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Introduces

SeekINF℠

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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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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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/frPklXdIkr4**, 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/sHIw1iB19ho**, 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.

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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.
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.

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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** measure, **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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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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Unique Additional Databases Available

1. **Number of Audit Committee Meetings** for 1994-2018.
2. **Number of Board of Directors Meetings** for 1994-2018.
3. **Compensation and Executive Bios** from Form 424Bs for the years 2003-2018.
4. **Subsidiaries database** by year and country (1994-2018).
5. **Conference calls transcripts** (who said what?) for the last 25 years (1994-2018) from SEC Filings.
6. **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.
7. **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.
8. **Database based on Forms 3, and 4.**
9. **Competition Metrics** for all companies based on 10K Filings (1994-2018).

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

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 flings
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

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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

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Unique Features

- Cloud Technology, Anytime, Anywhere!
- Incredibly fast, gets results in seconds
- No need to install any software
- Comprehensive database, 18 million SEC Filings and 33 million documents (1994-2019) with daily updates
- Don’t waste time learning programming
- Don’t Depend on Pre-Canned Data
- Use your knowledge, imagination, and creativity to generate your own unique data

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Unique Features (Continued)

- Boolean logic with multiple phrases and words including words like ‘a’, ‘in’, ‘no’, ‘of’, ‘the’, etc.
  - Exact phrases (AND, OR, Negation)
  - With all of the words
  - With at least one of the words
  - Without the word
- Wild card search (it works only in “with all the words”, * implies any number of characters after the word)
- Drill down previously searched data

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Unique Features (Continued)

- Search for information by specific resolution
  - Paragraph (all filings)
  - Table (all filings)
  - Footnote (10Ks & 10Qs)
  - Audit Report (10Ks)
  - SOX 404 Management Report (10Ks)
  - SOX 404 Audit Report (10Ks)
  - MD&A (10Ks & 10Qs)

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Unique Features (Continued)

- Obtain Financial and Non-Financial Data in Seconds, e.g.,
  - Unique Financial Items such as “Off Balance Sheet Items”
  - Executive Compensation Tables from Proxy Statements
  - Names and Bios of Executives
  - Various Committee Members

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Unique Features (continued)

- Count sentences, multiple phrases and words in any or all documents
- Obtain a distribution of all the words in a document.
- Obtain total number of words with/without numbers and six Readability indices for all documents. Download the outputs in Excel file.
- Cosine measure of similarity and Word Variation for all filings. Download the measures in Excel file.
- Develop various risk assessment models using the textual analysis, six readability indices and seven Risk Sentiment Metrics.
- Search one Company, Multiple Companies, or all Companies
- Search one type of filing or multiple types of Filings, or all filings
- Search by Names, Ticker Symbols, SIC Codes, or CIK Codes
- Compare a given filing of one year with another year of a company or of two different companies using Cosine Similarity measure and Word Variation

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Unique Download Capabilities

- Download output in MS Excel
- Download output snippets in html/csv files
- Download counts of phrases/words in Excel
- Download total word count in a document for one company or multiple companies for one year or multiple years
- Download distribution of words in a document in Excel Spreadsheet in seconds
- Download Cosine Similarity measures and Word Variation Measure in Excel Spreadsheet
- Download Seven Seven Risk Sentiment metrics in Excel.

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Example 1:

Search for Documents Containing Certain Key Words

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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):

Step1. 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

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

With the exact phrase(s): futures + options + swaps + hedging

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 CIK

From: 1994 To: 2018

SIC (Optional): All SICs

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

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

Other Filings

N-CSR, N-CSRS, NSAR-A, NSAR-AT, N-CSR/A, N-CSRS/A, NSAR-A/A, NSAR-BT, NSAR-U, UPLOAD (Response Letters), NSAR-BT/A, AAER**, ORDER

10-K ... (10-K & ... EXHIBIT 99 (10-K)

...areholders Letters

SHAREHOLDERS MEETINGS*, CONFERENCE CALLS*, SHAREHOLDERS LETTER*, EXHIBIT 21 (10-K & 10-Q), EXHIBIT 10 (10-K), EXHIBIT 10 (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**

STEP 5: SUBMIT

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

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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;
-

Corn

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 PERCE TWCW
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

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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).

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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.

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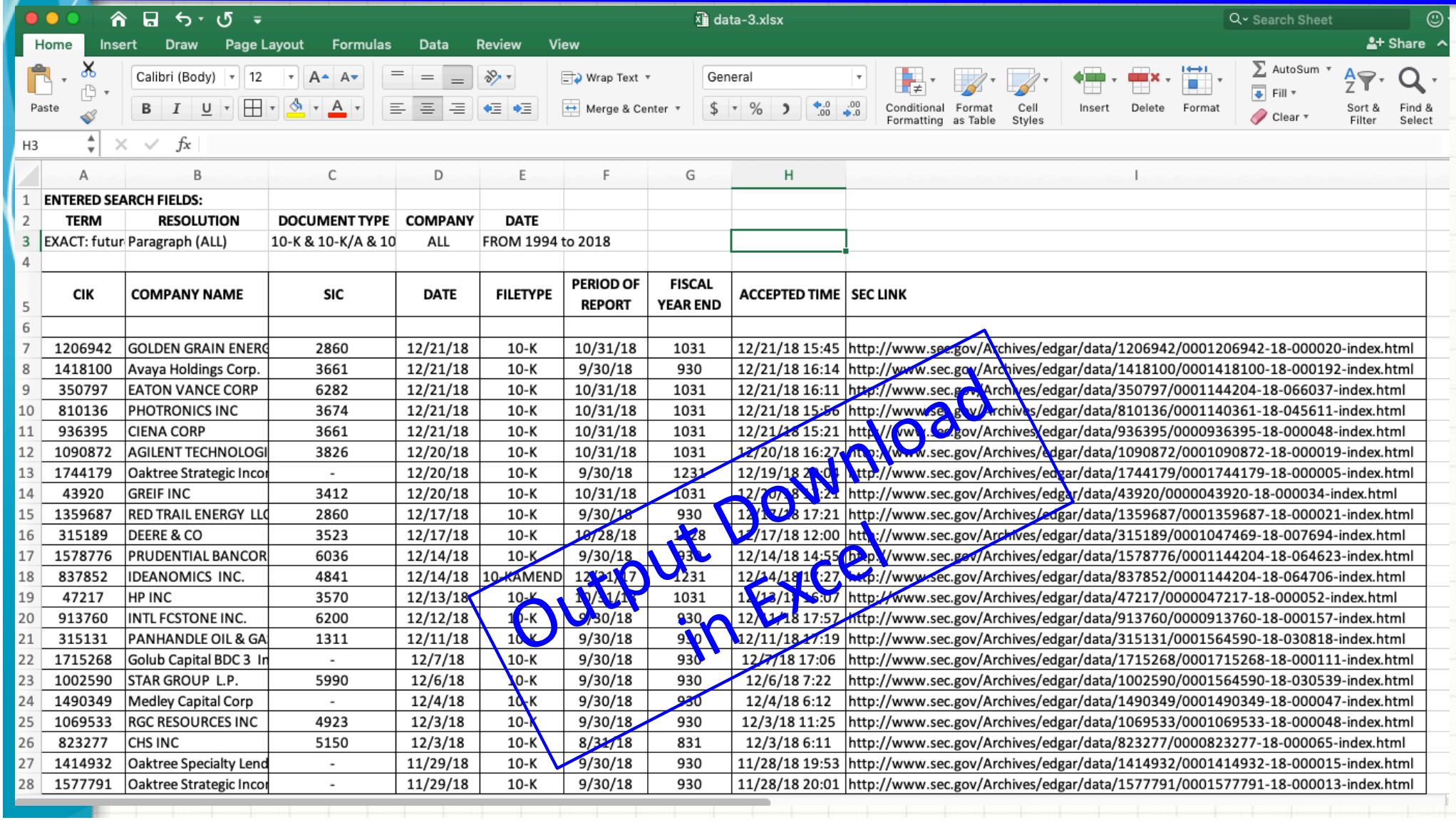
Example 1: Search for . . . Key Words (continued)



data-3.xlsx

Home Insert Draw Page Layout Formulas Data Review View

H3

	A	B	C	D	E	F	G	H	I
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									
5	CIK	COMPANY NAME	SIC	DATE	FILETYPE	PERIOD OF REPORT	FISCAL YEAR END	ACCEPTED TIME	SEC LINK
6									
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 Incor	-	12/20/18	10-K	9/30/18	1231	12/19/18 20:04	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 17:21	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/AMEND	12/31/17	1231	12/14/18 16:27	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	12/12/18 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 Incor	-	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 in Excel

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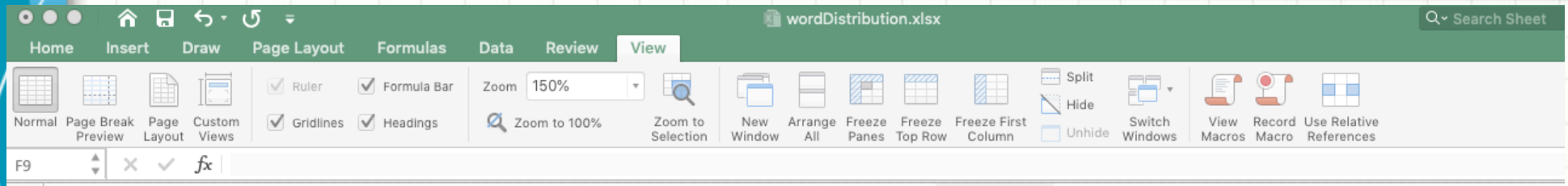
Example 1: Search for . . . Key Words (continued)



	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	0.7							
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

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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

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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**".

Step1. 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

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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

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

With the exact phrase(s): Bonus plans +Stock options +Equity i

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, CIK

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

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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

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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.

Step1-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

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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.

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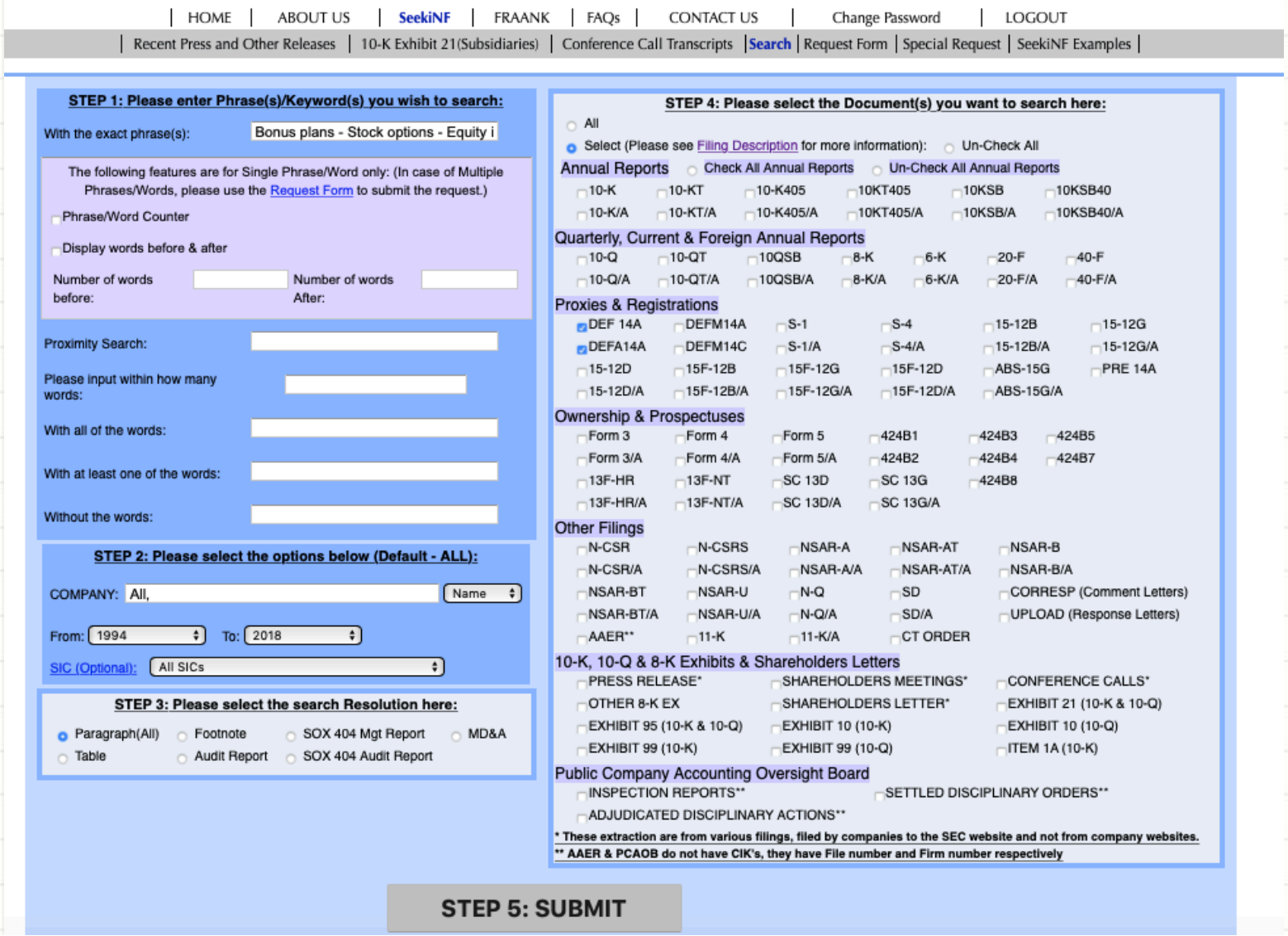
Example 2b: Presence & Absence of Multiple Exact Phrases (Continued)



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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

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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

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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.

- **Step1**: 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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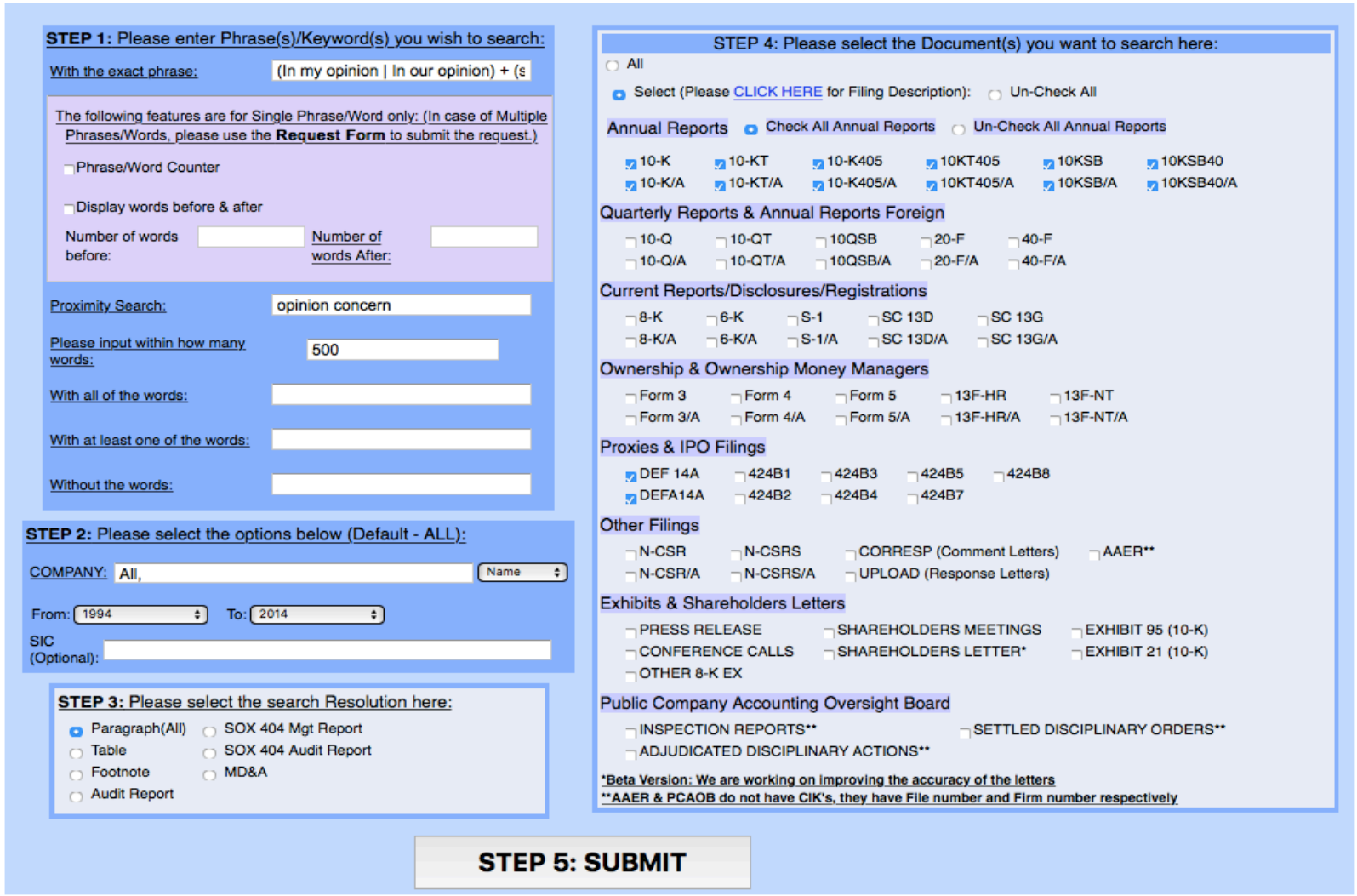
Example 3: Exact Phrases: Going Concern Opinion (Continued)



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

With the exact phrase: (In my opinion | In our opinion) + (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: opinion concern

Please input within how many words: 500

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, (Name)

From: 1994 To: 2014

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

- [x] 10-K [x] 10-KT [x] 10-K405 [x] 10KT405 [x] 10KSB [x] 10KSB40
- [x] 10-K/A [x] 10-KT/A [x] 10-K405/A [x] 10KT405/A [x] 10KSB/A [x] 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

- [x] DEF 14A [ ] 424B1 [ ] 424B3 [ ] 424B5 [ ] 424B8
- [x] 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

