

# TIPS AND TRICKS TO SEARCH SEC.GOV WEBSITE FOR THE PROSPECT RESEARCHER

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# Introduction

# **QUESTION:**

## **How do you search for SEC data?**

- **SEC.gov website**
- **FEE-based databases**
- **Other FREE Websites**
- **Combination**

# **QUESTIONS:**

**What are the benefits of using the SEC.gov website?**

**What are the challenges ... ?**

# What This Workshop WILL Cover:

- Overview of the different ways to search the SEC.gov site for prospect information (public company executives/directors/stockholders and financial professionals)
- Techniques to search the SEC.gov more easily and faster
- Ways to connect biographical information to compensation data



# **Public Company Insiders**

# SEC.gov Website – Strengths

- FREE
- No registration
- No licensing agreement
- Original source of complete forms and content
- Compensation and Biographical (Employment) Information

# SEC.gov Website – Weaknesses

- Poorly organized (search interfaces and Help materials)
- No specific Headers to search on person's name
- Multiple search interfaces (some don't work properly)
- “Conceptual Search” (can bring up too many off-target documents)
- Operators must be capitalized (AND, OR, NOT, NEARx) unlike most search engines and online databases
- No Form Formats in Word, Excel, PDF, etc.  
**Note:** Formats in HTML, XML, Text (XML and Text have code in them)

# Ways to Search SEC.gov Data Public Company Insiders

- **Search SEC.gov (Main Screen)**
- **EDGAR Company Filings**
- **CIK Lookup**
- **Boolean Archive Search**
- **Full Text (Past 4 Years)**

# Public Company Insiders Research Search SEC.gov

**Location:** Search box (upper right-hand corner of every page on site)

**Advantages:** Easy to find search box/Helpful to locate general information about site (i.e. explanation of a form)

**Disadvantage:** Only enter terms and no ways to adjust query which produces poor search results

# Public Company Insiders Research Search SEC.gov

← → ↻ <https://www.sec.gov>



U.S. SECURITIES AND  
EXCHANGE COMMISSION

Search SEC.gov 

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

[ABOUT](#) | [DIVISIONS & OFFICES](#) | [ENFORCEMENT](#) | [REGULATION](#) | [EDUCATION](#) | [FILINGS](#) | [NEWS](#)

# Public Company Insiders Research Search SEC.gov



U.S. SECURITIES AND  
EXCHANGE COMMISSION

Everything | Litigation | Forms | More ▾

9 results

Showing results for *rosetta*

[International Business Machines Corporation; Rule 14a-8 no-action letter](#)

<https://www.sec.gov/divisions/corpfin/cf-noaction/14a-8/2015/christinejantz121815-14a8-incoming.pdf>

about 3 years ago - Chairman, President and CEO Ginni **Rometty** presents the 2014 IBM Chairman's Environmental

[International Business Machines Corporation; Rule 14a-8 no-action letter](#)

<https://www.sec.gov/divisions/corpfin/cf-noaction/14a-8/2016/christinejantz010516-14a8.pdf>

about 3 years ago - Chairman, President and CEO Ginni **Rometty** presents the 2014 IBM Chairman's Environmental

# Public Company Insiders Research

## EDGAR Company Filings

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

**Advantage:** Search by Company Name and Ownership Forms 3,4, and 5 (must set again in results)

**Disadvantage:** Cannot search a person, only Company Name

# Two Search Screens for Filings (Left Banner) – EDGAR Search

ABOUT | DIVISIONS & OFFICES | ENFORCEMENT | REGULATION | EDUCATION | FILINGS | NEWS

EDGAR Search Tools

- Latest Filings
- Company Filings
- Mutual Funds
- Variable Insurance Products
- Daily Filings by Type
- Full Text (Past 4 Years)
- CIK Lookup
- Confidential Treatment Orders

## EDGAR | Search Tools

### Free access to more than 21 million filings

Since 1934, the SEC has required disclosure in forms and documents. In 1998, the SEC began collecting electronic documents to help investors get information. The SEC's data disclosure — the next step to improve how investors find and use information.

