3 In	-	12/7/18	10-K	9/30/18	930	12/7/18 17:06	http://www.sec.gov/Archives/edgar/data/1715268/0001715268-18-000111-index.html
23	1002590	STAR GROUP L.P.	5990	12/6/18	10-K	9/30/18	930	12/6/18 7:22	http://www.sec.gov/Archives/edgar/data/1002590/0001564590-18-030539-index.html
24	1490349	Medley Capital Corp	-	12/4/18	10-K	9/30/18	930	12/4/18 6:12	http://www.sec.gov/Archives/edgar/data/1490349/0001490349-18-000047-index.html
25	1069533	RGC RESOURCES INC	4923	12/3/18	10-K	9/30/18	930	12/3/18 11:25	http://www.sec.gov/Archives/edgar/data/1069533/0001069533-18-000048-index.html
26	823277	CHS INC	5150	12/3/18	10-K	8/31/18	831	12/3/18 6:11	http://www.sec.gov/Archives/edgar/data/823277/0000823277-18-000065-index.html
27	1414932	Oaktree Specialty Lend	-	11/29/18	10-K	9/30/18	930	11/28/18 19:53	http://www.sec.gov/Archives/edgar/data/1414932/0001414932-18-000015-index.html
28	1577791	Oaktree Strategic Inco	-	11/29/18	10-K	9/30/18	930	11/28/18 20:01	http://www.sec.gov/Archives/edgar/data/1577791/0001577791-18-000013-index.html

Output Download

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Example 1: Search for . . . Key Words (continued)

wordDistribution.xlsx Search Sheet

Home Insert Draw Page Layout Formulas Data Review View

Normal Page Break Preview Page Layout Custom Views Ruler Formula Bar Zoom 150% Gridlines Headings Zoom to 100% Zoom to Selection New Window Arrange All Freeze Panes Freeze Top Row Freeze First Column Split Hide Unhide Switch Windows View Macros Record Macro Use Relative References

F9

	A	B	C	D	E	F	G	H	I	J
1	Company Name	CIK	SIC	Date	Filling Type	FileName				
2	GOLDEN GRAIN ENERGY	1206942	2860	20181221	10-K	0001206942-18-000020.txt				
3	TOTAL WORD COUNT	31294								
4	TOTAL WORD COUNT WITHOUT NUMERICS	28974								
5	SENTENCE COUNT	1131								
6										
7	WORD LIST	COUNT	PERCENTAGE							
8										
9	the	1599	5.1							
10	of	1196	3.8							
11	and	892	2.9							
12	to	867	2.8							
13	in	681	2.2							
14	our	653	2.1							
15	ethanol	449	1.4							
16	we	367	1.2							
17	for	352	1.1							
18	a	317	1							
19	as	264	0.8							
20	on	235	0.8							
21		2018	233							
22	corn	220	0.7							
23	is	218	0.7							
24	or	215	0.7							

Word frequency distribution with total number of words with and without numbers

Example 2:

Presence and Absence of Multiple Exact Phrases in SEC Documents

Example 2a: Presence of Multiple Phrases

Example 2b: Presence and Absence of Phrases

SeekINSMF

Example 2a: Presence of Multiple Exact Phrases

Suppose you want to find all the companies that have mentioned the following phrases in DEF 14A & DEFA 14A during 1994-2018: “**Bonus plans**”, “**Stock options**” and “**Equity incentives**”.

Step 1. Type the phrases **Bonus plans** + **Stock options** + **Equity incentives** in the slot “With the exact phrase” without quotes separated by + (for “AND” logic)

Step 2. Since we want all the companies, leave the default choice “All” and select the desired time frame 1994-2018.

Step 3. Select **Paragraph (All)**

Step 4. Select **DEF 14A** and **DEFA 14A**

Step 5. Click on **SUBMIT** button

SeekiNFSM

Example 2a: Presence of Multiple Exact Phrases (continued)

In few **seconds** you will the following results:

- ◆ **2,542** DEF 14As and DEFA 14As
- ◆ Display of paragraphs in the middle with the key words highlighted in yellow.
- ◆ The total word count with and without numbers displayed on the right hand side contained in the document for this company highlighted on the left side.
- ◆ Total sentence count displayed on the right side.
- ◆ Six readability indices for this document are displayed on the right side too.
- ◆ Frequency distribution of all the words downloadable in MS Excel as described in Example 1.
- ◆ See next two slides for details

STEP 1: Please enter Phrase(s)/Keyword(s) you wish to search:

With the exact phrase(s):

The following features are for Single Phrase/Word only: (In case of Multiple Phrases/Words, please use the [Request Form](#) to submit the request.)

Phrase/Word Counter

Display words before & after

Number of words before: Number of words After:

Proximity Search:

Please input within how many words:

With all of the words:

With at least one of the words:

Without the words:

STEP 2: Please select the options below (Default - ALL):

COMPANY: All,

From: 1994 To: 2018

SIC (Optional): All SICs

STEP 3: Please select the search Resolution here:

- Paragraph(All) Footnote SOX 404 Mgt Report MD&A
 Table Audit Report SOX 404 Audit Report

STEP 4: Please select the Document(s) you want to search here:

- All
 Select (Please see [Filing Description](#) for more information): Un-Check All
Annual Reports Check All Annual Reports Un-Check All Annual Reports
 10-K 10-KT 10-K405 10KT405 10KSB 10KSB40
 10-K/A 10-KT/A 10-K405/A 10KT405/A 10KSB/A 10KSB40/A

Quarterly, Current & Foreign Annual Reports

- 10-Q 10-QT 10QSB 8-K 6-K 20-F 40-F
 10-Q/A 10-QT/A 10QSB/A 8-K/A 6-K/A 20-F/A 40-F/A

Proxies & Registrations

- DEF 14A DEFM14A S-1 S-4 15-12B 15-12G
 DEFA14A DEFM14C S-1/A S-4/A 15-12B/A 15-12G/A
 15-12D 15F-12B 15F-12G 15F-12D ABS-15G PRE 14A
 15-12D/A 15F-12B/A 15F-12G/A 15F-12D/A ABS-15G/A

Ownership & Prospectuses

- Form 3 Form 4 Form 5 424B1 424B3 424B5
 Form 3/A Form 4/A Form 5/A 424B2 424B4 424B7
 13F-HR 13F-NT SC 13D SC 13G 424B8
 13F-HR/A 13F-NT/A SC 13D/A SC 13G/A

Other Filings

- N-CSR N-CSRS NSAR-A NSAR-AT NSAR-B
 N-CSR/A N-CSRS/A NSAR-A/A NSAR-AT/A NSAR-B/A
 NSAR-BT NSAR-U N-Q SD CORRESP (Comment Letters)
 NSAR-BT/A NSAR-U/A N-Q/A SD/A UPLOAD (Response Letters)
 AAER** 11-K 11-K/A CT ORDER

10-K, 10-Q & 8-K Exhibits & Shareholders Letters

- PRESS RELEASE* SHAREHOLDERS MEETINGS* CONFERENCE CALLS*
 OTHER 8-K EX SHAREHOLDERS LETTER* EXHIBIT 21 (10-K & 10-Q)
 EXHIBIT 95 (10-K & 10-Q) EXHIBIT 10 (10-K) EXHIBIT 10 (10-Q)
 EXHIBIT 99 (10-K) EXHIBIT 99 (10-Q) ITEM 1A (10-K)

Public Company Accounting Oversight Board

- INSPECTION REPORTS** SETTLED DISCIPLINARY ORDERS**
 ADJUDICATED DISCIPLINARY ACTIONS**

* These extraction are from various filings, filed by companies to the SEC website and not from company websites.
** AAER & PCAOB do not have CIK's, they have File number and Firm number respectively

STEP 5: SUBMIT

SeekingINFSM

Example 2a: Presence of Multiple Exact Phrases (continued)

1 - 20 of 2542 < >

Download Results

ESCO TECHNOLOGIES INC

CIK :866706
 SIC :3669
 File Type :DEF 14A
 File Date :12-12-2018
 Filename :0001144204-18-064166.txt

Post Holdings, Inc.

CIK :1530950
 SIC :2040
 File Type :DEF 14A
 File Date :12-10-2018
 Filename :0001530950-18-000283.txt

ACUITY BRANDS INC

CIK :1144215
 SIC :3640
 File Type :DEF 14A
 File Date :11-19-2018
 Filename :0001144215-18-000131.txt

CBS CORP

CIK :813828
 SIC :4833
 File Type :DEF 14A
 File Date :11-16-2018
 Filename :0001193125-18-328971.txt

Ascena Retail Group, Inc.

CIK :1498301

ESCO TECHNOLOGIES INC CIK: 866706 TYPE: DATE: 20181212

View File

Download Raw File

Cosine Similarity/Word Variation

Raw Non Dollar Values in CSV

Raw Dollar Values in CSV

compensation in times of poor performance and higher compensation in times of strong performance. For fiscal 2018, the Committee determined that the performance criteria for the cash incentive plan should be based on Adjusted EPS and Cash Flow, as defined and described under "Cash Incentive Compensation" below.

- The Company provides a significant part of executive compensation as long-term equity incentives in the form of performance-accelerated restricted shares, which are based on the Company's stock performance and cannot be distributed

does not coordinate LTEI grants with the release of material non-public information.

Company-wide equity grants, including equity grants to executive officers, are generally awarded on the date of the regularly scheduled fall meeting of the Human Resources and Compensation Committee when other compensation decisions are made. The equity grants for fiscal 2018 were approved at the scheduled Committee meeting on April 30, 2018, effective on that date. Throughout each year, equity awards are made to new hires, promoted employees or in other special circumstances, generally on the first trading day of the month after hire or the date of the next Committee meeting. The Committee has delegated to the CEO and the Executive Committee the authority to grant a limited number of stock options and LTEI awards, respectively, to key employees other than executive officers, subject to certain restrictions, including an exercise price not less than the NYSE closing price on the grant date; however, no

base salary, subject to review

for increase at the discretion of the Committee, participation in the Company's PCP and ICP bonus plans, and eligibility for participation in the Company's LTEI plans and benefit plans and programs applicable to senior executives, and continuance of certain perquisites. For the two year period after a termination, the Agreements prohibit the executive officers from soliciting Company employees or disclosing confidential information. The Agreements also require that the executive officers provide limited consulting services on an as-requested basis following termination. For specifics regarding the cash compensation and benefits provided in the event of a qualifying separation, and for a sample calculation, based on certain stated assumptions, see "Employment Agreements" beginning on page 33, and "Potential Payments Upon Termination or Change in Control" beginning on page 34

Word Distribution:

Download Distribution

FILE ANALYSIS

Total Word Count	33275
Total Word Count without numerics	31445
Sentence Count	909
Gunning-Fog Index	24.4
Smog Index	20.664
Flesch Reading Ease	14.984
Flesch-Kincaid Grade Level	19.772
Automated Readability Index	21.006
Coleman-Liau Index	15.616

Example 2b: Presence & Absence of Multiple Exact Phrases

Suppose you want to find all the companies that have mentioned the phrase “**bonus plans**” in DEF 14A & DEFA 14A and **no mention** of “**Stock options**” and “**Equity incentives**” during 1994-2018.

Step 1-ENTER KEY WORD TO SEARCH: Type the phrases **Bonus plans -Stock options -Equity incentives** in the slot “With the exact phrase” (+ for presence and – for absence)

Step 2: SELECT COMPANY NAME, SIC AND DATE: Since we want all the companies, leave the default choice “All” and select the desired time frame 1994-2014.

Step 3 – SELECT RESOLUTION: Select **Paragraph (All)**

Step 4- SELECT DOCUMENT TYPE: Select **DEF 14A** and **DEFA 14A**

Step 5-SEARCH: Click on Search button

Example 2b: Presence & Absence of Multiple Exact Phrases (Continued)

In few seconds you will get the following results:

- **375** DEF 14As and DEFA 14As
- ◆ Display of paragraphs in the middle with the key words highlighted in yellow.
- ◆ The total word count with and without numbers displayed on the right hand side contained in the document for this company highlighted on the left side.
- ◆ Total sentence count displayed on the right side.
- ◆ Six readability indices for this document are displayed on the right side too.
- ◆ Frequency distribution of all the words can be downloaded in MS Excel by clicking on “[Download Distribution](#)” as described in Example 1. See the details in the next two slides.

Example 2b: Presence & Absence of Multiple Exact Phrases (Continued)

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[Recent Press and Other Releases](#) | [10-K Exhibit 21\(Subsidiaries\)](#) | [Conference Call Transcripts](#) | [Search](#) | [Request Form](#) | [Special Request](#) | [SeekiNF Examples](#)

STEP 1: Please enter Phrase(s)/Keyword(s) you wish to search:

With the exact phrase(s):

The following features are for Single Phrase/Word only: (In case of Multiple Phrases/Words, please use the [Request Form](#) to submit the request.)

Phrase/Word Counter

Display words before & after

Number of words before: Number of words After:

Proximity Search:

Please input within how many words:

With all of the words:

With at least one of the words:

Without the words:

STEP 2: Please select the options below (Default - ALL):

COMPANY:

From: To:

SIC (Optional):

STEP 3: Please select the search Resolution here:

Paragraph(All)
 Footnote
 SOX 404 Mgt Report
 MD&A
 Table
 Audit Report
 SOX 404 Audit Report

STEP 4: Please select the Document(s) you want to search here:

All
 Select (Please see [Filing Description](#) for more information):
 Un-Check All

Annual Reports
 Check All Annual Reports
 Un-Check All Annual Reports

10-K
 10-KT
 10-K405
 10KT405
 10KSB
 10KSB40
 10-K/A
 10-KT/A
 10-K405/A
 10KT405/A
 10KSB/A
 10KSB40/A

Quarterly, Current & Foreign Annual Reports

10-Q
 10-QT
 10QSB
 8-K
 6-K
 20-F
 40-F
 10-Q/A
 10-QT/A
 10QSB/A
 8-K/A
 6-K/A
 20-F/A
 40-F/A

Proxies & Registrations

DEF 14A
 DEFM14A
 S-1
 S-4
 15-12B
 15-12G
 DEFA14A
 DEFM14C
 S-1/A
 S-4/A
 15-12B/A
 15-12G/A
 15-12D
 15F-12B
 15F-12G
 15F-12D
 ABS-15G
 PRE 14A
 15-12D/A
 15F-12B/A
 15F-12G/A
 15F-12D/A
 ABS-15G/A

Ownership & Prospectuses

Form 3
 Form 4
 Form 5
 424B1
 424B3
 424B5
 Form 3/A
 Form 4/A
 Form 5/A
 424B2
 424B4
 424B7
 13F-HR
 13F-NT
 SC 13D
 SC 13G
 424B8
 13F-HR/A
 13F-NT/A
 SC 13D/A
 SC 13G/A

Other Filings

N-CSR
 N-CSRS
 NSAR-A
 NSAR-AT
 NSAR-B
 N-CSR/A
 N-CSRS/A
 NSAR-A/A
 NSAR-AT/A
 NSAR-B/A
 NSAR-BT
 NSAR-U
 N-Q
 SD
 CORRESP (Comment Letters)
 NSAR-BT/A
 NSAR-U/A
 N-Q/A
 SD/A
 UPLOAD (Response Letters)
 AAER**
 11-K
 11-K/A
 CT ORDER

10-K, 10-Q & 8-K Exhibits & Shareholders Letters

PRESS RELEASE*
 SHAREHOLDERS MEETINGS*
 CONFERENCE CALLS*
 OTHER 8-K EX
 SHAREHOLDERS LETTER*
 EXHIBIT 21 (10-K & 10-Q)
 EXHIBIT 95 (10-K & 10-Q)
 EXHIBIT 10 (10-K)
 EXHIBIT 10 (10-Q)
 EXHIBIT 99 (10-K)
 EXHIBIT 99 (10-Q)
 ITEM 1A (10-K)

Public Company Accounting Oversight Board

INSPECTION REPORTS**
 SETTLED DISCIPLINARY ORDERS**
 ADJUDICATED DISCIPLINARY ACTIONS**

* These extraction are from various filings, filed by companies to the SEC website and not from company websites.
** AAER & PCAOB do not have CIK's, they have File number and Firm number respectively

STEP 5: SUBMIT

Example 2b: Presence & Absence of Multiple Exact Phrases (Continued)

1 - 20 of 375 < >

Download Results

UNIFIRST CORP
 CIK :717954
 SIC :7200
 File Type :DEF 14A
 File Date :11-29-2018
 Filename :0001284084-18-000071.txt

REGIONAL HEALTH PROPERTIES, INC
 CIK :1004724
 SIC :8051
 File Type :DEF 14A
 File Date :11-09-2018
 Filename :0001564590-18-028965.txt

K2M GROUP HOLDINGS, INC.
 CIK :1499807
 SIC :3841
 File Type :DEFA14A
 File Date :08-30-2018
 Filename :0001193125-18-262595.txt

SUPERVALU INC
 CIK :95521
 SIC :5141
 File Type :DEFA14A
 File Date :08-24-2018
 Filename :0001140361-18-036927.txt

VECTREN CORP
 CIK :1096385
 SIC :4932

UNIFIRST CORP CIK: 717954 TYPE: DATE: 20181129

View File

Download Raw File

Cosine Similarity/Word Variation

Raw Non Dollar Values in CSV

Raw Dollar Values in CSV

reasonably likely to have a material adverse effect on the Company. Based on its review, the Compensation Committee believes that the mix and design of the Company's compensation plans and policies do not encourage employees to assume excessive risk and therefore are not reasonably likely to have a material adverse effect on the Company. In making this determination, the Compensation Committee considered a number of matters, including the following elements of the Company's executive compensation plans and policies: (1) the Company sets performance goals that the Company believes are reasonable in light of past performance and market conditions; (2) the long-term vesting for the Company's equity incentive awards helps to align the interests of management with those of the Company's shareholders in respect of the Company's long-term performance; (3) a range of levels of performance under the Company's cash incentive **bonus plans** and its CEO incentive equity awards results in corresponding

levels of compensation under those plans, rather than an "all-or-nothing" approach; and (4) achievement of the targets under the Company's **bonus plans** is based on the satisfaction of corporate performance metrics such as revenues, earnings per share and adjusted operating margin, which serves to minimize the impact of excessive risk taking by any individual member of management.

**Evaluation Program of the Board of Directors and its Committees **

Word Distribution:

Download Distribution

FILE ANALYSIS	
Total Word Count	21814
Total Word Count without numerics	20265
Sentence Count	618
Gunning-Fog Index	22.4
Smog Index	19.469
Flesch Reading Ease	21.395
Flesch-Kincaid Grade Level	18.439
Automated Readability Index	19.44
Coleman-Liau Index	14.762

Examples 3 & 4:

Search SEC Documents with Multiple Exact Phrases/Words containing words like 'a', 'in', 'of', 'not' 'the' etc.

Example 3: Going Concern Opinions

Example 4: We may never be profitable

SeekIN^F

Example 3: Exact Phrases: Going Concern Opinions

Suppose you want to get all the companies that received going concern opinion between 1994-2014. This is easy, you can get this result in few seconds. There is nothing in the market that can give you such a result on-line, as current. Here is what you need to do.

- ◆ **Step 1:** Type the phrases (In my opinion | In our opinion) + (substantial doubt about| substantial doubts about | substantial doubts regarding | substantial doubt regarding) + going concern (+ for 'AND' logic, | for "OR" logic). (+ for 'AND' logic) in the slot "With the exact phrase". Also, type the words, opinion concern, in the **Proximity Search** slot with 500 words apart
- ◆ **Step 2:** Since we want all the companies, leave the default choice "**All**" and select the desired time frame 1994-2014.
- ◆ **Step 3:** Select **Paragraph (All)**
- ◆ **Step 4:** Select **10K** (all versions of 10K)
- ◆ **Step 5:** Click on **SUBMIT** button (see the next 3 slides for details)

In few seconds you will get **50,939** companies that received going concern opinion. You can download the entire list of companies by clicking on the **Download Result** button on the left hand side at the top of the display window.

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Example 3: Exact Phrases: Going Concern Opinion (Continued)

STEP 1: Please enter Phrase(s)/Keyword(s) you wish to search:

With the exact phrase:

The following features are for Single Phrase/Word only: (In case of Multiple Phrases/Words, please use the **Request Form** to submit the request.)

Phrase/Word Counter

Display words before & after

Number of words before: Number of words After:

Proximity Search:

Please input within how many words:

With all of the words:

With at least one of the words:

Without the words:

STEP 2: Please select the options below (Default - ALL):

COMPANY:

From: To:

SIC (Optional):

STEP 3: Please select the search Resolution here:

Paragraph(All) SOX 404 Mgt Report

Table SOX 404 Audit Report

Footnote MD&A

Audit Report

STEP 4: Please select the Document(s) you want to search here:

All

Select (Please [CLICK HERE](#) for Filing Description): Un-Check All

Annual Reports Check All Annual Reports Un-Check All Annual Reports

10-K 10-KT 10-K405 10KT405 10KSB 10KSB40

10-K/A 10-KT/A 10-K405/A 10KT405/A 10KSB/A 10KSB40/A

Quarterly Reports & Annual Reports Foreign

10-Q 10-QT 10QSB 20-F 40-F

10-Q/A 10-QT/A 10QSB/A 20-F/A 40-F/A

Current Reports/Disclosures/Registrations

8-K 6-K S-1 SC 13D SC 13G

8-K/A 6-K/A S-1/A SC 13D/A SC 13G/A

Ownership & Ownership Money Managers

Form 3 Form 4 Form 5 13F-HR 13F-NT

Form 3/A Form 4/A Form 5/A 13F-HR/A 13F-NT/A

Proxies & IPO Filings

DEF 14A 424B1 424B3 424B5 424B8

DEFA14A 424B2 424B4 424B7

Other Filings

N-CSR N-CSRS CORRESP (Comment Letters) AAER**

N-CSR/A N-CSRS/A UPLOAD (Response Letters)

Exhibits & Shareholders Letters

PRESS RELEASE SHAREHOLDERS MEETINGS EXHIBIT 95 (10-K)

CONFERENCE CALLS SHAREHOLDERS LETTER* EXHIBIT 21 (10-K)

OTHER 8-K EX

Public Company Accounting Oversight Board

INSPECTION REPORTS** SETTLED DISCIPLINARY ORDERS**

ADJUDICATED DISCIPLINARY ACTIONS**

*Beta Version: We are working on improving the accuracy of the letters

**AAER & PCAOB do not have CIK's, they have File number and Firm number respectively

STEP 5: SUBMIT

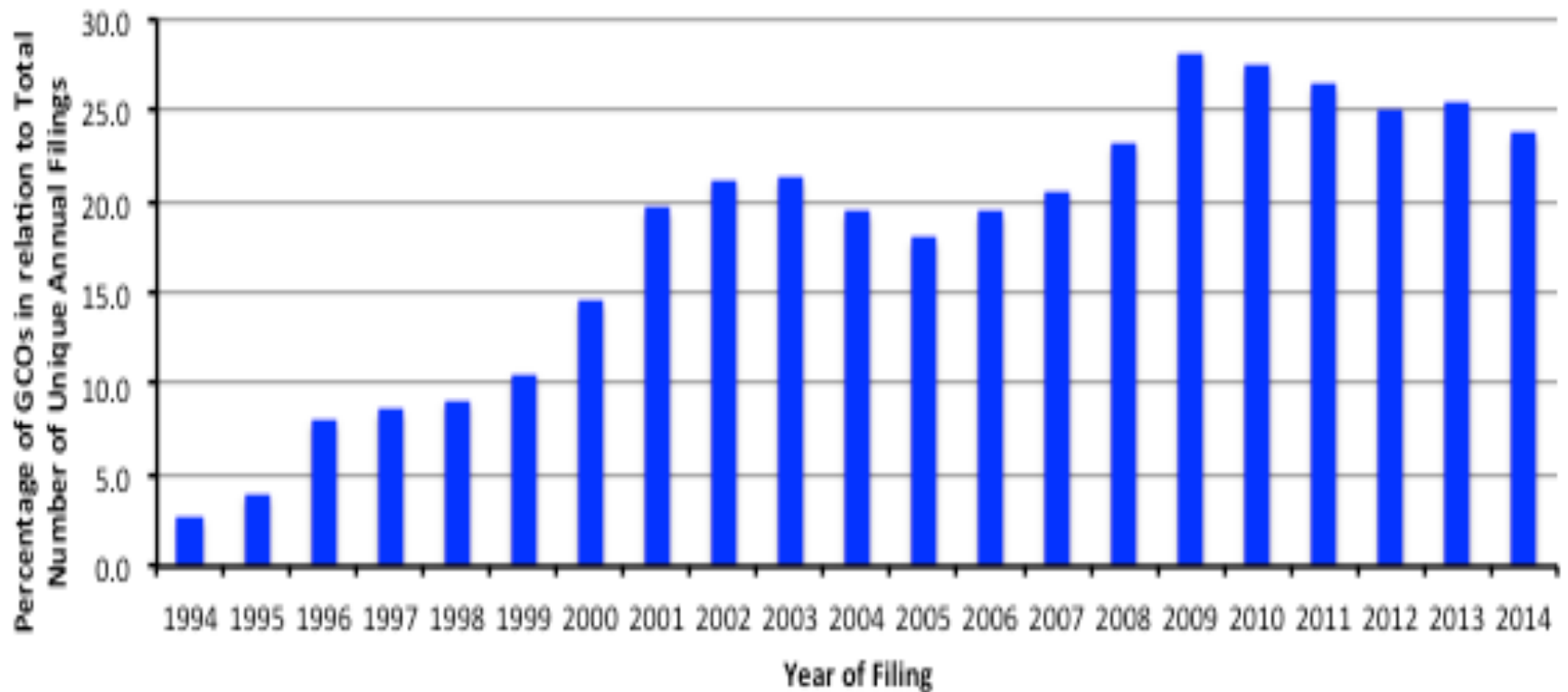
Example 3: Exact Phrases: Going Concern Opinions (Continued)

- ◆ Next, one can get the **going concern opinions by audit firms** by re-searching the going concern opinions with audit firm names. This can be achieved in **few seconds**.
 1. Keep the same search criteria as the previous case but type the words **opinion Deloitte** in **Proximity Search** with **350** words apart to get the going concern opinions issued by **Deloitte**.
 2. Copy the CIK codes from the previous search output of all the companies that obtained GCO and paste it in slot for "COMPANY" and select CIK from the box on the right.
 3. Select the year, all 10Ks, and submit.
 4. See the next two slide for an illustration.
- ◆ **This shows the power of our system** that allows you to get specific piece of information for your research.

