

Tips and Tricks to Search SEC.Gov Website for the Prospect Researcher

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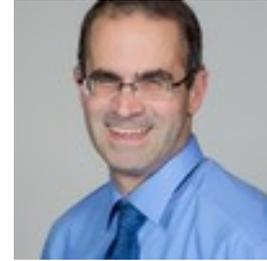
**APRA New York Annual Conference
October 15, 2020**



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

Who Am I?



Researcher/Librarian

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

Own Research Company - Roger Magnus Research

Introduction

Reasons for workshop:

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

Understand importance of forms for searching prospect in SEC.gov:

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

Introduction

Improvements to Site:

- Auto Complete available multiple search interfaces
- Leveraging Different Ways to Search on Site
- Full-Text Search goes back 20 years (formerly 4 years)

Previous Presentation for NEDRA (Apr. 2019)

http://rogermagnusresearch.com/_static/88fb56199b7dabc6049f0329664ebad5/sec-site-search-final.pdf?dl=1

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) and due diligence

Techniques to search the SEC.gov more easily and faster

Ways to connect biographical information to compensation data

SEC.gov Website – Strengths

FREE

No registration

No licensing agreement

Original source of forms and content

SEC.gov Website – Weaknesses

Poorly organized (search interfaces and Help materials)

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

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

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

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

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

Ways to Search SEC.gov Data Public Company Insiders

Search SEC.gov (Main Screen)

EDGAR Company Filings Search

CIK Lookup

Boolean Archive Search

EDGAR Full Text Search (Past 20 Years)

Public Company Insiders Research – Search SEC.gov

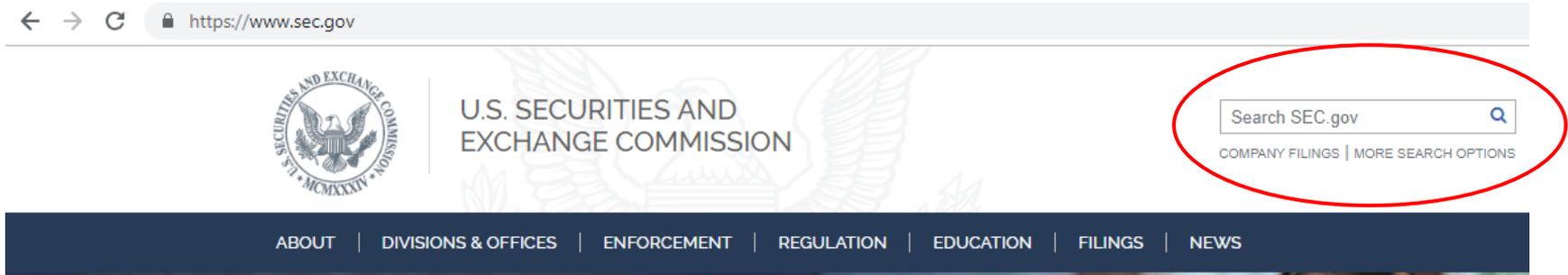
Location: Search box (upper right-hand corner of many page on site)

Advantages:

- Easy to find search box
- **New – Auto complete**
 - Companies – Enter name or ticket symbol
 - Individuals – Enter last name then first name

Disadvantage: Multiple term queries produce poor search results

Public Company Insiders Research – Search SEC.gov



Public Company Insiders Research – Search SEC.gov



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EXCHANGE COMMISSION

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EDGAR – Information for
Filers

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

cook tim



EDGAR | Filings

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

Search for "cook tim" in EDGAR filings

Search for "cook tim" in SEC.gov

Public Company Insiders Research – Search SEC.gov



EDGAR Search Results

EDGAR Search Results
BETA View

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

COOK TIMOTHY D CIK#: **0001214156** (see all company filings)

Business Address

Mailing Address
C/O APPLE INC
ONE INFINITE LOOP
CUPERTINO CA 95014

State location:
Get **insider transactions** for this reporting owner.