#### EDGAR Search Tools

You can search information collected by the SEC several ways:

- Company or fund name, ticker symbol, CIK (Central Index Key), file number, state, country, or SIC (Standard Industrial Classification)
- Most recent filings
- Full text (past four years)
- Boolean and advanced searching, including addresses
- Key mutual fund disclosures

EDGAR Search Tools

- Company Filing Search
- How to Search EDGAR
- Requesting Public Documents
- Forms List
- Information for Filers
- About EDGAR

https://www.sec.gov/edgar.shtml

Fund voting records

# Two Search Screens for Filings (Left Banner) – Company Search

The image shows a screenshot of the EDGAR website's 'Company Filings' search page. At the top, a dark blue navigation bar contains links for ABOUT, DIVISIONS, ENFORCEMENT, REGULATION, EDUCATION, FILINGS, and NEWS. Below this is a left-hand sidebar with a list of search tools: EDGAR Search Tools, Latest Filings, Company Filings (highlighted in dark blue), Mutual Funds, Variable Insurance Products, Daily Filings by Type, Boolean Archive Search (circled in red), Full Text (Past 4 Years), and CIK Lookup. The main content area features the 'EDGAR | Company Filings' header, a sub-header 'Free access to more than 21 million filings', and a search form with a 'Company Name' input field, a 'SEARCH' button, and a 'More Options' dropdown. A dropdown menu is open on the right side of the page, listing: EDGAR Search Tools, Company Filings Search (highlighted in yellow), How to Search EDGAR, Requesting Public Documents, Forms List, Information for Filers, and About EDGAR. Below the search form, there are sections for 'Guides' (How to Research Public Companies) and 'Form Types' (Review reference versions of EDGAR forms). At the bottom, there is a 'Save Your Search' section with an RSS icon and a link to learn how to save searches.

ABOUT | DIVISIONS | ENFORCEMENT | REGULATION | EDUCATION | **FILINGS** | NEWS

EDGAR Search Tools

Company Filings Search

EDGAR | Company Filings

Free access to more than 21 million filings

Company Name 

SEARCH

More Options ▶

Guides

**How to Research Public Companies**

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

Form Types

Review reference versions of EDGAR forms filed by

Save Your Search 

Want to get updates on new filings? Learn how to save

Boolean Archive Search

Full Text (Past 4 Years)

CIK Lookup

Mutual Funds

Variable Insurance Products

Daily Filings by Type

Latest Filings

EDGAR Search Tools

How to Search EDGAR

Requesting Public Documents

Forms List

Information for Filers

About EDGAR

Save Your Search

Want to get updates on new filings? Learn how to save

# Public Company Insiders Research EDGAR Company Filings - More Options

EDGAR Search Tools

- Latest Filings
- Company Filings**
- Mutual Funds
- Variable Insurance Products
- Daily Filings by Type
- Boolean Archive Search
- Full Text (Past 4 Years)
- CIK Lookup
- Confidential Treatment Orders

## EDGAR | Company Filings

Free access to more than 21 million filings

We're improving EDGAR. Prefer the old page? It's still available.

### Company Name

Search Match Options  
 Starts with or  Contains

File Number  To search by file number, company name must be left blank.

State

Country

Standard Industry Classification

**Ownership Forms 3, 4, and 5.**  
 Include  Exclude  Only

Less Options ▲ SEARCH

### Fast Search

 SEARCH  

Ticker symbol or CIK is the fastest way to find company filings.

**Company Filing Search Tips**  
If your search is "John Smith" and you didn't get the results you expected, please try "Smith John."

# Public Company Insiders Research EDGAR Company Filings



EDGAR Search Results

EDGAR Search Results  
BETA View

SEC Home » Search the Next-Generation EDGAR System » Company Search » Current Page

**INTERNATIONAL BUSINESS MACHINES CORP** CIK#: 0000051143 (see all company filings)

SIC: 3570 - COMPUTER & OFFICE EQUIPMENT  
State location: NY | State of Inc.: NY | Fiscal Year End: 1231  
(Assistant Director Office: 3)  
Get **insider transactions** for this issuer.

Business Address  
1 NEW ORCHARD ROAD  
ARMONK NY 10504  
9144991900

Mailing Address  
1 NEW ORCHARD RD  
ARMONK NY 10504

Filter Results: Filing Type:  Prior to: (YYYYMMDD)  Ownership?  include  exclude  only Limit Results Per Page 40 Entries

Items 1 - 40 [RSS Feed](#)