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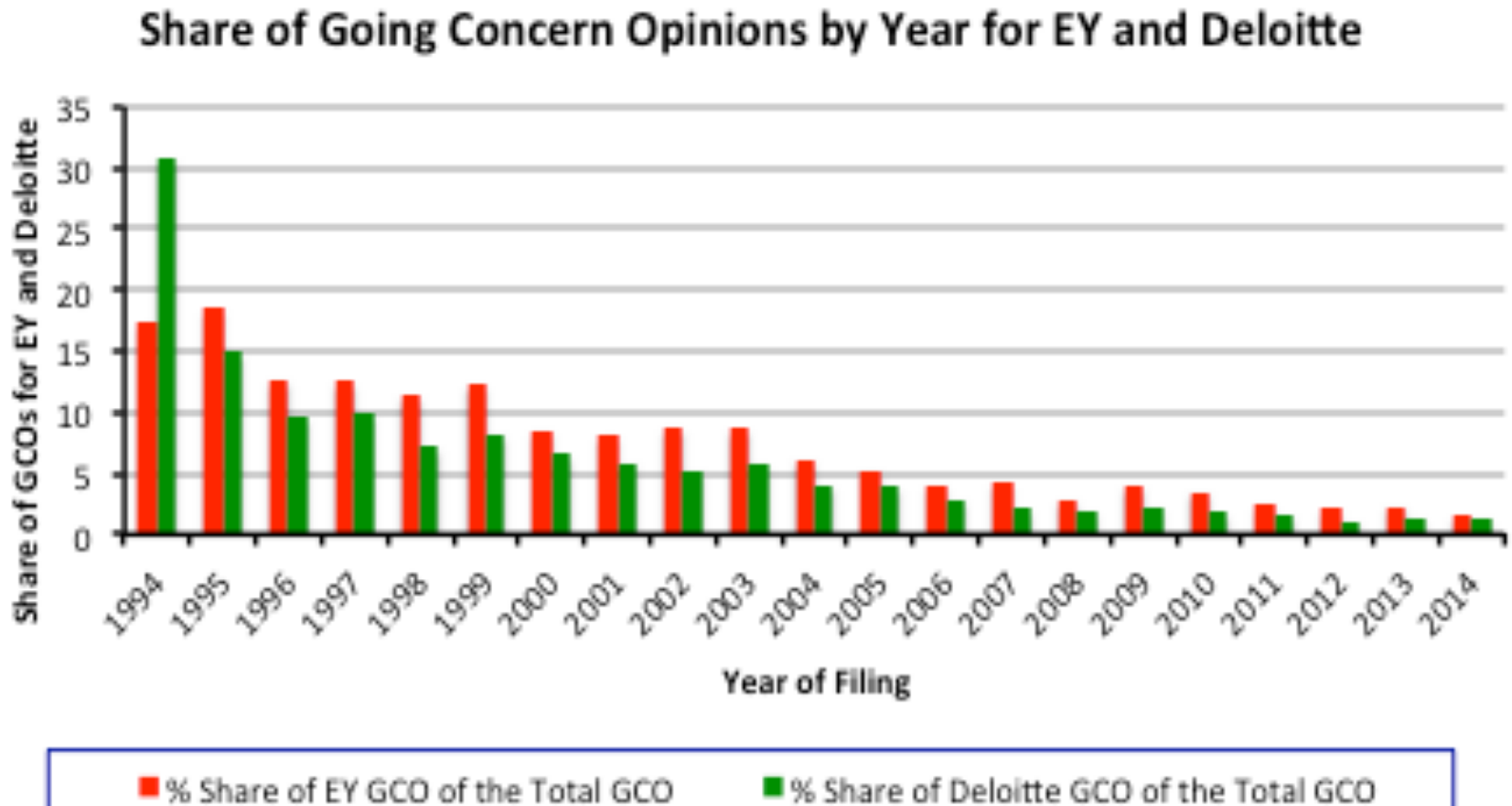
Example 3: Graph of Going Concern Opinions by Year

Percentage of Going Concern Opinions (GCOs) by Year



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Example 3: Graph of Going Concern Opinions by Year



SeekiNFSM

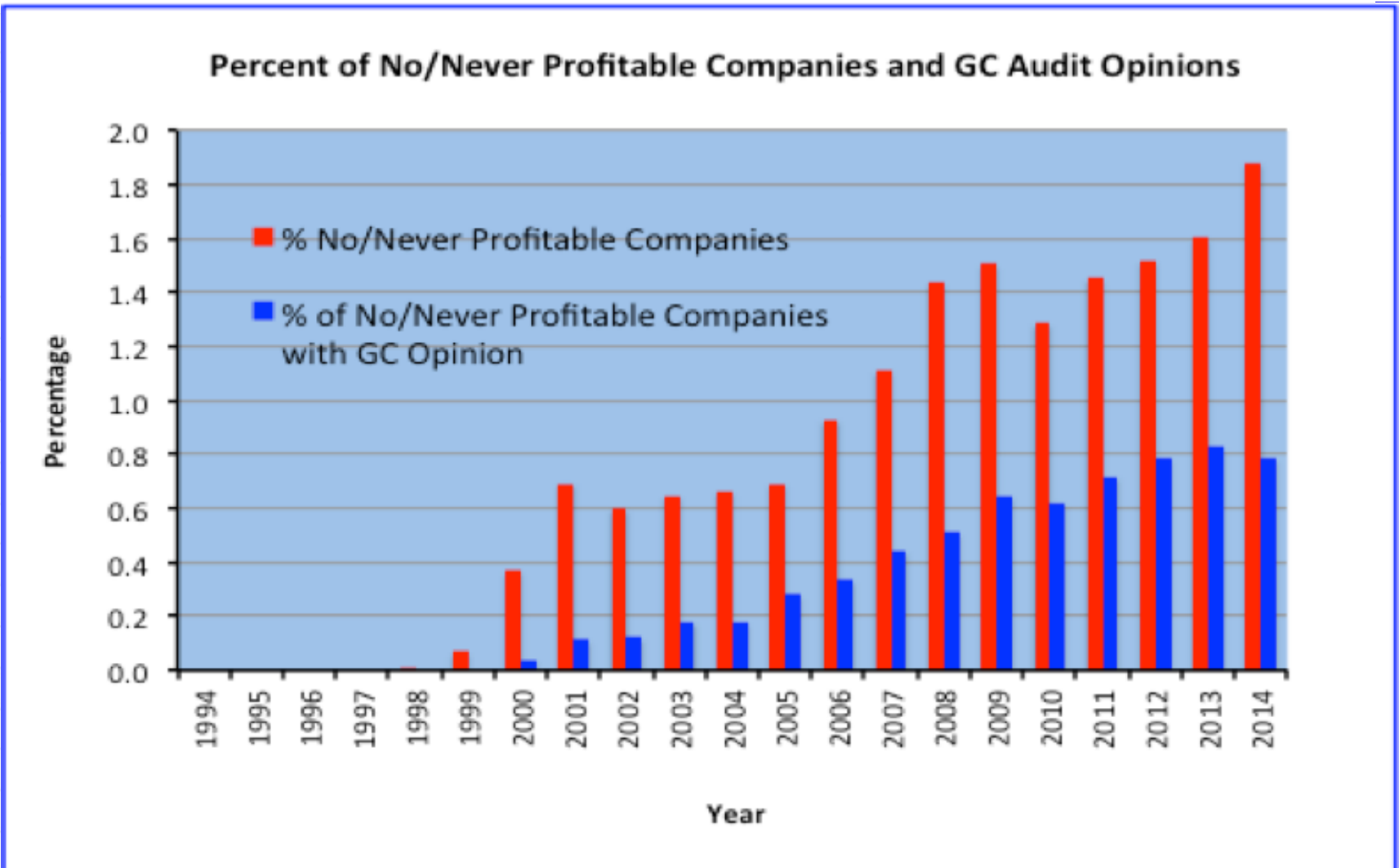
Example 4: Exact Phrases: We may never become profitable

- ◆ Did you know that there are public companies that make statements in their annual reports (10Ks) that **they were not profitable and may never be profitable** and still investors invest money?
- ◆ Why is that?
- ◆ How would you find out who they are? Manually it is impossible!
- ◆ **Well, Seek iNF can answer this question in seconds.**
- ◆ Insert the following phrases: **We may never become profitable | We May Never Achieve or Sustain Profitability | we may never achieve or maintain profitability** in the exact phrase slot, and select “all companies”, paragraph, the time period, and 10Ks, and get the result in seconds.
- ◆ The next slide shows that such companies started around 1998 and has been growing in number since then.
- ◆ One can explore several questions as to not only who these companies are but to how can they survive so long even after making such a statement. Some have survived 10 -12 years.

Example 4: Exact Phrases: We may never become profitable

- ◆ Another interesting question comes to mind is what type of audit opinions were expressed by the corresponding auditors.
- ◆ You would expect all such companies should have received a Going Concern audit opinion.
- ◆ This is easy to find out using [Seek iNF](#).
- ◆ Insert the following phrases “(We may never become profitable | We May Never Achieve or Sustain Profitability | we may never achieve or maintain profitability) along with the phrase for going concern opinion discussed earlier in the exact phrase slot and select “all companies”, the time period, paragraph, and 10Ks, and get the result in seconds.
- ◆ The graph in the next slide shows an interesting result – not all such companies received GC opinions.
- ◆ Why is that? What about audit quality?
- ◆ Many interesting research questions emanate from this result.
- ◆ Also, one can explore the nature of business and industries of these companies without any efforts with [Seek iNF](#).
- ◆ Srivastava and Mock (2015) are working on this aspect of the study.

Example 4: Graph of “We may never become profitable” with GC Opinions by Year



Example 5: Proximity Search - Find Executive Compensation

Two or more words within
a number of words
and

Download Results in Excel and html Files

SeekINSMF

Example 5: Executive Compensation

- ◆ Proximity Search feature provides **another powerful tool** to capture needed information that is not available from any other source.
- ◆ Two examples are discussed here to illustrate the process.
 - ❖ **Example 5:** Executive compensation
 - ❖ **Example 6:** Board members and their bios.
- ◆ This illustration should help you how to identify the right combination of words and phrases to get exactly what you want.

Example 5: Find Executive Compensation Tables from DEF 14A

By looking at several samples of executive compensation tables in DEF 14A for a pattern, and trying various different combinations of words and phrases, the two words 'salary' and 'bonus' within 2 words using **Proximity Search** got the result. Here are the detailed steps:

- ◆ **Step 1:** Type salary bonus in the **Proximity Search** slot separated by a space, and input 2 for how many words in between
- ◆ **Step 2:** Keep the default setting "All" in the COMPANY slot with the year 2015,
- ◆ **Step 3:** Select **Table**; **Step 4:** Select **DEF 14A (Proxy statement)**
- ◆ **Step 5:** Click on **SUBMIT** button
- ◆ Next slide shows the screenshot of the display window for one of the companies.
- ◆ The slide following the next one represents the bonus table in Excel file downloaded directly by clicking on menu item **Download Table in CVS** on the top menu bar above the display window on the right.
- ◆ The above slide is followed by a set of slides describing the process of submitting a **Request Form** to download the data in Excel and html files.

Example 5: Input Information in Seek iNF for Executive Compensation

STEP 1: Please enter Phrase(s)/Keyword(s) you wish to search:

With the exact phrase:

The following features are for Single Phrase/Word only: (In case of Multiple Phrases/Words, please use the **Request Form** to submit the request.)

Phrase/Word Counter

Display words before & after

Number of words before: Number of words After:

Proximity Search:

Please input within how many words:

With all of the words:

With at least one of the words:

Without the words:

STEP 2: Please select the options below (Default - ALL):

COMPANY:

From: To:

SIC (Optional):

STEP 3: Please select the search Resolution here:

- Paragraph(All)
- Table
- Footnote
- Audit Report
- SOX 404 Mgt Report
- SOX 404 Audit Report
- MD&A

STEP 4: Please select the Document(s) you want to search here:

- All
- Select (Please [CLICK HERE](#) for Filing Description): Un-Check All
- Annual Reports** Check All Annual Reports Un-Check All Annual Reports
 - 10-K 10-KT 10-K405 10KT405 10KSB 10KSB40
 - 10-K/A 10-KT/A 10-K405/A 10KT405/A 10KSB/A 10KSB40/A
- Quarterly Reports & Annual Reports Foreign**
 - 10-Q 10-QT 10QSB 20-F 40-F
 - 10-Q/A 10-QT/A 10QSB/A 20-F/A 40-F/A
- Current Reports/Disclosures/Registrations**
 - 8-K 6-K S-1 SC 13D SC 13G
 - 8-K/A 6-K/A S-1/A SC 13D/A SC 13G/A
- Ownership & Ownership Money Managers**
 - Form 3 Form 4 Form 5 13F-HR 13F-NT
 - Form 3/A Form 4/A Form 5/A 13F-HR/A 13F-NT/A
- Proxies & IPO Filings**
 - DEF 14A 424B1 424B3 424B5 424B8
 - DEFA14A 424B2 424B4 424B7
- Other Filings**
 - N-CSR N-CSRS CORRESP (Comment Letters) AAER**
 - N-CSR/A N-CSRS/A UPLOAD (Response Letters)
- Exhibits & Shareholders Letters**
 - PRESS RELEASE SHAREHOLDERS MEETINGS EXHIBIT 95 (10-K)
 - CONFERENCE CALLS SHAREHOLDERS LETTER* EXHIBIT 21 (10-K)
 - OTHER 8-K EX
- Public Company Accounting Oversight Board**
 - INSPECTION REPORTS** SETTLED DISCIPLINARY ORDERS**
 - ADJUDICATED DISCIPLINARY ACTIONS**

*Beta Version: We are working on improving the accuracy of the letters

**AAER & PCAOB do not have CIK's, they have File number and Firm number respectively

Example 5: Executive Compensation Table in Display Window

STEP 5: SUBMIT

1 - 20 of 3681 < >

Download Results

DS HEALTHCARE GROUP, INC.

CIK :1463959
SIC :2844
File Type :DEF 14A
File Date :12-31-2015

BUTLER NATIONAL CORP

CIK :15847
SIC :7990
File Type :DEF 14A
File Date :12-30-2015

VARIAN MEDICAL SYSTEMS INC

CIK :203527
SIC :3845
File Type :DEF 14A
File Date :12-30-2015

MTS SYSTEMS CORP

CIK :68709
SIC :3829
File Type :DEF 14A
File Date :12-30-2015

MISONIX INC

CIK :880432
SIC :3821
File Type :DEF 14A
File Date :12-30-2015

SIMULATIONS PLUS INC

CIK :1023459
SIC :7373
File Type :DEF 14A
File Date :12-29-2015

CARDICA INC

CIK :1178104
SIC :3841
File Type :DEF 14A
File Date :12-29-2015

[View File](#)

[Download Raw File](#)

[Compare](#)

[Download Table in CSV](#)

Name and Principal Position	Year	Salary (\$)	Bonus (\$)	Stock Awards (\$)	Option Awards and Stock Appreciation Rights (\$)	Non-Equity Incentive Plan Compensation (\$)	Change in Pension Value and Nonqualified Deferred Compensation Earnings(\$)	All Other Compensation (\$)(1)	Total (\$)(2)
Clark D. Stewart, CEO	2015	458	---	---	---	---	---	79	537
President and Director	2014	396	---	---	---	---	---	46	442
	2013	477	9	---	---	---	---	39	525
R. Warren Wagoner	2015	---	---	---	---	---	---	---	---
Director - Chairman of the Board	2014	75	---	---	---	---	---	10	85
	2013	269	5	---	---	---	---	15	289
Craig D. Stewart	2015	246	---	---	---	---	---	40	286
Vice President and Chief Financial Officer	2014	210	---	---	---	---	---	46	256
Officer	2013	214	6	---	---	---	---	44	264
	2015	244	10	---	---	---	---	23	277
Vice President and Secretary	2014	227	---	---	---	---	---	23	250
	2013	230	23	---	---	---	---	26	279

Example 5: Submit Request Form to Download Executive Compensation Tables

1. In order to download all the addresses in an Excel file, you need to submit a data request by selecting **Request Form** from the top menu bar of the Seek iNF webpage and filling out the details of the data needs (see below and subsequent slides).


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2. After you submit the **Request Form**, the system will acknowledge the receipt through email and send you another email with a zipped file of the data. In this case, the zipped file contains the data in two formats, CSV and html.

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Example 5: Steps in Submitting the Request Form

3. After selecting **Request Form**, you need to select **Snippet Download/Multiple Phrases/Proximity Search** from the next page (see below).



The screenshot shows the SeekINF website interface. At the top, there is a navigation menu with links: HOME, ABOUT US, SEEK INF, FRAANK, FAQs, CONTACT US, and Welcome Srivastava. Below this is a secondary menu with links: Recent Press and Other Releases, 10-K Exhibit 21(Subsidiaries), Search, Request Form, Special Request, and Guidelines and Examples. The 'Request Form' link is highlighted in red. Below the navigation menu, there is a section titled 'Click below to DOWNLOAD' with five options: Multiple Phrases/Proximity Search, Words before and after a Single Phrase, Phrase(s)/Word(s) Count, Proximity Count, and File Analysis. The 'Multiple Phrases/Proximity Search' option is highlighted in yellow and has a red arrow pointing to it. Below the options, there is a text box that says 'Download Snippets of Multiple Phrases or Proximity search criteria.' At the bottom, there is a disclaimer: 'Please note that this is a BETA version, the testing is still in progress. Please email us if you find any bugs or have any concerns at seekedgar@gmail.com. Thank you.' and the signature '- SeekEdgar Tech Team'.

HOME | ABOUT US | **SEEK INF** | FRAANK | FAQs | CONTACT US | Welcome Srivastava ▾

Recent Press and Other Releases | 10-K Exhibit 21(Subsidiaries) | Search | **Request Form** | Special Request | Guidelines and Examples

Click below to DOWNLOAD

Multiple Phrases/Proximity Search | Words before and after a Single Phrase | Phrase(s)/Word(s) Count | Proximity Count | File Analysis

Download Snippets of Multiple Phrases or Proximity search criteria.

Please note that this is a BETA version, the testing is still in progress. Please email us if you find any bugs or have any concerns at seekedgar@gmail.com. Thank you.

- SeekEdgar Tech Team

4. After you select the option, you need to fill out the request form as given next.

Example 5: Steps in Submitting the Request Form

Name: Rajendra Srivastava
 Email: seekedgar@gmail.com
 Title: Professor
 University/Company: University of Kansas

Enter the information you want to search for:

STEP 1: Please enter Phrase(s)/Keyword(s) you wish to search:

With the exact phrase:

Proximity Search:
 Please input within how many words:

With all of the words:

With atleast one of the words:

Without the words:

STEP 2: Please select the options below (Default - ALL):

COMPANY: All Name

From: To*:

*(Beta Version : The time period is limited to five years maximum.)

SIC: (optional)

STEP 3: Please select the search Resolution here:

- Paragraph(All)
- Table
- Footnote
- Audit Report
- SOX 404 Mgt Report
- SOX 404 Audit Report
- MD&A

STEP 4: Please select the Document(s) you want to search here:

All
 Select:

Annual Reports

10-K 10-KT 10-K405 10-KT405 10-KSB 10-KS340
 10-K/A 10-KT/A 10-K405/A 10-KT405/A 10-KSB/A 10-KS340/A

Quarterly Reports & Annual Reports Foreign

10-Q 10-QT 10-QSB 10-QF 10-Q/A
 10-Q/A 10-QT/A 10-QSB/A 10-QF/A 10-Q/A

Current Reports/Disclosures/Registrations

8-K 6-K S-1 SC 13D SC 13G
 8-K/A 6-K/A S-1/A SC 13D/A SC 13G/A

Ownership & Ownership Money Managers

Form 3 Form 4 Form 5 13F-HR 13F-NT
 Form 3/A Form 4/A Form 5/A 13F-HR/A 13F-NT/A

IPO Filings

424B 424B3 424B5 424B8
 424B2 424B4 424B7

Proxies & Other Filings

DEF 14A CORRESP(Comment Letters) UPLOAD(Response Letters) AAER
 DEFA14A

Exhibits & Shareholders Letters

PRESS RELEASE SHAREHOLDERS MEETING EXHIBIT 95(10-K)
 CONFERENCE CALLS SHAREHOLDERS LETTER EXHIBIT 21(10-K)
 OTHER 8-K EX

Filled out Request Form with specific data needs

Step 5: Submit

Seek[↑]INFSM

Example 5: Steps in Submitting the Request Form

Message related to **Request Form** after submission

[HOME](#)[ABOUT US](#)[SEEK INF](#)[FRAANK](#)[FAQs](#)[CONTACT US](#)[Welcome Srivastava ▾](#)[Recent Press and Other Releases](#)[10-K Exhibit 21\(Subsidiaries\)](#)[Search](#)[Request Form](#)[Special Request](#)[Guidelines and Examples](#)

Click below to **DOWNLOAD**

[Multiple Phrases/Proximity Search](#)[Words before and after a Single Phrase](#)[Phrase\(s\)/Word\(s\) Count](#)[Proximity Count](#)[File Analysis](#)

Please note that this is a BETA version, the testing is still in progress. Please email us if you find any bugs or have any concerns at seekedgar@gmail.com. Thank you.

- SeekEdgar Tech Team

Thank you for submitting the request. You would receive an email shortly with the information you requested, for your reference. Please wait until you receive the results before submitting another request. Our system processes only one request per user at a time.

Example 5: Steps in Submitting the Request Form

Your Request for SeekEdgar

Inbox x



seekedgartech@gmail.com

3:54 PM (23 hours ago)

to me, me

Hi Rajendra Srivastava,

You have requested for MultiplePhrase with the following search information.

Proximity Search : salary bonus **Within** : 2

Company : 1463959 15847 203527 68709 880432 1023459 1178104 33619 783412 825324

From : 2015 **To** : 2015

Resolution Type : table

Filings : DEF14A

Thank you for your request. We will complete your search request and get back to you with results as soon as possible.

Please wait until you receive the results before submitting another request. Our system processes only one request per user at a time.

Thank you,
SeekEdgar Team.

Email Confirming the Receipt of the Request Form

Example 5: Data Received in a Zipped File

Email informing that the requested data is ready to be downloaded.

Your Request for SeekEdgar

Inbox x



seekedgartech@gmail.com

3:57 PM (23 hours ago)



to me, naaser06

Hi Rajendra Srivastava,

Your requested has been **completed**.

Please **copy and paste** the link below in the browser address window to download the **Result Folder**:

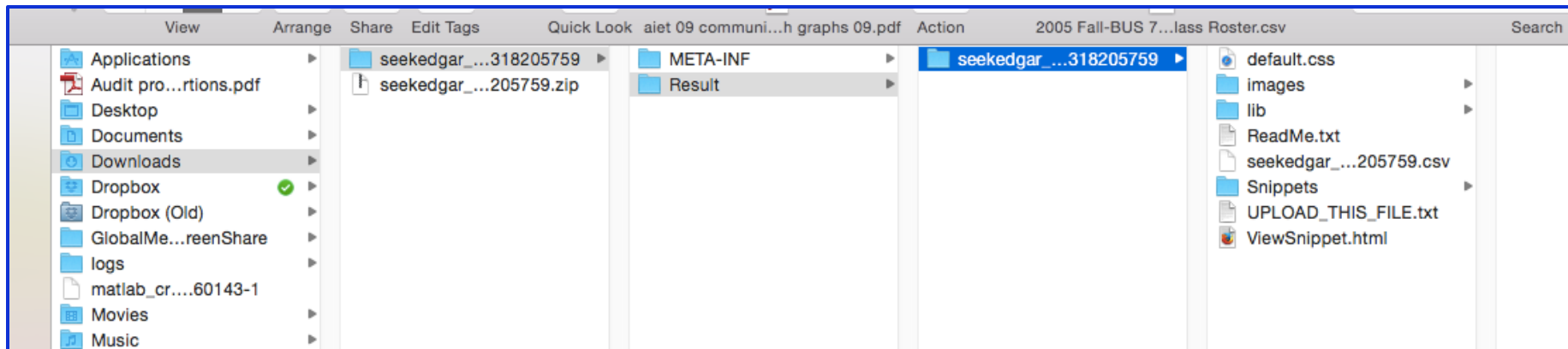
https://www.seekinf.net:8443/download.jsp?file=seekedgar_20160318205759.zip

Thank you,
SeekEdgar Team.