Filter Results

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

Search Within Files **EDGAR** | Full Text Search

Enter keywords

Items 1 - 40 RSS Feed

Next 40

| Filings | Format | Description | Filing Date | File/Film Number |
|---------|---------------------------|---|-------------|-------------------------------|
| 4 | Documents | Statement of changes in beneficial ownership of securities Acc-no: 0001127602-20-025463 (34 Act) Size: 4 KB | 2020-09-18 | 001-10635 201184687 |
| 4 | Documents | Statement of changes in beneficial ownership of securities Acc-no: 0000320193-20-000066 (34 Act) Size: 26 KB | 2020-08-25 | 001-36743 201133762 |
| 4 | Documents | Statement of changes in beneficial ownership of securities Acc-no: 0000320193-20-000064 (34 Act) Size: 5 KB | 2020-08-24 | 001-36743 201129035 |
| 4 | Documents | Statement of changes in beneficial ownership of securities Acc-no: 0001127602-20-000714 (34 Act) Size: 12 KB | 2020-01-03 | 001-10635 20506010 |
| 4 | Documents | Statement of changes in beneficial ownership of securities Acc-no: 0000320193-20-000002 (34 Act) Size: 4 KB | 2020-01-02 | 001-36743 20502695 |
| 4 | Documents | Statement of changes in beneficial ownership of securities Acc-no: 0001127602-19-028946 (34 Act) Size: 4 KB | 2019-09-23 | 001-10635 191108321 |
| 4 | Documents | Statement of changes in beneficial ownership of securities Acc-no: 0000320193-19-000090 (34 Act) Size: 17 KB | 2019-08-27 | 001-36743 191058794 |

Public Company Insiders Research – Search SEC.gov



EDGAR Search Results

EDGAR Search Results
BETA View

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

COOK TIMOTHY D CIK#: 0001214156 (see all company filings)

Business Address

Mailing Address
C/O APPLE INC
ONE INFINITE LOOP
CUPERTINO, CA 95014

State location:

Get [insider transactions](#) for this reporting owner.

Filter Results

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

Search Within Files **EDGAR** | Full Text Search
Enter keywords

Items 1 - 40 [RSS Feed](#)

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| 4 | Documents | Statement of changes in beneficial ownership of securities Acc-no: 0000320193-19-000090 (34 Act) Size: 17 KB | 2019-08-27 | 001-36743 191058794 |

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Document word or phrase ?
class b

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

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

Filed date range
Last 5 years

Filed from
2015-09-23

Filed to
2020-09-23

Principal executive offices in ?
View all

- less search options **SEARCH** Clear all

Refine search results by:

9 search results

Entity ▼

Form ▼

Show Columns

Filed Reporting for CIK Located Incorporated File number Film number

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Public Company Insiders Research - Search SEC.gov

The screenshot shows the SEC.gov website with a search bar containing the word 'apple'. The search results are displayed in a dropdown menu, showing a list of companies with their CIK numbers. The first result, 'Apple Inc. (AAPL)', is highlighted. Below the search results, there is a link to search for 'apple' in EDGAR filings and another link to search for 'apple' in SEC.gov webpages and documents. The background of the website shows the U.S. Securities and Exchange Commission logo and navigation links.

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

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EDGAR – Information for Filers

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

EDGAR - Information for Filers

EDGAR | Filings

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

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

SEC.gov | Webpages & Documents

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

 **EDGAR PEAK FILING**
The following are estimated EDGAR filing dates for the peak filing period.

Public Company Insiders Research - Search SEC.gov

Apple Inc. CIK#: 0000320193 (see all company filings)

SIC: 3571 - ELECTRONIC COMPUTERS
 State location: CA | State of Inc.: CA | Fiscal Year End: 0926
 formerly: APPLE COMPUTER INC (filings through 2007-01-04)
 formerly: APPLE COMPUTER INC/ FA (filings through 1997-07-28)
 formerly: APPLE INC (filings through 2019-08-05)
 (Office of Technology)
 Get **insider transactions** for this issuer.