Next 40

Filings	Format	Description	Filing Date	File/Film Number
4	<a href="#">Documents</a>	Statement of changes in beneficial ownership of securities Acc-no: 0001562180-19-001932 Size: 5 KB	2019-03-18	
4	<a href="#">Documents</a>	Statement of changes in beneficial ownership of securities Acc-no: 0001562180-19-001931 Size: 5 KB	2019-03-18	
DEF 14A	<a href="#">Documents</a>	Other definitive proxy statements Acc-no: 0001104659-19-013856 (34 Act) Size: 7 MB	2019-03-11	001-02360 19672489
4	<a href="#">Documents</a>	Statement of changes in beneficial ownership of securities Acc-no: 0001562180-19-001819 Size: 6 KB	2019-03-08	
S-3ASR	<a href="#">Documents</a>	Automatic shelf registration statement of securities of well-known seasoned issuers Acc-no: 0001047469-19-000946 (33 Act) Size: 685 KB	2019-03-06	333-230099 19663029
4	<a href="#">Documents</a>	Statement of changes in beneficial ownership of securities Acc-no: 0001562180-19-001579 Size: 13 KB	2019-03-04	
3	<a href="#">Documents</a>	Initial statement of beneficial ownership of securities Acc-no: 0001562180-19-001578 Size: 5 KB	2019-03-04	

# Public Company Insiders Research EDGAR Company Filings



[Home](#) | [Latest Filings](#) | [Previous Page](#)

U.S. Securities and Exchange Commission

## EDGAR Search Results

**EDGAR** Search Results  
BETA View

[SEC Home](#) » [Search the Next-Generation EDGAR System](#) » [Company Search](#) » [Current Page](#)

### INTERNATIONAL BUSINESS MACHINES CORP CIK#: 0000051143 (see all company filings)

SIC: 3570 - COMPUTER & OFFICE EQUIPMENT  
State location: NY | State of Inc.: NY | Fiscal Year End: 1231  
(Assistant Director Office: 3)  
Get [insider transactions](#) for this issuer.

Business Address  
1 NEW ORCHARD ROAD  
ARMONK NY 10504  
9144991900

Mailing Address  
1 NEW ORCHARD RD  
ARMONK NY 10504

Filter Results: Filing Type:  Prior to: (YYYYMMDD)  Ownership?  include  exclude  only Limit Results Per Page

Items 1 - 40 [RSS Feed](#)

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4	<a href="#">Documents</a>	Statement of changes in beneficial ownership of securities Acc-no: 0001562180-19-001931 Size: 5 KB	2019-03-18	

Statement of changes in beneficial ownership of securities

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

**Purpose:** ID Number for companies and people

**Note:** Search last name and then first name

**Location:** Filings menu (Main Page) > Company Filings > CIK Lookup (Left Banner)

**Advantage:** Group all filings by name

**Disadvantage:** Only finds Ownership filings (4, etc.)

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

EDGAR Search Tools

Latest Filings

Company Filings

Mutual Funds

Variable Insurance  
Products

Daily Filings by Type

Full Text (Past 4 Years)

CIK Lookup

Confidential Treatment  
Orders



## EDGAR Company Filings | CIK Lookup

*Free access to more than 21 million filings*

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

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

**NOTE:** *The name may be listed differently than expected.*

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

Search Tips

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

## Results of EDGAR CIK Lookup

Your search had **1** hit.

CIK Code	Company Name
<a href="#">0001333712</a>	ROMETTY VIRGINIA M

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



### EDGAR Search Results

[Home](#) | [Latest Filings](#) | [Previous F](#)

U.S. Securities and Exchange Commis

**EDGAR** Search Results  
BETA View

[SEC Home](#) » [Search the Next-Generation EDGAR System](#) » [Company Search](#) » [Current Page](#)

**Rometty Virginia M** CIK#: [0001333712](#) (see all company filings)

Business Address

Mailing Address  
IBM CORPORATION  
294 ROUTE 100  
SOMERS NY 10589

State location:

Get insider transactions for this reporting owner.

Filter Results: Filing Type:  Prior to: (YYYYMMDD)  Ownership?  include  exclude  only Limit Results Per Page

Items 1 - 40 [RSS Feed](#)

[Next 40](#)

Filings	Format	Description	Filing Date	File/Film Number
4	<a href="#">Documents</a>	Statement of changes in beneficial ownership of securities Acc-no: 0001562180-19-000834 (34 Act) Size: 5 KB	2019-02-08	001-02360 19579324
4	<a href="#">Documents</a>	Statement of changes in beneficial ownership of securities Acc-no: 0001562180-19-000748 (34 Act) Size: 8 KB	2019-02-05	001-02360 19566657
4	<a href="#">Documents</a>	Statement of changes in beneficial ownership of securities Acc-no: 0001562180-18-004474 (34 Act) Size: 5 KB	2018-11-09	001-02360 181173095

# Public Company Insider's Research Boolean Archive Search

**Location:** Filings menu (Main Page) > Company Filings > Boolean Archive Search (Left Banner)

**Advantage:** Search back to 1994

**Disadvantages:** Search box only; no Advance Search with multiple fields to search. AND operator does not work without both terms having a header (no header for person).