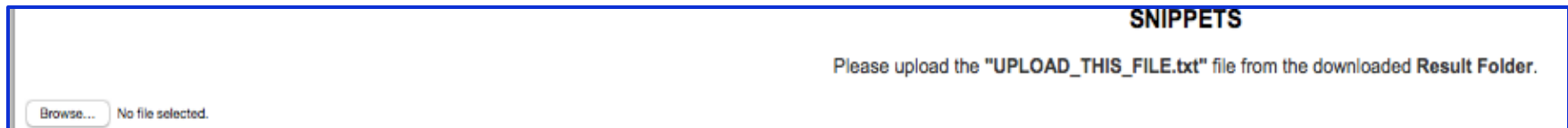
The above process will download the data. Save it in your computer. The data is in a zipped folder. Unzip the folder, open it and follow the steps given in the next slide.

Example 5: Download Executive Compensation Tables using Request Form

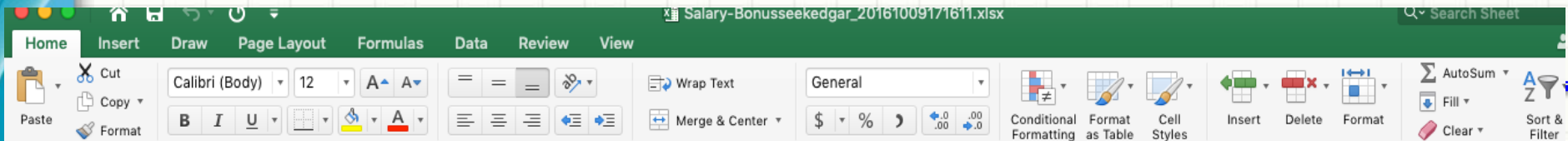
1. Here is a screenshot after unzipping the downloaded file:



2. As you can see above, the last column contains the data in two formats, CSV and html (UPLOAD_THIS_FILE.txt). You can open the CSV file in Excel by just clicking on it. But for the html file you need to first open ViewSnippet.html and then open UPLOAD_THIS_FILE.txt as shown below.



SeekingINFSM



H11

CIK	COMPANY NAME	SIC	FILING DATE	FILE TYPE	SEC LINK	SNIPPET NUMBER														
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1			Jack Heilbron		Larry Dubose		Kenneth Elsberry							
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1			Base Salary	\$	308,711	\$	62,500	\$	205,962					
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1			Cash Bonus		150,000		75,000		106,000					
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1			Stock		145,000		75,000		104,000					
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1			Other		85,049		23,974		21,885					
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1			Total Compensation	\$	688,760	\$	236,474	\$	437,847					
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1			Peer Group Average	\$	2,579,000	\$	590,000	\$	1,175,000					
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2			Name and Principal Position	Year	Salary		Bonus (1)		Stock Awards (2)		Options Awa	All Other Compensation (+ Total		
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2			Larry G. Dubose	2015	\$	62,500	\$	62,500	\$	75,000	\$	75,000	23,974 \$	
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2			CFO and Treasurer of NetREIT Du	2014		266,863		10,000		60,000		30,343		
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2			Kenneth W. Elsberry	2015		209,923		106,000				21,884		
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2			Chief Financial Officer	2014		198,041		80,000				19,816		
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2			Jack K. Heilbron	2015		308,711						85,049		
1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2			Chairman of the Board, President	2014					100,000			78,749		
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Joshua H. Levine,	2016				4,365,000	0	156,787	24,558	5,228,533		
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			President and Chief Executive	2015				2,974,500	0	333,890	30,567	4,001,438		
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Officer	2014				3,270,250	0	857,592	18,401	4,783,762		
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Kevin Waters,(5)	2015				1,450,525	0	39,594	9,972	1,844,066		
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Senior Vice President,	2014				0	0	0	0	0		
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Officer	2016		417,500		0	1,631,550	0	55,988	4,557	2,109,595	
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Officer	2015		401,539		0	640,245	0	118,052	5,226	1,165,062	
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Officer	2014		368,077		0	342,000	0	310,240	7,077	1,027,394	
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Officer	2016		320,711		0	1,091,250	0	33,835	5,643	1,451,439	
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Senior Vice President,	2015		276,058		37,500	-6)	121,350	0	57,972	5,081	497,961
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			General Counsel and Corporate	2014		255,574		37,500	-6)	331,193	0	99,112	8,893	732,272
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Secretary	2016				0	0	0	0	273,571	419,132	
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Gregory Lichtwardt,(7)	2015		145,561		0	0	0	0	614	1,081,643	
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Executive Vice President,	2014		390,116		0	576,219	0	114,694	614	1,081,643	
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Operations and Chief Financial	2014		292,989	-8)	0	1,794,375	0	255,671	631	2,343,666	
1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1			Officer											

Example 5: Executive Compensation Tables in html Format

Example 5: Executive Compensation Tables in html Format

CIK	COMPANY NAME	SIC	FILE TYPE	FILE DATE	SEC LINK	SNIPPET																																			
1463969	DS HEALTHCARE GROUP, INC.	2844	DEF 14A	12-31-2015	SEC Link	<table border="1"> <thead> <tr> <th>Name/Principal Position</th> <th>Year</th> <th>Salary (\$)</th> <th>Bonus (\$)</th> <th>Stock Awards</th> <th>Options (\$)</th> <th>Non-Equity Incentive Plan Co</th> </tr> </thead> <tbody> <tr> <td>Daniel Khesin,</td> <td>2014</td> <td>\$250,000(2)</td> <td>---</td> <td>---</td> <td>---</td> <td>---</td> </tr> <tr> <td>Chief Executive Officer and Chief Financial Officer</td> <td>2013</td> <td>\$169,922</td> <td>---</td> <td>---</td> <td>---</td> <td>---</td> </tr> <tr> <td>Michael Paul Strong,</td> <td>2013(1)</td> <td>\$102,000</td> <td>---</td> <td>---</td> <td>---</td> <td>---</td> </tr> <tr> <td>Vice President</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Name/Principal Position	Year	Salary (\$)	Bonus (\$)	Stock Awards	Options (\$)	Non-Equity Incentive Plan Co	Daniel Khesin,	2014	\$250,000(2)	---	---	---	---	Chief Executive Officer and Chief Financial Officer	2013	\$169,922	---	---	---	---	Michael Paul Strong,	2013(1)	\$102,000	---	---	---	---	Vice President						
Name/Principal Position	Year	Salary (\$)	Bonus (\$)	Stock Awards	Options (\$)	Non-Equity Incentive Plan Co																																			
Daniel Khesin,	2014	\$250,000(2)	---	---	---	---																																			
Chief Executive Officer and Chief Financial Officer	2013	\$169,922	---	---	---	---																																			
Michael Paul Strong,	2013(1)	\$102,000	---	---	---	---																																			
Vice President																																									
15847	BUTLER NATIONAL CORP	7990	DEF 14A	12-30-2015	SEC Link	<table border="1"> <thead> <tr> <th rowspan="2">Name and Principal Position</th> <th rowspan="2">Year</th> <th colspan="3">Option Awards and</th> <th rowspan="2">Rights</th> <th rowspan="2">Non-Equity Incentive Plan Compensation</th> <th rowspan="2">Change in Pension Value and Nonqualified Deferred Compensation Earnings(\$)</th> <th rowspan="2">All Other Compensation (\$)(1)</th> <th rowspan="2">Totals</th> </tr> <tr> <th>Stock Awards</th> <th>Appreciation</th> <th>Non-Equity Incentive</th> </tr> <tr> <th></th> <th></th> <th>Salary (\$)</th> <th>Bonus (\$)</th> <th>Awards (\$)</th> <th></th> <th></th> <th></th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>Clark D. Stewart, CEO</td> <td>2015</td> <td>458</td> <td>---</td> <td>---</td> <td>---</td> <td>---</td> <td>---</td> <td>---</td> <td>79</td> </tr> </tbody> </table>	Name and Principal Position	Year	Option Awards and			Rights	Non-Equity Incentive Plan Compensation	Change in Pension Value and Nonqualified Deferred Compensation Earnings(\$)	All Other Compensation (\$)(1)	Totals	Stock Awards	Appreciation	Non-Equity Incentive			Salary (\$)	Bonus (\$)	Awards (\$)						Clark D. Stewart, CEO	2015	458	---	---	---	---	---	---	79		
Name and Principal Position	Year	Option Awards and			Rights	Non-Equity Incentive Plan Compensation			Change in Pension Value and Nonqualified Deferred Compensation Earnings(\$)	All Other Compensation (\$)(1)	Totals																														
		Stock Awards	Appreciation	Non-Equity Incentive																																					
		Salary (\$)	Bonus (\$)	Awards (\$)																																					
Clark D. Stewart, CEO	2015	458	---	---	---	---	---	---	79																																
203527	VARIAN MEDICAL SYSTEMS INC	3845	DEF 14A	12-30-2015	SEC Link	<table border="1"> <thead> <tr> <th rowspan="2">Name</th> <th colspan="3">Target</th> <th colspan="3">Maximum (the lesser of the following)</th> </tr> <tr> <th>As a % of base salary</th> <th>As a % of base salary</th> <th>As a % of MIP Bonus Pool</th> <th>As a % of base salary</th> <th>As a % of base salary</th> <th>As a % of MIP Bonus Pool</th> </tr> </thead> <tbody> <tr> <td>Dow R. Wilson</td> <td>120%</td> <td>240%</td> <td>41%</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Elisha W. Finney</td> <td>83%</td> <td>166%</td> <td>18%</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Kolleen T. Kennedy</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Name	Target			Maximum (the lesser of the following)			As a % of base salary	As a % of base salary	As a % of MIP Bonus Pool	As a % of base salary	As a % of base salary	As a % of MIP Bonus Pool	Dow R. Wilson	120%	240%	41%				Elisha W. Finney	83%	166%	18%				Kolleen T. Kennedy							
Name	Target			Maximum (the lesser of the following)																																					
	As a % of base salary	As a % of base salary	As a % of MIP Bonus Pool	As a % of base salary	As a % of base salary	As a % of MIP Bonus Pool																																			
Dow R. Wilson	120%	240%	41%																																						
Elisha W. Finney	83%	166%	18%																																						
Kolleen T. Kennedy																																									

Example 6: Proximity Search - Find Names of Executives

Two or more words within
a number of words
and

Download Results in Excel and html Files

Example 6: Find Executive Bios from DEF 14A (Proxy Statement)

By trying various different combinations of words, 'Name' and 'Age' in Proximity search within 2 words worked the best. Here are the specifics:

- ◆ **Step 1:** Type **Name Age** in “Proximity Search” within 2 words.
- ◆ **Step 2:** Select “All” the default in COMPANY slot, the period **2015 - 2015**.
- ◆ **Step 3:** Select **Table**; **Step 4:** Select **DEF 14A**
- ◆ **Step 5:** Click **SUBMIT** button
- ◆ Next page shows a screenshot of the display window for one of the companies.

Example 6: Executive Bios Snippet and in Excel File

Screenshot of the display window for Executive Bios of the first Company

1 - 20 of 3232 < >

Download Results

DS HEALTHCARE GROUP, INC.
 CIK :1463959
 SIC :2844
 File Type :DEF 14A
 File Date :12-31-2015

LMP CORPORATE LOAN FUND INC.
 CIK :1068963
 SIC :3470
 File Type :DEF 14A
 File Date :12-30-2015

Prudential Short Duration High Yield Fund, Inc.
 CIK :1534880
 SIC :7389
 File Type :DEF 14A
 File Date :12-30-2015

Name	Age	Positions	Director Since
Daniel Khesin (1)	34	Chairman of the Board	2007
Michael Pope	34	Director	2015
Dianne Rosenfeld	51	Director	2015
Karl Sweis	55	Director	2015


The above Table in Excel using the menu item **Download Table in CSV** at the top menu bar above the display window

	A	B	C	D	E
1	COMPANY NAME	CIK	SIC	FILE TYPE	FILING DATE
2	DS HEALTHCARE GROUP, INC.	1463959	2844	DEF14A	20151231
3					
4	TABLE SNIPPET -- 1				
5					
6	Name	Age	Positions	Director Since	
7	Daniel Khesin (1)	34	Chairman of the Board	2007	
8	Michael Pope	34	Director	2015	
9	Dianne Rosenfeld	51	Director	2015	
10	Karl Sweis	55	Director	2015	
11					

Example 6: Download all Executive Bios data using Request Form

- ◆ To download all the tables in Excel and in html format, you need to submit a **Request Form** similar to Example 5.
- ◆ After submitting the **Request Form**, the system will acknowledge the receipt of the request and send you another email with a zipped file of the data. The second email may take from few minutes to several hours depending on the size of the data requested. [Here is the email with the zipped file for the current example.](#)

Your Request for SeekEdgar Inbox x

 **seekedgartech@gmail.com** 6:42 PM (52 minutes ago) ☆
to me, naaser06 ▾

Hi Rajendra Srivastava,

Your requested has been **completed**.

Please **copy and paste** the link below in the browser address window to download the **Result Folder**:

http://www.seekinf.net:8443/download.jsp?file=seekedgar_20160318234248.zip

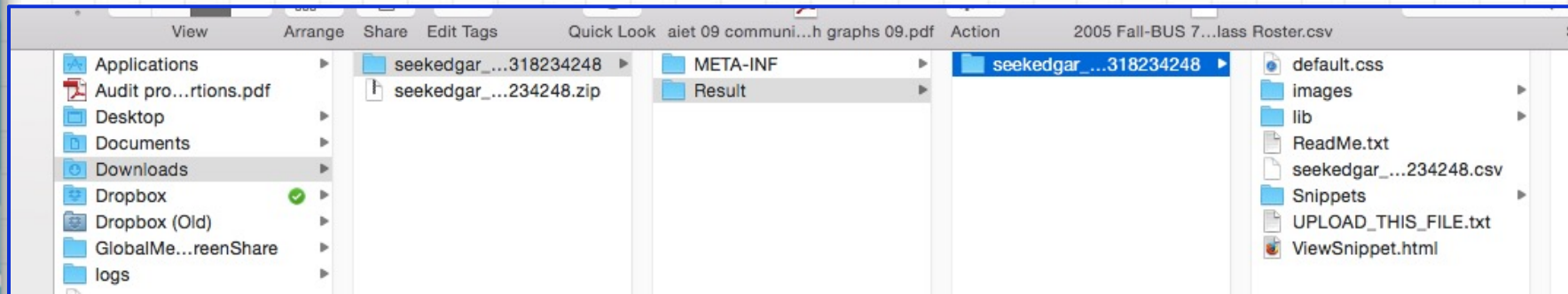
Thank you,
SeekEdgar Team.

After submitting the Request Form, the system sends the zipped data file through email.

SeekINSMF

Example 6: Steps to Retrieve Executive Bios using Request Form

1. Unzip the downloaded zipped file and open the folders until you see the CSV file as shown below.



2. From the last column above open the CSV file in Excel by clicking on it. Part of the result is shown below.

	A	B	C	D	E	F	G	H	I	J	K
1	CIK	COMPANY NAME	SIC	FILING DATE	FILE TYPE	SEC LINK	TABLE SNIPPET NUMBER				
2											
3	1463959	DS HEALTHCARE GROUP, IN	2844	12/31/15	DEF 14A	http://www.	Table-1	Name	Age	Positions	Director Since
4	1463959	DS HEALTHCARE GROUP, IN	2844	12/31/15	DEF 14A	http://www.	Table-1	Daniel Khesin (1)	34	erman of the B	2007
5	1463959	DS HEALTHCARE GROUP, IN	2844	12/31/15	DEF 14A	http://www.	Table-1	Michael Pope	34	Director	2015
6	1463959	DS HEALTHCARE GROUP, IN	2844	12/31/15	DEF 14A	http://www.	Table-1	Dianne Rosenfeld	51	Director	2015
7	1463959	DS HEALTHCARE GROUP, IN	2844	12/31/15	DEF 14A	http://www.	Table-1	Karl Sweis	55	Director	2015

Example 6: Steps to Retrieve Executive Bios using Request Form

- Similar to Example 5, to open the html data file, you need to first open ViewSnippet.html in the last column of the unzipped folder as shown in the previous slide and then open UPLOAD_THIS_FILE.txt. The downloaded table is shown below for the first company.

CIK	COMPANY NAME	SIC	FILE TYPE	FILE DATE	SEC LINK	SNIPPET																				
1463959	DS HEALTHCARE GROUP, INC.	2844	DEF 14A	12-31-2015	SEC Link	<table border="1"> <thead> <tr> <th>Name</th> <th>Age</th> <th>Positions</th> <th>Director Since</th> </tr> </thead> <tbody> <tr> <td>Daniel Khesin (1)</td> <td>34</td> <td>Chairman of the Board</td> <td>2007</td> </tr> <tr> <td>Michael Pope</td> <td>34</td> <td>Director</td> <td>2015</td> </tr> <tr> <td>Dianne Rosenfeld</td> <td>51</td> <td>Director</td> <td>2015</td> </tr> <tr> <td>Karl Sweis</td> <td>55</td> <td>Director</td> <td>2015</td> </tr> </tbody> </table>	Name	Age	Positions	Director Since	Daniel Khesin (1)	34	Chairman of the Board	2007	Michael Pope	34	Director	2015	Dianne Rosenfeld	51	Director	2015	Karl Sweis	55	Director	2015
Name	Age	Positions	Director Since																							
Daniel Khesin (1)	34	Chairman of the Board	2007																							
Michael Pope	34	Director	2015																							
Dianne Rosenfeld	51	Director	2015																							
Karl Sweis	55	Director	2015																							

Example 7:

Search with few words before and few words after a phrase and
Download Results in Excel

Example 7(a): Find **Business addresses** from 10Ks

Example 7(b): Find **Fiscal Year End** from 10Ks

Example 7(a): Find Business addresses from 10Ks

- ◆ **Step 1:** Type the phrase **Business Address** in “**With the exact phrase**” slot and check the option **Display words before and after** with **0** before and **21** after the phrase (the search process is insensitive to upper or lower cases).
- ◆ **Step 2:** copy and paste a list of **CIKs** (e.g., 1145255 1028215 1305014 875582 276720 22444 6955 717954 1385508 1324772 19446 1403676 1379006 1553643 57725 1464165 82473 1508381 1029581 1303330 12239) in the slot of **COMPANY** separated by a space and select the desired time frame, say **2015**.
- ◆ **Step 3:** Select **Paragraph (All)**; **Step 4:** Select **10K**
- ◆ **Step 5:** Click **SUBMIT** button
- ◆ Next two pages show the input and output of information followed by a description on how to download all the results in an Excel file through **Request Form**.

STEP 1: Please enter Phrase(s)/Keyword(s) you wish to search:

With the exact phrase(s):

The following features are for Single Phrase/Word only: (In case of Multiple Phrases/Words, please use the [Request Form](#) to submit the request.)

Phrase/Word Counter

Display words before & after

Works only for SINGLE Phrase/Word

Number of words before: Number of words After:

Proximity Search:

Please input within how many words:

With all of the words:

With at least one of the words:

Without the words:

STEP 2: Please select the options below (Default - ALL):

COMPANY:

From: To:

SIC (Optional):

STEP 3: Please select the search Results:

- Paragraph(All)
- Footnote
- MD&A
- Table
- Audit Report

STEP 4: Please select the Document(s) you want to search here:

- All
- Select (Please see [Filing Description](#) for more information): Un-Check All
- Annual Reports** Check All Annual Reports Un-Check All Annual Reports
 - 10-K 10-KT 10-K405 10KT405 10KSB 10KSB40
 - 10-K/A 10-KT/A 10-K405/A 10KT405/A 10KSB/A 10KSB40/A
- Quarterly, Current & Foreign Annual Reports**
 - 10-Q 10-QT 10QSB 8-K 6-K 20-F 40-F
 - 10-Q/A 10-QT/A 10QSB/A 8-K/A 6-K/A 20-F/A 40-F/A
- Proxies & Registrations**
 - DEF 14A DEFM14A S-1 S-4 15-12B
 - DEFA14A DEFM14C S-1/A S-4/A 15-12P
 - 15-12D 15F-12B 15F-12G 15F-12D 15-12D/A
 - 15-12D/A 15F-12B/A 15F-12G/A 15F-12D/A
- Ownership & Prospectuses**
 - Form 3 Form 4 Form 5 424B5
 - Form 3/A Form 4/A Form 5/A 424B4 424B7
 - 13F-HR 13F-NT SC 424B8
 - 13F-HR/A 13F-NT/A 13G/A
- Other Filings**
 - N-CSR NSAR-A NSAR-AT NSAR-B
 - N-CSR/A NSAR-A/A NSAR-AT/A NSAR-B/A
 - NSAR-U/A N-Q SD CORRESP (Comment Letters)
 - 11-K 11-K/A SD/A UPLOAD (Response Letters)
 - CT ORDER
- 10-Q & 8-K Exhibits & Shareholders Letters**
 - PRESS RELEASE*
 - SHAREHOLDERS MEETINGS*
 - CONFERENCE CALLS*
 - OTHER 8-K EX
 - SHAREHOLDERS LETTER*
 - EXHIBIT 21 (10-K & 10-Q)
 - EXHIBIT 95 (10-K & 10-Q)
 - EXHIBIT 10 (10-K)
 - EXHIBIT 10 (10-Q)
 - EXHIBIT 99 (10-K)
 - EXHIBIT 99 (10-Q)
 - ITEM 1A (10-K)
- Public Company Accounting Oversight Board**
 - INSPECTION REPORTS**
 - SETTLED DISCIPLINARY ORDERS**
 - ADJUDICATED DISCIPLINARY ACTIONS**

Example 7(a): Find Business addresses from 10Ks

* These extraction are from various filings, filed by companies to the SEC website and not from company websites.
** AAER & PCAOB do not have CIK's, they have File number and Firm number respectively

STEP 5: SUBMIT

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Example 7(a): Output display for Business address from 10K

1 - 20 of 21 < >

Download Results

HENNESSY ADVISORS INC
 CIK :1145255
 SIC :6282
 File Type :10-K
 File Date :11-30-2015
 Filename :0001193125-15-390818.txt

KMG CHEMICALS INC
 CIK :1028215
 SIC :2800
 File Type :10-K
 File Date :11-27-2015
 Filename :0001564590-15-011146.txt

ASHLAND INC.
 CIK :1305014
 SIC :5160
 File Type :10-K
 File Date :11-20-2015
 Filename :0001305014-15-000119.txt

NORTHERN TECHNOLOGIES INTERNATIONAL CORP
 CIK :875582
 SIC :3470
 File Type :10-K
 File Date :11-13-2015
 Filename :0001171843-15-006334.txt

PURE CYCLE CORP
 CIK :276720
 SIC :4941
 File Type :10-K
 File Date :11-09-2015
 Filename :0001199073-15-000130.txt

COMMERCIAL METALS CO
 CIK :22444
 SIC :3312
 File Type :10-K
 File Date :10-30-2015
 Filename :0000022444-15-000023.txt

ACTUANT CORP
 CIK :6955
 SIC :3590
 File Type :10-K
 File Date :10-28-2015
 Filename :0000006955-15-000046.txt

UNIFIRST CORP
 CIK :717954
 SIC :7200

HENNESSY ADVISORS INC CIK: 1145255 TYPE: 10-K DATE: 11-30-2015

View File Download Raw File Cosine Similarity/Word Variation Raw Non Dollar Values in CSV Raw Dollar Values in CSV

BUSINESS ADDRESS: STREET 1: 7250 REDWOOD BLVD. STREET 2: SUITE 200 CITY: NOVATO STATE: CA ZIP: 94945 BUSINESS PHONE: 415-899-1555 MAIL

Word Distribution:

Download Distribution Download File Analysis

FILE ANALYSIS	
Total Word Count (TWC)	37186
Total Word Count without numerics (TWCWN)	34148
Sentence Count	990
Gunning-Fog Index	24.4
Smog Index	20.723
Flesch Reading Ease	16.398
Flesch-Kincaid Grade Level	19.55
Automated Readability Index	21.097
Coleman-Liau Index	15.793

RISK SENTIMENT ANALYSIS				
RISK TYPE	COUNT (NR)	LN(1+NR)	NR PERCENT TWC	NR PERCENT TWCW
RS Feng Li	55	4.025	0.148	0.161
RS Financial	180	5.198	0.484	0.527
RS Litigation	145	4.984	0.39	0.425
RS Tax	88	4.489	0.237	0.258
RS Systematic	270	5.602	0.726	0.791
RS Idiosyncratic	388	5.964	1.043	1.136
RS Overall	1071	6.977	2.88	3.136

Example 7(a): Submitting a Request Form for downloading the Result

1. In order to download all the addresses in an Excel file, you need to submit a data request by selecting **Request Form** from the top menu bar of the Seek iNF webpage and filling out the details of the data needs (see below and subsequent slides).

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Example 7(a): Steps in Submitting the Request Form

2. On the next page, you need to select **Snippet Download/Single Phrase** (see below).

The screenshot shows the SeekINF website interface. At the top, there is a navigation bar with links: HOME, ABOUT US, SEEK INF, FRAANK, FAQs, CONTACT US, and Welcome Srivastava. Below this is a secondary navigation bar with links: Recent Press and Other Releases, 10-K Exhibit 21(Subsidiaries), Search, Request Form, Special Request, and Guidelines and Examples. The main content area features a section titled "Click below to DOWNLOAD" with five options: Multiple Phrases/Proximity Search, Words before and after a Single Phrase, Phrase(s)/Word(s) Count, Proximity Count, and File Analysis. A red arrow points to the "Words before and after a Single Phrase" option. Below the options, there is a text box that says "Download Snippets of Words before and after a Single Phrase search criteria." At the bottom, there is a disclaimer: "Please note that this is a BETA version, the testing is still in progress. Please email us if you find any bugs or have any concerns at seekedgar@gmail.com. Thank you." and a signature: "- SeekEdgar Tech Team".

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Multiple Phrases/Proximity Search | **Words before and after a Single Phrase** | **Phrase(s)/Word(s) Count** | **Proximity Count** | **File Analysis**

Download Snippets of Words before and after a Single Phrase search criteria.