1 - 20 of 50939 < >

Download Results

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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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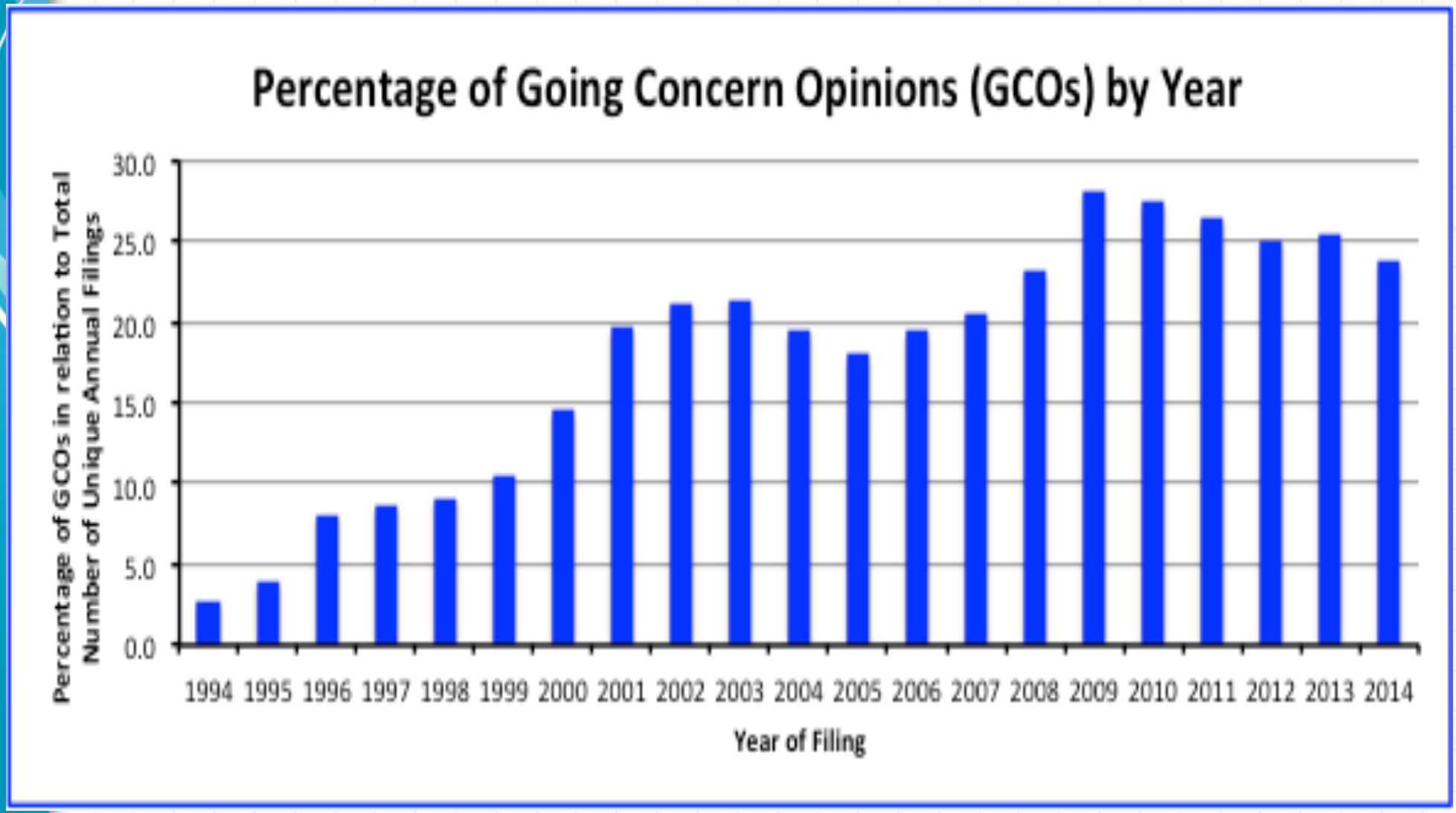
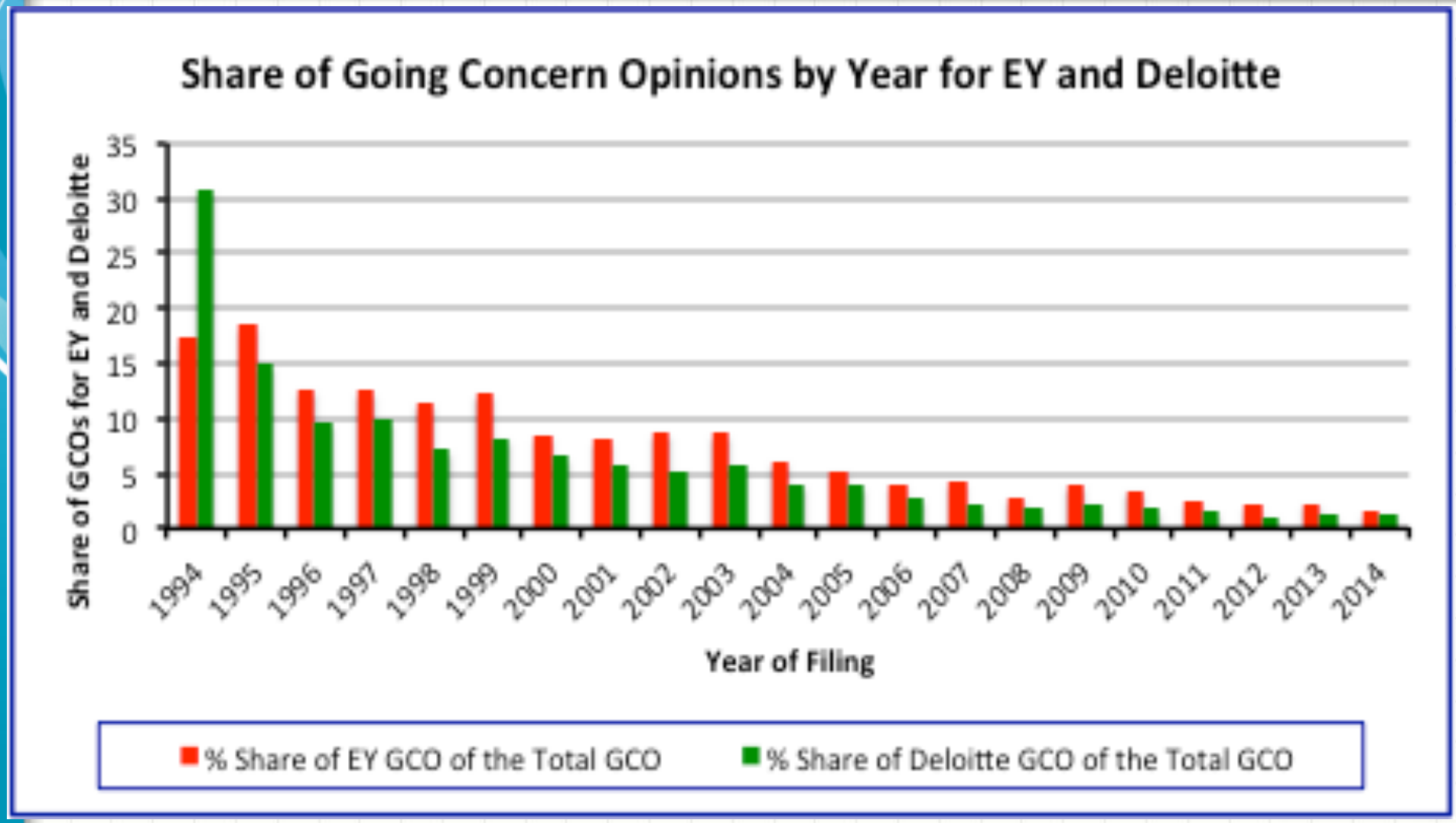
Example 3: Graph of Going Concern Opinions by Year



SeekINF SM

Example 3: Graph of Going Concern Opinions by Year



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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.

Seek iNF SM

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.

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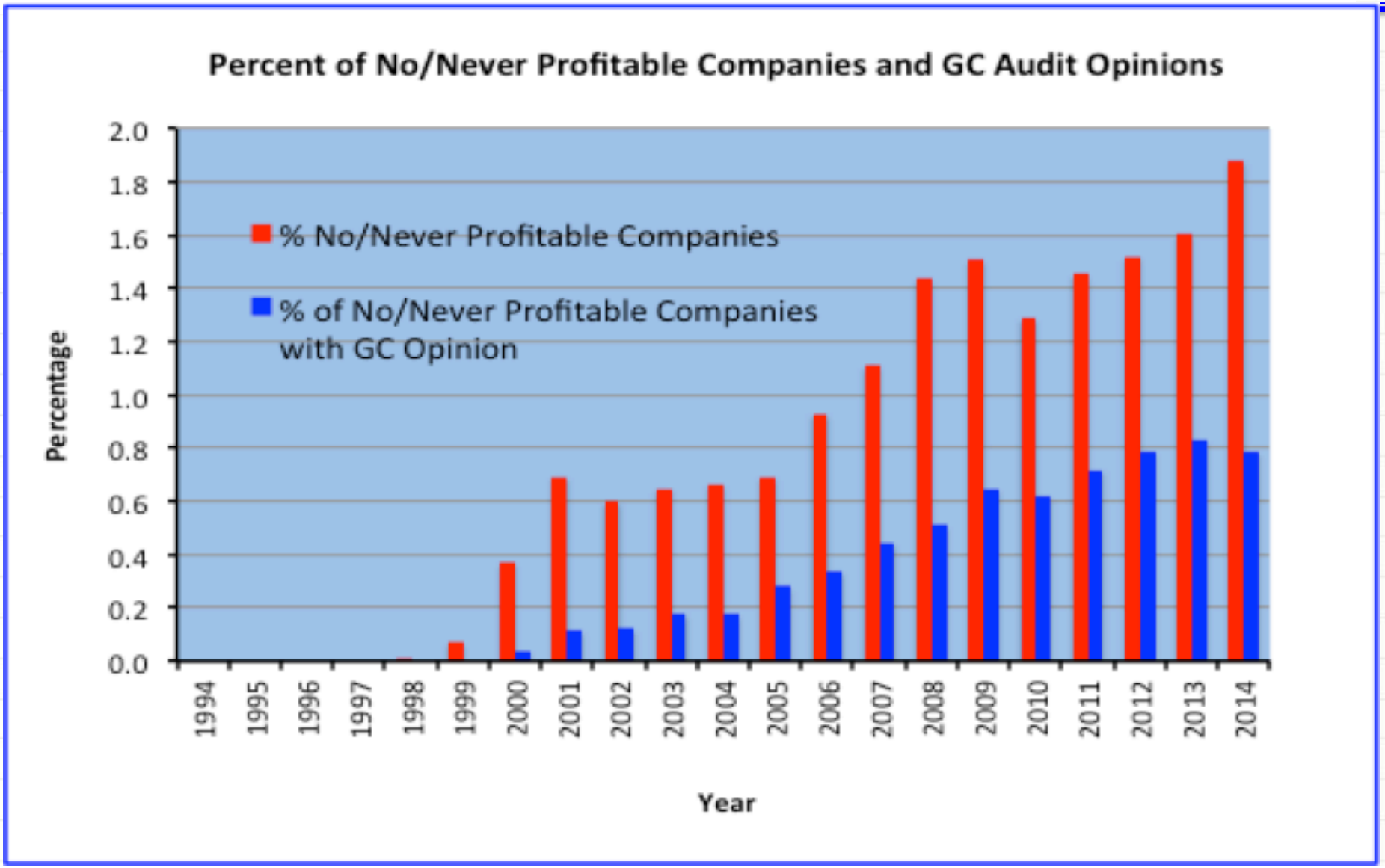
Example 4: Graph of "We may never become profitable" with GC Opinions by Year



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Example 5: Proximity Search - Find Executive Compensation

Two or more words within

a number of words

and

Download Results in Excel and html Files

SeekINF℠

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.

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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.

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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: Salary bonus

Please input within how many words: 2

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, Name

From: 2015 To: 2015

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

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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	2014	75	---	---	---	---	---	10	85
of the Board	2013	269	5	---	---	---	---	15	289
Craig D. Stewart	2015	246	---	---	---	---	---	40	286
Vice President and	2014	210	---	---	---	---	---	46	256
Chief Financial Officer	2013	214	6	---	---	---	---	44	264
Christopher J. Reedy	2015	244	10	---	---	---	---	23	277
Vice President and	2014	227	---	---	---	---	---	23	250
Secretary	2013	230	23	---	---	---	---	26	279

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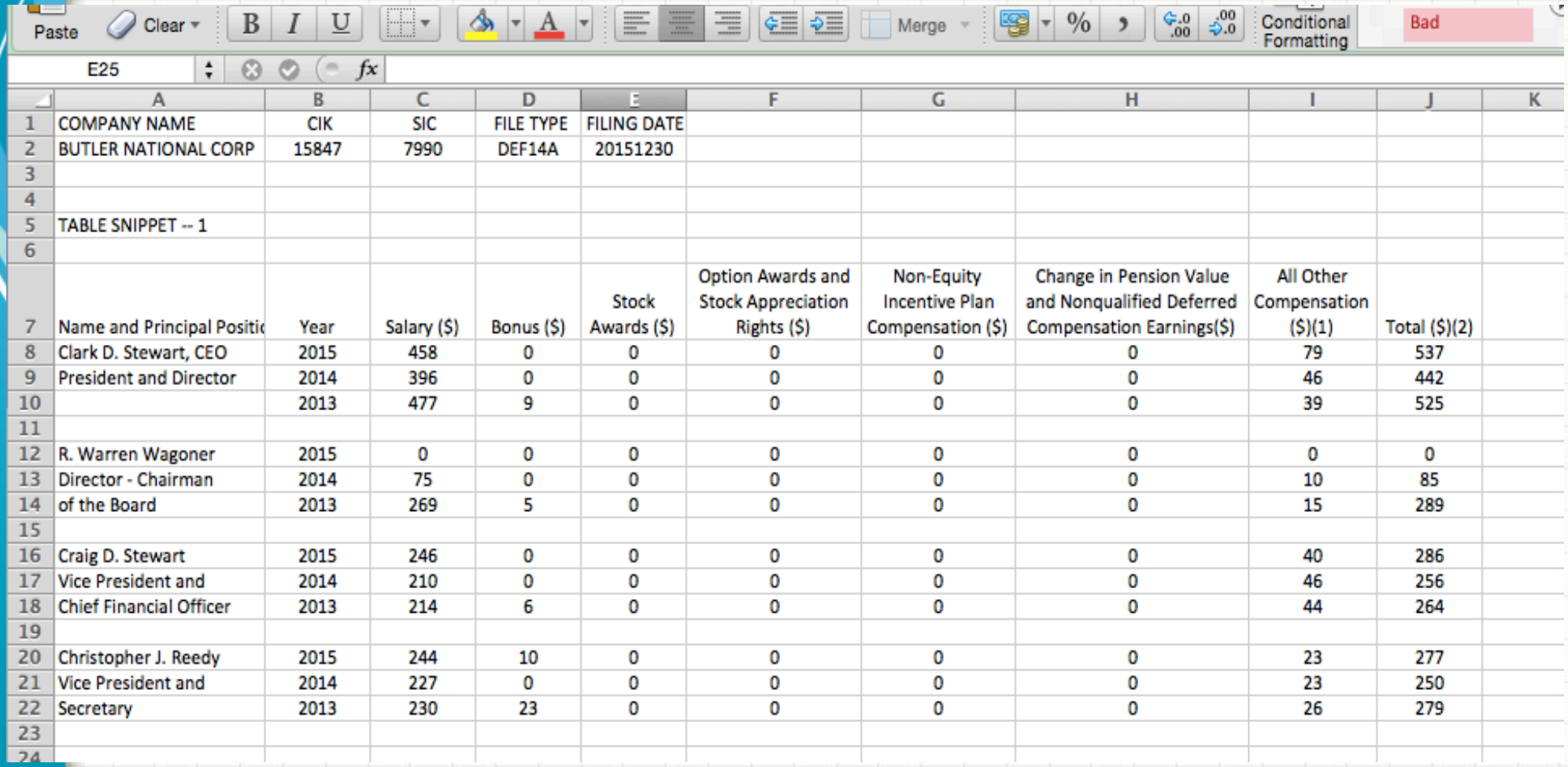
Example 5: Executive Compensation Table in Excel by using the menu item Download Table in CSV above the display window on the right



Paste Clear B I U Merge % Conditional Formatting Bad

E25

	A	B	C	D	E	F	G	H	I	J	K
1	COMPANY NAME	CIK	SIC	FILE TYPE	FILING DATE						
2	BUTLER NATIONAL CORP	15847	7990	DEF14A	20151230						
3											
4											
5	TABLE SNIPPET -- 1										
6											
7	Name and Principal Positic	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)	
8	Clark D. Stewart, CEO	2015	458	0	0	0	0	0	79	537	
9	President and Director	2014	396	0	0	0	0	0	46	442	
10		2013	477	9	0	0	0	0	39	525	
11											
12	R. Warren Wagoner	2015	0	0	0	0	0	0	0	0	
13	Director - Chairman	2014	75	0	0	0	0	0	10	85	
14	of the Board	2013	269	5	0	0	0	0	15	289	
15											
16	Craig D. Stewart	2015	246	0	0	0	0	0	40	286	
17	Vice President and	2014	210	0	0	0	0	0	46	256	
18	Chief Financial Officer	2013	214	6	0	0	0	0	44	264	
19											
20	Christopher J. Reedy	2015	244	10	0	0	0	0	23	277	
21	Vice President and	2014	227	0	0	0	0	0	23	250	
22	Secretary	2013	230	23	0	0	0	0	26	279	
23											
24											

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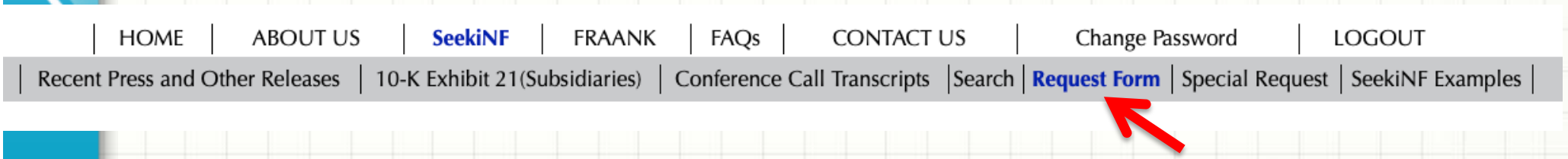
Example 5: Submit Request Form to Download Executive Compensation Tables

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).