# Public Company Insider's Research Boolean Archive Search

## Search Help -

([https://www.sec.gov/edgar/searchedgar/search\\_help.htm](https://www.sec.gov/edgar/searchedgar/search_help.htm)) -

Boolean Operators (AND [works only with headers], OR, NOT);  
Truncation (Wildcard - \*); Order of Operations – Parentheses

## Header File –

(<https://www.sec.gov/edgar/searchedgar/edgarzones.htm>)

COMPANY-NAME, FORM-TYPE, none for executive/board  
member/large shareholder

# Public Company Insider's Research Boolean Archive Search

← → ↻ <https://www.sec.gov/cgi-bin/srch-edgar> ☆  

 [Home](#) | [Previous Page](#)

U.S. Securities and Exchange Commission

Welcome to the archive of historical EDGAR documents. This search allows you to enter complex queries to retrieve all but the most recent day's EDGAR filings (from **1994** through **2019**). If a simple search will suffice or if you need real-time, up-to-the-minute filings, please visit the [main EDGAR Search page](#) for other choices.

EDGAR Search: Enter a [Search String](#) Start: End:  
  2019 ▼ | 2019 ▼  
(e.g., "[SEC headquarters](#)") See [Search Help](#)

The index is a full-text index of the [header information](#) contained in each document. Please enter your [query](#) in the search dialog box (above).

## NOTES

- The SEC does not require companies that are raising less than \$1 million under Rule 504 of Regulation D to be "registered" with the SEC, but these companies are required to file a "Form D" with the SEC. The Form D serves as a brief notice that provides information about the company and the offering. To determine whether a Form D has been filed or to obtain a copy, please refer to our Fast Answer: [How to Request Public Documents](#).

# Public Company Insiders Research Full Text (Past 4 Years)

**Location:** Filings menu (Main Page) > Company Filings > Full Text (Past 4 Years) [Left Banner] > Advanced Search Page ([https://searchwww.sec.gov/EDGARFSCClient/jsp/EDGAR\\_MainAccess.jsp](https://searchwww.sec.gov/EDGARFSCClient/jsp/EDGAR_MainAccess.jsp))

**Advantages:** Can search by name (Search for Text box), Form Type, Company Name; use Stemming and operator NEARx; and limit by Dates. See FAQ page:

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

# Public Company Insiders Research Full Text (Past 4 Years)



[Home](#) | [FAQ](#)

U.S. Securities and Exchange Commission

## Full-Text Search

This page allows you to search the full text of EDGAR filings from the last four years. The full text of a filing includes all data in the filing as well as all attachments to the filing. To find the information you need and make your search easy and enjoyable, please visit our [FAQ](#) page. We are still developing this feature, and we plan to enhance it based on user feedback. Please email your comments and suggestions for improvement to [textsearch@sec.gov](mailto:textsearch@sec.gov).

Note: Occasionally, some recent filings are not available through the EDGAR Full-Text Search.

**Search For Text:**  [Basic Search Page](#)

**In Form Type:**  **Results Per Page:**

**Sort By:**  **Use Stemming:**

**For**  Company Name:

**Or**  Central Index Key (CIK):

**Or**  Standard Industrial Classification:

**Between These Dates:**

Start Date:

End Date:

# **Live Demonstration**

## **Case Study**

**Mary K. Bush**

# Case Study – Mary K. Bush

## Search Interface WEAKNESSES:

- **Boolean Archive**
  - AND operator does not work without headers included for all terms. Note: no header for a person.
  - Quotes don't work.
  - Searching on a name by itself brings up multiple form types, but not DEF 14A.
  - Dates default to 2019 unless they are changed.
- **Full-Text Search Advanced –**
  - Search one form type at a time.
  - Only 4 years of searching.

# Case Study – Mary K. Bush

## Search Interface **STRENGTHS**

- **Boolean Archive**
  - Goes back to 1994.
- **Full-Text Search Advanced**
  - Quotes work.
  - Drop-down list available for forms.