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- SeekEdgar Tech Team

3. After you select the option, you need to fill out the request form as given next.

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Example 7(a): Steps in Submitting the Request Form

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 - SeekEdgar Tech Team

Download Snippets of Words before and after a Single Phrase search criteria.

Name:
 Email:
 Title: eg: Student/Professor/Manager etc
 University/Company:

Enter the information you want to search for:

STEP 1: Please enter the Phrase/Keyword you wish to search:
 Phrase:
 20 words before and 20 words after

STEP 2: Please select the options below (Default - ALL):
 COMPANY: All, Name
 From: 1994 To*: 1998
 *(Beta Version : The time period is limited to five years maximum.)
 SIC (optional):

STEP 3: Please select the search Resolution here:

- Paragraph(All)
- Table
- Footnote
- Audit Report
- SOX 404 Mgt Report
- SOX 404 Audit Report
- MD&A

STEP 4: Please select the Document(s) you want to search here:

All
 Select:

Annual Reports

10-K	10-KT	10-K/05	10-KT405	10-KSB	10-KSB40
10-K/A	10-KT/A	10-K/05/A	10-KT405/A	10-KSB/A	10-KSB40/A

Quarterly Reports & Annual Reports Foreign

10-Q	10-QT	10-QSB	20-F	40-F
10-Q/A	10-QT/A	10-QSB/A	20-F/A	40-F/A

Current Reports, Filings, Registrations

8-K	6-K	S-1	SC 13D	SC 13G
8-K/A	6-K/A	S-1/A	SC 13D/A	SC 13G/A

Ownership & Ownership Money Managers

Form 3	Form 4	Form 5	13F-HR	13F-NT
Form 3/A	Form 4/A	Form 5/A	13F-HR/A	13F-NT/A

Proxies & IPO Filings

DEF 14A	424B1	424B3	424B5	424B8
DEFA14A	424B2	424B4	424B7	

Other Filings

N-CSR	N-CSR/S	CORRESP(Comment Letters)	AAER**
N-CSR/A	N-CSR/S/A	UPLOAD(Response Letters)	

Exhibits & Shareholders Letters

PRESS RELEASE	SHAREHOLDERS MEETING	EXHIBIT 95(10-K)
CONFERENCE CALLS	SHAREHOLDERS LETTER*	EXHIBIT 21(10-K)
OTHER 8-K EX	OTHER 6-K EX	OTHER Form 425 EX

Public Company Accounting Oversight Board

INSPECTION REPORTS**	SETTLED DISCIPLINARY ORDERS**
ADJUDICATED DISCIPLINARY ACTIONS**	

***Beta Version: We are working on improving the accuracy of the letters**
****AAER & PCAOB do not have CIK's, they have File number and Firm number respectively.**

STEP 5: Submit

Fill out the Request Form

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Example 7(a): Steps in Submitting the Request Form

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Download Snippets of Words before and after a Single Phrase search criteria.

Name

Email

Title

University/Company

Enter the information you want to search for:

STEP 1: Please enter the Phrase/Keyword you wish to search:

Phrase:

words before and words after

STEP 2: Please select the options below (Default - ALL):

COMPANY:

From: To*:

*(Beta Version : The time period is limited to five years maximum.)

SIC (optional):

STEP 3: Please select the search Resolution here:

- Paragraph(All)
- Table
- Footnote
- Audit Report
- SOX 404 Mgt Report
- SOX 404 Audit Report
- MD&A

STEP 4: Please select the Document(s) you want to search here:

All

Select:

Annual Reports

10-K 10-KT 10-K405 10-KT405 10-KSB 10-KSB40

10-K/A 10-KT/A 10-K405/A 10-KT405/A 10-KSB/A 10-KSB40/A

Quarterly Reports & Annual Reports Foreign

10-Q 10-QT 10-QSB 20-F 40-F

10-Q/A 10-QT/A 10-QSB/A 20-F/A 40-F/A

Current Reports/ Disclosures/ Registrations

8-K 6-K S-1 SC 13D SC 13G

8-K/A 6-K/A S-1/A SC 13D/A SC 13G/A

Ownership & Ownership Money Managers

Form 3 Form 4 Form 5 13F-HR 13F-NT

Form 3/A Form 4/A Form 5/A 13F-HR/A 13F-NT/A

Forms & IPC Filings

DEF 14A 424B1 424B3 424B5 424B8

DEF 14A/A 424B2 424B4 424B7

Other Filings

N-CSR N-CSR/S CORRESP(Comment Letters) AAER**

N-CSR/A N-CSR/S/A UPLOAD(Response Letters)

Exhibits & Shareholders Letters

PRESS RELEASE SHAREHOLDERS MEETING EXHIBIT 95(10-K)

CONFERENCE CALLS SHAREHOLDERS LETTER* EXHIBIT 21(10-K)

OTHER 8-K EX OTHER 6-K EX OTHER Form 425 EX

Public Company Accounting Oversight Board

INSPECTION REPORTS** SETTLED DISCIPLINARY ORDERS**

ADJUDICATED DISCIPLINARY ACTIONS**

*Beta Version: We are working on improving the accuracy of the letters
 **AAER & PCAOB do not have CIK's, they have File number and Firm number respectively

Filled out Request Form with Specific Data Needs

Step 5: Submit

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Example 7(a): Steps in Submitting the Request Form

Message related to **Request Form** after submission

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- SeekEdgar Tech Team

Thank you for submitting the request. You would receive an email shortly with the information you requested, for your reference. Please wait until you receive the results before submitting another request. Our system processes only one request per user at a time.

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Example 7(a): Steps in Submitting the Request Form

Your Request for SeekEdgar

Inbox x



seekedgartech@gmail.com

12:49 PM (40 minutes ago) ☆

to me, me, naaser06

Hi Rajendra Srivastava,

You have requested for SinglePhrase with the following search information.

With Exact Phrase : Business address

Number of Words Before : 0 **Number of Words After :** 1

Company : 1145255 1028215 1305014 875582 1385508 1324772 19446 1403676 1379006
1553643 57725 1464165 82473 1508381 12239

From : 2015 **To :** 2015

Resolution Type : p

Filings : 1

Thank you for your request. We will complete your search request and get back to you with results as soon as possible.

Please wait until you receive the results before submitting another request. Our system processes only one request per user at a time.

Thank you,
SeekEdgar Team.

Email Confirming the Receipt of the Request Form

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Example 7(a): Data Received in a Zipped File

Email informing that the requested data is ready to be downloaded.

Your Request for SeekEdgar

Inbox x



seekedgartech@gmail.com

6:42 PM (19 hours ago) ☆



to me, naaser06

Hi Rajendra Srivastava,

Your requested has been **completed**.

Please **copy and paste** the link below in the browser address window to download the **Result Folder**:

https://www.seekinf.net:8443/download.jsp?file=seekedgar_20160318234248.zip

Thank you,
SeekEdgar Team.

The above process will download the data. Save it in your computer. The data is in a zipped folder. Unzip the folder and open it. The results are as shown in the next slide.

Example 7(b): Finding Fiscal Year End from 10Ks

- ◆ Use the phrase **Fiscal Year End** in the exact phrase slot with **0** word before and **1** word after.
- ◆ The screenshot of the middle display window in the next slide shows the information on **Fiscal Year End** obtained from 10K of year 2015 for a set of companies with CIK Codes: 1057060 1373690 1429764 788329 1046050.
- ◆ The next slide is the screenshot of the display window and below the screenshot is the download of the results in Excel file.
- ◆ **You need to submit a request** similar to Example 6(a) to get the download of all the companies' result.
- ◆ As you can see from Examples 6(a) and 6(b), this feature can capture any financial or non-financial information with user's defined criteria.
- ◆ The best way to design this search would be to first look at few cases and identify the pattern the way information is presented in most of the filings and then design your search.

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Example 7(b): Finding Fiscal Year End from 10Ks

1 - 6 of 6
Download Results

- MARINEMAX INC**
CIK :1057060
SIC :5531
File Type :10-K
File Date :12-08-2015
Filename :0001564590-15-011336.txt
- AMERICAN PARAMOUNT GOLD CORP.**
CIK :1373690
SIC :1000
File Type :10-K
File Date :12-08-2015
Filename :0001165527-15-000593.txt
- Car Charging Group, Inc.**
CIK :1429764
SIC :3612

MARINEMAX INC CIK: 1057060 TYPE: 10-K DATE: 12-08-2015

View File Download Raw File Cosine Similarity/Word Variation Raw Non Dollar Values in CSV Raw Dollar Values in CSV

FISCAL YEAR END: 0930

Word Distribution:

Download Distribution
Download File Analysis

FILE ANALYSIS	
Total Word Count (TWC)	50327
Total Word Count without numerics (TWCWN)	47281
Sentence Count	1504
Gunning-Fog Index	23.2
Smog Index	19.947
Flesch Reading Ease	14.547
Flesch-Kincaid Grade Level	19.044
Automated Readability Index	20.138
Coleman-Liau Index	16.516

Fiscal Year End in Excel File through Request Form

RISK SENTIMENT ANALYSIS

	A	B	C	D	E	G	L
1	CIK	COMPANY NAME	SIC	FILING DATE	FILE TYPE		
2							
3	1057060	MARINEMAX INC	5531	12/8/15	10-K	FISCAL YEAR END: 0930	
4	1373690	AMERICAN PARAMOUNT GOLD CORP.	1000	12/8/15	10-K	FISCAL YEAR END: 0831	
5	1429764	Car Charging Group, Inc.	3612	12/8/15	10-K	FISCAL YEAR END: 1231	
6	788329	JOHNSON OUTDOORS INC	3949	12/8/15	10-K	FISCAL YEAR END: 0930	

Example 8:

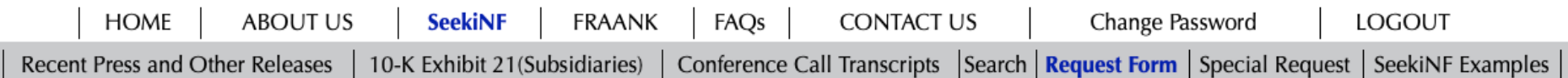
Download Readability Indices and Counts of Words, Sentences and Multiple Phrases in Excel

Example 8a: Download readability Indices and counts of total words and sentences

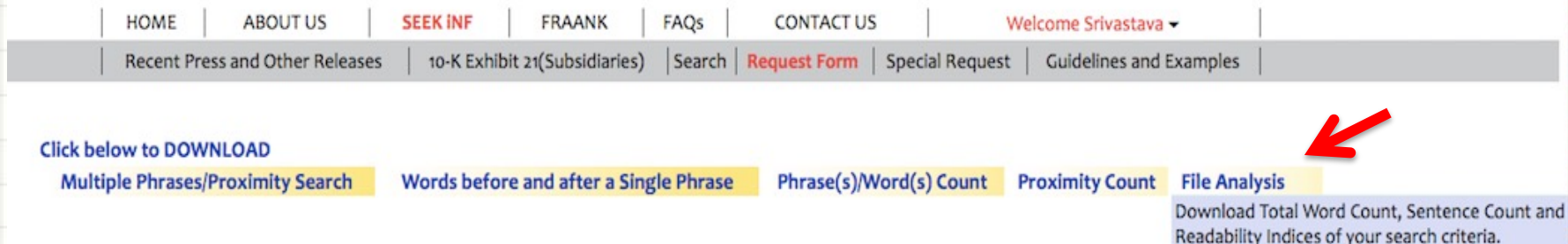
Example 8b: Download counts of multiple phrases/words for multiple companies for multiple years

Example 8a: Download readability Indices and counts of total words and sentences

1. For this objective, you need to submit **Request Form** from the top menu bar of Seek iNF webpage (see below).



2. On the next page, you need to select **File Analysis**



Please note that this is a BETA version, the testing is still in progress. Please email us if you find any bugs or have any concerns at seekedgar@gmail.com. Thank you.

Example 8a: Download readability Indices and counts of total words and sentences

3. Type the the phrases “a | the | of” in Step 1 in the slot of “With exact phrase” to get all the filings of interest.
4. Fill out the request form with your name, email, affiliation, and complete Steps 2 - 4 and submit.
5. You will receive an email acknowledging that your data request is received and a second email informing you that your data request is completed and ready to be downloaded with a link.
6. Download the link on your hard drive.

Example 8b: Download counts of multiple phrases/words for multiple companies for multiple years

1. For this objective, you need to submit **Request Form** from the top menu bar of Seek iNF webpage (see below).

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Example 8b: Download counts of multiple phrases/words for multiple companies for multiple years

2. On the next page, you need to select **Phrase(s)/Word(s) Count Download** (see below).

The screenshot shows the top navigation bar of the SeekEdgar website. The main navigation menu includes: HOME, ABOUT US, SEEK INF, FRAANK, FAQs, CONTACT US, and Welcome Srivastava. Below this is a secondary menu with: Recent Press and Other Releases, 10-K Exhibit 21(Subsidiaries), Search, Request Form, Special Request, and Guidelines and Examples. Under the 'Request Form' link, there is a section titled 'Click below to DOWNLOAD' with five options: Multiple Phrases/Proximity Search, Words before and after a Single Phrase, Phrase(s)/Word(s) Count, Proximity Count, and File Analysis. A red arrow points to the 'Phrase(s)/Word(s) Count' option. Below the navigation is a disclaimer: 'Please note that this is a BETA version, the testing is still in progress. Please email us if you find any bugs or have any concerns at seekedgar@gmail.com. Thank you.' and the signature '- SeekEdgar Tech Team'.

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Multiple Phrases/Proximity Search | Words before and after a Single Phrase | **Phrase(s)/Word(s) Count** | Proximity Count | File Analysis

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- SeekEdgar Tech Team

3. After you select the option, you need to fill out the request form as given next.

Example 8b: Download counts of multiple phrases/words for multiple companies for multiple years

- SeekEdgar Tech Team

Download Phrase or Word Count of a list of given Word(s)/Phrase(s).

Name

Email

Title eg: Student/Professor/Manager etc

University/Company

Enter the information you want to search for:

STEP 1: Please enter the list of Phrase(s)/Keyword(s) you wish to count:

Enter Phrase(s)/Word(s)* here:

Or

Upload file with wordlist*: no file selected

*Word(s)/Phrase(s) should be separated by comma and the maximum limit on number of words is 50.

STEP 2: Please select the options below (Default - ALL):

COMPANY:

From: To*:

*(Beta Version : The time period is limited to five years maximum.)

SIC (optional):

STEP 3: Please select the search Resolution here:

- Paragraph(All)
- Table
- Footnote
- Audit Report
- SOX 404 Mgt Report
- SOX 404 Audit Report
- MD&A

STEP 4: Please select the Document(s) you want to search here:

All

Select:

Annual Reports	10-K	10-KT	10-K405	10-KT405	10-KSB	10-KSB40
	10-K/A	10-KT/A	10-K405/A	10-KT405/A	10-KSB/A	10-KSB40/A
Quarterly Reports & Annual Reports Form	10-Q	10-QT	10-QSB	20-F	40-F	
	10-Q/A	10-QT/A	10-QSB/A	20-F/A	40-F/A	
Current Reports/Depositories/Registrations	8-K	8-K	S-1	SC 13D	SC 13G	
	8-K/A	8-K/A	S-1/A	SC 13D/A	SC 13G/A	
Ownership & Ownership Money Managers	Form 3	Form 4	Form 5	13F-HR	13F-NT	
	Form 3/A	Form 4/A	Form 5/A	13F-HR/A	13F-NT/A	
Proxies & IPO Filings	DEF 14A	424B1	424B3	424B5	424B8	
	DEFA14A	424B2	424B4	424B7		
Other Filings	N-CSR	N-CSR/S	CORRESP(Comment Letters)	AAER**		
	N-CSR/A	N-CSR/S/A	UPLOAD(Response Letters)			
Exhibits & Shareholders Letters	PRESS RELEASE	SHAREHOLDERS MEETING	EXHIBIT 95(10-K)			
	CONFERENCE CALLS	SHAREHOLDERS LETTER*	EXHIBIT 21(10-K)			
	OTHER 8-K EX	OTHER 6-K EX	OTHER Form 425 EX			
Public Company Accounting Oversight Board	INSPECTION REPORTS**	SETTLED DISCIPLINARY ORDERS**				
	ADJUDICATED DISCIPLINARY ACTIONS**					

*Beta Version: We are working on improving the accuracy of the letters
 **AAER & PCAOB do not have CIK's, they have File number and Firm number respectively

Fill out the Request Form

Step 5: Submit

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Example 8b: Count multiple phrases/words in a document for multiple companies for multiple years

- ◆ After filling out the personal information, you need to fill out the data request.
- ◆ Suppose you want to count occurrence of multiple phrases and words, say “**Class Action**” “**Patents and Copyrights**”, “**Litigation**”, and “**Inventory**” in 10Ks for the years 2011-2015 for the following, say 10, companies with CIKs: 1490349, 868857, 26076, 16099, 1099728, 868611, 929887, 1223862, 743758, 1472847.
- ◆ Complete the steps described on the next page.

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Example 8b: Count multiple phrases/words in a document for multiple companies for multiple years (continues)

- ◆ **Step 1:** Type the phrases/words separated by comma: **Class Action, Patents and Copyrights, Litigation, Inventory** in the slot “Enter Phrase(s)/Word(s) here” (search process is insensitive to upper and lower cases).
- ◆ **Step 2:** Copy and paste the list of **CIKs** in the slot of **COMPANY**, select CIK in the box on the right, and select the time frame 2011-2015.
- ◆ **Step 3:** Select **Paragraph (All)**
- ◆ **Step 4:** Select **10K**
- ◆ **Step 5:** Click **SUBMIT** button
- ◆ Next page describes the subsequent steps followed by few screenshots

Example 8b: Count multiple phrases/words in a document for multiple companies for multiple years (continued)

Name Rajendra Srivastava
 Email Seekedgar@gmailcom
 Title Professor
 University/Company University of Kansas

Enter the information you want to search for:

STEP 1: Please enter the list of Phrase(s)/Keyword(s) you wish to count:

Enter Phrase(s)/Word(s)* here: Or
 Upload file with wordlist*: no file selected
 *Word(s)/Phrase(s) should be separated by comma

STEP 2: Please select the options below (Default - ALL):

COMPANY:
 From: To*:
 *(Beta Version : The time period is limited to five years maximum.)
 SIC: (optional)

STEP 3: Please select the search Resolution here:

- Paragraph(All)
- Table
- Footnote
- Audit Report
- SOX 404 Mgt Report
- SOX 404 Audit Report
- MD&A

STEP 4: Please select the Document(s) you want to search here:

- All
 Select:
- Annual Reports**
- 10-K 10-KT 10-K405 10-KT405 10-KSB 10-KSB40
 10-K/A 10-KT/A 10-K405/A 10-KT405/A 10-KSB/A 10-KSB40/A
- Quarterly Reports & Annual Reports Foreign**
- 10-Q 10-QT 10-QSB 20-F 40-F
 10-Q/A 10-QT/A 10-QSB/A 20-F/A 40-F/A
- Current Reports/Disclosures/Registrations**
- 8-K 6-K S-1 SC 13D SC 13G
 8-K/A 6-K/A S-1/A SC 13D/A SC 13G/A
- Ownership & Ownership Money Managers**
- Form 3 Form 4 Form 5 13F-HR 13F-NT
 Form 3/A Form 4/A Form 5/A 13F-HR/A 13F-NT/A
- IPO Filings**
- 424B1 424B3 424B5 424B8
 424B2 424B4 424B7
- Proxies & Other Filings**
- DEF 14A CORRESP(Comment Letters) UPLOAD(Response Letters) AAER
 DEFA14A
- Exhibits & Shareholders Letters**
- PRESS RELEASE SHAREHOLDERS MEETING EXHIBIT 95(10-K)
 CONFERENCE CALLS SHAREHOLDERS LETTER EXHIBIT 21(10-K)
 OTHER 8-K EX

Step 5: Submit

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Example 8b: Count multiple phrases/words in a document for multiple companies for multiple years (continued)

- ◆ After the request is submitted, the system will send an email to confirm the receipt of the request and will ask you to wait to receive the output.
- ◆ Once the output is ready the system will send you another email with instructions on how to download/open the result.
- ◆ It may take from few minutes to few hours depending on the size of the request before you get email to download the result.
- ◆ The system will send you the result in a CSV file that you can open in an Excel Spreadsheet.
- ◆ Next page displays screenshots followed by part of the result.

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Example 8b: Download counts of multiple phrases/words for multiple companies for multiple years

Message related **Request Form** after submission

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- SeekEdgar Tech Team

Thank you for submitting the request. You would receive an email shortly with the information you requested, for your reference. Please wait until you receive the results before submitting another request. Our system processes only one request per user at a time.

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Example 8b: Count multiple phrases/words in a document for multiple companies for multiple years (continued)

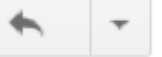
Your Request for SeekEdgar

Inbox x



seekedgartech@gmail.com

10:57 AM (1 minute ago)



to me, me

Hi Rajendra Srivastava,

You have requested for WordCount with the following search information:

List of words : Class Action, Patents and Copyrights, Litigation

Company : 1490349, 868857, 26076, 16099, 1099, 929887, 1223862, 743758, 1472847

From : 2011 **To :** 2015

Resolution Type : paragraph

Filings : 10K,10KT,10KB,10KSB,10KSB40,10KAMEND,10KTAMEND,10K405AMEND,10K405AMEND,10KSBAMEND,10KSB40AMEND

Thank you for your request. We will complete your search request and get back to you with results as soon as possible.

Please wait until you receive the results before submitting another request. Our system processes only one request per user at a time.

Thank you,
SeekEdgar Team.

Email Confirming the Receipt of the Request Form

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Example 8b: Count multiple phrases/words in a document for multiple companies for multiple years (continued)

Your Request for SeekEdgar

Inbox x



seekedgartech@gmail.com

3:10 PM (18 minutes ago)

to me

Hi Rajendra Srivastava,

Your requested has been **completed**.

Please **copy and paste** the link below in the browser window to download the **Result Folder**:

https://www.seekinf.com/zip/file=seekedgar_20160318160119.zip

Thank you
SeekEdgar Team.

Email informing that the requested data is ready to be downloaded.

The above process will download the data. Save it in your computer. The data is in a zipped folder. Unzip the folder and open it. Next slide shows the downloaded result.

SeekingSMINF

Example 8b: Count multiple phrases/words in a document for multiple companies for multiple years (continued)

	A	B	C	D	E	F	G	H	I	J	K	L	M
1	CIK	COMPANY NAME	SIC	FILING DATE	FILE TYPE	SEC LINK	TOTAL WORD COUNT	TOTAL WORD COUNT WITHOUT NUMERICS	CLASS ACTION	PATENTS AND COPYRIGHTS	LITIGATION	INVENTORY	
2													
3	1490349	Medley Capital Corp	7311	12/4/15	10-K	http://www.	85172	72582	0	0	3	1	
4	868857	AECOM	8711	11/25/15	10-K	http://www.	72408	65289	7	1	11	0	
5	26076	CUBIC CORP /DE/	3829	11/23/15	10-K	http://www.	104112	98480	3	0	11	26	
6	16099	LUBYS INC	5812	11/9/15	10-K	http://www.	54435	48307	2	0	4	2	
7	1099728	Sibling Group Holdings, Inc.	8200	10/23/15	10-K	http://www.	69747	65927	1	0	5	0	
8	868611	SONIC CORP	5812	10/23/15	10-K	http://www.	34118	30230	1	0	8	3	
9	929887	APOLLO EDUCATION GROUP INC	8200	10/22/15	10-K	http://www.	88025	80151	17	0	34	0	
10	1223862	INFOBLOX INC	7374	9/25/15	10-K	http://www.	62030	57378	1	0	21	46	
11	743758	CLOUDCOMMERCE, INC.	5900	9/24/15	10-K	http://www.	23142	20570	0	0	2	1	
12	1472847	HARRISON VICKERS & WATERMAN INC	7389	9/15/15	10-K	http://www.	67249	63889	0	0	9	9	
13	1490349	Medley Capital Corp		12/8/14	10-K	http://www.	82026	70718	0	0	2	2	
14	26076	CUBIC CORP /DE/	3829	11/26/14	10-K	http://www.	74455	69545	5	0	13	15	
15	868857	AECOM TECHNOLOGY CORP	0	11/17/14	10-K	http://www.	87691	80424	4	1	7	0	
16	16099	LUBYS INC	5812	11/12/14	10-K	http://www.	49169	43793	2	0	3	2	
17	868611	SONIC CORP	5812	10/24/14	10-K	http://www.	43426	39292	1	0	7	1	
18	929887	APOLLO EDUCATION GROUP INC	8200	10/21/14	10-K	http://www.	167010	157545	13	0	49	8	
19	1472847	HARRISON VICKERS & WATERMAN INC	7389	10/10/14	10-KAMEND	http://www.	27541	25980	0	0	4	1	
20	1472847	HARRISON VICKERS & WATERMAN INC	7389	10/9/14	10-K	http://www.	27536	25975	0	0	4	1	
21	1099728	Sibling Group Holdings, Inc.	8200	10/7/14	10-KT	http://www.	26035	23373	0	0	5	0	
22	743758	WARP 9, INC.	5900	9/26/14	10-K	http://www.	21775	19474	0	0	2	1	
23	1223862	INFOBLOX INC	7374	9/25/14	10-K	http://www.	65609	60876	3	0	29	41	
24	26076	CUBIC CORP /DE/	3829	5/12/14	10-KAMEND	http://www.	93330	81891	6	0	18	15	
25	1099728	Sibling Group Holdings, Inc.	8200	4/17/14	10-K	http://www.	34087	31092	2	0	6	0	
26	1490349	Medley Capital Corp	3559	12/10/13	10-K	http://www.	75065	66153	0	0	2	2	
27	26076	CUBIC CORP /DE/	3829	12/5/13	10-K	http://www.	64651	60088	7	0	17	13	
28	868857	AECOM TECHNOLOGY CORP	8711	11/13/13	10-K	http://www.	53831	47926	2	1	4	0	
29	16099	LUBYS INC	5812	11/12/13	10-K	http://www.	57670	51885	2	0	3	1	
30	868611	SONIC CORP	5812	10/25/13	10-K	http://www.	44457	40270	1	0	7	2	
31	929887	APOLLO GROUP INC	8200	10/22/13	10-K	http://www.	115909	107413	18	0	47	0	

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Example 8b: Count multiple phrases/words in a document for multiple companies for multiple years (continued)

- ◆ The **last six columns** present the results, total word count with and without numbers along with counts of the phrases and words.
- ◆ **This is a powerful tool for text analytics.** You don't need to request anyone or learn any programming to get such data. **The power is in your hands.** You decide what phrases and words you want to count.
- ◆ Such data can be used to develop models for determining various kinds of risks (business risk, litigation risk, fraud risk, sentiments measures etc.)
- ◆ **The key is to think of a problem before anyone else thinks.**
- ◆ **There is nothing in the market that can provide such data with so much ease.**

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Example 9:

A Measure of Competition
Based on 10-K

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Example 9: Competition Metric

Li, Lundholm, and Minnis developed “A Measure of Competition Based on 10-K Filings” which was published in *Journal of Accounting Research*, Vol. 51 No. 2 May 2013, pp: 399-436.