Business Address
 ONE APPLE PARK WAY
 CUPERTINO CA 95014
 (408) 996-1010

Mailing Address
 ONE APPLE PARK WAY
 CUPERTINO CA 95014

Filter Results

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

Search Within Files **EDGAR** | Full Text Search

Enter keywords

Items 1 - 40 [RSS Feed](#)

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| 4 | Documents | Statement of changes in beneficial ownership of securities Acc-no: 0000320193-20-000064 Size: 5 KB | 2020-08-24 | |
| 8-K | Documents Interactive Data | Current report, items 8.01 and 9.01 Acc-no: 0001193125-20-225672 (34 Act) Size: 776 KB | 2020-08-20 | 001-36743 201120370 |
| 424B2 | Documents | Prospectus [Rule 424(b)(2)] Acc-no: 0001193125-20-220410 (33 Act) Size: 388 KB | 2020-08-14 | 333-228159 201105555 |
| FWP | Documents | Filing under Securities Act Rules 163/433 of free writing prospectuses Acc-no: 0001193125-20-219289 (34 Act) Size: 46 KB | 2020-08-13 | 333-228159 201100402 |
| 424B2 | Documents | Prospectus [Rule 424(b)(2)] Acc-no: 0001193125-20-218350 (33 Act) Size: 370 KB | 2020-08-13 | 333-228159 201097325 |

Public Company Insiders Research - Search SEC.gov



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69 results

apple tim cook



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

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

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

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

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

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

Public Company Insiders Research - EDGAR Company Filing Search

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

Advantage: Search by Company or Person Name (Auto Complete or not) and Ownership Forms 3, 4, 5, 13 series, etc. (must set again in results to Include or Only radio button)

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

Two Screens Displaying Search Options

EDGAR Search & Access -

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

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

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

Two Search Screens for Filings - Company Filings Search

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



Company and Person Lookup

How to Use this Search?

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

Suggestions as you type link directly to filings.

Guides

How to Research Public Companies

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

Form Types

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

Investor.gov

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

Search Tools

EDGAR Full Text Search

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

CIK Lookup

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

Save Your Search

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

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

Purpose: ID Number for companies and people

Note: Search last name and then first name

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

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

Advantage: Group all filings by name

Disadvantages:

- Only finds Ownership filings (4, etc.) for people
- Auto complete can now do (fewer access steps)

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



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EXCHANGE COMMISSION



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Access

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[Company Filings](#)

[Mutual Funds](#)

[Variable Insurance
Products](#)

[Daily Filings by Type](#)

[EDGAR Full Text Search](#)

[CIK Lookup](#)



EDGAR Company Filings | CIK Lookup

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

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

NOTE: The name may be listed differently than expected.

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

Search Tips

Roger Magnus Research - www.rogermagnusresearch.com

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

Results of EDGAR CIK Lookup

Your search had **1** hit.

| CIK Code | Company Name |
|----------------------------|--------------------|
| 0001333712 | ROMETTY VIRGINIA M |

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



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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](#)

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

State location: Business Address Mailing Address
 Get insider transactions for this reporting owner. IBM CORPORATION
294 ROUTE 100
SOMERS NY 10589

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

Items 1 - 40 [RSS Feed](#)

| Filings | Format | Description | Filing Date | File/Film Number |
|---------|---------------------------|--|-------------|------------------------|
| 4 | Documents | 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 | Documents | 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 | Documents | 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) - <https://www.sec.gov/cgi-bin/srch-edgar>

Advantages:

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

Disadvantages:

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

Public Company Insider's Research - Boolean Archive Search

Search Help -

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

Public Company Insider's Research - Boolean Archive Search



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

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

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

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

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

Public Company Insider's Research - Boolean Archive Search

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

Start: End:

apple and def 14a

Search

1994

2020

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

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

Your search matched **114** documents.

80 are presented. [RSS Feed](#)

[767 APPLE COMPUTER, INC](#)

[\[text\]](#) [\[html\]](#)

[\[text\]](#) [\[html\]](#)

[\[text\]](#) [\[html\]](#)

[\[text\]](#) [\[html\]](#)

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[\[text\]](#) [\[html\]](#)

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[\[text\]](#)

[\[text\]](#)

[\[text\]](#)

DEF 14A

03/15/2005

03/11/2004

03/24/2003

03/21/2002

03/12/2001

03/06/2000

02/09/1999

03/16/1998

12/27/1996

12/19/1995

12/12/1994

556794

309307

517165

341805

145663

135046

75448

203172

174055

111287

61019

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

Location: Filings menu (Main Page) > EDGAR Search Tool/Company Filings Search > EDGAR Full Text Search (Left Banner) > More Search Options - <https://www.sec.gov/edgar/search/#>

Advantages:

- Can search back 20 years and by specific date ranges
- Browse Filing Types (above Filing Types Search box) – Check specific SEC forms
- Exclude search term with a minus sign
- Helpful FAQ page: <https://www.sec.gov/edgar/search/efts-faq.html>

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

Disadvantages:

- Searching by name (with auto complete) in search box for ...
Individuals Name – brings up only stock ownership-related forms
- No Boolean Operators (AND, OR, NOT)
- Wildcard searches not supported
- Searching in **multiple** fields – results order cannot be changed (not Chronological or Reverse Chronological)

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

SEC.gov | EDGAR

FAQ Other search tools

Document word or phrase ?

tim cook

Company name, ticker, CIK number or individual's name

Apple Inc. (AAPL) (CIK 0000320193)

Filing types Browse filing types

DEF 14A cancel

Filed date range

All (since 2000) ⌵

Filed from Filed to

2000-01-01 2020-09-25

Principal executive offices in ?

View all ⌵

- less search options SEARCH Clear all

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

SEC.gov | EDGAR

FAQ Other search tools

Document word or phrase ?
timothy cook

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

Filing types Browse filing types
DEF 14A cancel

Filed date range
All (since 2000) ⌵

Filed from Filed to
2000-01-01 2020-09-25

Principal executive offices in ?
View all ⌵

- less search options SEARCH Clear all

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

The screenshot displays the EDGAR Full Text Search interface with the following search criteria:

- Document word or phrase:** cook
- Company name, ticker, CIK number or individual's name:** Apple Inc. (AAPL) (CIK 0000320193)
- Filing types:** DEF 14A
- Filed date range:** All (since 2000)
- Filed from:** 2000-01-01
- Filed to:** 2020-09-29
- Principal executive offices in:** View all

Additional interface elements include a "Browse filing types" link, a "cancel" button, a "SEARCH" button, and a "Clear all" button. A link for "- less search options" is also visible.

Refine search results by: 24 search results

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

Document word or phrase ?
cook apple

Company name, ticker, CIK number or individual's name
Company name, ticker, CIK number or individual's name

Filing types Browse filing types
DEF 14A cancel

Filed date range
All (since 2000)

Filed from
2000-01-01

Filed to
2020-09-29

Principal executive offices in ?
View all

- less search options SEARCH Clear all

Refine search results by:

596 search results

Refine search results by: ▼

Show Columns

Where Else is Tim Cook a Director?

Other Current Public Company Directorships

NIKE, Inc.

Selected Directorships and Memberships

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

Board of Trustees, Duke University

Leadership Council, Malala Fund

Source: 2020 Apple Inc. Proxy statement

Tim Cook - Bio - Apple Inc.



Tim Cook, 59, has been Apple's Chief Executive Officer since August 2011 and was previously Apple's Chief Operating Officer since October 2005.

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

Tim Cook – Bio – Nike Inc.

10 NIKE, INC.

TIMOTHY D. COOK, LEAD INDEPENDENT DIRECTOR

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

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

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

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

Tim Cook – Bios Comparison

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

Suggested Research Procedure - Steps

1. Use **Search SEC.GOV Search/Company Filings Search/CIK Lookup** to find prospect that will show all equity Ownership Change forms (3,4,5, SC13 group, etc.).
2. Use **EDGAR Full-Text Search – More Search Options** search name (may need to try “last name first name” or just “last name”) in **Document Word ...** field and DEF 14A in **Browse Filing Types** link then **Filing Category** field to find up to 20 years of form for compensation, length of board service, other company board affiliations, nonprofit service, employment, etc. Or substitute company in **Company Name ...** field and then search on prospect in form.

Public Company Insiders Research – Forms Sources

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

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

Public Company Insiders Research – Final Thoughts

Major Weaknesses:

- CIK Search (basis for Auto Complete in other search options)
 - only pull up equity ownership forms (not DEF 14a)
- Repetition of incomplete search results for individuals between search options
- Full Text Search – Wildcards/Boolean Operators don't work

Public Company Insiders Research – Final Thoughts

Major Strengths

- Auto Complete reduces need to use CIK Lookup
- EDGAR Full Text Search goes back 20 years (formerly 4 years)
- Entering individual's name in EDGAR Full Text Search works well much of the time
- EDGAR Full Text Search targeted form(s) search

Other Free Resources of SEC Insiders Data

Strengths:

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

Weaknesses:

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

Due Diligence Research - SEC Enforcement

Location: Enforcement Menu (Main Page)

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

Due Diligence Research - SEC Enforcement

Strengths:

- Time coverage: 1995-2020
- Original cases with linked history
- RSS Feed

Weakness: Cannot search, only browse year-by-year (Use ctrl + f - search on person's last name/company name).