# Case Study – Mary K. Bush

## Suggested Research Procedure: Steps

1. Use **Full-Text Advanced** search to find person (may need to try “last name first name”) and DEF 14A form for length of board service/other company board affiliations/nonprofit service/other.
2. Use **CIK** search to find identifier that will show all Ownership Change forms (3,4,5, SC13 group, etc.) for prospect.
3. Use **Boolean Archive Search** to find company name and DEF 14A forms ***older than 4 years*** to see if prospect’s name is mentioned.

# Case Study – Mary K. Bush

## T. Rowe Price - Bio

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**Mary K. Bush**  
Chairman  
Bush International, LLC  
Age 70

Ms. Bush has been an independent director of Price Group since 2012 and serves on the Executive Compensation and Management Development Committee and the Nominating and Corporate Governance Committee. She has served as the chairman of Bush International, LLC, an advisor to U.S. corporations and foreign governments on international capital markets and strategic business and economic matters, since 1991. Earlier in her career, she managed global banking and corporate finance relationships at New York money center banks including Citibank, Banker's Trust, and Chase.

Ms. Bush holds an M.B.A. from the University of Chicago and a B.A. in economics and political science from Fisk University.

Ms. Bush is a member of the board of directors, risk oversight committee, and nominating and corporate governance committee of Discover Financial Services; a member of the board of directors, audit and compensation committees, and chair of the retirement plan committee of ManTech International Corporation; a member of the board of directors, audit committee, and compensation committee of Marriott International; and a member of the board of directors and chair of the audit committee for Bloom Energy. Ms. Bush also was a director of the Pioneer Family of Mutual Funds from 1997 to 2012 and UAL Corporation from 2006 to 2010.

Ms. Bush brings to our Board extensive financial and governmental affairs experience, her knowledge of corporate governance and financial oversight gained from her membership on the boards of other public companies, knowledge of public policy matters, and her significant experience providing strategic advisory services in the financial and international arenas.

# Case Study – Mary K. Bush

## Mantech International - Bio

Mary K. Bush

70

2006

Ms. Bush has served as a director of ManTech since 2006. In 1991, Ms. Bush founded Bush International, a global consulting firm which advises U.S. companies and foreign governments on international financial markets and banking, and global business strategy. In 2007, she was appointed by the Secretary of the Treasury to the U.S. Treasury Advisory Committee on the Auditing Profession. From 1989 to 1991, Ms. Bush served as Managing Director and Head of the Federal Housing Finance Board, the oversight body for the nation's 12 Federal Home Loan Banks. Prior to 1989, Ms. Bush was the Vice President and Head of International Finance at the Federal National Mortgage Association (Fannie Mae). From 1982 to 1984, Ms. Bush served as U.S. Alternate Executive Director of the International Monetary Fund (IMF), a position appointed by the President of the United States and confirmed by the Senate. In that capacity, she worked with the U.S. Treasury Department to formulate policy on IMF lending and global economic matters. Ms. Bush serves on the board of directors of Discover Financial Services (NYSE: DFS), Marriott International, Inc. (NYSE: MAR), T. Rowe Price Group (NASDAQ: TROW) and Bloom Energy.

### *Qualifications*

As an experienced financial and operational leader of numerous high-profile institutions in a variety of industries, Ms. Bush brings a broad understanding of the operations and business and economic challenges of public companies. Ms. Bush has chaired or served on all significant standing committees of public company boards during her career. Ms. Bush has deep knowledge of financial, investment, and governance matters, and received her MBA in finance from the University of Chicago. Her background and experience, including her experience with public policy matters and providing strategic advisory services in political and international arenas, coupled with her service and leadership in government, afford Ms. Bush with a valuable perspective for service on our Board.

# Case Study – Mary K. Bush

## Compare Bios

	T. Rowe Price	Mantech International
Photo	Yes	No
Age	Yes	Yes
Year Started on Board	Yes	Yes
Education	Yes	Yes
Employment	Yes	Yes
Other Board Memberships	Yes	Yes
Historical Board Memberships	Yes	No

# Other Free Resources of SEC Data

## Strengths:

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

## Weaknesses:

- Registration (may cost now or future)
- Licensing/copyright restrictions
- Only certain Form Types found



# **Investment Professionals**

# Ways to Search SEC.gov Data Investment Professionals

- **SEC Action Lookup**
- **Investment Adviser Public Disclosure (Individual and Company)**  
**Note:** Connects to FINRA (Financial Industry Regulatory Authority) website