This paper computes management's perceptions of the intensity of the competition using textual analysis of the firm's 10-K filing. They count the number of occurrences of “competition, competitor, competitive, compete, competing,” including those words with an "s" appended, and then remove any case where "not," "less," "few," or "limited" precedes the word by three or fewer words. Their measure of competition is

$$\text{PCTCOMP} = 1000 * \text{NCOMP} / \text{NWORDS},$$

where NCOMP = number of words in 10K as described above and NWORDS = Total number of words without numbers.

Seek iNF can help calculate PCTCOMP in no time.

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Example 9: Competition Metric (continued)

- Suppose you want to measure PCTCOMP for the following five companies with CIK: 68622, 732712, 732717, 808461, 794323 (i.e., QWEST CORP, VERIZON COMMUNICATIONS INC, AT&T INC. LEVEL 3 COMMUNICATIONS INC, and GENERAL COMMUNICATION INC) from Telephone Communication industry, SIC = 4813, for the years 2006- 2015.
- You need to submit a “Request Form”. The “Request Form” is listed in the top menu bar of Seek *i*NF. Since you can submit a request form only for a five year period, you need to divide the period 2006-2015 into two 5-year periods: 2006- 2010, and 2011-2015.
- First submit a Request Form for counts of the following words for the desired period: competition, competitor, competitive, compete, competing, competitions, competitors, competes by completing the steps described in the next slide.
- Next, obtain the counts of the phrases with "not," "less," "few," or "limited" before the words (listed above) separated by three or fewer words. The details are described in the later slides.

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Request Form for Word Counts for the Period 2006-2010

- Select “**Request Form**” from the Top Menu Bar
- Select “**Count Download/Phrase(s)/Word(s) Download**”
- Fill out the request (Name, Email, Title, University/Company)
- **STEP 1:** Type the following words separated by comma:
competition, competitor, competitive, compete, competing,
competitions, competitors, competes
- **STEP 2:** Type or copy and paste the CLKs and select the desired
5 year time period: 68622, 732712, 732717, 808461, 794323
- **STEP 3** – Select Resolution: Select **Paragraph (All)**
- **STEP 4-** Select Document Type: Select **10K**
- **STEP 5-** Click on **SUBMIT** button (See the details in the next
slide)

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Request Form for Word Counts for the Period 2006-2010

Name
 Email
 Title
 University/Company

Enter the information you want to search for:

STEP 1: Please enter the list of Phrase(s)/Keyword(s) you wish to count:

Enter Phrase(s)/Word(s)* here:

Or

Upload file with wordlist*: no file selected

*Word(s)/Phrase(s) should be separated by comma

STEP 2: Please select the options below (Default - ALL):

COMPANY:

From: To*:

*(Beta Version : The time period is limited to five years maximum.)

SIC (optional):

STEP 3: Please select the search Resolution here:

- Paragraph(All)
- Table
- Footnote
- Audit Report
- SOX 404 Mgt Report
- SOX 404 Audit Report
- MD&A

STEP 4: Please select the Document(s) you want to search here:

- All
 Select:
- Annual Reports**
- 10-K 10-KT 10-K405 10-KT405 10-KSB 10-KSB40
 10-K/A 10-KT/A 10-K405/A 10-KT405/A 10-KSB/A 10-KSB40/A
- Quarterly Reports & Annual Reports Foreign**
- 10-Q 10-QT 10-QSB 20-F 40-F
 10-Q/A 10-QT/A 10-QSB/A 20-F/A 40-F/A
- Current Reports/Disclosures/Registrations**
- 8-K 6-K S-1 SC 13D SC 13G
 8-K/A 6-K/A S-1/A SC 13D/A SC 13G/A
- Ownership & Ownership Money Managers**
- Form 3 Form 4 Form 5 13F-HR 13F-NT
 Form 3/A Form 4/A Form 5/A 13F-HR/A 13F-NT/A
- Proxies & IPO Filings**
- DEF 14A 424B1 424B3 424B5 424B8
 DEFA14A 424B2 424B4 424B7
- Other Filings**
- N-CSR N-CSRS CORRESP(Comment Letters) AAER**
 N-CSR/A N-CSRS/A UPLOAD(Response Letters)
- Exhibits & Shareholders Letters**
- PRESS RELEASE SHAREHOLDERS MEETING EXHIBIT 95(10-K)
 CONFERENCE CALLS SHAREHOLDERS LETTER* EXHIBIT 21(10-K)
 OTHER 8-K EX
- Public Company Accounting Oversight Board**
- INSPECTION REPORTS** SETTLED DISCIPLINARY ORDERS**
 ADJUDICATED DISCIPLINARY ACTIONS**

*Beta Version: We are working on improving the accuracy of the letters

**AAER & PCAOB do not have CIK's, they have File number and Firm number respectively

Step 5: Submit

1. Acknowledgement of the Receipt of Request Form

[HOME](#)[ABOUT US](#)[SEEK INF](#)[FRAANK](#)[FAQs](#)[CONTACT US](#)[Welcome Srivastava ▾](#)[Recent Press and Other Releases](#)[10-K Exhibit 21\(Subsidiaries\)](#)[Search](#)[Request Form](#)[Special Request](#)[Guidelines and Examples](#)

Click below to **DOWNLOAD**

[Multiple Phrases/Proximity Search](#)[Words before and after a Single Phrase](#)[Phrase\(s\)/Word\(s\) Count](#)[Proximity Count](#)[File Analysis](#)

Please note that this is a BETA version, the testing is still in progress. Please email us if you find any bugs or have any concerns at seekedgar@gmail.com. Thank you.

- SeekEdgar Tech Team

Thank you for submitting the request. You would receive an email shortly with the information you requested, for your reference. Please wait until you receive the results before submitting another request. Our system processes only one request per user at a time.

2. Email Acknowledging the Receipt of Request Form

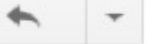
Your Request for SeekEdgar

Inbox x



seekedgartech@gmail.com

5:46 AM (9 minutes ago) ☆



to me, me, naaser06

Hi Rajendra Srivastava,

You have requested for WordCount with the following search information.

List of words : competition, competitor, competitive, compete, competing, competitions, competitors, competes

Company : 68622, 732712, 732717, 808461, 794323

From : 2006 **To** : 2010

Resolution Type : paragraph

Filings : 10K

Thank you for your request. We will complete your search request and get back to you with results as soon as possible.

Please wait until you receive the results before submitting another request. Our system processes only one request per user at a time.

Thank you,
SeekEdgar Team.

3. Email to Download the results

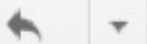
Your Request for SeekEdgar

Inbox x



 seekedgartech@gmail.com

2:13 PM (39 minutes ago) ☆



to me, naaser06 ▾

Hi Rajendra Srivastava,

Your requested has been **completed**.

Please **copy and paste** the link below in the browser address window to download the **Result Folder**:

https://www.seekinf.net:8443/Download_submit_request?path=seekedgar_20160524105236.zip

Thank you,
SeekEdgar Team.

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Download Results of the Word Counts for 2006-2010

CIK	COMPANY NAME	SIC	FILING DATE	FILE TYPE	SEC LINK	TOTAL WORD COUNT	TOTAL WORD COUNT WITHOUT NUMERICS	COMPETITION	COMPETITOR	COMPETITIVE	COMPETE	COMPETING	COMPETITIONS	COMPETITORS	COMPETES
808461	GENERAL CO	4813	3/12/10	10-K	http://www.	69930	63093	45	0	40	16	5	0	14	1
794323	LEVEL 3 COM	4813	2/26/10	10-K	http://www.	90448	82386	17	1	24	10	1	0	35	2
732712	VERIZON COI	4813	2/26/10	10-K	http://www.	365460	330358	28	0	52	13	4	0	21	1
732717	AT&T INC.	4813	2/25/10	10-K	http://www.	637444	594818	67	0	23	10	7	0	16	5
68622	QWEST CORP	4813	2/17/10	10-K	http://www.	48877	44980	23	0	26	18	1	0	16	0
808461	GENERAL CO	4813	3/23/09	10-K	http://www.	83394	75777	72	5	76	21	11	0	29	1
794323	LEVEL 3 COM	4813	2/27/09	10-K	http://www.	100133	91118	21	4	28	12	1	0	45	2
732717	AT&T INC.	4813	2/25/09	10-K	http://www.	307490	292313	100	3	42	20	1	0	15	6
732712	VERIZON COI	4813	2/24/09	10-K	http://www.	65249	58122	25	0	35	9	2	0	11	0
68622	QWEST CORP	4813	2/19/09	10-K	http://www.	51693	47768	17	0	27	15	1	0	16	0
808461	GENERAL CO	4813	3/7/08	10-K	http://www.	82659	75060	70	5	52	21	10	0	29	1
794323	LEVEL 3 COM	4813	2/29/08	10-K	http://www.	106205	95139	15	2	27	12	1	0	42	2
732712	VERIZON COI	4813	2/28/08	10-K	http://www.	60162	53164	27	1	31	8	4	0	14	0
732717	AT&T INC.	4813	2/27/08	10-K	http://www.	33226	31476	46	5	27	4	0	0	2	1
68622	QWEST CORP	4813	2/12/08	10-K	http://www.	43834	40397	15	0	23	12	1	0	16	0
808461	GENERAL CO	4813	3/19/07	10-K	http://www.	101590	93005	66	8	46	17	11	0	31	3
732712	VERIZON COI	4813	3/1/07	10-K	http://www.	70162	61851	30	2	34	8	7	0	19	1
794323	LEVEL 3 COM	4813	3/1/07	10-K	http://www.	101094	90897	18	1	33	10	2	0	38	2
732717	AT&T INC.	4813	2/26/07	10-K	http://www.	191792	180168	81	2	34	14	0	0	25	5
68622	QWEST CORP	4813	2/8/07	10-K	http://www.	46975	43458	22	0	23	12	0	0	16	0
808461	GENERAL CO	4813	3/16/06	10-K	http://www.	88849	80487	65	10	63	19	11	0	44	0
732712	VERIZON COI	4813	3/14/06	10-K	http://www.	105825	96465	37	0	81	8	5	0	25	2
794323	LEVEL 3 COM	4813	3/2/06	10-K	http://www.	105225	96527	32	2	42	13	4	0	55	4
732717	AT&T INC.	4813	3/1/06	10-K	http://www.	14337	13391	9	0	1	0	0	0	3	0
68622	QWEST CORP	4813	2/17/06	10-K	http://www.	49267	45438	21	0	17	15	1	0	18	0

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Submit Request Form for “Proximity Counts”

- Select “**Request Form**” from the Top Menu Bar
- Select “**Count Download/Proximity Count Download**”
- Fill out the request (Name, Email, Title, University/Company)
- **STEP 1:** Type the following words separated by comma in “**Proximity Search**” slot: not competition, less competition, few competition, limited competition, not competitor, less competitor, few competitor, limited competitor, not competitive, less competitive, few competitive, limited competitive, not compete, less compete, few compete, limited compete, not competing, less competing, few competing, limited competing, not competitions, less competitions, few competitions, limited competitions, not competitors, less competitors, few competitors, limited competitors, not competes, less competes, few competes, limited competes
- **STEP 2:** Type or copy and paste the CIKs: 68622, 732712, 732717, 808461, 794323, and select the desired 5 year time period
- **STEP 3** – Select Resolution: Select **Paragraph (All)**
- **STEP 4-** Select Document Type: Select **10K**
- **STEP 5-** Click on **SUBMIT** button

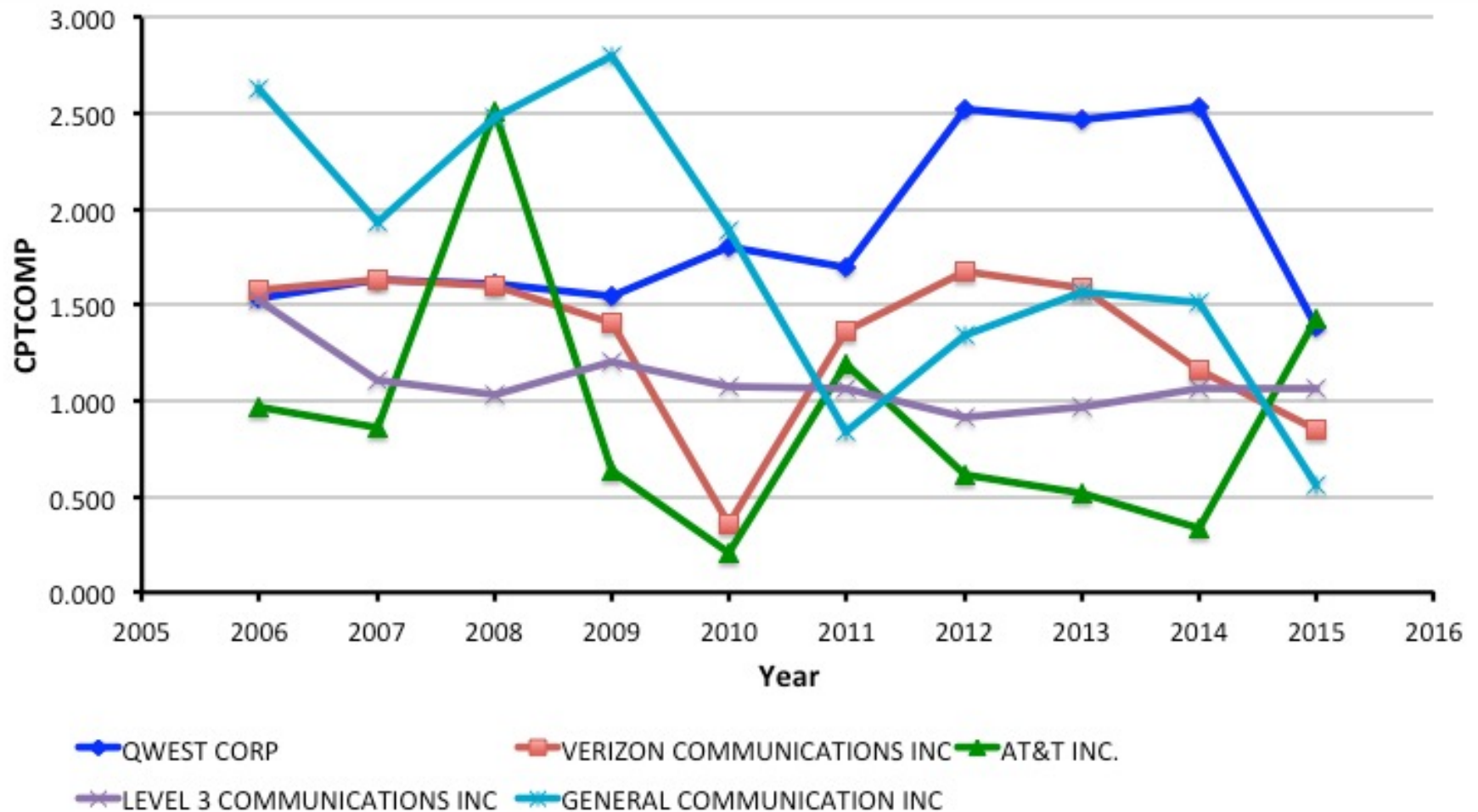
SeekINSMF

Download Results of the Proximity Counts for 2006-2010

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
CIK	COMPANY NAME	SIC	FILING DATE	FILE TYPE	SEC LINK	TOTAL WORD COUNT	TOTAL WORD COUNT WITHOUT NUMERICS	NOT COMPETITIVE ON Within 3 words	LESS COMPETITIVE ON Within 3 words	FEW COMPETITIVE ON Within 3 words	LIMITED COMPETITIVE ON Within 3 words	NOT COMPETITIVE R Within 3 words	LESS COMPETITIVE R Within 3 words	FEW COMPETITIVE R Within 3 words	LIMITED COMPETITIVE R Within 3 words	NOT COMPETITIVE VE Within 3 words	NOT COMPETITIVE V
68622	QWEST CORP	4813	2/17/10	10-K	http://www.	48877	44980	0	0	0	0	0	1	0	0	0	
68622	QWEST CORP	4813	2/19/09	10-K	http://www.	51693	47768	0	0	0	0	0	1	0	0	0	
68622	QWEST CORP	4813	2/12/08	10-K	http://www.	43834	40397	0	0	0	0	0	1	0	0	0	
68622	QWEST CORP	4813	2/8/07	10-K	http://www.	46975	43458	0	0	0	0	0	1	0	0	0	
68622	QWEST CORP	4813	2/17/06	10-K	http://www.	49267	45438	0	0	0	0	0	1	0	0	0	
732712	VERIZON CO	4813	3/14/06	10-K	http://www.	105825	96465	0	0	0	0	0	0	0	0	6	
732717	AT&T INC.	4813	2/25/09	10-K	http://www.	307490	292313	0	0	0	0	0	0	0	0	0	
732717	AT&T INC.	4813	2/27/08	10-K	http://www.	33226	31476	0	0	0	0	0	0	0	0	4	
732717	AT&T INC.	4813	2/26/07	10-K	http://www.	191792	180168	0	0	0	0	0	0	0	0	0	
794323	LEVEL 3 COM	4813	2/26/10	10-K	http://www.	90448	82386	0	0	0	0	0	0	0	0	1	
794323	LEVEL 3 COM	4813	2/27/09	10-K	http://www.	100133	91118	0	0	0	0	0	0	0	1	1	
794323	LEVEL 3 COM	4813	2/29/08	10-K	http://www.	106205	95139	0	0	0	0	0	0	0	1	1	
794323	LEVEL 3 COM	4813	3/1/07	10-K	http://www.	101094	90897	0	0	0	0	0	0	0	1	1	
794323	LEVEL 3 COM	4813	3/2/06	10-K	http://www.	105225	96527	0	0	0	0	0	0	0	1	2	
808461	GENERAL CO	4813	3/12/10	10-K	http://www.	69930	63093	0	0	0	0	0	1	0	0	0	
808461	GENERAL CO	4813	3/23/09	10-K	http://www.	83394	75777	1	0	0	0	0	1	0	0	0	
808461	GENERAL CO	4813	3/7/08	10-K	http://www.	82659	75060	0	0	0	0	0	1	0	0	0	
808461	GENERAL CO	4813	3/19/07	10-K	http://www.	101590	93005	0	0	0	0	0	1	0	0	0	

Please note: If the count is zero for all the words or set of words for a company then the system will not list that particular company

Competition Metric for Five companies for 10 years



Example 10:

Unique Financial Information

Find unique line item from FS

- Air Traffic Liability
- R&D Tax Credit | Research and Development Tax Credit
 - Off Balance Sheet items
 - Fuel Hedge Contracts

Example 10: Unique Financial Information from 10K

There are many unique financial line items that are not available in any of the current databases. For example, suppose you want to find **Air Traffic Liability** for airline companies for the year 2015. Here is what you can do to get this information:

- ◆ **Step 1:** Type the phrase **Air Traffic Liability** in the slot “With the exact phrase”
- ◆ **Step 2:** Since we want all the companies, leave the default choice “**All**” and select the desired time frame **2015-2015**.
- ◆ **Step 3:** Select **Table**
- ◆ **Step 4:** Select **10K**
- ◆ **Step 5:** Click on **SUBMIT** button

You can download all the data in Excel Spreadsheet two ways, one directly from the display window by selecting the menu item “**Display Table in CSV**” just above the display window on the right for each company, and the other by submitting a **Request Form** as done in Example 5 (see the next 4 slides for details).

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Example 10: Unique Financial Information . . . (Continued)

STEP 1: Please enter Phrase(s)/Keyword(s) you wish to search:

With the exact phrase:

The following features are for Single Phrase/Word only: (In case of Multiple Phrases/Words, please use the **Request Form** to submit the request.)

Phrase/Word Counter

Display words before & after

Number of words before: Number of words After:

Proximity Search:

Please input within how many words:

With all of the words:

With at least one of the words:

Without the words:

STEP 2: Please select the options below (Default - ALL):

COMPANY: All,

From: 2015 To: 2015

SIC (Optional):

STEP 3: Please select the search Resolution here:

- Paragraph(All) SOX 404 Mgt Report
 Table SOX 404 Audit Report
 Footnote MD&A
 Audit Report

STEP 4: Please select the Document(s) you want to search here:

- All
 Select (Please [CLICK HERE](#) for Filing Description): Un-Check All
- Annual Reports** Check All Annual Reports Un-Check All Annual Reports
 10-K 10-KT 10-K405 10KT405 10KSB 10KSB40
 10-K/A 10-KT/A 10-K405/A 10KT405/A 10KSB/A 10KSB40/A
- Quarterly Reports & Annual Reports Foreign**
 10-Q 10-QT 10QSB 20-F 40-F
 10-Q/A 10-QT/A 10QSB/A 20-F/A 40-F/A
- Current Reports/Disclosures/Registrations**
 8-K 6-K S-1 SC 13D SC 13G
 8-K/A 6-K/A S-1/A SC 13D/A SC 13G/A
- Ownership & Ownership Money Managers**
 Form 3 Form 4 Form 5 13F-HR 13F-NT
 Form 3/A Form 4/A Form 5/A 13F-HR/A 13F-NT/A
- Proxies & IPO Filings**
 DEF 14A 424B1 424B3 424B5 424B8
 DEFA14A 424B2 424B4 424B7
- Other Filings**
 N-CSR N-CSRS CORRESP (Comment Letters) AAER**
 N-CSR/A N-CSRS/A UPLOAD (Response Letters)
- Exhibits & Shareholders Letters**
 PRESS RELEASE SHAREHOLDERS MEETINGS EXHIBIT 95 (10-K)
 CONFERENCE CALLS SHAREHOLDERS LETTER* EXHIBIT 21 (10-K)
 OTHER 8-K EX
- Public Company Accounting Oversight Board**
 INSPECTION REPORTS** SETTLED DISCIPLINARY ORDERS**
 ADJUDICATED DISCIPLINARY ACTIONS**

*Beta Version: We are working on improving the accuracy of the letters

**AAER & PCAOB do not have CIK's, they have File number and Firm number respectively

Example 10: Unique Financial Information . . . (Continued)

1 - 10 of 10 < >

Download Results

Virgin America Inc.

CIK :1614436
SIC :4512
File Type :10-K
File Date :03-03-2015

Allegiant Travel CO

CIK :1362468
SIC :4512
File Type :10-K
File Date :02-26-2015

AMERICAN AIRLINES INC

CIK :4515
SIC :4512
File Type :10-K
File Date :02-25-2015

American Airlines Group Inc.

CIK :6201
SIC :4512
File Type :10-K
File Date :02-25-2015

Spirit Airlines, Inc.