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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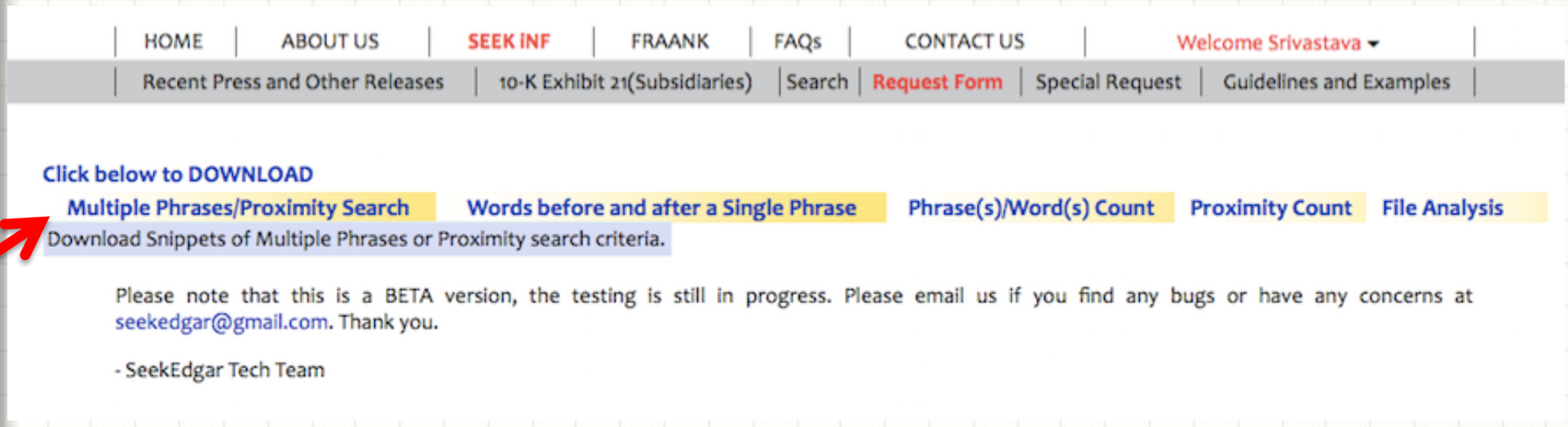
Example 5: Steps in Submitting the Request Form

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



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

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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: salary bonus
Please input within how many words: 2
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: 2015 To*: 2015
*(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

Filled out Request Form with specific data needs

Step 5: Submit

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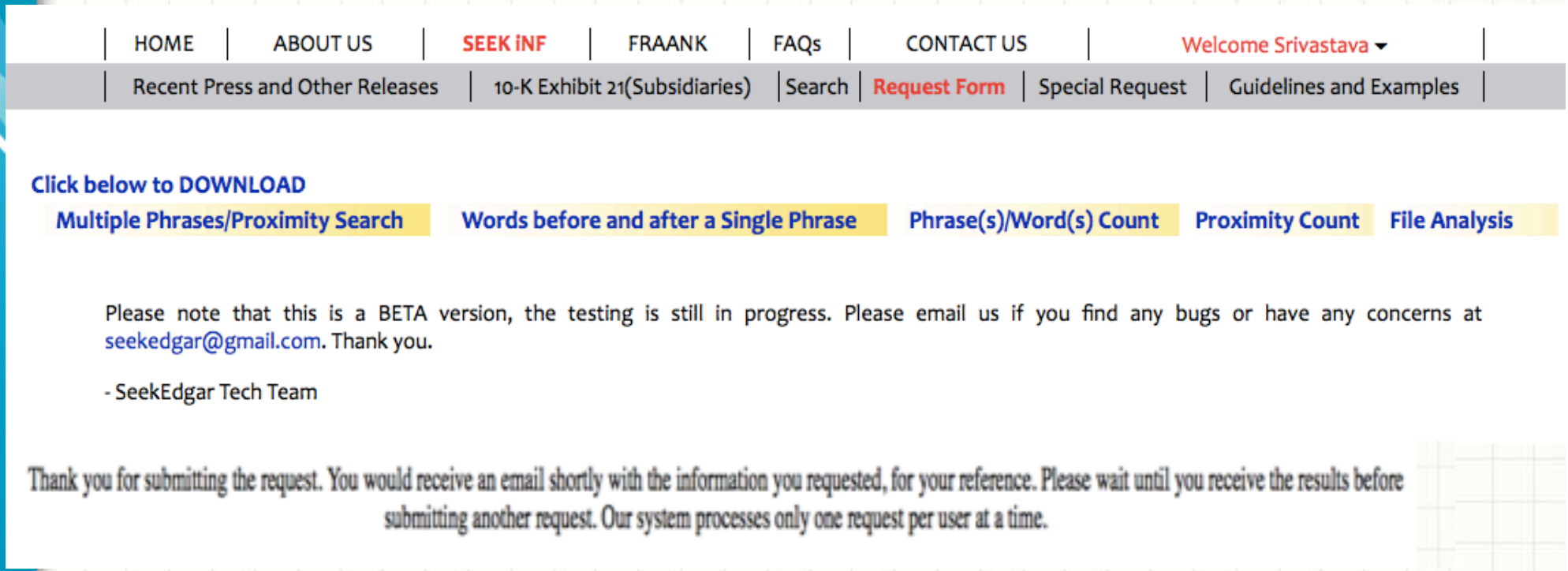
Example 5: Steps in Submitting the Request Form

Message related to **Request Form** after submission



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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 1[illegible] 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.

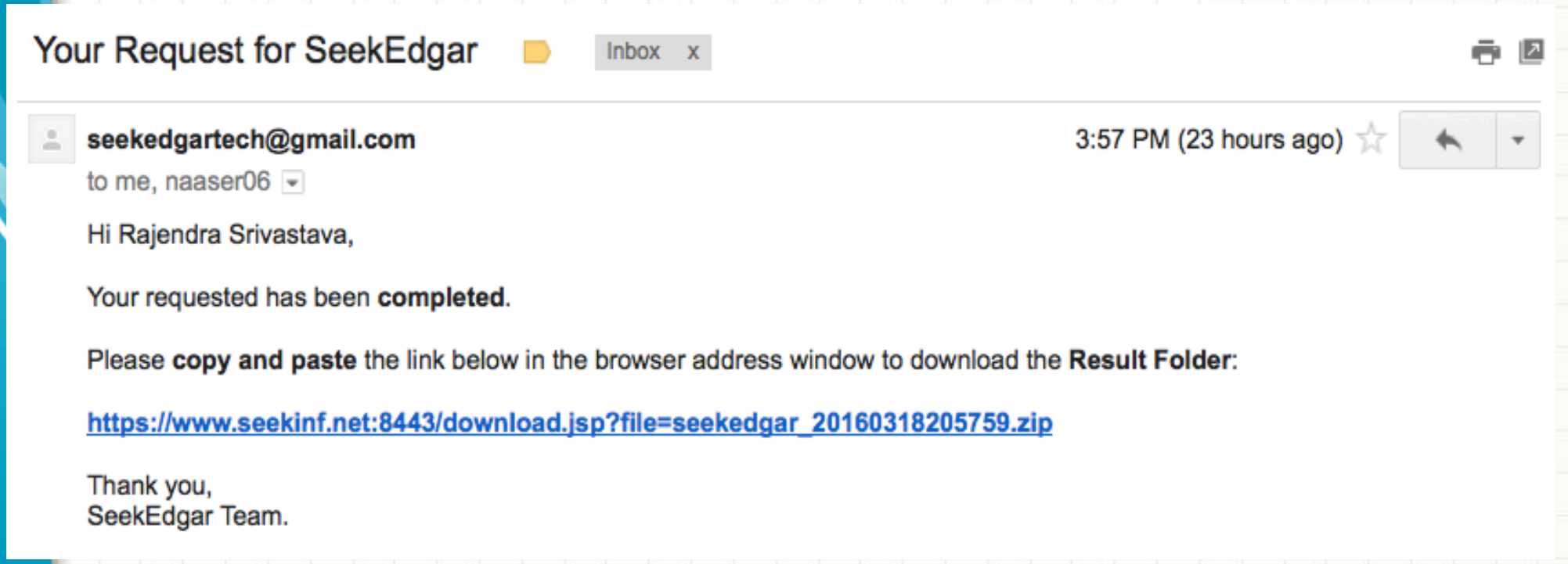
Thank you,
SeekEdgar Team.

Email Confirming the Receipt of the Request Form

SeekiNF SM

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.

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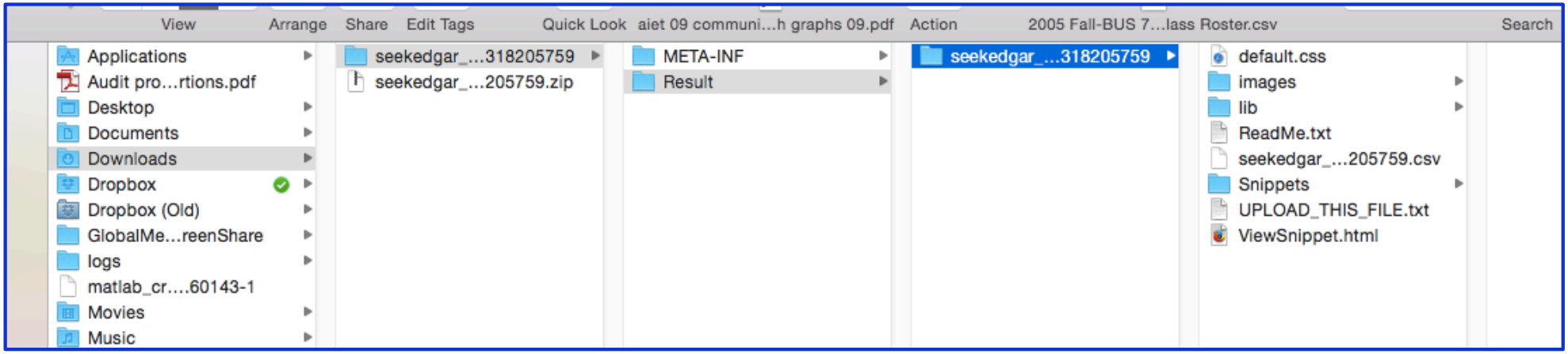
Example 5: Download Executive Compensation Tables using Request Form

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.

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Example 5: Executive Compensation Tables in Excel

	A	B	C	D	G	H	I	J	K	L	M	N	O	P	Q
1	CIK	COMPANY NAME	SIC	FILING DATE	SNIPPET NUMBER										
2															
8	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	Name and Principal Position	Year	Salary ($)	Bonus ($)	ock Awards (	d Stock Appr	entive Plan Co	qualified Def	Compensati	Total ($)(2)
9	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	Clark D. Stewart, CEO	2015	458	0	0	0	0	0	79	537
10	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	President and Director	2014	396	0	0	0	0	0	46	442
11	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1		2013	477	9	0	0	0	0	39	525
12	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1										
13	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	R. Warren Wagoner	2015	0	0	0	0	0	0	0	0
14	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	Director - Chairman	2014	75	0	0	0	0	0	10	85
15	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	of the Board	2013	269	5	0	0	0	0	15	289
16	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1										
17	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	Craig D. Stewart	2015	246	0	0	0	0	0	40	286
18	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	Vice President and	2014	210	0	0	0	0	0	46	256
19	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	Chief Financial Officer	2013	214	6	0	0	0	0	44	264
20	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1										
21	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	Christopher J. Reedy	2015	244	10	0	0	0	0	23	277
22	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	Vice President and	2014	227	0	0	0	0	0	23	250
23	15847	BUTLER NATIONAL CORP	7990	12/30/15	Table-1	Secretary	2013	230	23	0	0	0	0	26	279
24															

Anytime, Anywhere, ..

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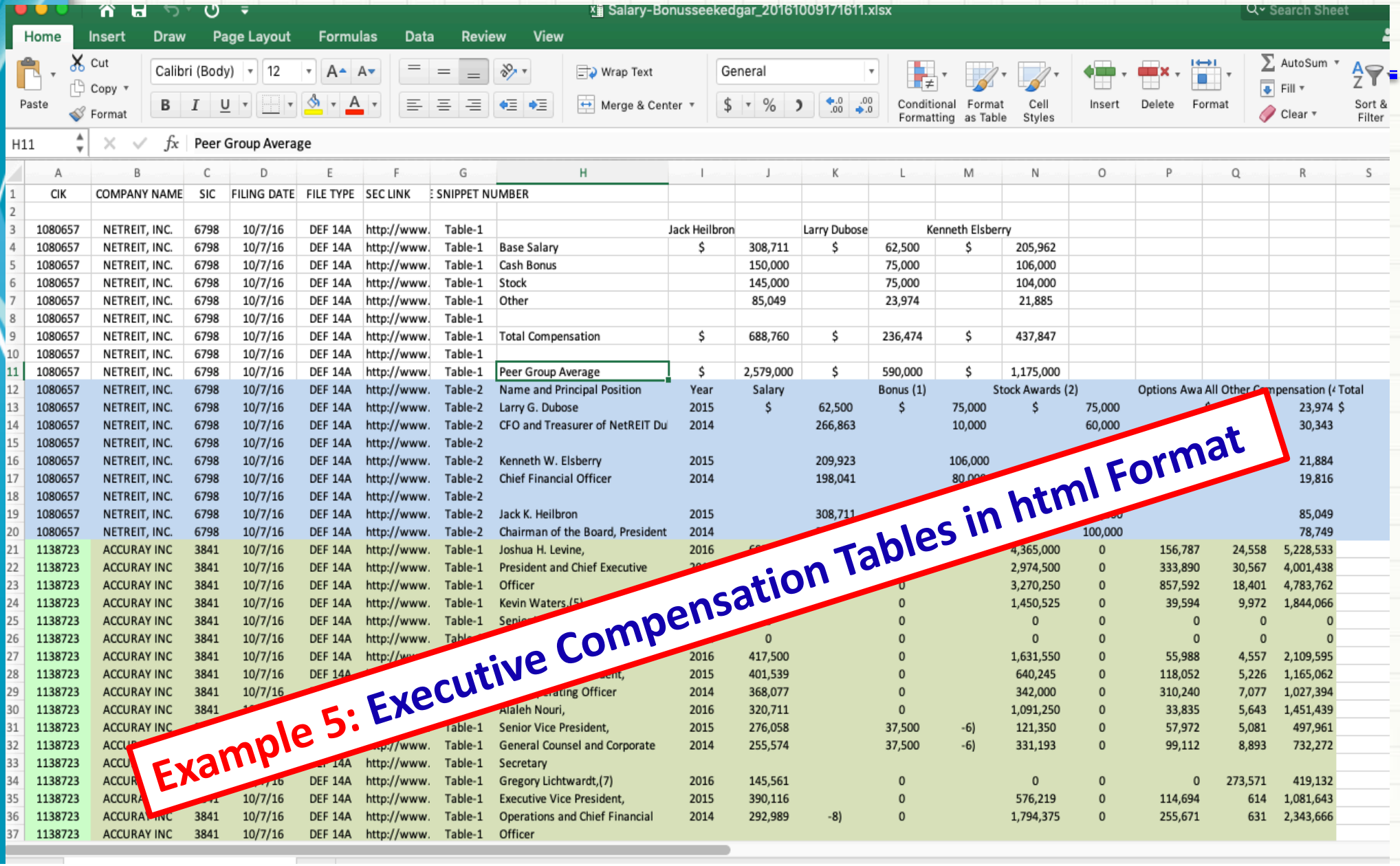

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
1	CIK	COMPANY NAME	SIC	FILING DATE	FILE TYPE	SEC LINK	SNIPPET NUMBER												
2																			
3	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1		Jack Heilbron		Larry Dubose		Kenneth Elsberry						
4	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1	Base Salary	$	308,711	$	62,500	$	205,962					
5	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1	Cash Bonus		150,000		75,000		106,000					
6	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1	Stock		145,000		75,000		104,000					
7	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1	Other		85,049		23,974		21,885					
8	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1												
9	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1	Total Compensation	$	688,760	$	236,474	$	437,847					
10	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1												
11	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-1	Peer Group Average	$	2,579,000	$	590,000	$	1,175,000					
12	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 C	ompensation (4	Total
13	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2	Larry G. Dubose	2015	$	62,500	$	75,000	$	75,000				23,974	$
14	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	
15	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2													
16	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2	Kenneth W. Elsberry	2015		209,923		106,000						21,884	
17	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2	Chief Financial Officer	2014		198,041		80,000						19,816	
18	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2													
19	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2	Jack K. Heilbron	2015		308,711								85,049	
20	1080657	NETREIT, INC.	6798	10/7/16	DEF 14A	http://www.	Table-2	Chairman of the Board, President	2014						100,000				78,749	
21	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	
22	1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1	President and Chief Executive						2,974,500	0	333,890	30,567	4,001,438	
23	1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1	Officer				0		3,270,250	0	857,592	18,401	4,783,762	
24	1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1	Kevin Waters,(5)				0		1,450,525	0	39,594	9,972	1,844,066	
25	1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1	Senio				0		0	0	0	0	0	
26	1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Tabl			0		0		0	0	0	0	0	
27	1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://			2016	417,500		0		1,631,550	0	55,988	4,557	2,109,595	
28	1138723	ACCURAY INC	3841	10/7/16	DEF 14A			ent,	2015	401,539		0		640,245	0	118,052	5,226	1,165,062	
29	1138723	ACCURAY INC	3841	10/7/16				rating Officer	2014	368,077		0		342,000	0	310,240	7,077	1,027,394	
30	1138723	ACCURAY INC	3841					Alaleh Nouri,	2016	320,711		0		1,091,250	0	33,835	5,643	1,451,439	
31	1138723	ACCURAY INC					Table-1	Senior Vice President,	2015	276,058		37,500	-6)	121,350	0	57,972	5,081	497,961	
32	1138723	ACCU				http://www.	Table-1	General Counsel and Corporate	2014	255,574		37,500	-6)	331,193	0	99,112	8,893	732,272	
33	1138723	ACCU			DEF 14A	http://www.	Table-1	Secretary											
34	1138723	ACCUR		10/7/16	DEF 14A	http://www.	Table-1	Gregory Lichtwardt,(7)	2016	145,561		0		0	0	0	273,571	419,132	
35	1138723	ACCURA	3841	10/7/16	DEF 14A	http://www.	Table-1	Executive Vice President,	2015	390,116		0		576,219	0	114,694	614	1,081,643	
36	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	
37	1138723	ACCURAY INC	3841	10/7/16	DEF 14A	http://www.	Table-1	Officer											

Example 5: Executive Compensation Tables in html Format

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Example 5: Executive Compensation Tables in html Format

CIK	COMPANY NAME	SIC	FILE TYPE	FILE DATE	SEC LINK	SNIPPET
1463959	DS HEALTHCARE GROUP, INC.	2844	DEF 14A	12-31-2015	SEC Link	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) | $102,000 | — | — | — | — Vice President
15847	BUTLER NATIONAL CORP	7990	DEF 14A	12-30-2015	SEC Link	Name and Principal Position | Year | Salary ($) \| 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) | Tota Clark D. Stewart, CEO | 2015 | 458 | --- | --- | --- | --- | --- | 79
203527	VARIAN MEDICAL SYSTEMS INC	3845	DEF 14A	12-30-2015	SEC Link	Name | Target: As a % of base salary | Maximum (the lesser of the following): As a % of base salary | Maximum (the lesser of the following): As a % of MIP Bonus Pool Dow R. Wilson | 120% | 240% | 41% Elisha W. Finney | 83% | 166% | 18% Kolleen T. Kennedy

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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

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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.