# Investment Professionals Research

## SEC Action Lookup

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

(<https://www.sec.gov/litigations/sec-action-look-up>)

**Advantage:** Can find out if any “SEC federal court actions or administrative proceedings” against (due diligence)

**Disadvantage:** Can only search by Last Name and First Name.

# Investment Professionals Research SEC Action Lookup

## SEC Action Lookup - Individuals



### Individuals with Court or Commission Orders Entered Against Them

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

### SCOTT I KUPERSMITH

**Current Age:** 53 - 55  
**State:** Florida (per Complaint/Order Instituting Proceedings)  
**Enforcement Action:** SECURITIES AND EXCHANGE COMMISSION v. SCOTT I. KUPERSMITH and FREDERICK C. CHELLY, 2:11-cv-06277 (D.N.J.)  
**Date Filed:** Oct. 26, 2011  
**Releases & Documents:**

- SEC Complaint, Oct. 26, 2011
- LR-22142, Oct. 28, 2011
- Judgment, March 7, 2013
- LR-22637, March 7, 2013

# Investment Professionals Research SEC Action Lookup

## III.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant is liable for disgorgement of \$640,000, representing his ill-gotten gains as a result of the conduct alleged in the Complaint, together with prejudgment interest. However, Defendant's obligation to pay disgorgement and prejudgment interest shall be deemed satisfied upon entry of this Final Judgment by the restitution orders to be entered against him in *United States of America v. Scott Kupersmith*, 2:12-cr-00375 (DNJ) (KSH) ("*United States v. Kupersmith*") and *The People of the State of New York v. Scott Kupersmith et al.*, Ind. No. 04360/2011 (Sup. Ct. N.Y. County) ("*New York v. Kupersmith*"), provided that Defendant does not withdraw his guilty pleas in *United States v. Kupersmith* or *New York v. Kupersmith* and the total amount of restitution imposed on him exceeds \$640,000.

# Investment Professionals Research

## Investment Adviser Public Disclosure

**Location:** Education menu (Main Page) > Check Your Financial Professional > Investment Adviser Public Disclosure  
(<https://www.adviserinfo.sec.gov/IAPD/Default.aspx>)

**Advantage** (May use for PE and VC people/firms also)

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

# Investment Professionals Research Investment Adviser Public Disclosure

An official website of the United States Government. 

## Investment Adviser Public Disclosure



- Investment Adviser Search
- Investment Adviser Data
- Resources

### Welcome to the Investment Adviser Public Disclosure website

at

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

You can **search for an Investment Adviser firm** on this website and view the registration or reporting form ("Form ADV") that the adviser filed. This website will also search **FINRA's BrokerCheck system** and indicate whether an entity is a Brokerage firm. Investment advisers file Form ADV to register with the SEC and/or the states. Some advisers that do not have to register with the SEC or the states ("Exempt Reporting Advisers") must nonetheless complete some of the questions in Form ADV for purposes of reporting to the SEC and/or the states. Form ADV contains information about an investment adviser and its business operations. Additionally, it contains disclosure about certain disciplinary events involving the adviser and its key personnel.

# Investment Professionals Research

## Investment Adviser Public Disclosure

### QUALIFICATIONS ⓘ

This Investment Adviser Representative is currently registered in 2 jurisdiction(s).

Is this Investment Adviser Representative currently suspended with any jurisdiction? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY ⓘ

This Investment Adviser Representative was previously registered with the following Investment Adviser firms:

FIRM (IARD#) - LOCATION	REGISTRATION DATES
MORGAN STANLEY & CO. INCORPORATED (IARD# 8209) - HUNTSVILLE, AL	04/02/2007 - 06/01/2009
MORGAN STANLEY (IARD# 7556) - HUNTSVILLE, AL	07/01/2005 - 04/02/2007
MERRILL LYNCH PIERCE FENNER & SMITH INC. (IARD# 7691) - HUNTSVILLE, AL	06/16/1988 - 07/08/2005

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION ⓘ

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and

# Investment Professionals Research

## Investment Adviser Public Disclosure

### PREVIOUSLY REGISTERED WITH THE FOLLOWING INVESTMENT ADVISER FIRMS

This section indicates that state registration records show this Investment Adviser Representative previously held registrations with the following firms:

Registration Dates	Firm Name	IARD#	Branch Location
04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	8209	HUNTSVILLE, AL
07/01/2005 - 04/02/2007	MORGAN STANLEY	7556	HUNTSVILLE, AL
06/16/1988 - 07/08/2005	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	HUNTSVILLE, AL

### EMPLOYMENT HISTORY

Below is the Investment Adviser Representative's employment history for up to the last 10 years.