Due Diligence Research - SEC Enforcement



U.S. SECURITIES AND
EXCHANGE COMMISSION

[Company Filings](#) [More Search Options](#)

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

ENFORCEMENT

[Accounting and Auditing
Enforcement Releases](#)

[Administrative
Proceedings](#)

[ALJ Initial Decisions](#)

[ALJ Orders](#)

[Amicus / Friend of the
Court Briefs](#)

[Delinquent Filings](#)

Litigation Releases

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

[Third Quarter](#) | [Second Quarter](#) | [First Quarter](#)

Additional Archives

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

[XML](#) [SEC Litigation Releases RSS Feed](#)

[XML](#) [SEC Litigation Releases RSS Feed](#)

| Release No. | Date | Respondents |
|-------------|------|-------------|
|-------------|------|-------------|

Third Quarter

| | | |
|----------|---------------|---|
| LR-24933 | Sep. 30, 2020 | Michael Staisil See also: SEC Complaint |
| LR-24932 | Sep. 30, 2020 | Roger Nils-Jonas Karlsson See also: SEC Complaint |
| LR-24931 | Sep. 30, 2020 | Todd W. Mixon See also: SEC Complaint |
| LR-24930 | Sep. 30, 2020 | Thomas J. Gity, et al. See also: SEC Complaint |
| LR-24929 | Sep. 30, 2020 | Sebastian Silea, Christian Kranenberg, and KS Cartel LLC See also: SEC Complaint |
| LR-24928 | Sep. 29, 2020 | Lewis I. Wallach See also: SEC Complaint |
| LR-24927 | Sep. 29, 2020 | Stebbins & Jones See also: SEC Complaint See also: Final Judgment - Stebbins See also: Final Judgment - Jones |

Ways to Search SEC.gov – 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>

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

Investment Professionals Research - SEC Action Lookup

Advantages:

- Covers any “SEC federal court actions or administrative proceedings” against
- Back to 1995 (Administrative Proceedings) and 2005 (Federal Court Actions)

Disadvantages:

- Can ONLY search by Last Name (and First Name)
- Current through May 1, 2020
- ONLY completed cases

Investment Professionals Research SEC Action Lookup

SEC Action Lookup - Individuals



Individuals with Court or Commission Orders Entered Against Them

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

ANTHONY TYRONE JONES JR

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

Investment Professionals Research SEC Action Lookup

Administrative Proceeding File No. 3-17395

Respondents:

Jones, Anthony Tyrone Jr.

Documents

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

Investment Professionals Research - Investment Adviser Public Disclosure (IAPD)

Location: Education menu (Main Page) > Check Your Financial Professional > Investment Adviser Public Disclosure -

<https://www.adviserinfo.sec.gov>

Advantages (Useful 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



Investment Adviser Public Disclosure

Investment Adviser Search

Investment Adviser Data

Resources

Welcome to the Investment Adviser Public Disclosure website

INDIVIDUAL FIRM

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

All official Website of the United States Government

SEC INVESTMENT ADVISER PUBLIC DISCLOSURE

SEC INVESTMENT ADVISER PUBLIC DISCLOSURE



Investment Adviser Public Disclosure

Investment Adviser Search

Investment Adviser Data

Resources

Welcome to the Investment Adviser Public Disclosure website

INDIVIDUAL **FIRM**

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

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

SEC INVESTMENT ADVISER PUBLIC DISCLOSURE

SEC INVESTMENT ADVISER PUBLIC DISCLOSURE

Investment Professionals Research Investment Adviser Public Disclosure



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

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) \$ 118,297,354 | (d) 135 |
| Non-Discretionary: | (b) \$ 0 | (e) 0 |
| Total: | (c) \$ 118,297,354 | (f) 135 |

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

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 |

Ownership %

Final Thoughts

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

Thank You!

Roger Magnus

Roger Magnus Research

+++++

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Protopage: https://protopage.com/roger_magnus