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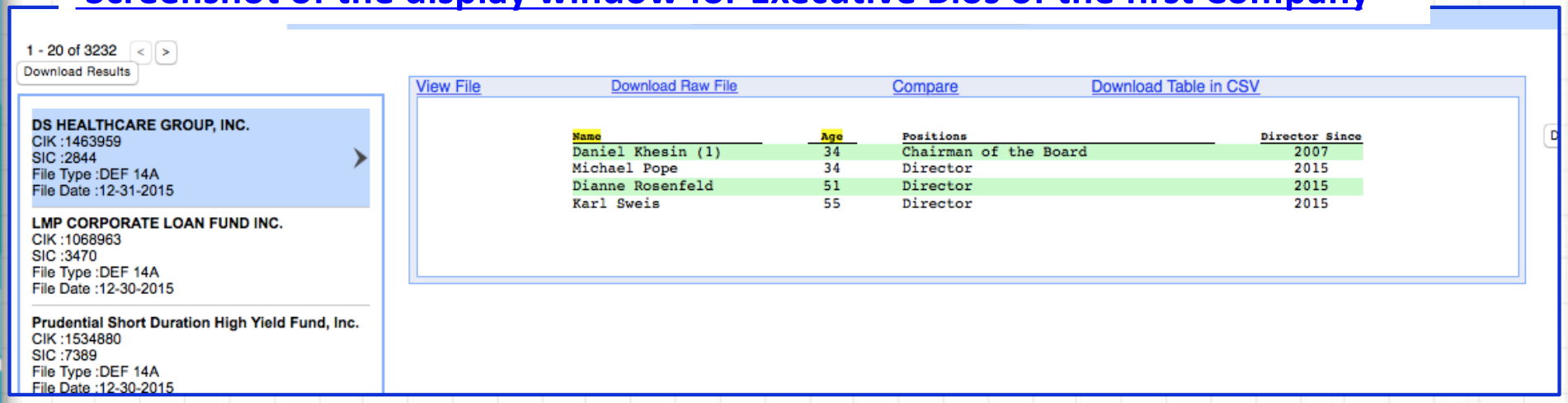
Example 6: Executive Bios Snippet and in Excel File

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

View File | Download Raw File | Compare | Download Table in CSV

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					

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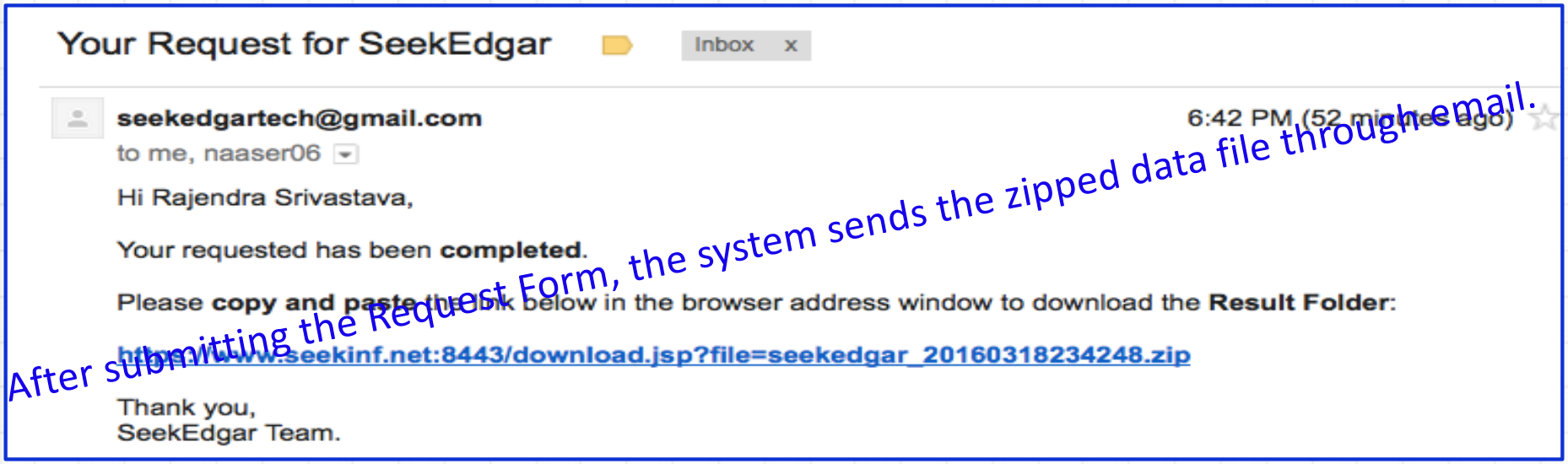
Example 6: Download all Executive Bios data using Request Form

- 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.

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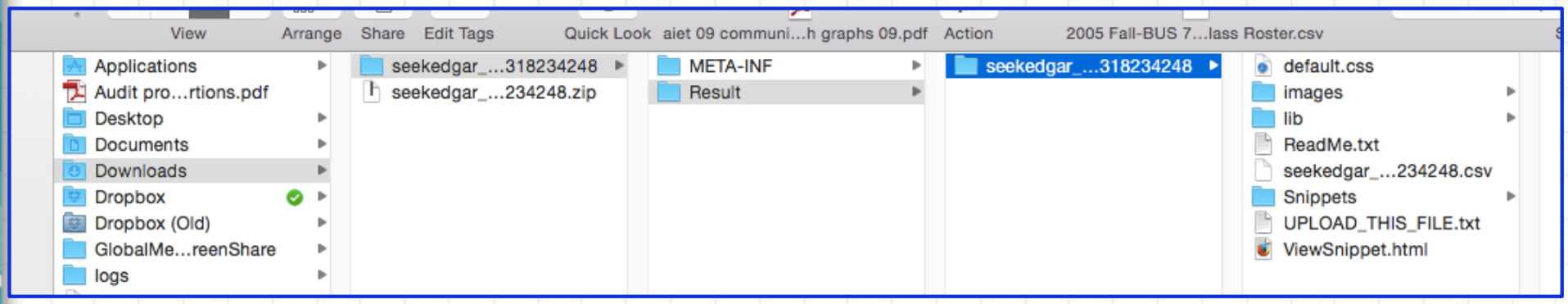
Example 6: Steps to Retrieve Executive Bios using Request Form

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.

H10: Richard F. Sennett Legg Mason and Co. 100 International Drive Baltimore, MD 21202 Birth year: 1970

	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	rman 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

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Example 6: Steps to Retrieve Executive Bios using Request Form

3. 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	

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

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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

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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.**

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

With the exact phrase(s): Business Address

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
- [x] Display words before & after

Works only for **SINGLE** Phrase/Word

Number of words before: 0 Number of words After: 21

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: 1145255 1028215 1305014 875582 276720 22 CIK

From: 2015 To: 2015

SIC (Optional): All SICs

STEP 3: Please select the search Re

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

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

- [x] 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
- [x] 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
- [ ] 15-12B
- [ ] 15-12D
- [ ] 15F-12B
- [ ] 15F-12G
- [ ] 15F-12D
- [ ] 14A
- [ ] 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
- [ ] 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
- [ ] N-Q
- [ ] SD
- [ ] CORRESP (Comment Letters)
- [ ] NSAR-U/A
- [ ] N-Q/A
- [ ] SD/A
- [ ] UPLOAD (Response Letters)
- [ ] 11-K
- [ ] 11-K/A
- [ ] CT ORDER

-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

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

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 PERCE 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

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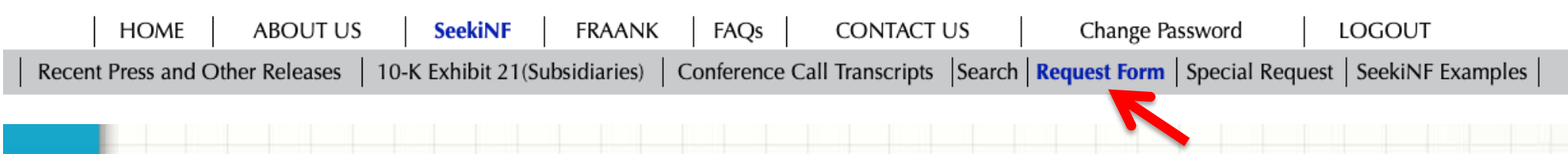
Example 7(a): Submitting a Request Form for downloading the Result

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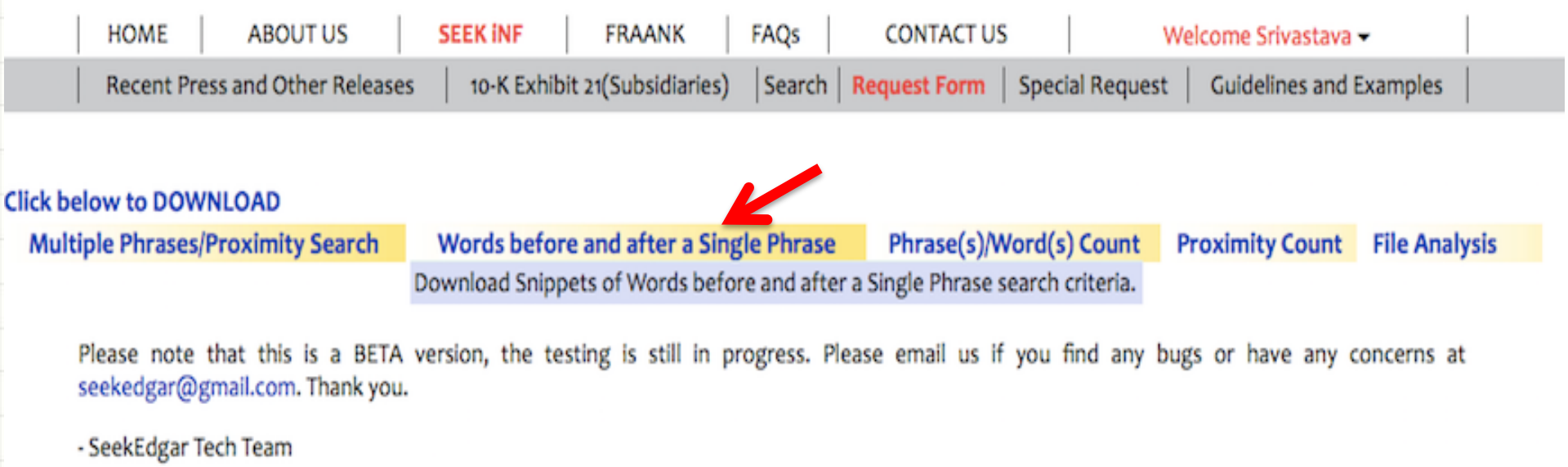
Example 7(a): Steps in Submitting the Request Form

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



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

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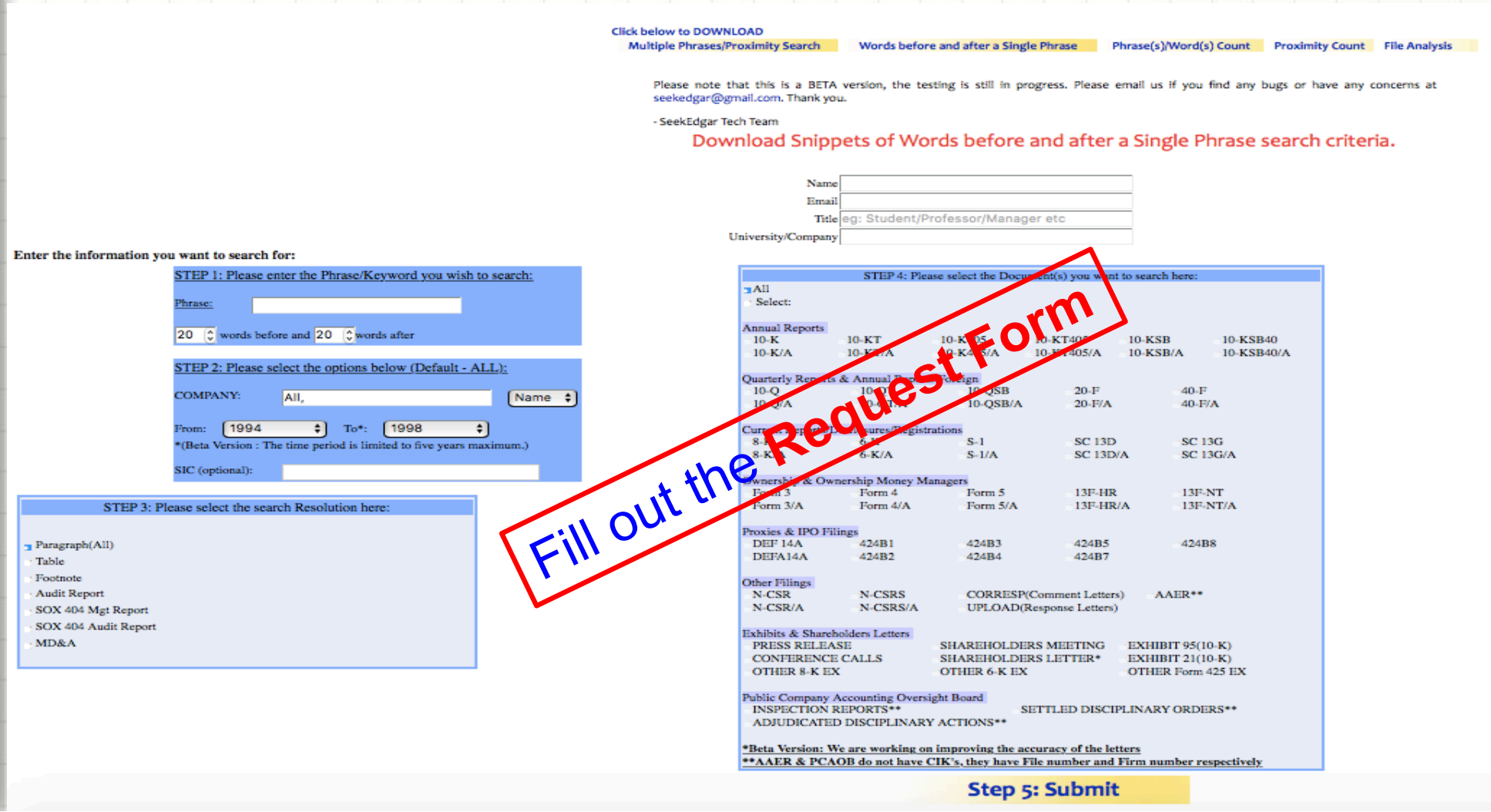
Example 7(a): Steps in Submitting the Request Form



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

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

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

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

Enter the information you want to search for:

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

Phrase: Business address

0 words before and 21 words after

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

COMPANY: 1145255 1028215 1305014 875582 27(CIK

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-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	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

Filled out Request Form with Specific Data Needs

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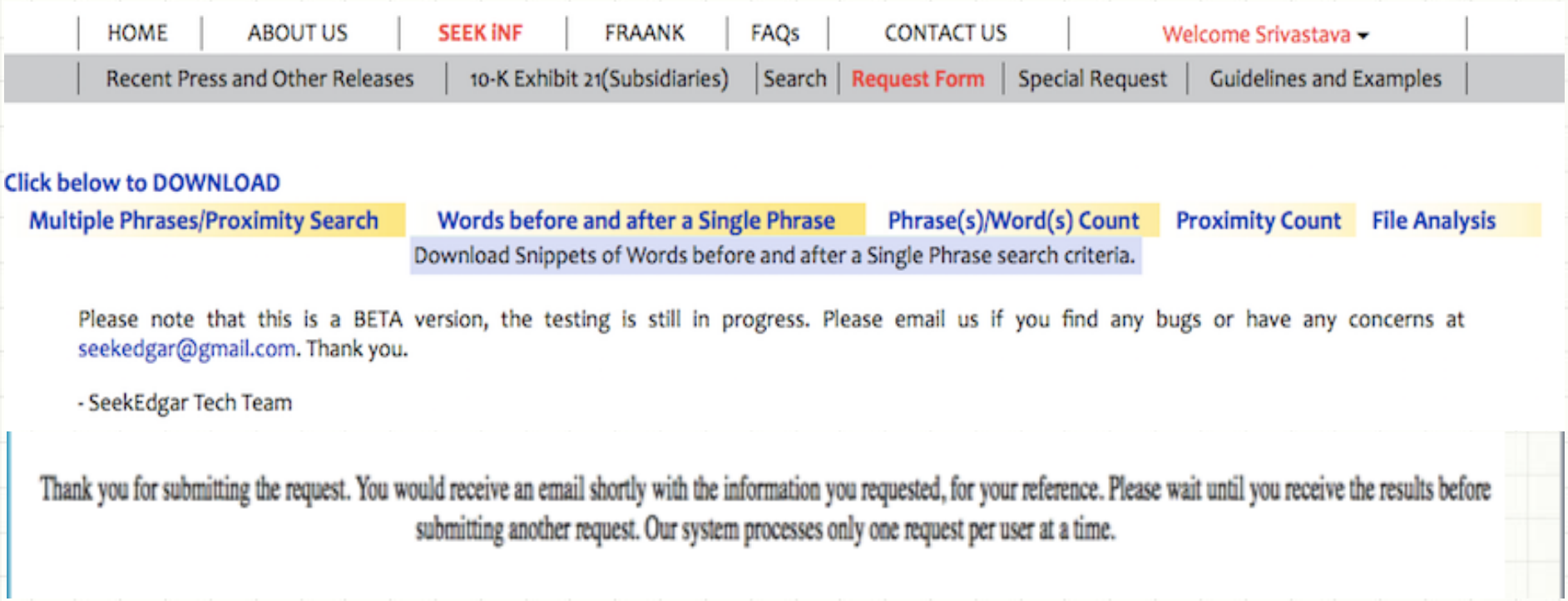
Example 7(a): Steps in Submitting the Request Form

Message related to **Request Form** after submission



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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 :**

Company : 1145255 1028215 1305014 875582 [illegible] 717954 1385508 1324772 19446 1403676 1379006 1553643 57725 1464165 82473 1508381 [illegible] 12239

From : 2015 **To :** 2015

Resolution Type : [illegible]

Filings : [illegible]

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.