Please note that the Investment Adviser Representative is required to provide this information only while registered and the information is not updated after the Investment Adviser Representative ceases to be registered, with a state regulator. Therefore, an employment end date of "Present" may not reflect the Investment Adviser Representative's current employment status.

Employment Dates	Employer Name	Employer Location
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	NEW YORK, NY
06/2009 - Present	MORGAN STANLEY SMITH BARNEY	HUNTSVILLE, AL
04/2007 - Present	MORGAN STANLEY & CO., INCORPORATED	HUNTSVILLE, AL

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the Investment Adviser Representative regarding other business activities the Investment Adviser Representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

# Investment Professionals Research Investment Adviser Public Disclosure

## OTHER BUSINESS ACTIVITIES

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Baking  
Arnold, MO  
Start date: 3/1/2013  
Owner/Baker  
Hours per week: 15  
Hours during trading: 0  
Baking cakes/making desserts.

# Investment Professionals Research Investment Adviser Public Disclosure

## Investment Adviser Public Disclosure



Investment Adviser Search

Investment Adviser Data

Resources

Individual

Firm

stakeholders

5 Miles

01002

Search

Below is a list of all possible matches that were returned based on the search criteria you provided. Search results may include both investment advisers and broker-dealers. Results show whether each firm is an investment adviser, broker-dealer or both.

Clicking the Get Details button will provide you with a summary for the individual or firm.

For additional information, please see the [information below](#) the list of possible matches.

1 Result

**STAKEHOLDERS CAPITAL, INC.** (CRD# 148469)

Get Details

**Alternate Names:** ANDREW BELLAK DBA **STAKEHOLDERS CAPITAL** , **STAKEHOLDERS CAPITAL**

📍 321 MAIN STREET, AMHERST, MA 01002

**Investment Adviser Firm**

# Investment Professionals Research

## Investment Adviser Public Disclosure

[Back To Search Results](#)

**FORM ADV**

**Registration/Reporting Status**

[View Form ADV By Section](#)

[Part 2 Brochures](#)

[Accountant Surprise Examination Report](#)

### Investment Adviser Firm Summary

**STAKEHOLDERS CAPITAL, INC. (CRD# 148469)**

**Alternate Names:** ANDREW BELLAK DBA STAKEHOLDERS CAPITAL , STAKEHOLDERS CAPITAL , STAKEHOLDERS CAPITAL, INC.

[View latest Form ADV filed](#)

[Part 2 Brochures](#)

The adviser's **REGISTRATION** status is listed below.

#### REGISTRATION STATUS

SEC / JURISDICTION	REGISTRATION STATUS ⓘ	EFFECTIVE DATE
California	Approved	01/25/2013
Massachusetts	Approved	04/17/2009
New Jersey	Terminated	01/05/2016
New York	Approved	06/05/2015
Texas	Conditional Restricted	12/05/2015

# Investment Professionals Research Investment Adviser Public Disclosure

Item 5 Information About Your  
Advisory Business

Item 6 Other Business Activities

Item 7.A Financial Industry  
Affiliations

Item 7.B Private Fund  
Reporting

Item 8 Participation or Interest  
in Client Transactions

Item 9 Custody

Item 10 Control Persons

Item 11 Disclosure Information

Item 12 Small Businesses

## PART 1B

Item 1 - State Registration

Item 2 - Additional Information

## SCHEDULES

Schedule A

Schedule B

Schedule D

Schedule R

DRPs

Signature Page

## ADV Form – Calculate Compensation

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

# Investment Professionals Research Investment Adviser Public Disclosure

## Assets

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

**Regulatory Assets Under Management**

F. (1) Do you provide continuous and regular supervisory or management services to securities portfolios? Yes No

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

	U.S. Dollar Amount		Total Number of Accounts
Discretionary:	(a)	\$ 73,097,148	(d) 113
Non-Discretionary:	(b)	\$ 12,429,107	(e) 8
Total:	(c)	\$ 85,526,255	(f) 121

Part 1A Instruction 5.b. explains how to calculate your regulatory assets under management. You must follow these instructions carefully when completing this Item.