CIK :1498710
SIC :4512
File Type :10-K
File Date :02-18-2015

JETBLUE AIRWAYS CORP

CIK :1158463
SIC :4512
File Type :10-K
File Date :02-12-2015

	December 31,	
	2014	2013
Liabilities and stockholders' equity (deficit)		
Current liabilities:		
Accounts payable	\$ 52,821	\$ 43,997
Air traffic liability	150,479	138,890
Other current liabilities	100,723	73,752
Long-term debt-current portion	33,824	—
Total current liabilities	337,847	256,639
Long-term debt-related parties	38,848	707,969
Long-term debt	57,416	39,462
Other long-term liabilities	106,812	59,547
Total liabilities	540,923	1,063,617
Contingencies and commitments (Note 9)		
Convertible preferred stock, \$0.01 par value. No shares authorized, no shares issued and outstanding as of December 31, 2014; authorized 1,109,812 shares, 1,109,811 issued and outstanding as of December 31, 2013; liquidation value \$12,000 as of December 31, 2013	—	21,406
Stockholders' equity (deficit)		
Preferred stock, \$0.01 par value per share. 10,000,000 shares authorized, 0 shares issued and outstanding as of December 31, 2014; no shares authorized, no shares issued and outstanding as of December 31, 2013	—	—
Common stock, \$0.01 par value. Authorized: 750,000,000 (Voting 650,000,000, Non-Voting 100,000,000) shares as of December 31, 2014, 107,260,432 (Class A 56,630,503, Class A-1 29,143, Class B 924,867, Class C 47,688,845, Class D 13, Class E 13, Class F 13, Class G 1,987,035) shares as of December 31, 2013; Issued and outstanding: 43,119,886 (Voting 36,267,148, Non-Voting 6,852,738) shares as of December 31, 2014; 812,952 (Class A 248,308, Class A-1 29,143, Class B 424,221, Class C 0, Class D 13, Class E 13, Class F 13, Class G 111,241) shares as of December 31, 2013	431	8
Additional paid-in capital	1,237,944	427,434
Accumulated deficit	(753,016)	(813,125)
Accumulated other comprehensive income (loss)	(26,106)	1,656
Total stockholders' equity (deficit)	459,253	(384,027)
Total liabilities and stockholders' equity (deficit)	\$ 1,000,176	\$ 700,996

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Example 10: Unique Financial Information . . . (Continued)

	A	B	C	D	E	F	G
1	COMPANY NAME	CIK	SIC	FILE TYPE	FILING DATE		
2	Virgin America Inc.	1614436	4512	10-K	20150303		
3							
4							
5	TABLE SNIPPET -- 1						
6							
7		December 31,					
8		2014		2013			
9	Liabilities and stockholders' equity (deficit)						
10	Current liabilities:						
11	Accounts payable	\$	52,821	\$	43,997		
12	Air traffic liability		150,479		138,890		
13	Other current liabilities		100,723		73,752		
14	Long-term debt-current portion		33,824		0		
15							
16	Total current liabilities		337,847		256,639		
17	Long-term debt-related parties		38,848		707,969		
18	Long-term debt		57,416		39,462		
19	Other long-term liabilities		106,812		59,547		
20							
21	Total liabilities		540,923		1,063,617		
22							

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Example 10: Unique Financial Information . . . (Continued)

The Request Form provides you data in CSV file that can be opened in Excel. Here are the numbers for two years from the table for [Virgin America Inc.](#):

	2014	2015
◆ Air traffic liability	\$150,479	\$138,890

Our system is unique. One can search by key words even for financial information. Here are few other examples that you should try:

- ◆ R&D Tax Credit | Research and Development Tax Credit in 10K using Table
- ◆ Off Balance Sheet items in 10Ks using Table
- ◆ Fuel Hedge Contracts in 10Ks using Table

1 - 20
Download

Result of "R&D Tax Credit | Research and Development Tax Credit" Search in Exact Phrases.

ANAVEX LIFE SCIENCES CORP.
 CIK :1314052
 SIC :8731
 File Type :10-K
 File Date :12-29-2015

HEICO CORP
 CIK :46619
 SIC :3724
 File Type :10-K
 File Date :12-17-2015

Corium International, Inc.
 CIK :1594337
 SIC :2834
 File Type :10-K
 File Date :12-16-2015

	2015	2014 <i>(As Restated)</i>
Income benefit at statutory rate of 34%	\$ (4,117,000)	\$ (3,865,000)
Foreign income taxed at other rates	80,000	13,000
Permanent differences		
Effect of stock based compensation	-	202,000
Debt extinguishment	(29,000)	2,736,000
Mark-to-market derivative liability adjustment	193,000	(994,000)
Non-deductible finance and accretion expenses	1,511,000	808,000
Other permanent differences	(5,000)	(16,000)
Research and development tax credit	502,000	(26,000)
Adjustment and true up to prior years' tax provision	100,000	14,000
Change in valuation allowance related to current year provision	1,765,000	2,528,000
Income Tax Recovery	\$ -	\$ 1,400,000

ANAVEX LIFE SCIENCES CORP.
 CIK :1314052
 SIC :8731
 File Type :10-K
 File Date :12-29-2015

HEICO CORP
 CIK :46619
 SIC :3724
 File Type :10-K
 File Date :12-17-2015

Corium International, Inc.
 CIK :1594337
 SIC :2834
 File Type :10-K
 File Date :12-16-2015

MICROWAVE FILTER CO INC /NY/
 CIK :716688
 SIC :3679
 File Type :10-K
 File Date :12-14-2015

ENANTA PHARMACEUTICALS INC
 CIK :1177648

	Years Ended September 30,	
	2015	2014
Income tax expense (benefit) at statutory rate	\$(1,502)	\$ (582)
State income tax expense (benefit)	(131)	(53)
Foreign tax activity	56	40
R&D tax credit expiration	-	82
Permanent differences, net	189	212
Adjustment of temporary differences to income tax returns	523	121
Change in valuation allowance	972	1,284
Income tax expense	\$ 107	\$1,104

The significant components of the deferred tax accounts recognized for financial reporting purposes are as follows (in

Word Distribution

Download Distribution

FILE ANALYSIS	
Total Word Count	9764
Total Word Count without numerics	8003
Sentence Count	211
Gunning-Fog Index	26.8
Smog Index	22.687
Flesch Reading Ease	-0.721
Flesch-Kincaid Grade Level	22.794
Automated Readability Index	24.837
Coleman-Liau Index	18.312



Example 11:

How to use the Subsidiary Database
and Search Engine

Seek iNFSM

Example 11: Subsidiary Database and Search Engine

- We have the entire subsidiary database available for all the companies for all the years from 1994 to 2016 with daily updates. Here is how one can access the database.
- After you have logged into the search engine, Seek iNF, select the menu item "**10K-Exhibit (subsidiaries)**" from the top menu bar. Next page, you will see a list of companies with all its subsidiaries by US and non US for various years. Here are examples of various searches you can perform on subsidiary database.

- **11(a). Find the US and Non US Subsidiaries for one company, a set of or all the companies by year.** Follow these steps:
- Type in the name(s) or CIK code(s) in the slot “Company you would like to search for” and select ‘name’ or ‘CIK’ from the right hand side.
- Type the desired year in the slot “In the Year”
- Select “**Display: Total number of US and non-US subsidiaries**” and Submit.
- The system will display the list of subsidiaries for all the companies for the desired year. You can download the entire data in Excel by selecting “Export to Excel”

Example 11: Subsidiary Database and Search Engine

- **11(b). Find Number of US and Non-US Subsidiaries by industries.** Follow these steps:
- Input the SIC code(s) of the companies for which you want to get the subsidiaries in the slot of “SIC code of the industry you wish to search for”:
- Select the year.
- Select **Display: Total number of US and non-US subsidiaries** and Submit.
- The system will display a list of subsidiaries for all the companies for the desired year. You can download the entire data in Excel by selecting “Export to Excel”

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Example 11: Subsidiary Database and Search Engine

- **11(c). Find Subsidiaries of a company for a given year.**
Follow these steps:
- Input either the CIK code or name of the company in the slot of “Company you would like to search for” and select “CIK” or “Name”.
- Select the year.
- Select “**Display: List of subsidiaries with the total number**” and Submit.
- The system will display a list of subsidiaries for the company selected with their addresses. Again, you can download the entire data in Excel by selecting “**Export to Excel**”
- The next two slides provide screenshots of the output in HTML and Excel formats.

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Example 11: Subsidiary Database and Search Engine

Export to Excel

Displayed Results are for the year 2004

SIC	CIK	Company name	Subsidiary	Country of Subsidiary	Total num of US subsidiaries	Total num of subsidiaries
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Applied Biotech, Inc.100%	California, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Cambridge Diagnostics Ireland Limited100%	Ireland	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Forefront Diagnostics, Inc.100%	California, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Hall Laboratories, Ltd.100%	Yukon, Canada	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Innovations Research, LLC100%	Delaware, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical (UK) Holdings, Ltd.100%	United Kingdom	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical Benelux BVBA(1)100%	Belgium	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical Canada, Inc.100%	Canada	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical International Holding Corp. I100%	Delaware, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical International Holding Corp. II100%	Delaware, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical Switzerland GmbH100%	Switzerland	14	28

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Example 11: Subsidiary Database and Search Engine

A	B	C	D	E	F	G
SIC	CIK	Company name	Subsidiary	Country of Subsidiary	Total num of US subsidiaries	Total num of subsidiaries
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Applied Biotech, Inc.100%	California, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Cambridge Diagnostics Ireland Limited100%	Ireland	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Forefront Diagnostics, Inc.100%	California, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Hall Laboratories, Ltd.100%	Yukon, Canada	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Innovations Research, LLC100%	Delaware, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical (UK) Holdings, Ltd.100%	United Kingdom	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical Benelux BVBA(1)100%	Belgium	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical Canada, Inc.100%	Canada	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical International Holding Corp. I100%	Delaware, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical International Holding Corp. II100%	Delaware, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical Switzerland GmbH100%	Switzerland	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Inverness Medical, Inc.100%	Delaware, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	IVC Industries, Inc.(2)100%	Delaware, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Morpheus Acquisition Corp.100%	Delaware, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Morpheus Acquisition LLC100%	Delaware, USA	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Organics International Holdings BV100%	Netherlands	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Organics Ltd.(3)100%	Israel	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Ostex International, Inc.100%	Washington, USA	14	28



Example 12: Readability Indices

Example 12:

Textual Analysis

Readability Indices

Example 12: Readability Indices for Satyam and WIPRO

For illustration, we consider two Indian IT companies, Satyam Computer Services Ltd, CIK = 1106056, and WIPRO Ltd., CK = 1123799, both filed 20-F with the SEC. In January 2009, Satyam's Chairman Ramalinga Raju sent a confession letter to SEBI (Securities and Exchange Board of India) admitting that he inflated the financial results and cooked books of Satyam. We would like to compare the readability indices of Satyam, a fraudulent company, with a competing good company, WIPRO Ltd. Here is what we need to do to get the readability indices for 20-F for the period 2002 to 2008.

Step 1: Type "a|the|of" without the quotes in the slot of "With the exact phrase". Or, you can use any search criteria including Boolean logic, if relevant for your search.

Step 2: Type either "Satyam Computer Services" and select option "Name" from the right or type the CIK code and select "CIK" option from the right. Select the time period 2002 – 2008.

Step 3: Select "Paragraph (All)".

Step 4: Select 20-F and 20-F/A

Step 5: Submit

You will get the result in seconds. The next slide shows how you enter the above information and the following slide shows the output. Copy the right hand side panel containing the six readability indices and paste it in an Excel spreadsheet. This gives the data for 2008, as highlighted on the left side of the display panel. Check the second listing for 2007 from the left side panel. The system will show the readability indices on the right side. This time just copy the six readability indices without the labels and paste it in the previous Excel spreadsheet next to the 2008 numbers. Repeat this process until you have obtained the data for 2008-2002 (see 3rd slide).

Example 12: Readability Indices for Satyam and WIPRO

STEP 1: Please enter Phrase(s)/Keyword(s) you wish to search:

With the exact phrase(s):

The following features are for Single Phrase/Word only: (In case of Multiple Phrases/Words, please use the [Request Form](#) to submit the request.)

Phrase/Word Counter

Display words before & after

Number of words before: Number of words After:

Proximity Search:

Please input within how many words:

With all of the words:

With at least one of the words:

Without the words:

STEP 2: Please select the options below (Default - ALL):

COMPANY:

From: To:

SIC (Optional):

STEP 3: Please select the search Resolution here:

Paragraph(All) Footnote SOX 404 Mgt Report MD&A

Table Audit Report SOX 404 Audit Report

STEP 4: Please select the Document(s) you want to search here:

All

Select (Please see [Filing Description](#) for more information): Un-Check All

Annual Reports Check All Annual Reports Un-Check All Annual Reports

10-K 10-KT 10-K405 10KT405 10KSB 10KSB40

10-K/A 10-KT/A 10-K405/A 10KT405/A 10KSB/A 10KSB40/A

Quarterly, Current & Foreign Annual Reports

10-Q 10-QT 10QSB 8-K 6-K 20-F 40-F

10-Q/A 10-QT/A 10QSB/A 8-K/A 6-K/A 20-F/A 40-F/A

Proxies & Registrations

DEF 14A DEFM14A S-1 S-4 15-12B 15-12G

DEFA14A DEFM14C S-1/A S-4/A 15-12B/A 15-12G/A

15-12D 15F-12B 15F-12G 15F-12D ABS-15G PRE 14A

15-12D/A 15F-12B/A 15F-12G/A 15F-12D/A ABS-15G/A

Ownership & Prospectuses

Form 3 Form 4 Form 5 424B1 424B3 424B5

Form 3/A Form 4/A Form 5/A 424B2 424B4 424B7

13F-HR 13F-NT SC 13D SC 13G 424B8

13F-HR/A 13F-NT/A SC 13D/A SC 13G/A

Other Filings

N-CSR N-CSRS NSAR-A NSAR-AT NSAR-B

N-CSR/A N-CSRS/A NSAR-A/A NSAR-AT/A NSAR-B/A

NSAR-BT NSAR-U N-Q SD CORRESP (Comment Letters)

NSAR-BT/A NSAR-U/A N-Q/A SD/A UPLOAD (Response Letters)

AAER** 11-K 11-K/A CT ORDER

10-K, 10-Q & 8-K Exhibits & Shareholders Letters

PRESS RELEASE* SHAREHOLDERS MEETINGS* CONFERENCE CALLS*

OTHER 8-K EX SHAREHOLDERS LETTER* EXHIBIT 21 (10-K & 10-Q)

EXHIBIT 95 (10-K & 10-Q) EXHIBIT 10 (10-K) EXHIBIT 10 (10-Q)

EXHIBIT 99 (10-K) EXHIBIT 99 (10-Q) ITEM 1A (10-K)

Public Company Accounting Oversight Board

INSPECTION REPORTS** SETTLED DISCIPLINARY ORDERS**

ADJUDICATED DISCIPLINARY ACTIONS**

* These extraction are from various filings, filed by companies to the SEC website and not from company websites.
 ** AAER & PCAOB do not have CIK's, they have File number and Firm number respectively

STEP 5: SUBMIT

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Example 12: Readability Indices for Satyam for 2008

1 - 8 of 8

Download Results

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :08-08-2008
 Filename :0001145549-08-001441.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :04-30-2007
 Filename :0001145549-07-000670.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :04-28-2006
 Filename :0001145549-06-000579.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :04-28-2005
 Filename :0001145549-05-000706.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :06-29-2004
 Filename :0001145549-04-000850.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :06-30-2003
 Filename :0001145549-03-000795.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056

SATYAM COMPUTER SERVICES LTD CIK: 1106056 TYPE: 20-F DATE: 08-08-2008

View File Download Raw File Cosine Similarity/Word Variation Raw Non Dollar Values in CSV Raw Dollar Values in CSV

N/A
 (Translation of Registrant's Name Into English) **Republic of India**
 (Jurisdiction of Incorporation or Organization)

Satyam Infocity
 —Unit — 12, Plot No. 35/36
 Hi-tech City layout, Survey No. 64, Madhapur
 Hyderabad — 500 081
 Andhra Pradesh, India
 (91) 40 3063 6363
 (Address and Telephone Number of Principal Executive Offices)

Securities registered or to be registered pursuant to Section 12(b) of the Act:

par value Rs. 2.0 per share

(Title of Class)

Securities registered or to be registered pursuant to Section 12(g) of the Act:

None

(Title of Class)

Securities for which there is a reporting obligation pursuant to Section 15(d) of the Act

None

(Title of Class)

Indicate the number of outstanding shares of each of the issuer's classes of capital or common stock as of the close of the period covered by the annual report.

670,479,293 equity shares, including

130,505,900 underlying equity shares for 65,252,950 ADSs, were issued and outstanding as of March 31, 2008.

Indicate by check mark if the registrant is a well-known seasoned issuer, as defined in Rule 405 of the Securities Act.

Word Distribution:

Download Distribution

Download File Analysis

FILE ANALYSIS

Total Word Count (TWC)	80782
Total Word Count without numerics (TWCWN)	74832
Sentence Count	2615
Gunning-Fog Index	21.6
Smog Index	18.746
Flesch Reading Ease	21.542
Flesch-Kincaid Grade Level	17.371
Automated Readability Index	17.931
Coleman-Liau Index	14.512

RISK SENTIMENT ANALYSIS:

RISK TYPE	COUNT (NR)	LN(1+NR)	NR PERCENT TWC
RS Feng Li	82	4.419	0.102
RS Financial	176	5.176	0.218
RS Litigation	158	5.069	0.196
RS Tax	386	5.958	0.478
RS Systematic	690	6.538	0.854
RS Idiosyncratic	1239	7.123	1.534
RS Overall	2649	7.882	3.279

Example 12: Readability Indices for Satyam and WIPRO

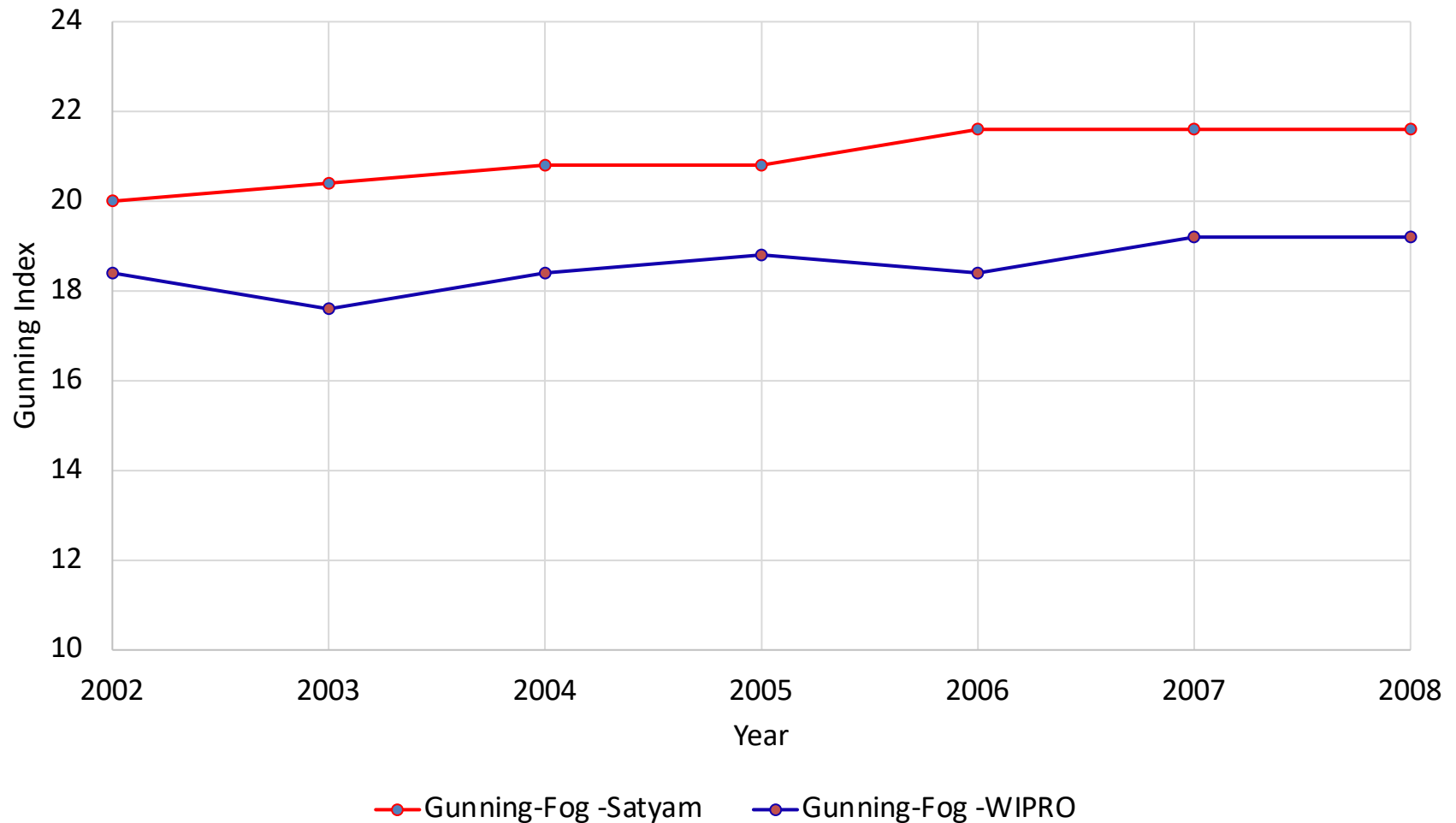
Satyam Textual Analysis							
Year	2008	2007	2006	2005	2004	2003	2002
Total Word Count	81258	85673	80785	58473	67858	70837	259828
Total Word Count without numerics	74833	79145	74881	54641	60675	63526	227833
Sentence Count	2642	2770	2575	1966	2175	2368	5770
Gunning-Fog Index	21.6	21.6	21.6	20.8	20.8	20.4	20
Smog Index	18.666	18.762	18.73	18.459	18.394	18.18	13.618
Flesch Reading Ease	21.777	21.777	22.212	22.893	22.92	23.236	51.699
Flesch-Kincaid Grade Level	17.281	17.344	17.411	17.001	17.014	16.704	16.962
Automated Readability Index	17.759	17.819	17.908	17.316	17.383	16.964	13.404
Coleman-Liau Index	14.439	14.357	14.145	14.2	14.239	14.386	0.293

WIPRO LTD							
Year	2008	2007	2006	2005	2004	2003	2002
Total Word Count	93966	99464	96763	101922	87781	75005	120396
Total Word Count without numerics	85584	90570	88177	93798	78915	66793	104844
Sentence Count	3624	3894	3865	4080	3511	3290	4656
Gunning-Fog Index	19.2	19.2	18.4	18.8	18.4	17.6	18.4
Smog Index	17.059	16.935	16.644	16.797	16.625	16.004	16.688
Flesch Reading Ease	28.928	28.956	30.938	30.24	30.684	32.505	30.451
Flesch-Kincaid Grade Level	15.113	15.017	14.628	14.771	14.579	13.785	14.629
Automated Readability Index	15.082	15.012	14.573	14.709	14.397	13.423	14.471
Coleman-Liau Index	14.04	14.182	13.916	13.97	13.9	14.05	13.959

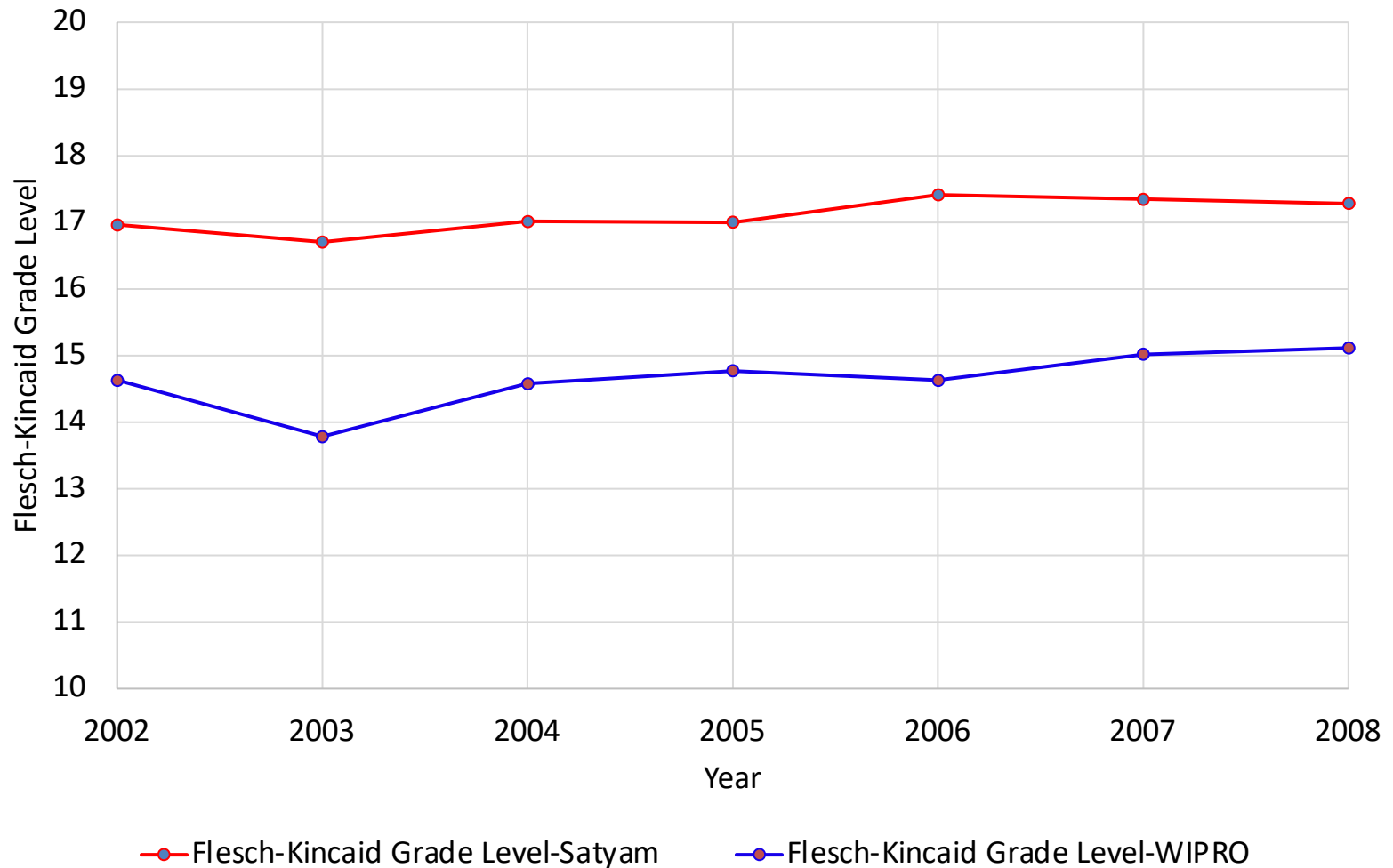
Example 12: Readability Indices for Satyam and WIPRO

- Using the data given in the previous slide, one can plot various graphs to analyze the data.
- Next two slides show the graphs of two readability indices for Satyam and WIPRO.
- It is interesting to see that Satyam's 20-F is consistently more complex to read compared to WIPRO's 20-F.