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Example 7(a): CVS File Opened in Excel Spreadsheet

K32

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
1	CIK	COMPANY N	SIC	FILING DATE	FILE TYPE	SEC LINK													
2	1145255	HENNESSY A	6282	11/30/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 7250 REDWOOD BLVD. STREET 2: SUITE 200 CITY: NOVATO STATE: CA ZIP: 94945 BUSINESS PHONE: 415-899-1555 MAIL												
3	1028215	KMG CHEMI	2800	11/27/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 9555 W. SAM HOUSTON PKWY. S. STREET 2: SUITE 600 CITY: HOUSTON STATE: TX ZIP: 77099 BUSINESS PHONE: 713												
4	1305014	ASHLAND IN	5160	11/20/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 50 EAST RIVERCENTER BLVD., 16TH FLOOR CITY: COVINGTON STATE: KY ZIP: 41012 BUSINESS PHONE: 859-815-3483 MAIL ADDRESS												
5	875582	NORTHERN T	3470	11/13/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 4201 WOODLAND ROAD STREET 2: PO BOX 69 CITY: CIRCLE PINES STATE: MN ZIP: 55014 BUSINESS PHONE: (763) 225												
6	276720	PURE CYCLE	4941	11/9/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 1490 LAFAYETTE STREET STREET 2: SUITE 203 CITY: DENVER STATE: CO ZIP: 80218 BUSINESS PHONE: 3032923456 MAIL ADDRESS: STREET												
7	22444	COMMERCIA	3312	10/30/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 6565 N. MACARTHUR BLVD., SUITE 800 STREET 2: P O BOX 1046 CITY: IRVING STATE: TX ZIP: 75039 BUSINESS												
8	6955	ACTUANT CO	3590	10/28/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: ATTN: MATT PAULI STREET 2: N86 W12500 WESTBROOK CROSSING CITY: MENOMONEE FALLS STATE: WI ZIP: 53051 BUSINESS PHONE: 262												
9	717954	UNIFIRST CO	7200	10/28/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 68 JONSPIN RD CITY: WILMINGTON STATE: MA ZIP: 01887 BUSINESS PHONE: (978) 658-8888 MAIL ADDRESS: STREET 1: 68												
10	1385508	Lightlake The	1000	10/26/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 445 PARK AVENUE STREET 2: 9TH FLOOR CITY: NEW YORK STATE: NY ZIP: 10022 BUSINESS PHONE: 212-829-5546												
11	1324772	Apigee Corp	7372	10/14/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 10 SOUTH ALMADEN BLVD. STREET 2: 16TH FLOOR CITY: SAN JOSE STATE: CA ZIP: 95113 BUSINESS PHONE: 408-343												
12	19446	CANTEL MED	3841	9/29/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: OVERLOOK AT GREAT NOTCH STREET 2: 150 CLOVE ROAD CITY: LITTLE FALLS STATE: NJ ZIP: 07424 BUSINESS PHONE: 973												
13	1403676	GelTech Solu	2820	9/21/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 1460 PARK LANE SOUTH STREET 2: SUITE 1 CITY: JUPITER STATE: FL ZIP: 33458 BUSINESS PHONE: 561-427-6144												
14	1379006	NANOVIRICID	8731	9/14/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 135 WOOD STREET STREET 2: SUITE 205 CITY: WEST HAVEN STATE: CT ZIP: 06516 BUSINESS PHONE: (203) 937-6137												
15	1553643	RELMADA TH	2834	9/11/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 546 FIFTH AVENUE, 14TH FLOOR CITY: NEW YORK STATE: NY ZIP: 10036 BUSINESS PHONE: 212-702-7163 MAIL ADDRESS												
16	57725	LANNETT CO	2834	8/27/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 9000 STATE RD CITY: PHILADELPHIA STATE: PA ZIP: 19136 BUSINESS PHONE: 2153339000 MAIL ADDRESS: STREET 1: 9000 STATE ROAD												
17	1464165	Pivot Pharma	2834	5/15/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 1275 WEST 6TH AVENUE CITY: VANCOUVER STATE: A1 ZIP: V6H 1A6 BUSINESS PHONE: 604 805 7783 MAIL ADDRESS: STREET												
18	82473	INNSUITES H	6798	4/30/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: INNSUITES HOTELS CENTRE STREET 2: 1625 E NORTHERN AVE STE 201 CITY: PHOENIX STATE: AZ ZIP: 85020 BUSINESS PHONE												
19	1508381	Bionik Labor	8011	4/15/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 483 BAY STREET STREET 2: N105 CITY: TORONTO STATE: A6 ZIP: M5G2C9 BUSINESS PHONE: 1.416.640.7887 MAIL												
20	1029581	Modsys Inter	7371	3/31/15	10-K	http://www.	BUSINESS ADDRESS:	business address for our executive officers and directors is 601 Union Street, Suite 4616, Seattle, Washington, 98101. Name Age Position Matt Bell 41											
21	1303330	China Housir	1520	3/31/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 6 YOUYI DONG LU, HAN YUAN 4 LOU CITY: XI'AN, SHAANXI PROVINCE STATE: F4 ZIP: 710054 BUSINESS PHONE												
22	12239	SPHERIX INC	6794	3/30/15	10-K	http://www.	BUSINESS ADDRESS: STREET 1: 6430 ROCKLEDGE DRIVE, #503 CITY: BETHESDA STATE: MD ZIP: 20817 BUSINESS PHONE: 347-321-7646 MAIL ADDRESS: STREET 1												
23																			

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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

RISK SENTIMENT ANALYSIS

NR

Fiscal Year End in Excel File through Request Form

	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	

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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

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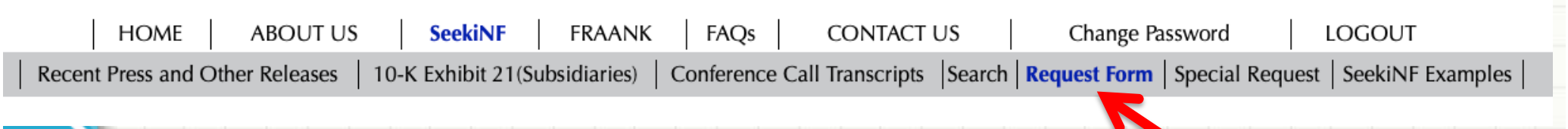
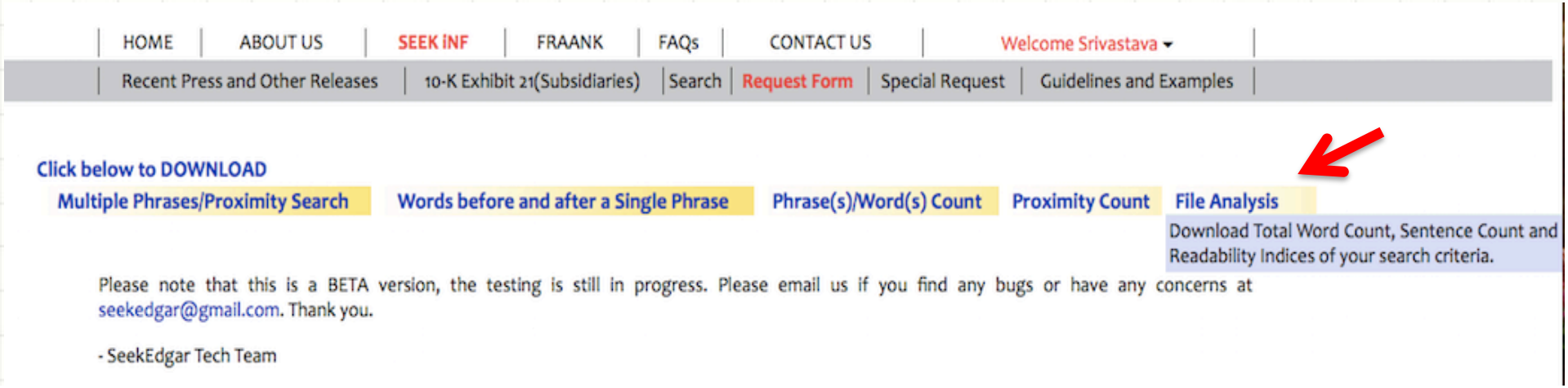
Example 8a: Download readability Indices and counts of total words and sentences

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**



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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.

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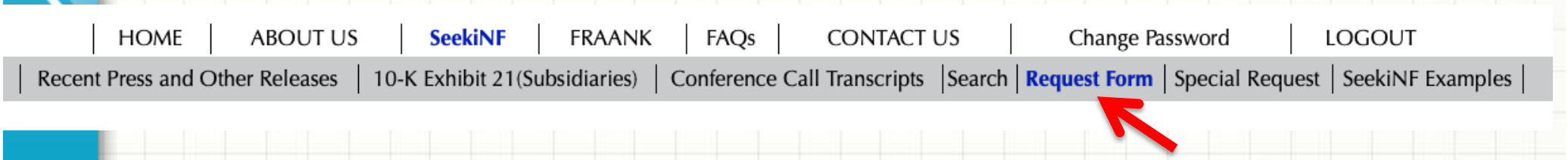
Example 8b: Download counts of multiple phrases/words for multiple companies for multiple years

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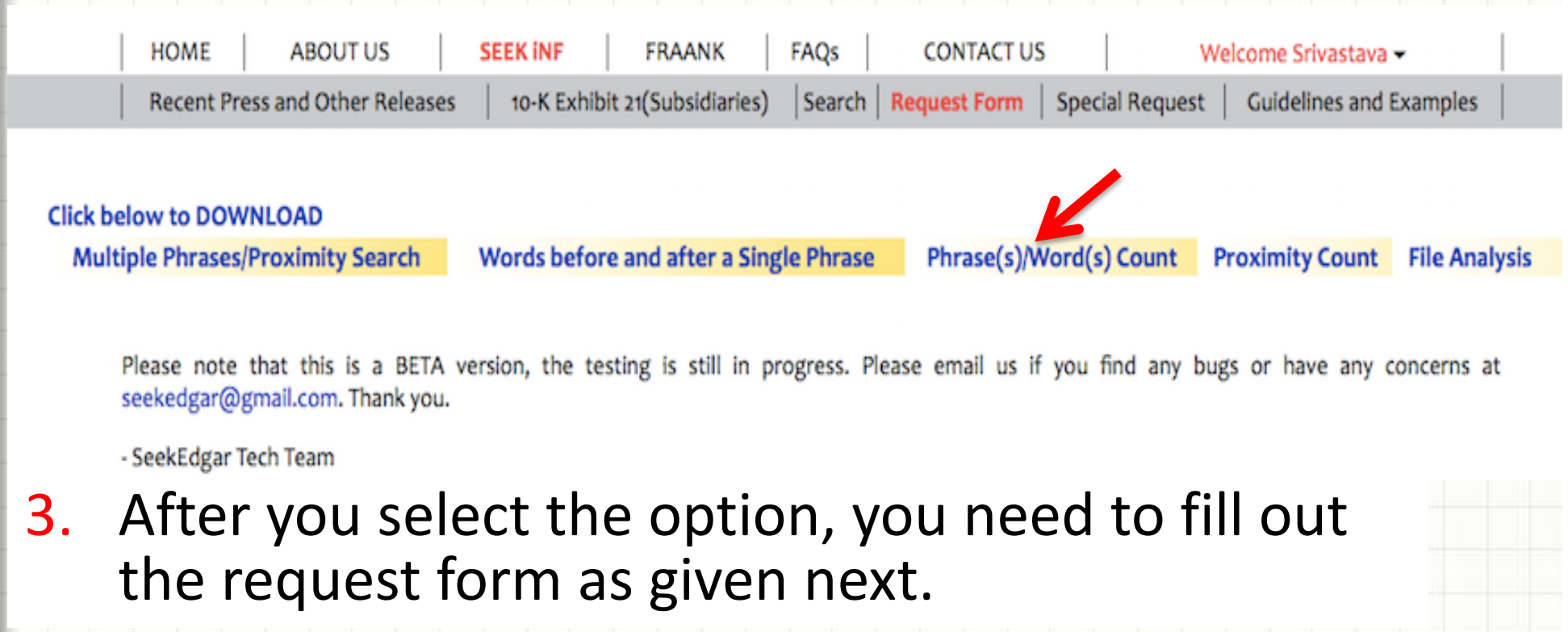
Example 8b: Download counts of multiple phrases/words for multiple companies for multiple years

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



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

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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*: Choose File 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: 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

Fill out the Request Form

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 Forms
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 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

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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: Class Action, Patents and Copyrights, Litigati

Or

Upload file with wordlist*: Choose File no file selected

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

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

COMPANY: 1490349, 868857, 26076, 16099, 1099728, 86 CIK

From: 2011 To*: 2015

*(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
- [x] 10-K [x] 10-KT [x] 10-K405 [x] 10-KT405 [x] 10-KSB [x] 10-KSB40
- [x] 10-K/A [x] 10-KT/A [x] 10-K405/A [x] 10-KT405/A [x] 10-KSB/A [x] 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

Filled out Request Form With specifics

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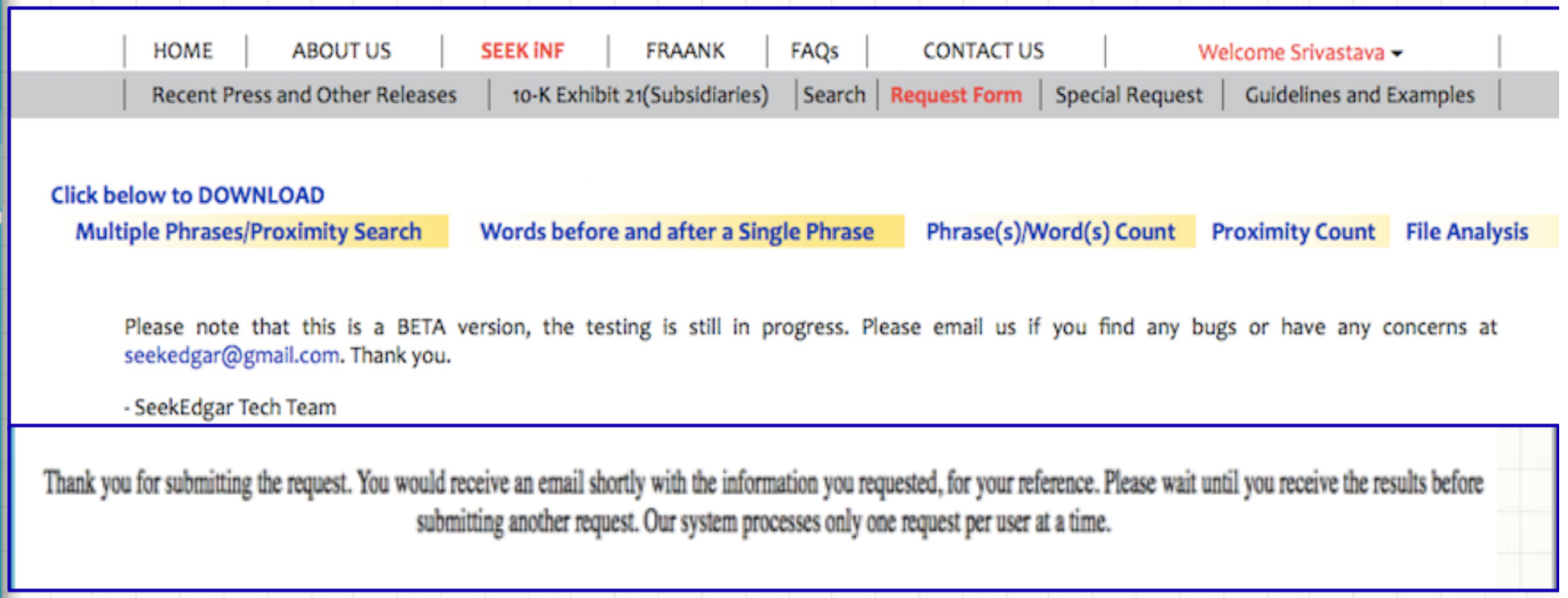
Example 8b: Download counts of multiple phrases/words for multiple companies for multiple years

Message related **Request Form** after submission



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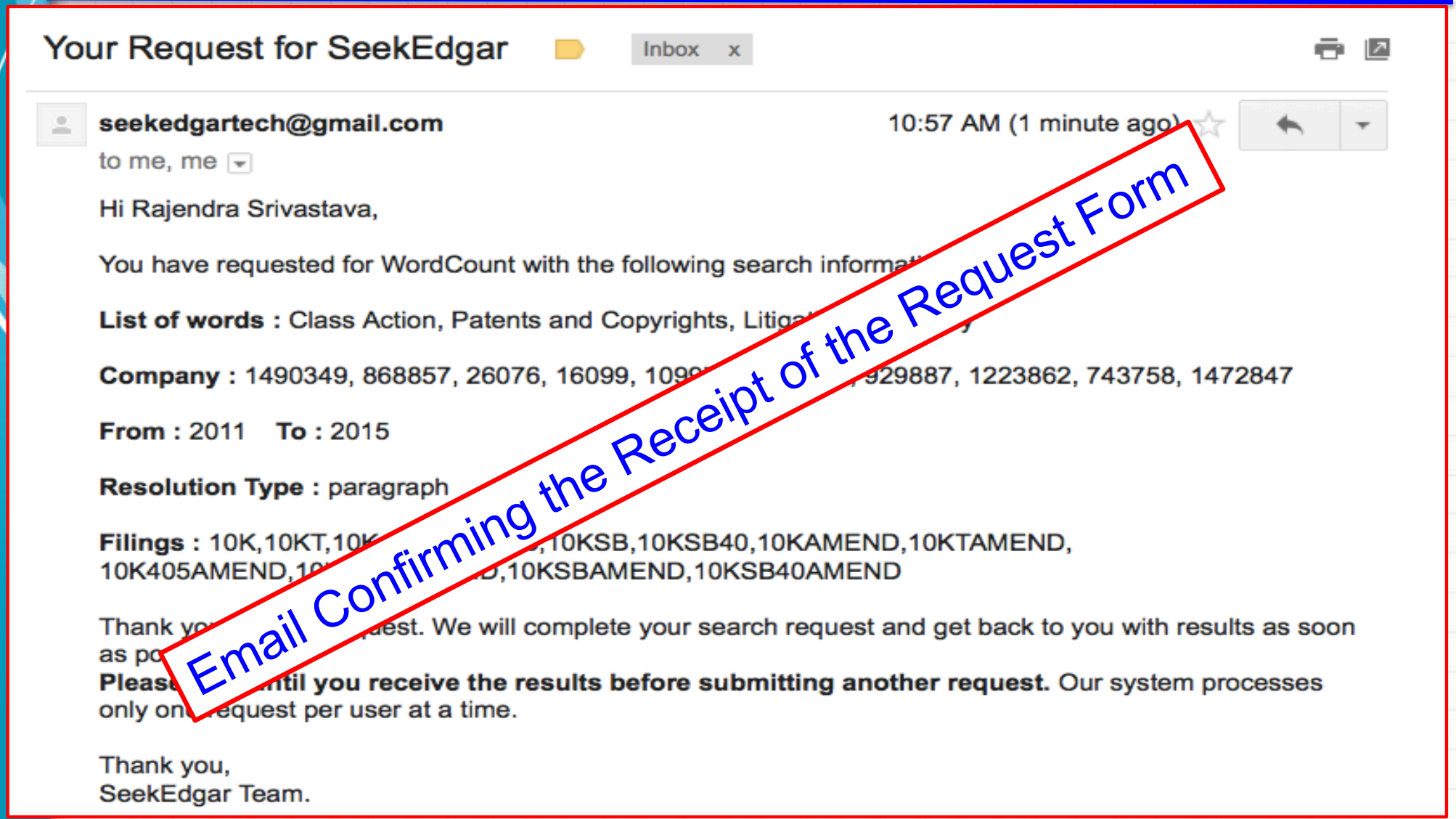
Example 8b: Count multiple phrases/words in a document for multiple companies for multiple years (continued)



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 informat

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

Company : 1490349, 868857, 26076, 16099, 109 929887, 1223862, 743758, 1472847

From : 2011 **To :** 2015

Resolution Type : paragraph

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

Thank yo uest. We will complete your search request and get back to you with results as soon as po

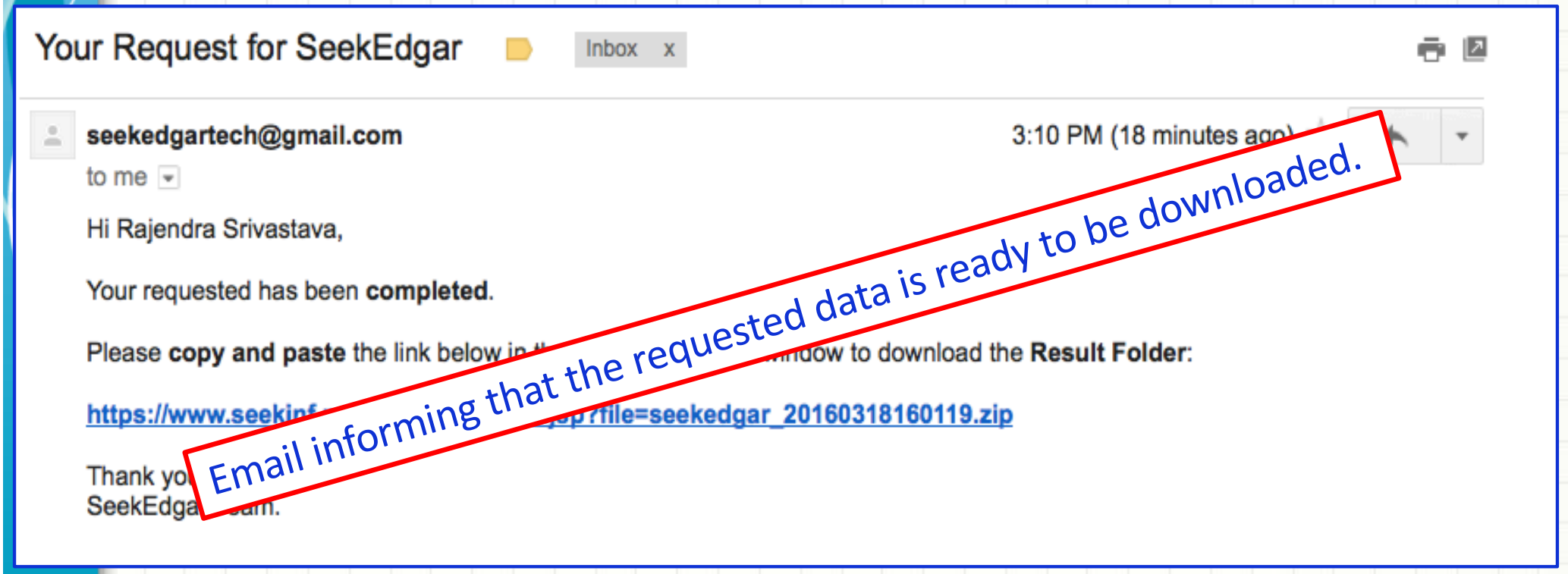
Pleas ntil you receive the results before submitting another request. Our system processes only on equest per user at a time.