(3) What is the approximate amount of your total regulatory assets under management (reported in Item 5.F.(2)(c) above) attributable to *clients* who are non-United States persons?  
\$ 0

## Ownership %

5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
6. Ownership codes are: NA - less than 5% B - 10% but less than 25% D - 50% but less than 75%  
A - 5% but less than 10% C - 25% but less than 50% E - 75% or more
7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.  
(b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.  
(c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	Title or Status	Date Title or Status Acquired MM/YYYY	Ownership Code	Control Person	PR	CRD No. If None: S. S. No. and Date of Birth, IRS Tax No. or Employer ID No.
BELLAK, ANDREW, MARK/NICHOLAS	I	PRESIDENT, CEO, CHIEF COMPLIANCE OFFICER	12/2008	D	Y	N	2466556
MOLLNER, TERRANCE, JEROME	I	CHAIRMAN	12/2008	B	Y	N	5631385
STONBERG, BRADLEY, MATTHEW	I	VP, CFO	12/2008	B	Y	N	2352476
Spira, Eileen, M	I	DIRECTOR	01/2017	NA	N	N	6770827

# **Investment Professionals Research Investment Adviser Public Disclosure**

**Part 2 Brochures** (May provide additional/different information than Individual entry)

- **Item 2 – Educational Background and Business Experience**
- **Item 3 – Disciplinary Information**
- **Item 4 – Other Business Activities**

# Investment Professionals Research Investment Adviser Public Disclosure

## Investment Adviser Representative Registration and Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING INVESTMENT ADVISER FIRMS

This section indicates that state registration records show this Investment Adviser Representative previously held registrations with the following firms:

Registration Dates	Firm Name	IARD#	Branch Location
10/08/2007 - 03/31/2008	TEAM WEALTH PLANNING AND MANAGEMENT, INC.	129807	AMHERST, MA

### EMPLOYMENT HISTORY

Below is the Investment Adviser Representative's employment history for up to the last 10 years.

**Please note that the Investment Adviser Representative is required to provide this information only while registered and the information is not updated after the Investment Adviser Representative ceases to be registered, with a state regulator. Therefore, an employment end date of "Present" may not reflect the Investment Adviser Representative's current employment status.**

Employment Dates	Employer Name	Employer Location
12/2008 - Present	STAKEHOLDERS CAPITAL, INC.	AMHERST, MA

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the Investment Adviser Representative regarding other business activities the Investment Adviser Representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

ANDREW BELLAK SERVES AS A VOLUNTEER, UNPAID, MEMBER OF THE ADVISORY BOARD OF PROSPERITY CANDLE.

# Investment Professionals Research Investment Adviser Public Disclosure

## Item 2 Educational Background and Business Experience

Your Financial Adviser: Andrew Bellak

Year of Birth: 1966

Education:

- University of Virginia, Charlottesville, B.S, Chemistry, B.A., French, 1988
- University of Massachusetts, Amherst, M. Ed, 2005

Business Background:

- Stakeholders Capital Inc., Investment Advisor Representative, 12/2008 - Present

## Item 3 Disciplinary Information

Mr. Andrew Bellak does not have, nor has he ever had, any disciplinary disclosure.

## Item 4 Other Business Activities

Andrew Bellak serves as a volunteer, unpaid, member of the advisory board of Prosperity Candle, a Massachusetts LLC. Mr. Bellak devotes a limited amount of his time to this business each month. Stakeholders Capital makes prospects and clients aware of the investment opportunity and the risks associated with this offering and neither Mr. Bellak nor Stakeholders Capital receives referral fees or other compensation from this activity.

Andrew Bellak serves as a volunteer, unpaid, member of the advisory board of Common Good (formerly rCredits), a Massachusetts LLC. Common Good explores alternative forms of economics and capitalism. Mr. Bellak devotes a limited amount of his time to this business each month.

<http://commongood.earth/>

# Conclusion

# Final Thoughts

- SEC.gov useful beyond just public company insiders
- SEC.gov useful for more than compensation [biographical, and due diligence (investment advisers), etc.]
- Proxy Statements biographical information importance for prospect research on compensation, employment, education, volunteer, etc.
- CIK search importance for finding ALL ownership changes for a prospect
- Certain search options strategic applications
- Other free resources usefulness (search ease, verification, formats, etc.)



# Thank You!

Roger Magnus

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Web: [www.rogermagnusresearch.com](http://www.rogermagnusresearch.com)