Example 12: Graph of Readability Indices for Satyam and WIPRO



Example 12: Graph of Readability Indices for Satyam and WIPRO



Example 13

Cosine Similarity Measure

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Example 13: Cosine Similarity Measure

For illustration, we consider two Indian IT companies, Satyam Computer Services Ltd, CIK = 1106056, and WIPRO Ltd., CK = 1123799, both filed 20-F with the SEC. In January 2009, Satyam's Chairman Ramalinga Raju sent a confession letter to SEBI (Securities and Exchange Board of India) admitting that he inflated the financial results and cooked books of Satyam. We would like to compare the Cosine Similarity measure of Satyam, a fraudulent company, with a competing non-fraudulent company, WIPRO Ltd. Here is what we need to do to get the Cosine Similarity measure for 20-F for the period 2002 to 2008.

Step 1: Type "a|the|of" without the quotes in the slot of "With the exact phrase". Or, you can use any search criteria including Boolean logic, if that is relevant for your search.

Step 2: Type either "Satyam Computer Services" and select option "Name" from the right or type the CIK code and select "CIK" option from the right. Select the time period 2002 – 2008.

Step 3: Select "Paragraph (All)".

Step 4: Select 20-F and 20-F/A

Step 5: Submit

You will get the result in seconds. The next slide shows how you enter the above information and the following slide shows the [Cosine Similarity](#) and [Word Variation](#) buttons at the top middle of the display window. Click on this button. The system will open another window. Select the CIK that is already present (CIK of the company just searched) or type in another CIK that you want to get the compare data. Select the filing, in the present case 20-F, and the period 2002-2008 and then "Search". The system will list all the filings for your compare data. Now you select the specific year filings for the compare data or select all the years. In the present example, I will do it two at a time keeping 2003 year common. This is because I want to get Cosine Similarity measure relative to 2003 Filing. See the subsequent slides for details.

STEP 1: Please enter Phrase(s)/Keyword(s) you wish to search:

With the exact phrase(s):

The following features are for Single Phrase/Word only: (In case of Multiple Phrases/Words, please use the [Request Form](#) to submit the request.)

- Phrase/Word Counter
- Display words before & after

Number of words before: Number of words After:

Proximity Search:

Please input within how many words:

With all of the words:

With at least one of the words:

Without the words:

STEP 2: Please select the options below (Default - ALL):

COMPANY:

From: To:

SIC (Optional):

STEP 3: Please select the search Resolution here:

- Paragraph(All)
- Footnote
- SOX 404 Mgt Report
- MD&A
- Table
- Audit Report
- SOX 404 Audit Report

STEP 4: Please select the Document(s) you want to search here:

- All
- Select (Please see [Filing Description](#) for more information): Un-Check All

Annual Reports Check All Annual Reports Un-Check All Annual Reports

- 10-K 10-KT 10-K405 10KT405 10KSB 10KSB40
- 10-K/A 10-KT/A 10-K405/A 10KT405/A 10KSB/A 10KSB40/A

Quarterly, Current & Foreign Annual Reports

- 10-Q 10-QT 10QSB 8-K 6-K 20-F 40-F
- 10-Q/A 10-QT/A 10QSB/A 8-K/A 6-K/A 20-F/A 40-F/A

Proxies & Registrations

- DEF 14A DEFM14A S-1 S-4 15-12B 15-12G
- DEFA14A DEFM14C S-1/A S-4/A 15-12B/A 15-12G/A
- 15-12D 15F-12B 15F-12G 15F-12D ABS-15G PRE 14A
- 15-12D/A 15F-12B/A 15F-12G/A 15F-12D/A ABS-15G/A

Ownership & Prospectuses

- Form 3 Form 4 Form 5 424B1 424B3 424B5
- Form 3/A Form 4/A Form 5/A 424B2 424B4 424B7
- 13F-HR 13F-NT SC 13D SC 13G 424B8
- 13F-HR/A 13F-NT/A SC 13D/A SC 13G/A

Other Filings

- N-CSR N-CSRS NSAR-A NSAR-AT NSAR-B
- N-CSR/A N-CSRS/A NSAR-A/A NSAR-AT/A NSAR-B/A
- NSAR-BT NSAR-U N-Q SD CORRESP (Comment Letters)
- NSAR-BT/A NSAR-U/A N-Q/A SD/A UPLOAD (Response Letters)
- AAER** 11-K 11-K/A CT ORDER

10-K, 10-Q & 8-K Exhibits & Shareholders Letters

- PRESS RELEASE*
- OTHER 8-K EX
- EXHIBIT 95 (10-K & 10-Q)
- EXHIBIT 99 (10-K)
- SHAREHOLDERS MEETINGS*
- SHAREHOLDERS LETTER*
- EXHIBIT 10 (10-K)
- EXHIBIT 99 (10-Q)
- CONFERENCE CALLS*
- EXHIBIT 21 (10-K & 10-Q)
- EXHIBIT 10 (10-Q)
- ITEM 1A (10-K)

Public Company Accounting Oversight Board

- INSPECTION REPORTS**
- ADJUDICATED DISCIPLINARY ACTIONS**
- SETTLED DISCIPLINARY ORDERS**

* These extraction are from various filings, filed by companies to the SEC website and not from company websites.

** AAER & PCAOB do not have CIK's, they have File number and Firm number respectively

STEP 5: SUBMIT

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Example 13: Compare: Cosine Similarity Measure

1 - 8 of 8

Download Results

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :08-08-2008
 Filename :0001145549-08-001441.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :04-30-2007
 Filename :0001145549-07-000670.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :04-28-2006
 Filename :0001145549-06-000579.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :04-28-2005
 Filename :0001145549-05-000706.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :06-29-2004
 Filename :0001145549-04-000850.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056
 SIC :7371
 File Type :20-F
 File Date :06-30-2003
 Filename :0001145549-03-000795.txt

SATYAM COMPUTER SERVICES LTD
 CIK :1106056

SATYAM COMPUTER SERVICES LTD CIK: 1106056 TYPE: 20-F DATE: 08-08-2008

View File Download Raw File **Cosine Similarity/Word Variation** Raw Non Dollar Values in CSV Raw Dollar Values in CSV

N/A
 (Translation of Registrant's Name Into English) **Republic of India**
 (Jurisdiction of Incorporation or Organization)

Satyam Infocity
 —Unit — 12, Plot No. 35/36
 Hi-tech City layout, Survey No. 64, Madhapur
 Hyderabad — 500 081
 Andhra Pradesh, India
 (91) 40 3063 6363
 (Address and Telephone Number of Principal Executive Offices)

Securities registered or to be registered pursuant to Section 12(b) of the Act:

par value Rs. 2.0 per share

(Title of Class)

Securities registered or to be registered pursuant to Section 12(g) of the Act:

None
 (Title of Class)

Securities for which there is a reporting obligation pursuant to Section 15(d) of the Act:

None
 (Title of Class)

Indicate the number of outstanding shares of each of the issuer's classes of capital or common stock as of the close of the period covered by the annual report.

670,479,293 equity shares, including

130,505,900 underlying equity shares for 65,252,950 ADSs, were issued and outstanding as of March 31, 2008.

Indicate by check mark if the registrant is a well-known seasoned issuer, as defined in Rule 405 of the Securities Act.

Word Distribution:

Download Distribution

Download File Analysis

FILE ANALYSIS	
Total Word Count (TWC)	80782
Total Word Count without numerics (TWCWN)	74832
Sentence Count	2615
Gunning-Fog Index	21.6
Smog Index	18.746
Flesch Reading Ease	21.542
Flesch-Kincaid Grade Level	17.371
Automated Readability Index	17.931
Coleman-Liau Index	14.512

RISK SENTIMENT ANALYSIS:			
RISK TYPE	COUNT (NR)	LN(1+NR)	NR PERCENT TWC
RS Feng Li	82	4.419	0.102
RS Financial	176	5.176	0.218
RS Litigation	158	5.069	0.196
RS Tax	386	5.958	0.478
RS Systematic	690	6.538	0.854
RS Idiosyncratic	1239	7.123	1.534
RS Overall	2649	7.882	3.279

CIK : **Year :** to

File Type:

<input type="radio"/> 10-K	<input type="radio"/> 8-K	<input checked="" type="radio"/> 20-F	<input type="radio"/> Form-3	<input type="radio"/> 424B1	<input type="radio"/> 424B4	<input type="radio"/> 15F-12B	<input type="radio"/> DEF 14A	<input type="radio"/> N-CSR	<input type="radio"/> UPLOAD	<input type="radio"/> MDNA 10-K
<input type="radio"/> 10-Q	<input type="radio"/> 6-K	<input type="radio"/> 40-F	<input type="radio"/> Form-4	<input type="radio"/> 424B2	<input type="radio"/> 424B5	<input type="radio"/> 15F-12G	<input type="radio"/> DEFM14A	<input type="radio"/> NSAR-A	<input type="radio"/> CORRESP	<input type="radio"/> MDNA 10-Q
<input type="radio"/> N-Q	<input type="radio"/> S-1	<input type="radio"/> 11-K	<input type="radio"/> Form-5	<input type="radio"/> 424B3	<input type="radio"/> 424B7	<input type="radio"/> 15F-12D	<input type="radio"/> DEFM14C	<input type="radio"/> NSAR-B	<input type="radio"/> ITEM 1A	<input type="radio"/> FOOTNOTE 10-K
<input type="radio"/> SD	<input type="radio"/> S-4	<input type="radio"/> 15-12B	<input type="radio"/> 15-12G	<input type="radio"/> 15-12D	<input type="radio"/> 424B8	<input type="radio"/> SC 13D	<input type="radio"/> SC 13G	<input type="radio"/> NSAR-U	<input type="radio"/> 13F-HR	<input type="radio"/> FOOTNOTE 10-Q

Cosine Similarity measures how close two documents are. **Word Variation** compares and provides the frequency of words that appear in two documents.

The list of 20-F 's filed between 2002 - 2008 years for CIK : 1106056

Cosine Similarity			Word Variation
Filing	SEC File Link	Filing Date	Word Distribution
<input checked="" type="checkbox"/> 20-F	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-08-001441-index.htm	08-08-2008	<input type="button" value="Download Distribution"/>
<input type="checkbox"/> 20-F	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-07-000670-index.htm		<input type="button" value="Download Distribution"/>
<input type="checkbox"/> 20-F	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-06-000570-index.htm	07-28-2006	<input type="button" value="Download Distribution"/>
<input type="checkbox"/> 20-F	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-04-000850-index.htm	04-28-2005	<input type="button" value="Download Distribution"/>
<input type="checkbox"/> 20-F/A	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-07-000961-index.htm	07-26-2004	<input type="button" value="Download Distribution"/>
<input type="checkbox"/> 20-F	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-04-000850-index.htm	06-29-2004	<input type="button" value="Download Distribution"/>
<input checked="" type="checkbox"/> 20-F	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-03-000795-index.htm	06-30-2003	<input type="button" value="Download Distribution"/>
<input type="checkbox"/> 20-F	https://www.sec.gov/Archives/edgar/data/1106056/0001021408-02-009039-index.htm	07-01-2002	<input type="button" value="Download Distribution"/>

Example 13: Compare: Cosine Similarity Measure

SeekINSMF

Example 13: Cosine Similarity Measure Data for Satyam and WIPRO

Once you click on the [Cosine Similarity](#) button after selecting the two years filings, the system will yield the result in a CSV file which you can open and save in Excel. Repeating this process for each pair, (2003, 2008), (2003, 2007), (2003, 2006), (2003, 2005), (2003, 2005), and (2003, 2004), I obtained the following data.

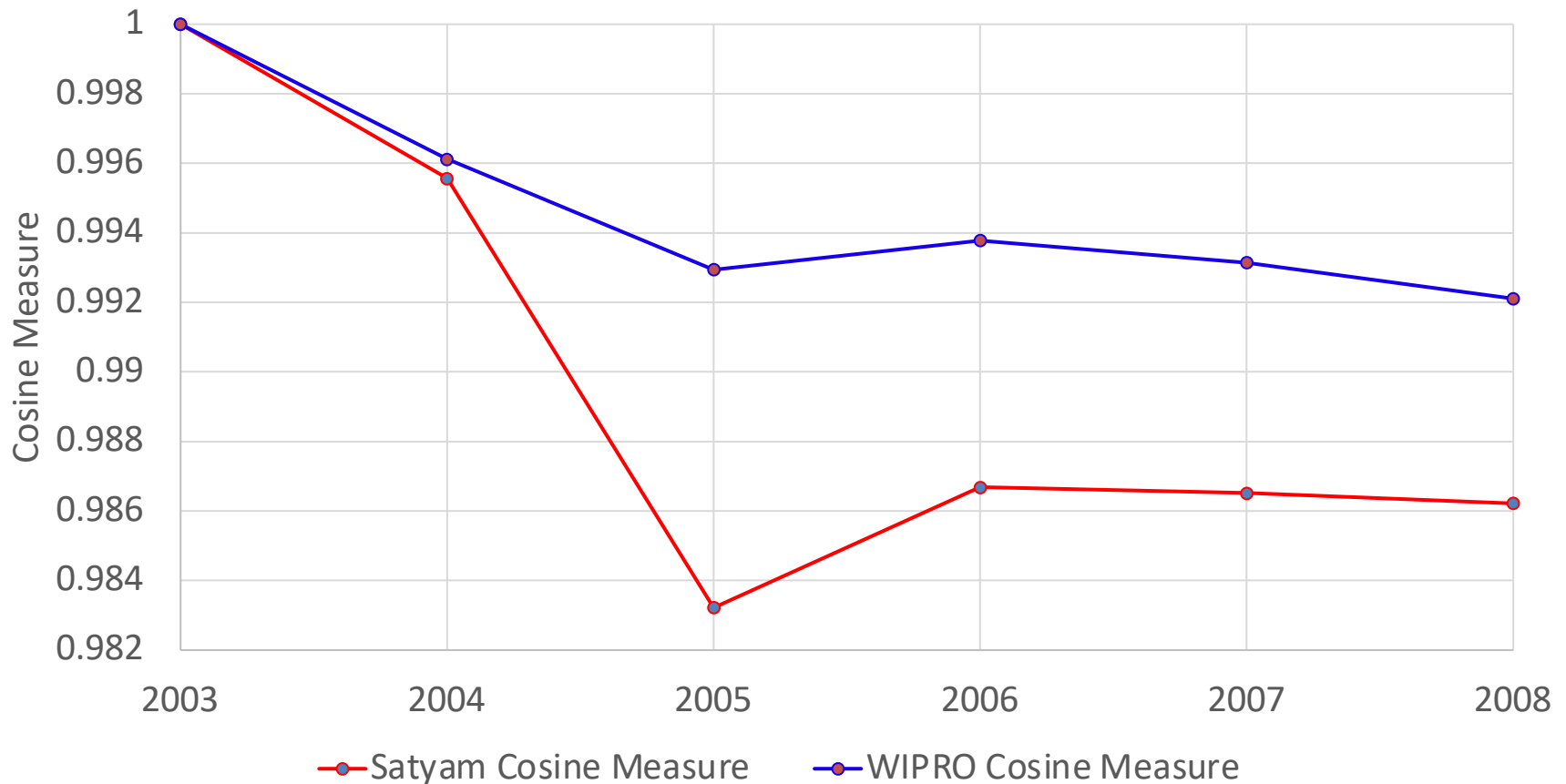
Cosine Similarity Scores 20F		File 1 VS File 2					
Satyam	CIK	2008 VS 2003	2007 VS 2003	2006 VS 2003	2005 VS 2003	2004 20F/A VS 2003	2004 VS 2003
	1106056	0.986219031	0.986518731	0.986687789	0.983219142	0.884167909	0.995569951
WIPRO	CIK	2008 VS 2003	2007 VS 2003	2006 VS 2003	2005 VS 2003	2004/A VS 2003	2004 VS 2003
	1123799	0.992107956	0.993143381	0.993785122	0.992941528	0.802915992	0.996115982

The following data was obtained by rearranging the above data. See the next slide for the plots

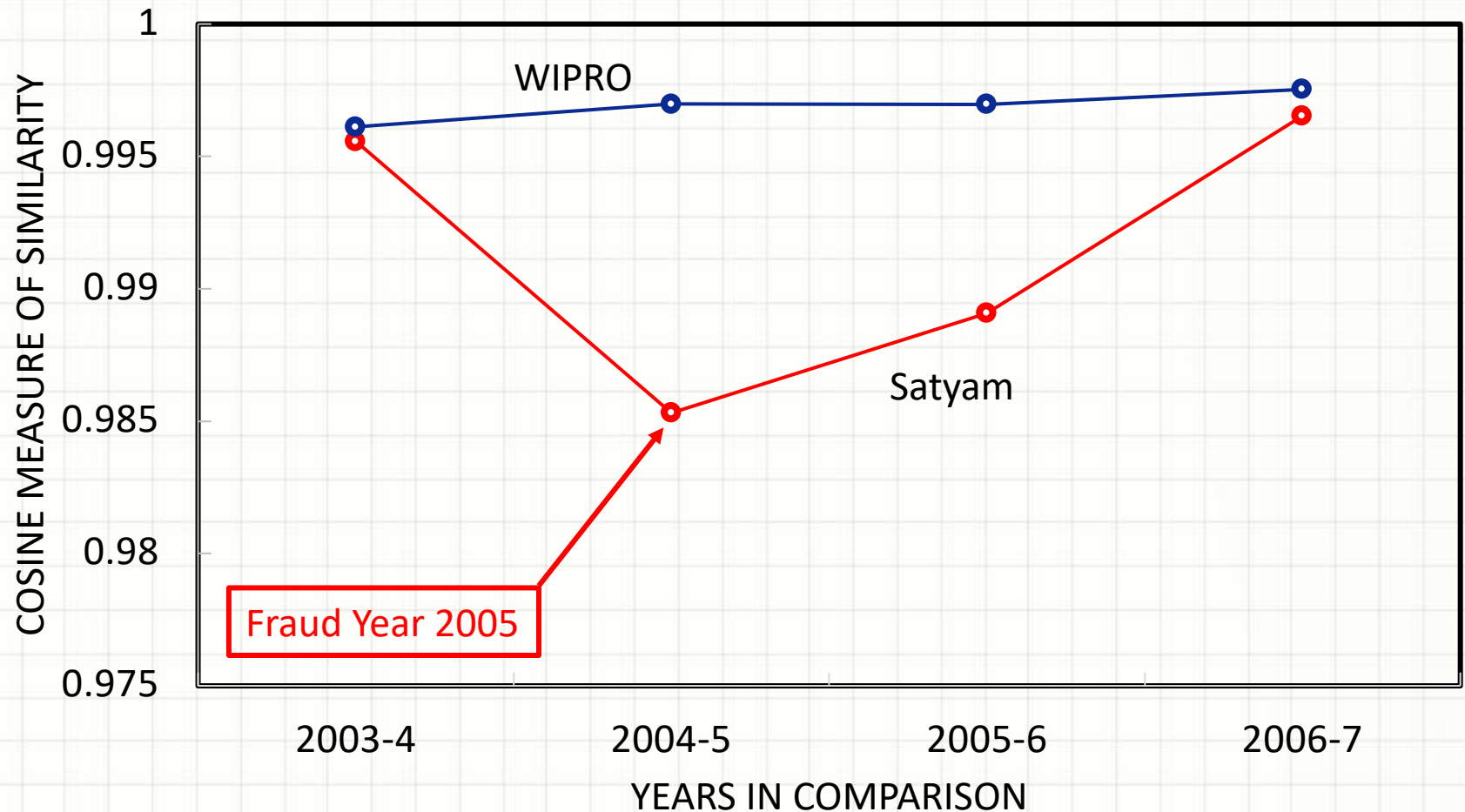
Year	Satyam Cosine Measure	WIPRO Cosine Measure
2008	0.986219031	0.992107956
2007	0.986518731	0.993143381
2006	0.986687789	0.993785122
2005	0.983219142	0.992941528
2004	0.995569951	0.996115982
2003	1.0	1.0

Example 13: Graph of Cosine Similarity Data for Satyam and WIPRO

Cosine Measure of Similarity for Satyam with WIPRO in relation to 2003 20-F



Change in Cosine Measure of Similarity for Satyam and WIPRO by Year (20-F)



Example 14:

Word Variation

From

One Year to Another

SeekIN^F

Example 14: Word Variations Year-to-Year

- Let us consider an example of Enron. In order to get to the word variation, we need to get into the search engine by searching for any thing in our desired company. In the present case we will enter the company name Enron in the Exact Phrase slot and enter ENRON CORP in the company name slot, and select 1994-2023, paragraph, 10Ks and submit. Once you get the output, from the display window click on the link “Cosine Similarity/Word Variation”. This will take you to the Cosine Similarity and Word Variation page. Select all the 10Ks for which you want the Word Variation.
- Next slide shows the sorted data for the years 1994 to 2001 for Enron.
- One can see that the following words: [wholesale](#), [broadband](#), and [markets](#), were not used as frequently in the beginning years as they are being used in the recent years. Could this have been done intentionally? Well, this is a research questions.
- If one looks at the snippets related to these words, one will realize that this may have been done to hype the market. See the slide following the word variation slide.

Example: Word Variations in MDA in 10K from Year-to-Year for Enron

<https://www> <https://www> <https://www> <https://www> <https://www> <https://www> <https://www> <https://www>

WORDS	1024401 -- 2001	1024401 -- 2000	1024401 -- 1999	1024401 -- 1998	72859 -- 1997	72859 -- 1996	72859 -- 1995	72859 -- 1994
its	52	50	77	43	21	24	29	15
wholesale	52	54	35	24	0	0	0	0
on	51	41	79	41	14	28	28	16
market	48	42	34	27	5	10	11	10
related	47	29	39	31	16	21	14	8
increased	45	37	36	41	48	47	57	57
other	45	34	55	26	28	34	31	39
value	44	34	36	22	3	3	2	2
investments	42	36	39	23	12	8	7	4
assets	41	44	33	22	15	11	16	14
earnings	40	38	36	42	45	48	54	34
financial	36	41	37	31	11	11	10	15
equity	35	28	28	24	20	12	14	7
power	35	26	22	16	16	28	43	47
interest	33	32	38	31	18	29	42	32
net	33	26	30	30	29	23	18	20
management	32	27	32	27	16	26	24	13
primarily	31	34	35	43	40	45	51	51
statements	30	36	19	17	9	8	3	5
activities	27	26	25	17	20	20	32	25
broadband	27	9	0	0	0	0	0	0
markets	26	22	14	14	15	10	4	1
business	24	13	48	19	8	10	15	16

Example: Word Variations in MDA in 10K from Year-to-Year for Enron

<https://www> <https://www> <https://www> <https://www> <https://www> <https://www> <https://www> <https://www>

WORDS	1024401 -- 2001	1024401 -- 2000	1024401 -- 1999	1024401 -- 1998	72859 -- 1997	72859 -- 1996	72859 -- 1995	72859 -- 1994
its	52	50	77	43	21	24	29	15
wholesale	52	54	35	24	0	0		0
on	51	41	79	41	14			16
market	48	42	34	27				10
related	47	29	39				14	8
increased	45	37	28			47		7
other	45	34	28		28			
value	44	34	22					2
investment	40	39	23					4
financial	36	44	33			11	16	
equity		38	31		45	48		
new			24		11			15
operating		22	15			28	14	7
management	33	32	38		28	29	43	47
primarily	32	26	28		29	23	42	32
state			27		16	26	18	20
advertising			17		27	26	24	13
broadband	27	36	19		16	26	24	13
markets	26	22	14		17	9	8	3
business	24	13	48		43	40	45	51
		25	17		9	8	3	5
	27	26	25		17	20	20	32
	27	9	0		0	0	0	0
	26	22	14		14	15	10	4
	24	13	48		19	8	10	15
								16

Enron **Wholesale** operates in developed markets such as North America and Europe , as well as developing

Broadband Services also makes investments in companies with related technologies and with the potential for capital appreciation.

Enron Wholesale operates in developed **markets** such as North America and Europe , as well as developing or newly deregulating markets including South America , India

Example 15:

Extraction of numbers
(dollar or non-dollar values)
present in a line in Excel

Example 15: Extract numbers (\$ or non \$ value) present in a line in Excel

This feature allows one to extract numbers from a line, whether they are in dollars or non-dollar values. This feature is especially useful when the information is presented in an unstructured way.

As an illustration we consider the following situation. Suppose you want to find the number of active patents disclosed by companies in their annual reports, 10Ks, filed with the SEC. Next few slides shows how you can obtain this information in an Excel file.

Example 15: Extract numbers (\$ or non \$ value) present in a line in Excel

Complete the following steps in the SeekiNF search page.

- ◆ **Step 1:** Type the phrase **active patents** in the slot “With the exact phrase”
- ◆ **Step 2:** Since we are interested in all companies, we leave “All” the default choice, select the period, say one year period **1994 - 2019**, and keep **SIC(Optional)** “All (SICs)”
- ◆ **Step 3:** Select **Paragraph (All)**
- ◆ **Step 4:** Select **10K** (all 10Ks)
- ◆ **Step 5:** Click on **SUBMIT** button

The system will display the snippets in the display window as shown in the next slide.