Thank you,
SeekEdgar Team.

Email Confirming the Receipt of the Request Form

SeekiNF SM

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



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.

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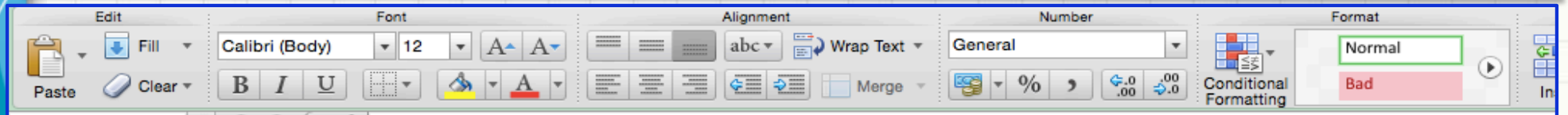
Example 8b: Count multiple phrases/words in a document for multiple companies for multiple years (continued)



	A	B	C	D	E	F	G	H	I	J	K	L
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

$$PCTCOMP = 1000*NCOMP/NWORDS,$$

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 iNF. 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 CIKs 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: Rajendra Srivastava
Email: seekedgar@gmail.com
Title: EY Professor
University/Company: KU

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: competition, competitor, competitive, (

Or

Upload file with wordlist*: Choose File no file selected

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

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

COMPANY: 68622, 732712, 732717, 808461, 7943 CIK

From: 2006 To*: 2010

*(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

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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.

SeekiNF SM

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.

SeekiNF SM

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.

SeekINF

Download Results of the Word Counts for 2006-2010

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P
	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
3	808461	GENERAL CO	4813	3/12/10	10-K	http://www.	69930	63093	45	0	40	16	5	0	14	1
4	794323	LEVEL 3 COM	4813	2/26/10	10-K	http://www.	90448	82386	17	1	24	10	1	0	35	2
5	732712	VERIZON COI	4813	2/26/10	10-K	http://www.	365460	330358	28	0	52	13	4	0	21	1
6	732717	AT&T INC.	4813	2/25/10	10-K	http://www.	637444	594818	67	0	23	10	7	0	16	5
7	68622	QWEST CORF	4813	2/17/10	10-K	http://www.	48877	44980	23	0	26	18	1	0	16	0
8	808461	GENERAL CO	4813	3/23/09	10-K	http://www.	83394	75777	72	5	76	21	11	0	29	1
9	794323	LEVEL 3 COM	4813	2/27/09	10-K	http://www.	100133	91118	21	4	28	12	1	0	45	2
10	732717	AT&T INC.	4813	2/25/09	10-K	http://www.	307490	292313	100	3	42	20	1	0	15	6
11	732712	VERIZON COI	4813	2/24/09	10-K	http://www.	65249	58122	25	0	35	9	2	0	11	0
12	68622	QWEST CORF	4813	2/19/09	10-K	http://www.	51693	47768	17	0	27	15	1	0	16	0
13	808461	GENERAL CO	4813	3/7/08	10-K	http://www.	82659	75060	70	5	52	21	10	0	29	1
14	794323	LEVEL 3 COM	4813	2/29/08	10-K	http://www.	106205	95139	15	2	27	12	1	0	42	2
15	732712	VERIZON COI	4813	2/28/08	10-K	http://www.	60162	53164	27	1	31	8	4	0	14	0
16	732717	AT&T INC.	4813	2/27/08	10-K	http://www.	33226	31476	46	5	27	4	0	0	2	1
17	68622	QWEST CORF	4813	2/12/08	10-K	http://www.	43834	40397	15	0	23	12	1	0	16	0
18	808461	GENERAL CO	4813	3/19/07	10-K	http://www.	101590	93005	66	8	46	17	11	0	31	3
19	732712	VERIZON COI	4813	3/1/07	10-K	http://www.	70162	61851	30	2	34	8	7	0	19	1
20	794323	LEVEL 3 COM	4813	3/1/07	10-K	http://www.	101094	90897	18	1	33	10	2	0	38	2
21	732717	AT&T INC.	4813	2/26/07	10-K	http://www.	191792	180168	81	2	34	14	0	0	25	5
22	68622	QWEST CORF	4813	2/8/07	10-K	http://www.	46975	43458	22	0	23	12	0	0	16	0
23	808461	GENERAL CO	4813	3/16/06	10-K	http://www.	88849	80487	65	10	63	19	11	0	44	0
24	732712	VERIZON COI	4813	3/14/06	10-K	http://www.	105825	96465	37	0	81	8	5	0	25	2
25	794323	LEVEL 3 COM	4813	3/2/06	10-K	http://www.	105225	96527	32	2	42	13	4	0	55	4
26	732717	AT&T INC.	4813	3/1/06	10-K	http://www.	14337	13391	9	0	1	0	0	0	3	0
27	68622	QWEST CORF	4813	2/17/06	10-K	http://www.	49267	45438	21	0	17	15	1	0	18	0
28																

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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

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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
CIK	COMPANY NAME	SIC	FILING DATE	FILE TYPE	SEC LINK	TOTAL WORD COUNT	TOTAL WORD COUNT WITHOUT NUMERICS	NOT COMPETITION Within 3 words	LESS COMPETITION Within 3 words	FEW COMPETITION Within 3 words	LIMITED COMPETITION Within 3 words	NOT COMPETITOR Within 3 words	LESS COMPETITOR Within 3 words	FEW COMPETITOR Within 3 words	LIMITED COMPETITOR Within 3 words	NOT COMPETITIVE Within 3 words
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

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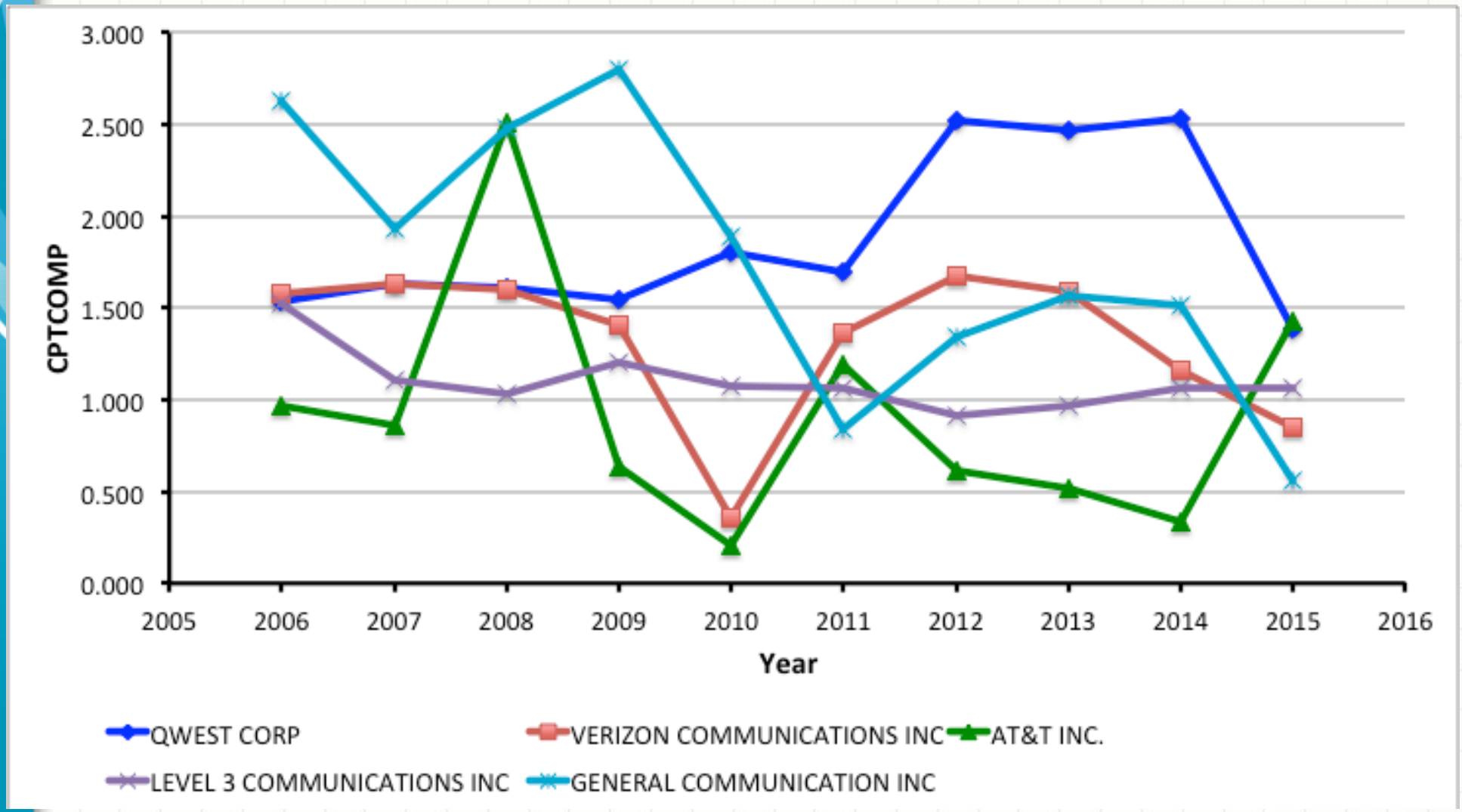
Competition Metric for Five companies for 10 years



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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

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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:

- **Step1**: 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: Air Traffic Liability

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, [Name]

From: 2015 To: 2015

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

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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

View File | Download Raw File | Compare | Download Table in CSV

	December 31, 2014	December 31, 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 stockholdersÂ' 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

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1 - 20

Downlo

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 (As Restated)
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 deriative 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

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

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Result of "Off Balance Sheet items" Search in Exact Phrases.

1 - 20 of 39 < >

Download Results

PULASKI FINANCIAL CORP
CIK :1062438
SIC :6035
File Type :10-K
File Date :12-11-2015

United Community Bancorp
CIK :1514131
SIC :6035
File Type :10-K
File Date :09-28-2015

United Community Bancorp
CIK :1514131
SIC :6035
File Type :10-K
File Date :09-28-2015

United Community Bancorp
CIK :1514131
SIC :6035
File Type :10-K
File Date :09-28-2015

View File | Download Raw File | Compare | Download Table in CSV

Off-Balance-Sheet Items

Operating leases		$ 1,782	$ 2,577	$ 1,180	$ 268	$ —	$ —	$ —
Commitments to extend credit	3.74%	181,913	—	—	—	—	—	183,545
Unused lines of credit - residential		45,016	—	—	—	—	—	45,615
Unused lines of credit - commercial		173,771	—	—	—	—	—	174,970
Unused lines of credit - consumer		127	—	—	—	—	—	126

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Example 11:

How to use the Subsidiary Database and Search Engine

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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.

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- **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”

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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

A1 fx SIC

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	Orgenics International Holdings BV100%	Netherlands	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Orgenics Ltd.(3)100%	Israel	14	28
2835	1145460	INVERNESS MEDICAL INNOVATIONS INC	Ostex International, Inc.100%	Washington, USA	14	28

Example 12:

Textual Analysis

Readability Indices

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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

HOME | ABOUT US | SeekiNF | FRAANK | FAQs | CONTACT US | Change Password | LOGOUT

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): a|the|of

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: SATYAM COMPUTER SERVICES LTD, Name

From: 2002 To: 2008

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

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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

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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.

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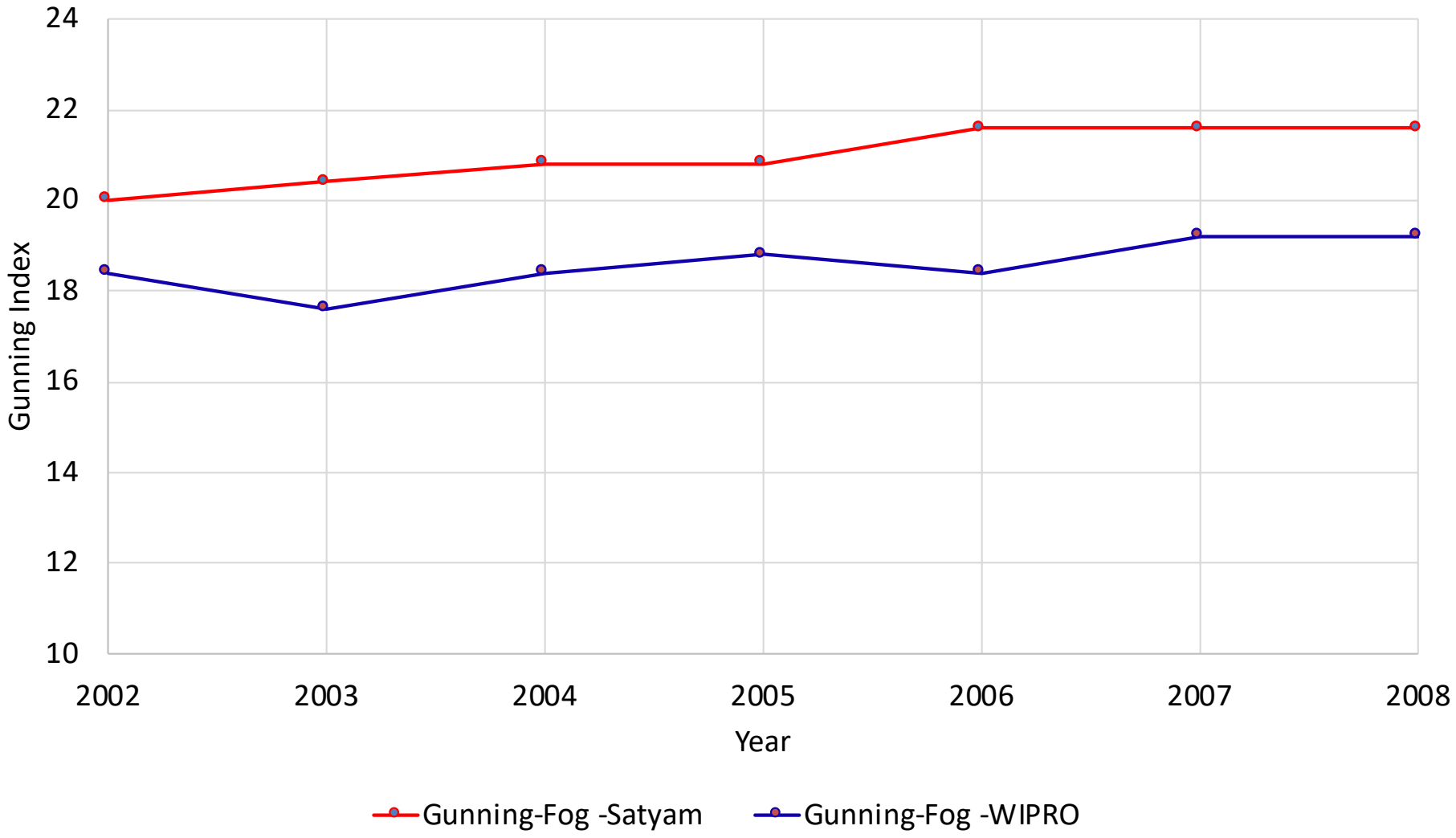
Example 12: Graph of Readability Indices for Satyam and WIPRO



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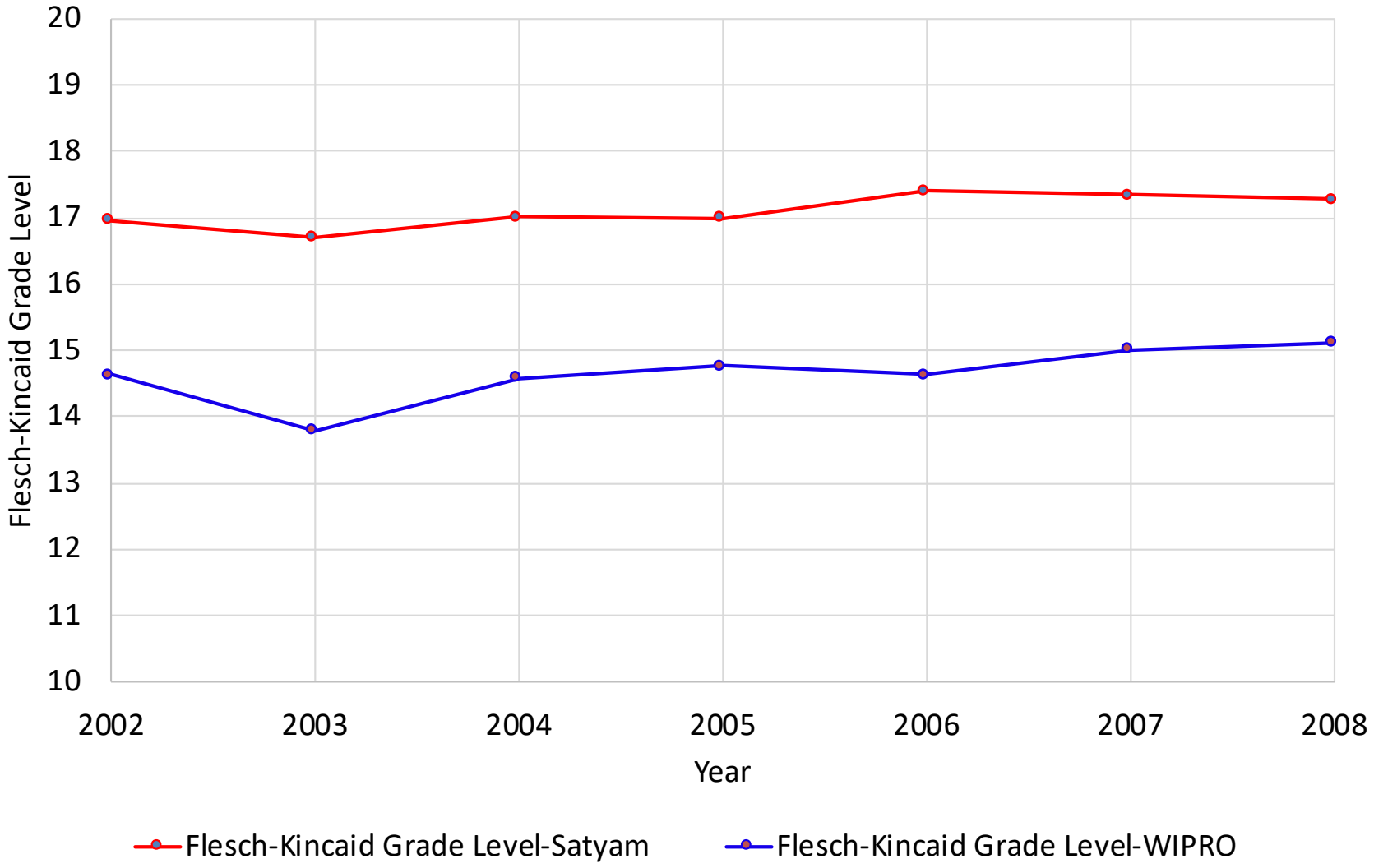
Example 12: Graph of Readability Indices for Satyam and WIPRO



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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 widow. 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.

Example 13: Cosine Similarity Measure

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

With the exact phrase(s): a|the|of

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: SATYAM COMPUTER SERVICES LTD, Name

From: 2002 To: 2008

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

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CIK : 1106056 Change CIK Year : 2002 to 2008

File Type:

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

Search

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
20-F	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-08-001441-index.htm	08-08-2008	Download Distribution
20-F	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-07-000670-index.htm		Download Distribution
20-F	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-06-000[illegible]	[illegible]-2006	Download Distribution
20-F	https://www.sec.gov/Archives/edgar/data/1106056/000[illegible]	04-28-2005	Download Distribution
20-F/A	https://www.sec.gov/Archives/edgar/data/[illegible]961-index.htm	07-26-2004	Download Distribution
20-F	https://www.sec.gov/Archi[illegible]145549-04-000850-index.htm	06-29-2004	Download Distribution
20-F	https://ww[illegible]ata/1106056/0001145549-03-000795-index.htm	06-30-2003	Download Distribution
20-F	[illegible]chives/edgar/data/1106056/0001021408-02-009039-index.htm	07-01-2002	Download Distribution

Example 13: Compare: Cosine Similarity Measure

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Example 13: Cosine Similarity Measure Data for Satyam and WIPRO

Once your 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

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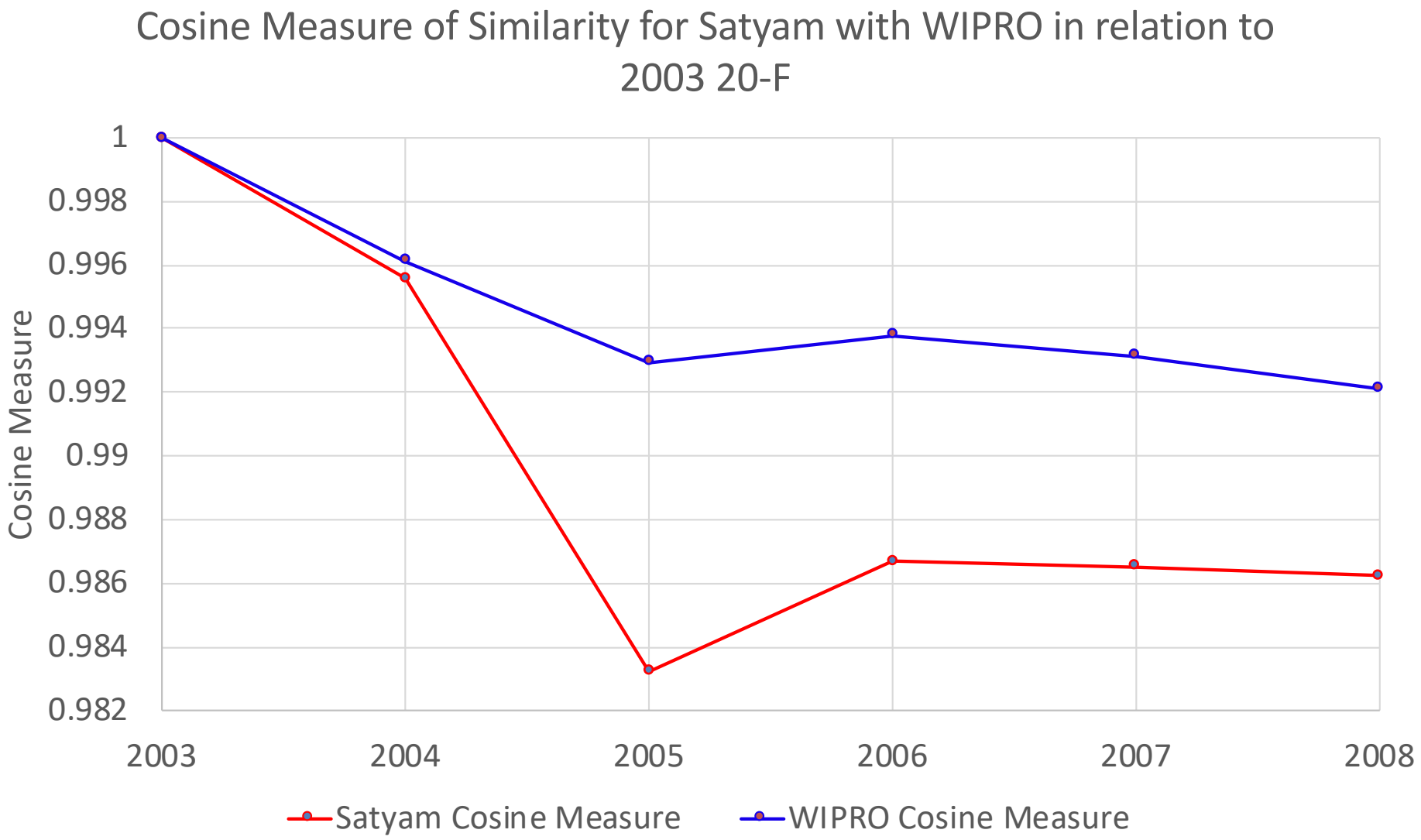
Example 13: Graph of Cosine Similarity Data for Satyam and WIPRO



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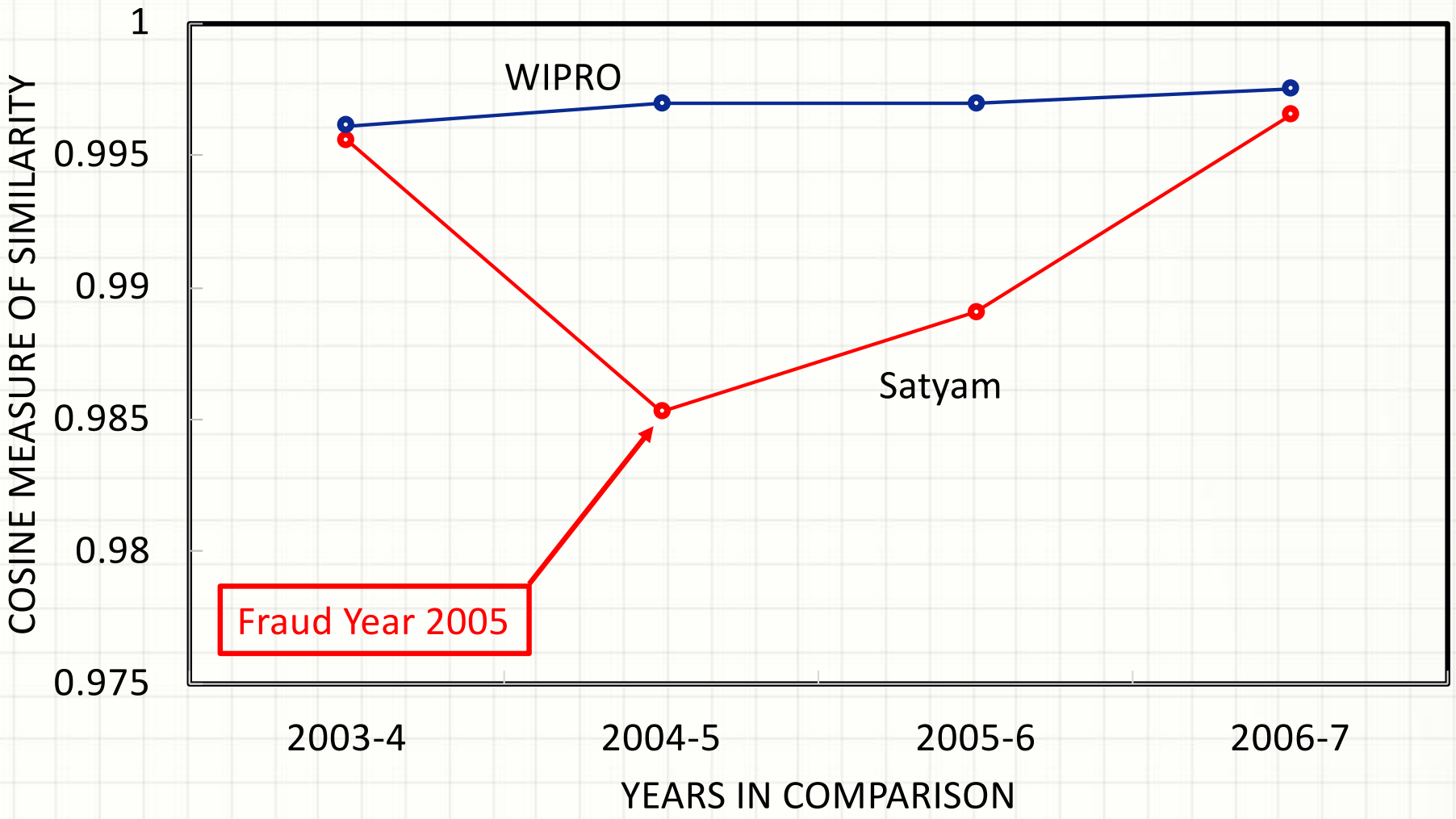
Change in Cosine Measure of Similarity for Satyam and WIPRO by Year (20-F)



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Example 14:

Word Variation Year-to-Year

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Example 14: Word Variations Year-to-Year

- Let us consider the example of Satyam, again. In Example 12a, we selected “Cosine Similarity”. For this example, after selecting two years 20-F, we select “Word Variation”. The system will yield the data in a csv file that you can open and save in Excel.
- Next slide shows the un-sorted data for the years 2007 and 2008.
- The second slide shows, after sorting, the words that are added in 20-F for 2008 that were not present in 20-F of 2007.
- The third slide shows the words (after sorting again) that are removed from 20-F of 2008, but were present in 20-F of 2007.
- One can sort the file and obtain changes in certain key words from year to year.

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/ORD VARIATIONS FOR 1106056		
	https://v	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-07-000670-index.html
/ORDS	2008	2007
ɔegin	1	1
ɔrivacy	3	3
ɛnhanced	6	6
ɪessage	2	2
ɔroc	1	1
ɪype	14	15
2001,mic	1	1
ɛlear	1	1
ɔriginator	2	2
ɪame	16	20
/ebmaster	1	1
/ww.sec.gov	2	2
ɛey	37	36
ɜsymmetric	1	1
ɪfgwcgyevqgbaqicaf8d	1	1
ɛwsm7vrzladbmyqaionv	1	1
ɔ	55	59
ɛwidaqab	1	1
ɪic	1	1
ɪfo	1	1
ɛsa	1	1

Example 14: Word Variations Year-to-Year

un-sorted data for Satyam for the years 2007 and 2008

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Example 14: New Words in 20-F of 2008 that were not present in 20-F of 2007 for Satyam

WORD VARIATIONS FOR 1106056														
	https://w	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-07-000670-index.html												
WORDS	2008	2007												
nitor	22	0												
afm	13	0												
bridge	10	0												
euronext	9	0												
belts	6	0												
deconsolidation	6	0												
lieu	6	0												
pharma	6	0												
hetzel	5	0												
caterpillar	4	0												
chicago	4	0												
conditional	4	0												
contributed	4	0												
fbt	4	0												
fmsa	4	0												
infocity	4	0												

Words in 20-F of 2008 that are not present in 20-F of 2007 for Satyam

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Example 14: Words absent in 20-F of 2008, but were present in 20-F of 2007 for Satyam

WORD VARIATIONS FOR 1106056		
	https://w	https://www.sec.gov/Archives/edgar/data/1106056/0001145549-07-000670-index.html
WORDS	2008	2007
acceleration	0	6
contingency	0	6
fulfillment	0	6
resolved	0	6
upto	0	6
allotment	0	5
allotted	0	5
bommakanti	0	5
concerned	0	5
rank	0	5
redeem	0	5
acquirer	0	4
allocation	0	4
consequence	0	4
decided	0	4
get	0	4
heirs	0	4
murty	0	4
procedure	0	4
quantifying	0	4
quantum	0	4
referral	0	4
tranche	0	4
triggering	0	4

Words in 20-F of 2007 that are not present in 20-F of 2008 for Satyam

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Example 15:

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

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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.

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

Complete the following steps in the SeekiNF search page.

- **Step1**: 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.

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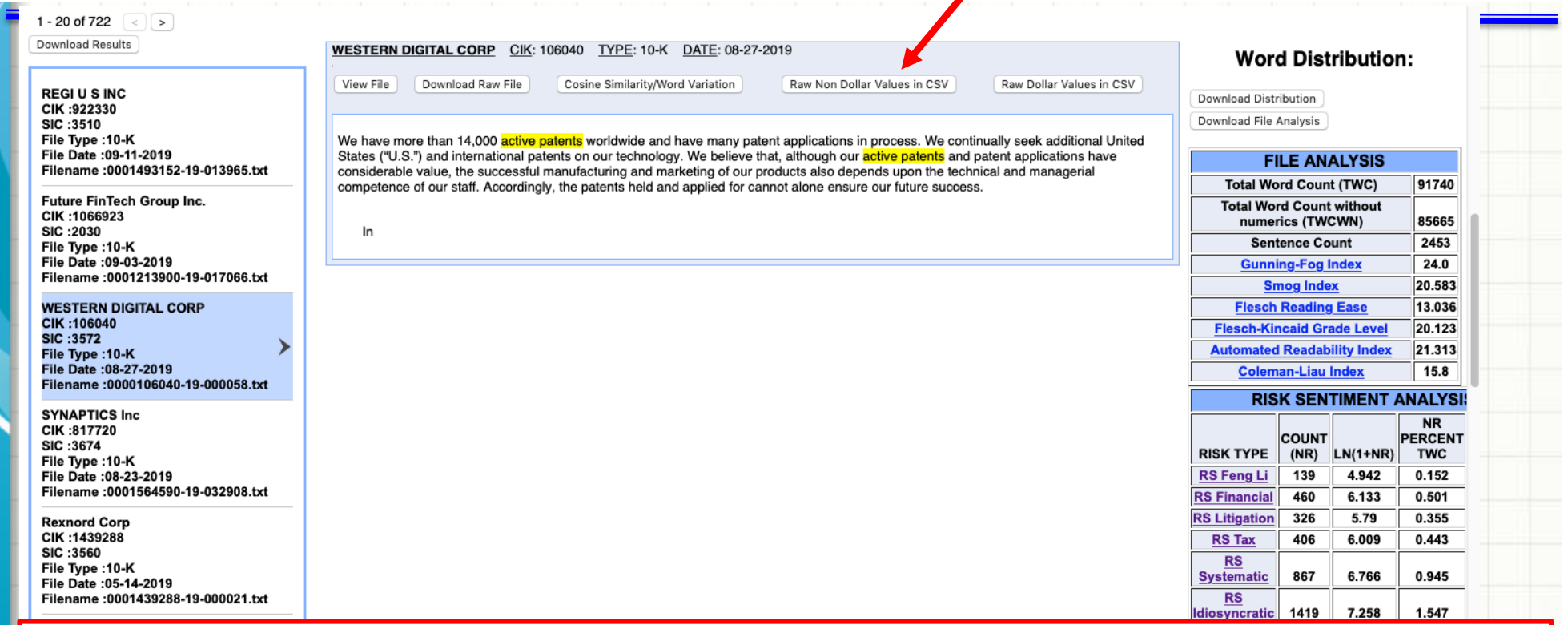
Example 15: Extract numbers ($ or non $ value) present in a line in Excel



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.

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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 Doscuments: 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, selct, companies, years, paragraph, and the filings, and submit. These metrics will appear on the right side of the display window under the readability indices.

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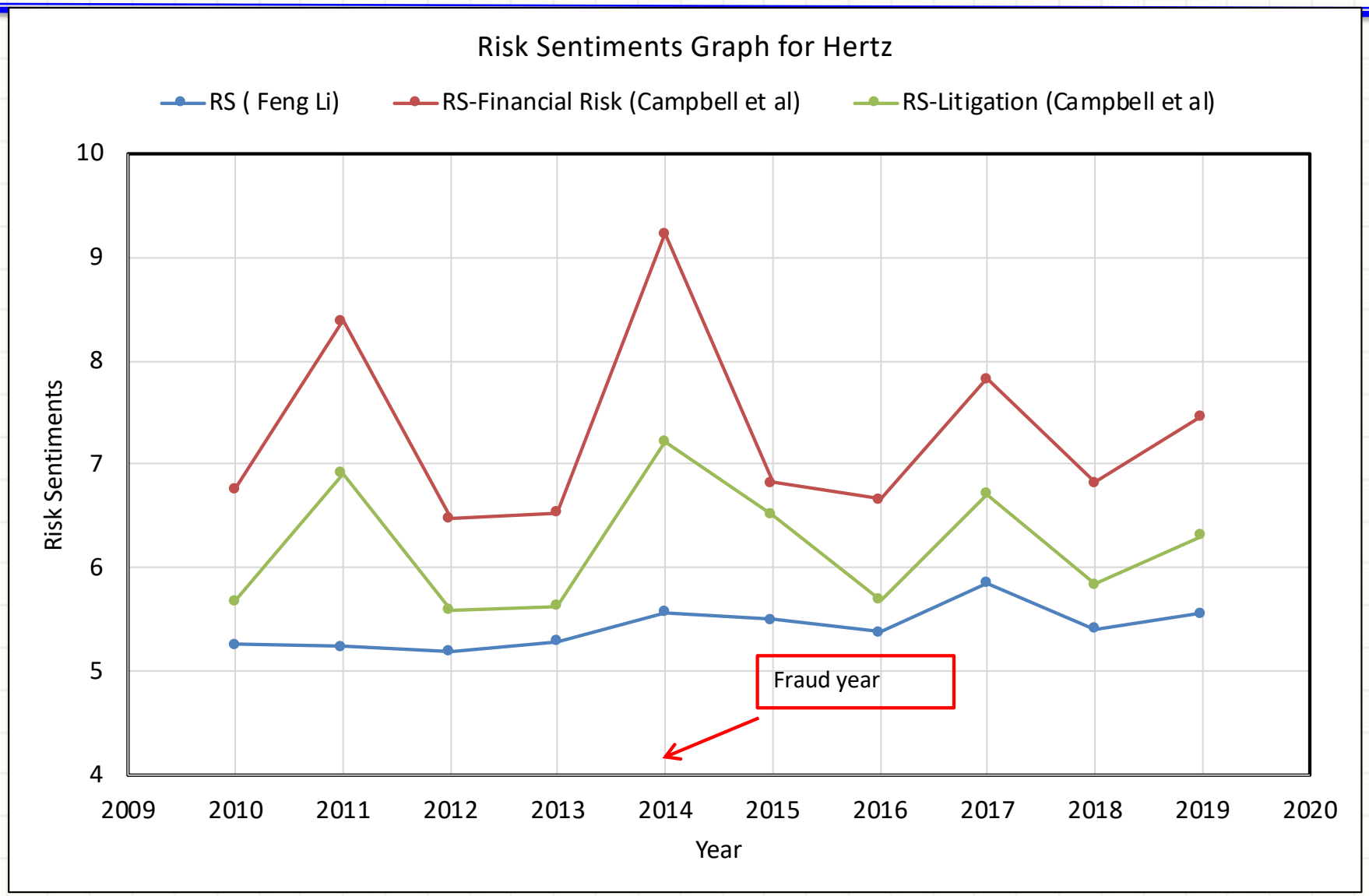
Example 16: Hertz Company committed fraud in 2014.