Example 15: Extract numbers (\$ or non \$ value) present in a line in Excel

1 - 20 of 722 < >

Download Results

REGI U S INC
CIK :922330
SIC :3510
File Type :10-K
File Date :09-11-2019
Filename :0001493152-19-013965.txt

Future FinTech Group Inc.
CIK :1066923
SIC :2030
File Type :10-K
File Date :09-03-2019
Filename :0001213900-19-017066.txt

WESTERN DIGITAL CORP
CIK :106040
SIC :3572
File Type :10-K
File Date :08-27-2019
Filename :0000106040-19-000058.txt

SYNAPTICS Inc
CIK :817720
SIC :3674
File Type :10-K
File Date :08-23-2019
Filename :0001564590-19-032908.txt

Rexnord Corp
CIK :1439288
SIC :3560
File Type :10-K
File Date :05-14-2019
Filename :0001439288-19-000021.txt

WESTERN DIGITAL CORP CIK: 106040 TYPE: 10-K DATE: 08-27-2019

View File Download Raw File Cosine Similarity/Word Variation **Raw Non Dollar Values in CSV** Raw Dollar Values in CSV

We have more than 14,000 **active patents** worldwide and have many patent applications in process. We continually seek additional United States ("U.S.") and international patents on our technology. We believe that, although our **active patents** and patent applications have considerable value, the successful manufacturing and marketing of our products also depends upon the technical and managerial competence of our staff. Accordingly, the patents held and applied for cannot alone ensure our future success.

In

Word Distribution:

Download Distribution
Download File Analysis

FILE ANALYSIS	
Total Word Count (TWC)	91740
Total Word Count without numerics (TWCWN)	85665
Sentence Count	2453
Gunning-Fog Index	24.0
Smog Index	20.583
Flesch Reading Ease	13.036
Flesch-Kincaid Grade Level	20.123
Automated Readability Index	21.313
Coleman-Liau Index	15.8

RISK SENTIMENT ANALYSIS!			
RISK TYPE	COUNT (NR)	LN(1+NR)	NR PERCENT TWC
RS Feng Li	139	4.942	0.152
RS Financial	460	6.133	0.501
RS Litigation	326	5.79	0.355
RS Tax	406	6.009	0.443
RS Systematic	867	6.766	0.945
RS Idiosyncratic	1419	7.258	1.547

Next, click on "Raw Non Dollar Values in CSV" as shown above by the red arrow. The system will dump the information in a CSV file which can be opened in Excel. The next slide shows the dumped information in Excel file for Western Digital Corp, CIK = 106040. Note that for the numbers in dollar value, one needs to click on "Raw Dollar Values in CSV" as shown above in the top menu bar.

Example 15: Extract numbers (\$ or non \$ value) present in a line in Excel

COMPANY NAME	CIK	SIC	FILE TYPE	FILING DATE	VALUES	
WESTERN DIGITAL CORP	106040	3572	10-K	20180824		
WESTERN DIGITAL CORP	106040	3572	10-K	20180824	We have more than 14,000 active patents worldwide and have many patent applications in process	14,000
WESTERN DIGITAL CORP	106040	3572	10-K	20180824	We believe that, although our active patents and patent applications have considerable value, the successful manufacturing and marketing of our products also depends upon the technical and managerial competence of our staff	

Next, one has to use human judgment to determine what number relates to what. In the current example, the text description in the column titled “Values” suggests that the number 14,000 relates to “active patents worldwide”.

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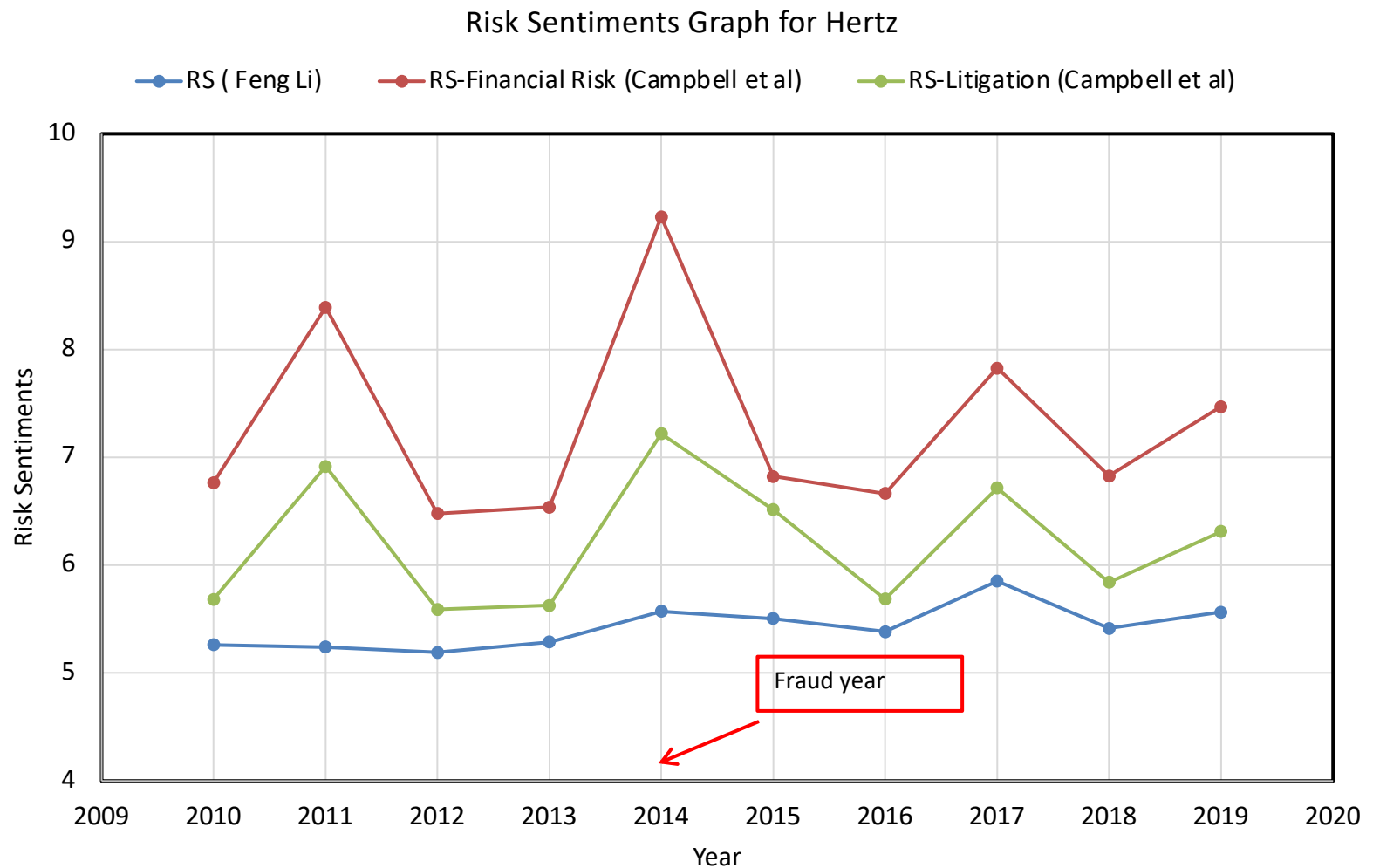
Example 16:

Seven Risk Sentiments (RS) Metrics (These are available for the following Documents: Item 1A, 10K, 10K/A, 10Q, 10Q/A, 20F, 20F/A, 40F, and 40F/A)

1. RS (Feng Li Model): https://papers.ssrn.com/sol3/papers.cfm?abstract_id=898181
2. RS-Financial (Campbell, et al.): <https://link.springer.com/article/10.1007/s11142-013-9258-3>
3. RS-Litigation (Campbell, et al.): <https://link.springer.com/article/10.1007/s11142-013-9258-3>
4. RS-Tax (Campbell, et al.): <https://link.springer.com/article/10.1007/s11142-013-9258-3>
5. RS-Systematic (Campbell, et al.): <https://link.springer.com/article/10.1007/s11142-013-9258-3>
6. RS-Idiosyncratic (Campbell, et al.): <https://link.springer.com/article/10.1007/s11142-013-9258-3>
7. RS- Overall (Campbell, et al.): <https://link.springer.com/article/10.1007/s11142-013-9258-3>

Note: To obtain these metrics type “a|the|of” without the quotes in Step 1: Exact Phrase slot, select, companies, years, paragraph, and the filings, and submit. These metrics will appear on the right side of the display window under the readability indices. You can download these metrics for each company one by one by clicking on the link “Download File Analysis”. This will yield the Readability indices and the Risk sentiments for the company highlighted on the left side. For Readability Indices and the Risk sentiments for a set of companies, send us a note at seekedgar@gmail.com. We will send you the data. Or, you can use the Request Form as in Example 5.

Example 16: Hertz Company committed fraud in 2014.



Special Search using multiple Search Criteria -1

Use of Exact Phrases:

You can search any document with a combination of exact phrases with “AND”, “OR”, or any combination. Seek iNF uses “+” for AND, “|” for OR, and “-” for negation with or without space before and after the symbol. Type the phrases in the “With the exact phrase” slot.

Suppose we have three phrases represented by A, B, & C.

- ◆ **For AND logic**, type the phrases separated by + sign as: $A + B + C$.
- ◆ **For OR logic**, type the phrases separated by | symbol as: $A | B | C$
- ◆ **For AND and OR:** such as A&(B or C): Type $A+(B | C)$.
- ◆ **For AND and negation** such as “A & B & notC”. Type as $A+B-C$.
- ◆ **For OR and Negation** such as “(A or B)& notC”. Type as $(A | B) -C$.
- ◆ Please use a space in place of a hyphen is a hyphenated word.

Special Search using multiple Search Criteria -2

Some Important points to remember:

- ◆ “With the exact phrase” and “Proximity Search” work together as “AND” logic.
- ◆ “With the exact phrase” and “With all the words” together work as “AND” logic.
- ◆ “With the exact phrase” and “With any one of the words” work as “OR” logic.
- ◆ “Without the words” would work only when you are using another criterion.
- ◆ The Wild card search will not work in “With the exact phrase” and “Proximity Search”.

Seek iNFSM

CONCLUSION

- ◆ Seek iNF is a powerful search engine.
- ◆ Our Database is rich and comprehensive
- ◆ There is nothing in the market that provides such a flexibility and efficiency.
- ◆ Our system is ready for your use.
- ◆ Data collection is a trivial task using Seek iNF once you have figured out what kinds of information you want.
- ◆ If certain download is taking a lot of time then contact us with your specific details. We will collect the data for you.

SeekiNFSM

CONCLUSION (Continued)

- ◆ I encourage you to try the examples given in this write-up
- ◆ Please let me know if you want us to add other SEC filings that are not in our system.
- ◆ Also, please provide your inputs about any concerns.
- ◆ Contact Dr. Raj Srivastava at rsrivastava@seekedgar.com or by phone 785-218-4409

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Email: rsrivastava@seekedgar.com

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FRAANK (Financial Reporting and Auditing Agent with Net Knowledge) US Patent – 2010 Cloud Technology



US007856388B1

(12) **United States Patent**
Srivastava et al.

(10) **Patent No.:** **US 7,856,388 B1**
(45) **Date of Patent:** **Dec. 21, 2010**

(54) **FINANCIAL REPORTING AND AUDITING
AGENT WITH NET KNOWLEDGE FOR
EXTENSIBLE BUSINESS REPORTING
LANGUAGE**

7,653,871	B2 *	1/2010	LaComb et al.	715/227
2003/0041077	A1 *	2/2003	Davis et al.	707/500
2004/0193520	A1 *	9/2004	LaComb et al.	705/35
2004/0194009	A1 *	9/2004	LaComb et al.	715/500
2008/0229187	A1 *	9/2008	Mahoney et al.	715/234

(75) Inventors: **Rajendra P. Srivastava**, Lawrence, KS
(US); **Miklos Vasarhelyi**, New York, NY
(US); **Alex Kogan**, East Brunswick, NJ
(US)

OTHER PUBLICATIONS

Nelson, Kay M., Kogan, Alex, Srivastava, Rajendra P., Vasarhelyi,
Miklos A., "Virtual Auditing Agents: the EDGAR Agent challenge,"
Decision Support Systems, May 2000, vol. 28, Issue 3, pp. 241-253.*

(73) Assignee: **University of Kansas**, Lawrence, KS
(US)

* cited by examiner

(*) Notice: Subject to any disclaimer, the term of this
patent is extended or adjusted under 35
U.S.C. 154(b) by 1024 days.

Primary Examiner—Charles R Kyle
Assistant Examiner—David L Wood

(74) *Attorney, Agent, or Firm*—Suiter Swantz PC LLO

(57) **ABSTRACT**



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S.No	Form Type	Description	Filing Date	Raw Filing	XBRL
1	10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Acc-no: 0001193125-15-272806 (34 Act) Size: 14 MB	2015-07-31	[Raw]	[Xbrl]
2	10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Acc-no: 0001193125-14-289961 (34 Act) Size: 18 MB	2014-07-31	[Raw]	[Xbrl]
3	10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Acc-no: 0001193125-13-310206 (34 Act) Size: 24 MB	2013-07-30	[Raw]	[Xbrl]
4	10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Acc-no: 0001193125-12-316848 (34 Act) Size: 17 MB	2012-07-26	[Raw]	[Xbrl]
5	10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Acc-no: 0001193125-11-200680 (34 Act) Size: 16 MB	2011-07-28	[Raw]	[Xbrl]
6	10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Acc-no: 0001193125-10-171791 (34 Act) Size: 20 MB	2010-07-30	[Raw]	[Xbrl]
7	10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Acc-no: 0001193125-09-158735 (34 Act) Size: 1 MB	2009-07-30	[Raw]	[Xbrl]
8	10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Acc-no: 0001193125-08-162768 (34 Act) Size: 1 MB	2008-07-31	[Raw]	[Xbrl]
9	10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Acc-no: 0001193125-07-170817 (34 Act) Size: 1 MB	2007-08-03	[Raw]	[Xbrl]
10	10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Acc-no: 0001193125-06-180008 (34 Act) Size: 1 MB	2006-08-25	[Raw]	[Xbrl]
11	10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Acc-no: 0001193125-05-174825 (34 Act) Size: 1 MB	2005-08-26	[Raw]	[Xbrl]

Arrive:

Flight Time:
2 hr 16 mnFlight: **UA4934**

MICROSOFT CORP
07-31-2015

☐ **Balance Sheet**

... [ORIGINAL]
 ... [EXCEL]

☒ **Income Statement**

☒ **Cash Flow**

☒ **Non Financial**

☒ **SOX 404 & Reg-AB**

☒ **Itemized Report**

☒ **MDNA**

(In millions)

June 30,

2015

2014

Assets

Current assets:

Cash and cash equivalents	\$ 5,595	\$ 8,669
Short-term investments (including securities loaned of \$75 and \$541)	90,931	77,040

Total cash, cash equivalents, and short-term investments	96,526	85,709
Accounts receivable, net of allowance for doubtful accounts of \$335 and \$301	17,908	19,544
Inventories	2,902	2,660
Deferred income taxes	1,915	1,941
Other	5,461	4,392

Total current assets	124,712	114,246
Property and equipment, net of accumulated depreciation of \$17,606 and \$14,793	14,731	13,011
Equity and other investments	12,053	14,597
Goodwill	16,939	20,127
Intangible assets, net	4,835	6,981
Other long-term assets	2,953	3,422

Total assets	\$ 176,223	\$ 172,384
--------------	------------	------------

Liabilities and stockholders' equity

Current liabilities:

Accounts payable	\$ 6,591	\$ 7,432
Short-term debt	4,985	2,000
Current portion of long-term debt	2,499	0
Accrued compensation	5,096	4,797
Income taxes	606	782
Short-term unearned revenue	23,223	23,150
Securities lending payable	92	558
Other	6,766	6,906

Total current liabilities	49,858	45,625
Long-term debt	27,808	20,645
Long-term unearned revenue	2,095	2,008
Deferred income taxes	2,835	2,728
Other long-term liabilities	13,544	11,594

Total liabilities	96,140	82,600
-------------------	--------	--------

Commitments and contingencies

Stockholders' equity:

Common stock and paid-in capital – shares authorized 24,000; outstanding 8,027 and 8,239	68,465	68,366
Retained earnings	9,096	17,710
Accumulated other comprehensive income	2,522	3,708

Total stockholders' equity	80,083	89,784
----------------------------	--------	--------

Home Layout Tables Charts SmartArt Formulas Data Review

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	A	B	C	D	E	F
2	Date : 2015-07-31					
3	TABLE : balance					
4	UNITS : 1000000					
5						
6						
7		FY2015	FY2014			
8	ASSETS					
9	Current assets:					
10	Cash and cash equivalents	5595	8669			
11	Short-term investments (including securities loane	90931	77040			
12	Total cash cash equivalents and short-term investr	96526	85709			
13	Accounts receivable net of allowance for doubtful	17908	19544			
14	Inventories	2902	2660			
15	Deferred income taxes	1915	1941			
16	Other	5461	4392			
17	Total current assets	124712	114246			
18	Property and equipment net of accumulated depre	14731	13011			
19	Equity and other investments	12053	14597			
20	Goodwill	16939	20127			
21	Intangible assets net	4835	6981			
22	Other long-term assets	2953	3422			
23	Total assets	176223	172384			
24	Liabilities and stockholders equity					
25	Current liabilities:					
26	Accounts payable	6591	7432			
27	Short-term debt	4985	2000			
28	Current portion of long-term debt	2499	0			
29	Accrued compensation	5096	4797			
30	Income taxes	606	782			
31	Short-term unearned revenue	23223	23150			
32	Securities lending payable	92	558			
33	Other	6766	6906			
34	Total current liabilities	49858	45625			
35	Long-term debt	27808	20645			
36	Long-term unearned revenue	2095	2008			
37	Deferred income taxes	2835	2728			
38	Other long-term liabilities	13544	11594			
39	Total liabilities	96140	82600			
40	Commitments and contingencies					
41	Stockholders equity:					
42	Common stock and paid-in capital - shares authori	68465	68366			
43	Retained earnings	9096	17710			
44	Accumulated other comprehensive income	2522	3708			
45	Total stockholders equity	80083	89784			
46	Total liabilities and stockholders equity	176223	172384			
47						

Audit Report

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MICROSOFT CORP
07-30-2009

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- ▣ Financial Ratios
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- ▣ MDNA

Audit Report

REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

To the Board of Directors and Stockholders of Microsoft Corporation:

We have audited the accompanying consolidated balance sheets of Microsoft Corporation and subsidiaries (the "Company") as of June 30, 2009 and 2008, and the related consolidated statements of income, cash flows, and stockholders' equity for each of the three years in the period ended June 30, 2009. These financial statements are the responsibility of the Company's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with the standards of the Public Company Accounting Oversight Board (United States). Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, such consolidated financial statements present fairly, in all material respects, the financial position of Microsoft Corporation and subsidiaries as of June 30, 2009 and 2008, and the results of their operations and their cash flows for each of the three years in the period ended June 30, 2009, in conformity with accounting principles generally accepted in the United States of America.

As discussed in Note 18 to the financial statements, on July 1, 2007 the Company adopted the provisions of Financial Accounting Standards Board Interpretation No. 48, *Accounting for Uncertainty in Income Taxes – an interpretation of FASB Statement No. 109*, and Emerging Issues Task Force Issue No. 06-2, *Accounting for Sabbatical Leave and Other Similar Benefits Pursuant to FASB Statement No. 43*.

We have also audited, in accordance with the standards of the Public Company Accounting Oversight Board (United States), the Company's internal control over financial reporting as of June 30, 2009, based on the criteria established in *Internal Control – Integrated Framework* issued by the Committee of Sponsoring Organizations of the Treadway Commission and our report dated July 29, 2009, expressed an unqualified opinion on the Company's internal control over financial reporting.

/s/ DELOITTE & TOUCHE LLP
Seattle, Washington
July 29, 2009

Summary of Audit Report

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AUDITOR REPORT SUMMARY

NAME OF THE AUDITOR	/S/ DELOITTE & TOUCHE LLP
AUDITOR'S ADDRESS	SEATTLE, WASHINGTON
AUDITING DATE	JULY 29, 2009
COMPANY NAME	MICROSOFT CORP
STATEMENTS AUDITED	BALANCE SHEETS STATEMENTS OF INCOME CASH FLOWS STOCKHOLDERS' EQUITY
TYPE OF OPINION	STANDARD UNQUALIFIED REPORT

Who Signed 10K

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- ☒ **Financial Ratios**
- ☒ **Itemized Report**
- ☒ **MDNA**

Name	Position
STEVEN A. BALLMER	Director and Chief Executive Officer
DINA DUBLON	Director
CHRISTOPHER P. LIDDELL	Senior Vice President; Chief Financial Officer (Principal Financial Officer)
RAYMOND V. GILMARTIN	Director
MARIA KLAWE	Director
CHARLES H. NOSKI	Director
DAVID F. MARQUARDT	Director
REED HASTINGS	Director
JAMES I. CASH, JR.	Director
HELMUT PANKE	Director
WILLIAM H. GATES III	Chairman

MICROSOFT CORP
07-31-2008

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Number of Footnotes Extracted : 19

NOTE 1	ACCOUNTING POLICIES
NOTE 2	EARNINGS PER SHARE
NOTE 3	INVESTMENT INCOME AND OTHER
NOTE 4	INVESTMENTS
NOTE 5	DERIVATIVES
NOTE 6	INVENTORIES
NOTE 7	PROPERTY AND EQUIPMENT
NOTE 8	ACQUISITIONS
NOTE 9	GOODWILL
NOTE 10	INTANGIBLE ASSETS
NOTE 11	INCOME TAXES
NOTE 12	UNEARNED REVENUE
NOTE 13	OTHER LONGTERM LIABILITIES
NOTE 14	COMMITMENTS AND GUARANTEES
NOTE 15	CONTINGENCIES
NOTE 16	STOCKHOLDERS EQUITY
NOTE 17	OTHER COMPREHENSIVE INCOME
NOTE 18	EMPLOYEE STOCK AND SAVINGS PLANS
NOTE 19	SEGMENT INFORMATION

MICROSOFT CORP
07-31-2008

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ITEM 7. MANAGEMENT'S DISCUSSION AND ANALYSIS OF FINANCIAL CONDITION AND RESULTS OF OPERATIONS

RESULTS OF OPERATIONS FOR FISCAL YEARS 2008, 2007, AND 2006

OVERVIEW

The following Management's Discussion and Analysis ("MD&A") is intended to help the reader understand the results of operations and financial condition of Microsoft Corporation. MD&A is provided as a supplement to, and should be read in conjunction with, our financial statements and the accompanying notes to the financial statements ("Notes").

We generate revenue by developing, manufacturing, licensing, and supporting a wide range of software products and services for many different types of computing devices. Our software products and services include operating systems for servers, personal computers, and intelligent devices; server applications for distributed computing environments; information worker productivity applications; business solutions applications; high-performance computing applications; software development tools; and video games. We provide consulting and product support services, and we train and certify computer system integrators and developers. We also design and sell hardware including the Xbox 360 video game console, the Zune digital music and entertainment device, and peripherals. Online offerings and information are delivered through Live Search, Windows Live, Office Live, our MSN portals and channels, and the Microsoft Online Services platform which includes offerings for businesses such as Microsoft Dynamics CRM Online, Exchange Hosted Services, Exchange Online, and SharePoint Online. We enable the delivery of online advertising across our broad range of digital media properties and on Live Search through our proprietary adCenter® platform.

Our revenue historically has fluctuated quarterly and has generally been the highest in the second quarter of our fiscal year due to corporate calendar year-end spending trends in our major markets and holiday season spending by consumers. Our Entertainment and Devices Division is particularly seasonal as its products are aimed at the consumer market and are in highest demand during the holiday shopping season. Typically, the Entertainment and Devices Division has generated over 40% of its yearly segment revenues in our second fiscal quarter. In fiscal year 2007, our revenue was highest in the third quarter due to the recognition of \$1.7 billion of revenue previously deferred from the Express Upgrade to Windows Vista and Microsoft Office Technology Guarantee programs and pre-shipments of Windows Vista and the 2007 Microsoft Office system. The technology guarantee programs provided customers who purchased current products with free or discounted rights to Windows Vista and the 2007 Microsoft Office system when those products became available to consumers.

We intend to sustain the long-term growth of our businesses through technological innovation, engineering excellence, and a commitment to delivering high-quality products and services to customers and partners. Recognizing that one of our primary challenges is to help accelerate worldwide PC adoption and software upgrades, we continue to advance the functionality, security, and value of Windows operating systems and to develop operating system versions targeted at emerging markets. We also are increasing our focus on selling our products in emerging markets and reducing the amount of unlicensed software used in those markets. In addition, we continue to develop innovative software applications and solutions that we believe will enhance the productivity of information workers, improve communication and collaboration in work groups, aid business intelligence, and streamline processes for small and mid-sized businesses. To sustain the growth of our Server and Tools business amid competition from other vendors of proprietary and open source software, our goal is to deliver products that provide the best platform for network computing – software that is easiest to deploy and manage, and that is most secure – with the lowest total cost of ownership.

We continue to invest in research and development in existing and new lines of business, including online solutions, business solutions, mobile computing, communication, entertainment, and other areas that we believe may contribute to our long-term growth. We also invest in research and development of advanced technologies for future software products. We believe that delivering innovative and high-value solutions through our integrated platform is the key to meeting customer needs and to our future growth.

We believe that over the last few years we have laid a foundation for long-term growth by delivering innovative products, creating opportunities for partners, improving customer satisfaction with key audiences, and improving our internal business processes. Our focus in fiscal year 2009 is to continue to build on this foundation and to continue to execute well in key areas, including continuing to innovate on our integrated software platform, responding effectively to customer and partner needs, and continuing to focus internally on product excellence, business efficacy, and accountability across the company.

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Thanks!

Email: rsrivastava@seekedgar.com