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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.

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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".

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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.

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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

SeekINF SM

Thanks!

Email: rsrivastava@seekedgar.com

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Introduces

FRAANK SM

Anytime, Anywhere, …

SEC Financial Statements at your finger tips in seconds

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

Cloud Technology

(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**

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

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

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

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2008/0229187	A1 *	9/2008	Mahoney et al.	715/234

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.*

* cited by examiner

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]

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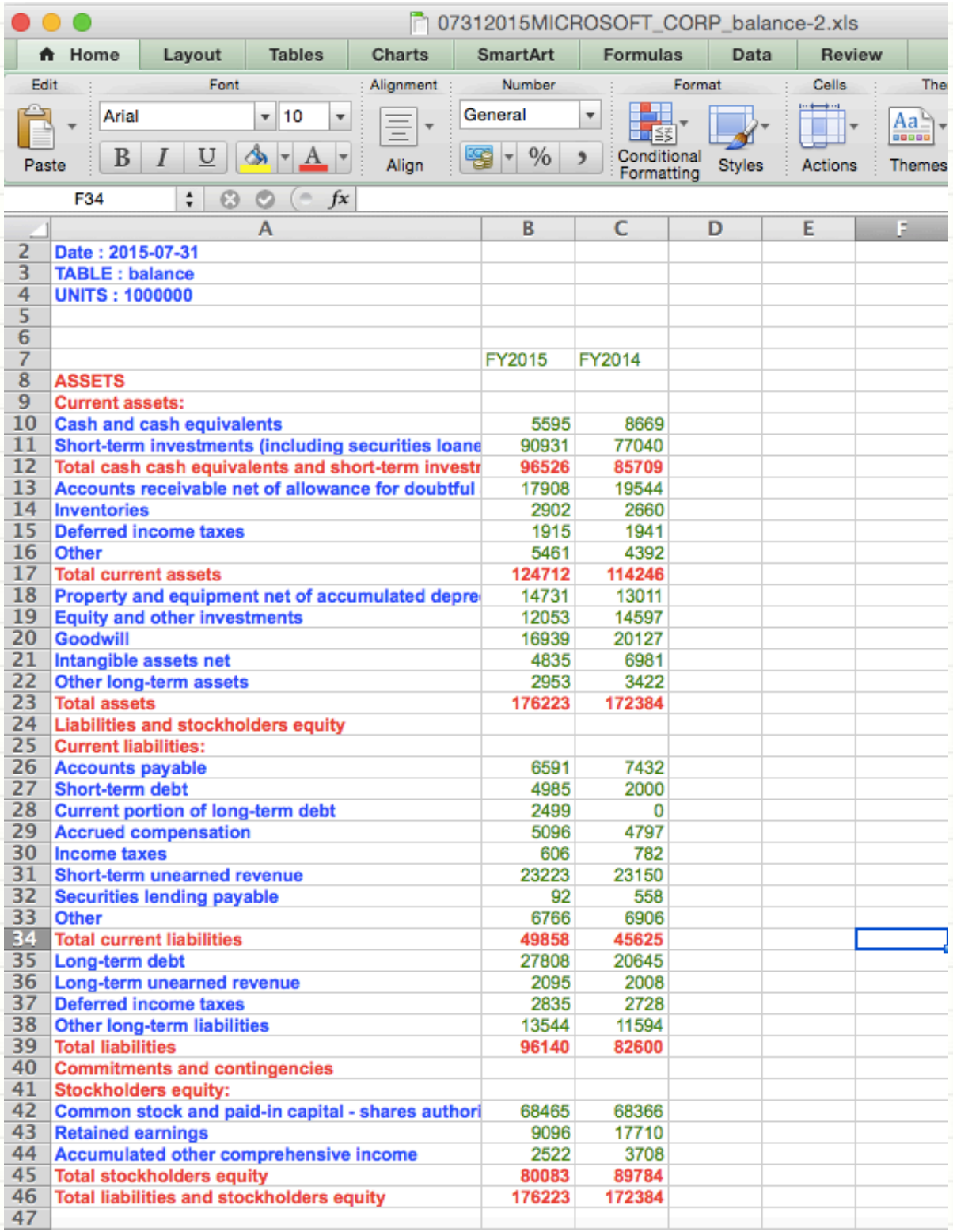
Flight: **UA4934**

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


07312015MICROSOFT_CORP_balance-2.xls

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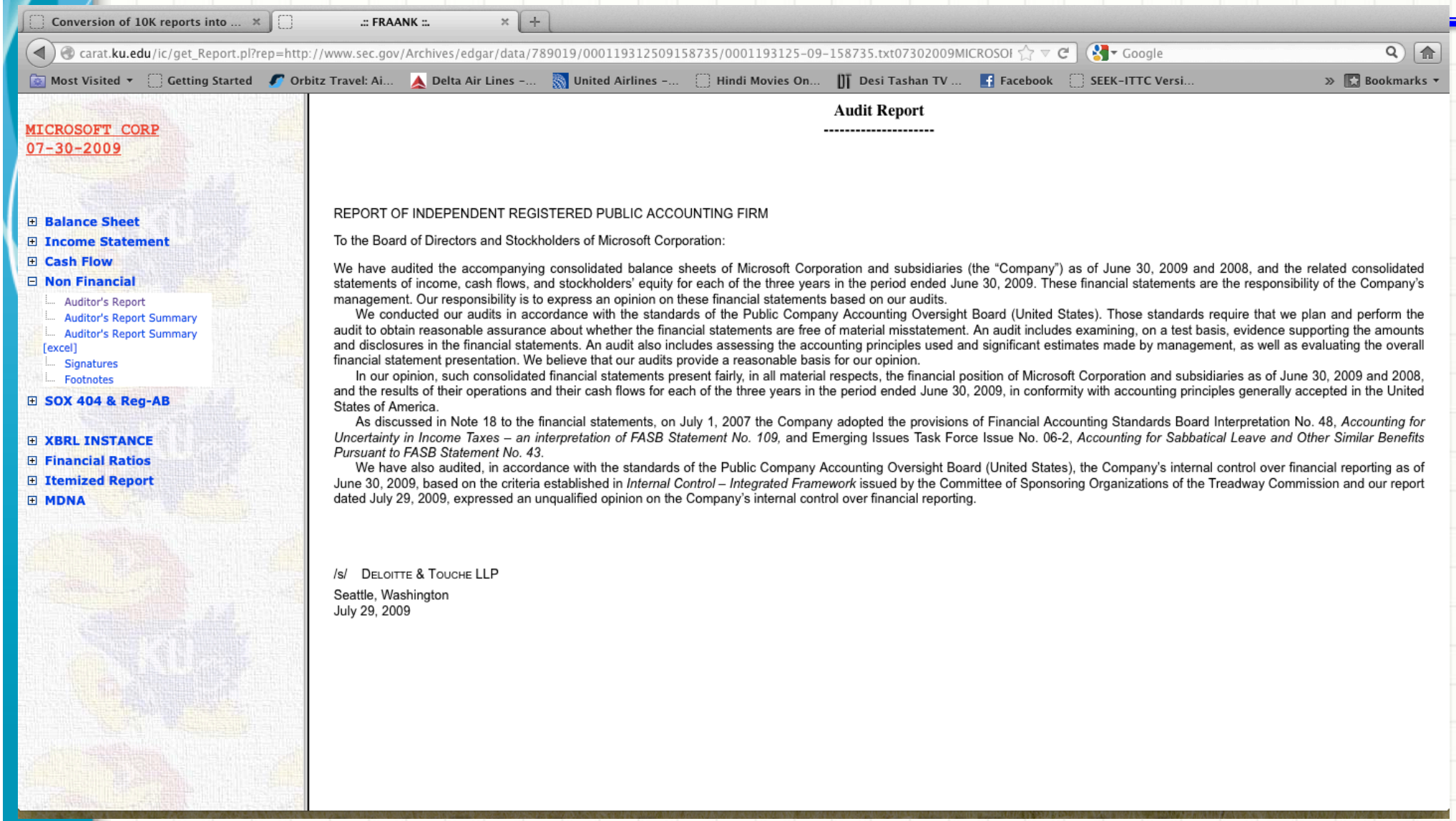
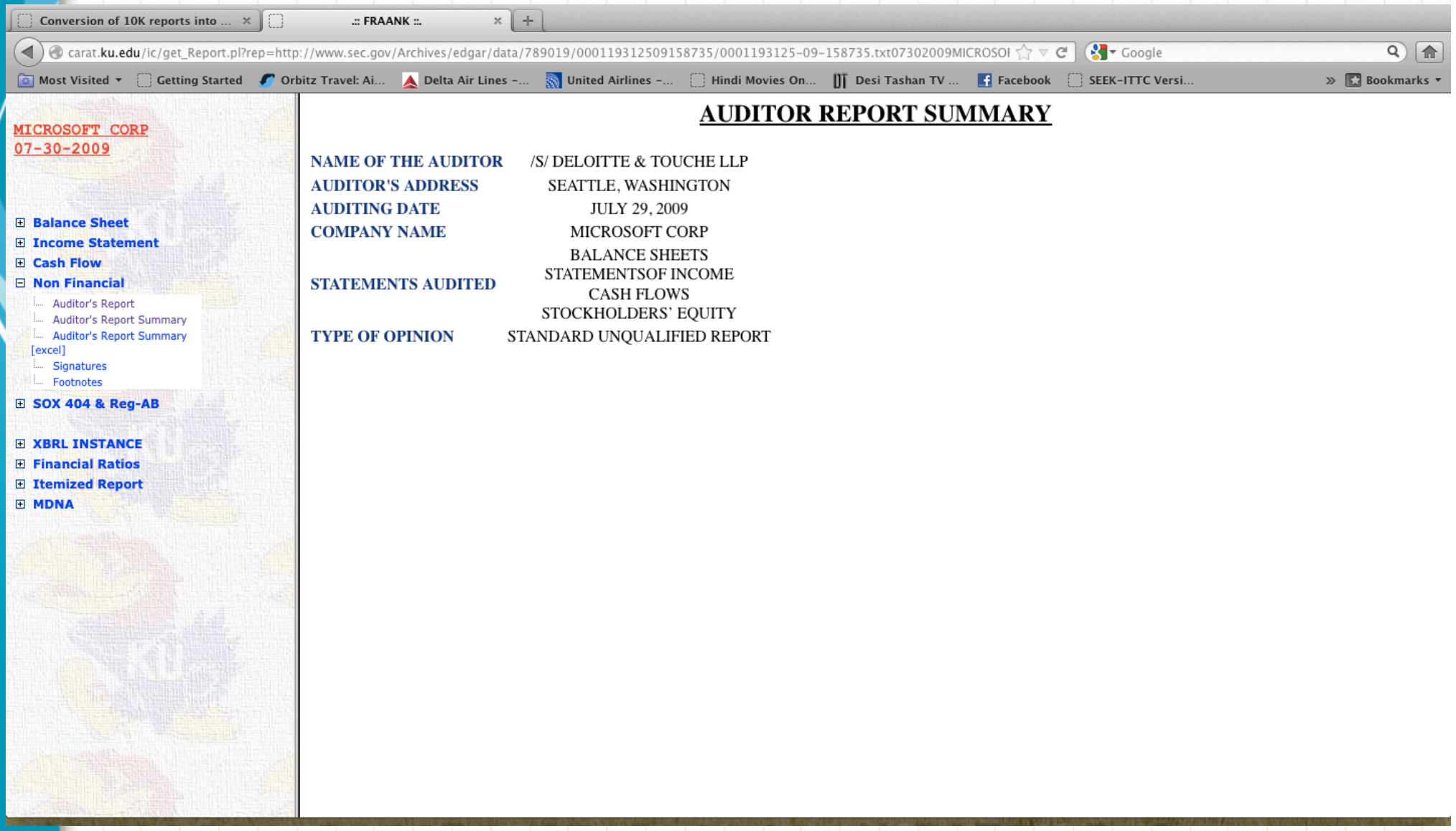
	A	B	C	D	E	F
2	Date : 2015-07-31					
3	TABLE : balance					
4	UNITS : 1000000					
5						
6						
7		FY2015	FY2014			
8	ASSETS					
9	Current assets:					
10	Cash and cash equivalents	5595	8669			
11	Short-term investments (including securities loane	90931	77040			
12	Total cash cash equivalents and 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						

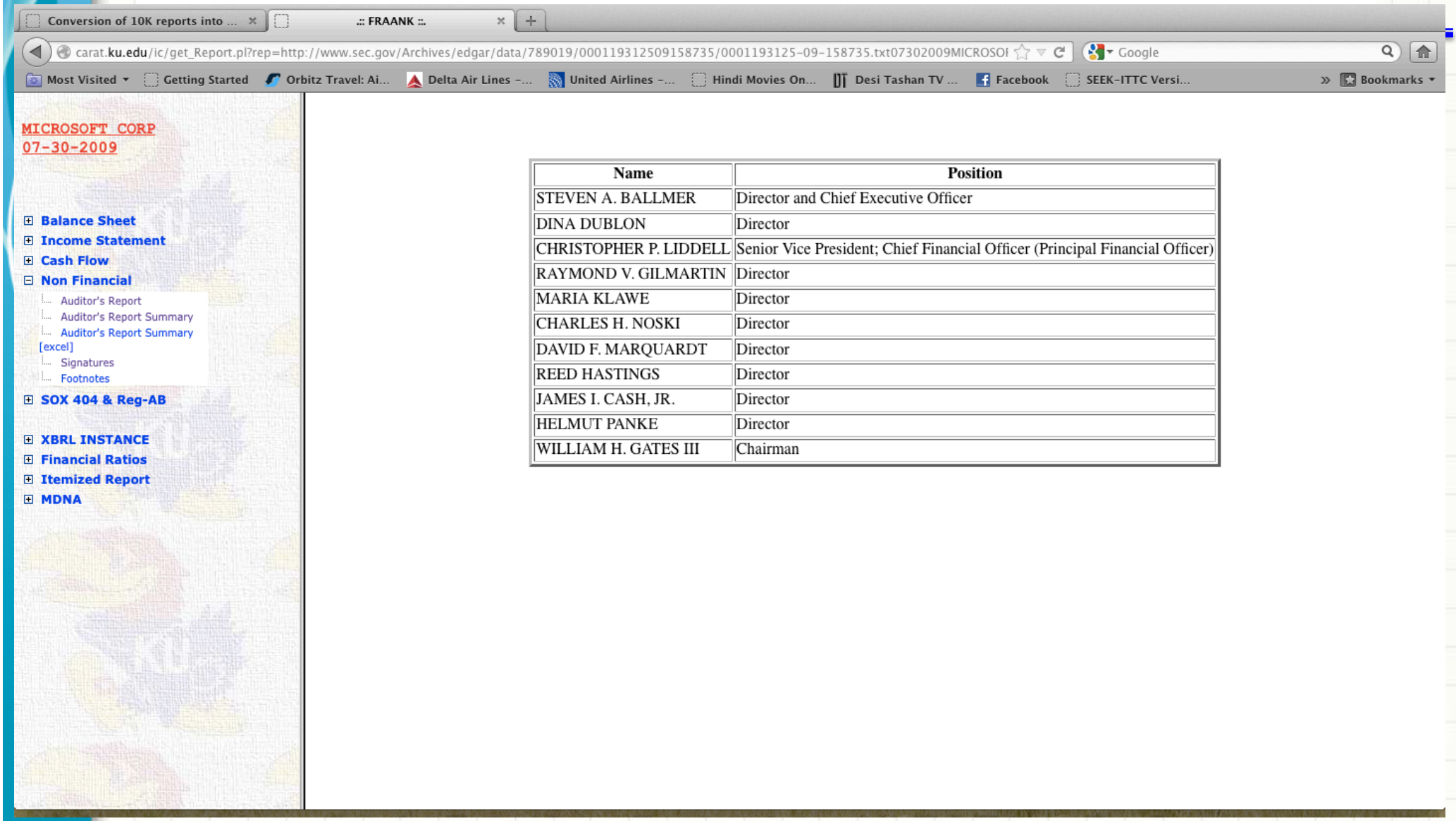
Audit Report



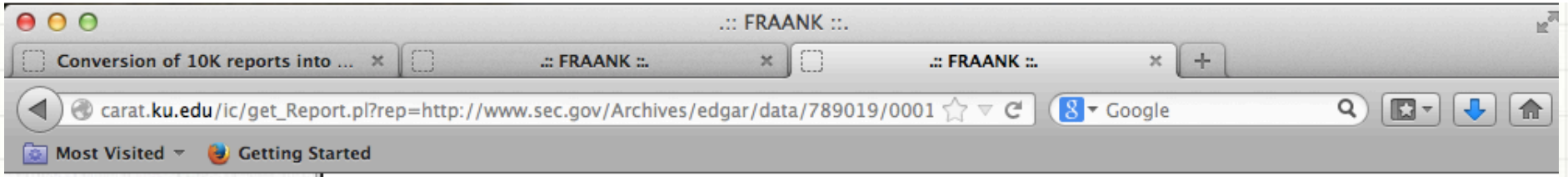
Summary of Audit Report



Who Signed 10K



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

- Balance Sheet
- Income Statement
- Cash Flow
- Non Financial
  - Auditor's Report
  - Auditor's Report Summary
  - Auditor's Report Summary [excel]
  - Signatures
  - Footnotes
- SOX 404 & Reg-AB
- XBRL INSTANCE
- Financial Ratios
- Itemized Report
- MDNA

Number of Footnotes Extracted : 19

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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
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NOTE 14	COMMITMENTS AND GUARANTEES
NOTE 15	CONTINGENCIES
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NOTE 17	OTHER COMPREHENSIVE INCOME
NOTE 18	EMPLOYEE STOCK AND SAVINGS PLANS
NOTE 19	SEGMENT INFORMATION

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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