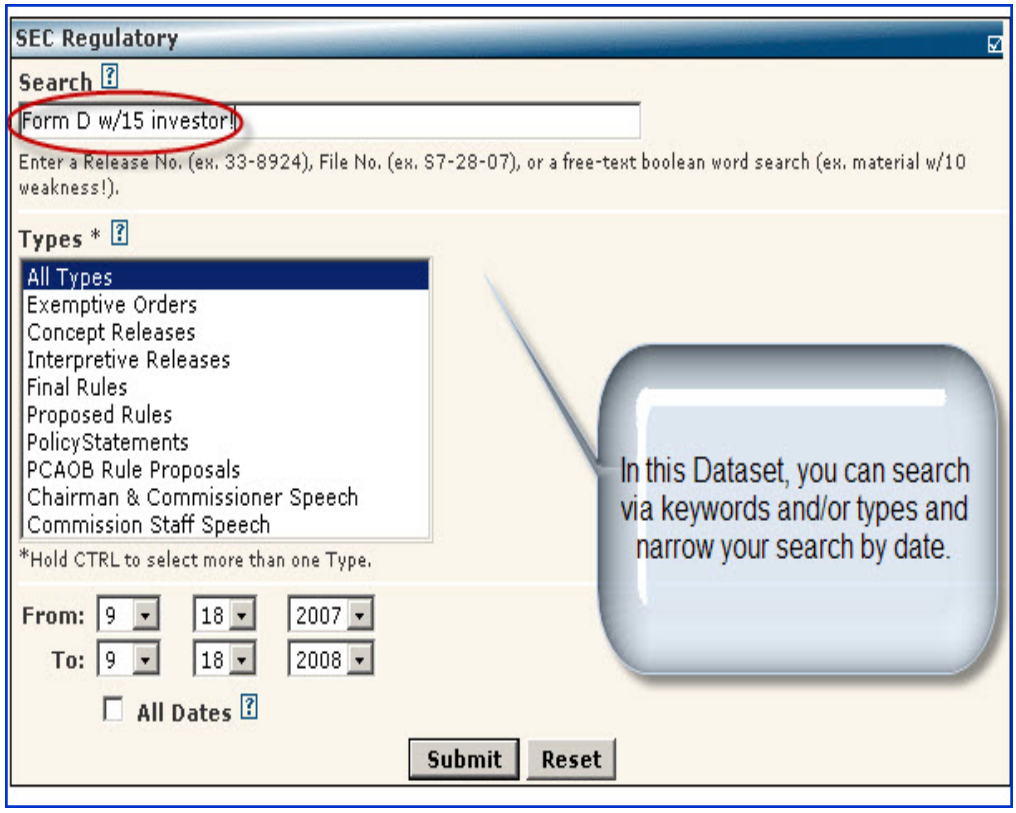
SEC REGULATORY

The ***SEC Regulatory*** provides information on recent rules, regulations, releases, statements, and speeches from the SEC and PCAOB. Information in this Dataset is also searchable via keywords, and search results can be setup as alerts. Documents using Release Numbers can also be found in this Dataset. Dates in this dataset vary by type of document.

To begin searching this Dataset, click on the **SEC Regulatory** tab in the left hand column. By selecting the SEC Regulatory Dataset, users are able to browse the types of regulatory documents and narrow searches by keywords. (See the **Boolean Operators Table** on the back page for more information.)

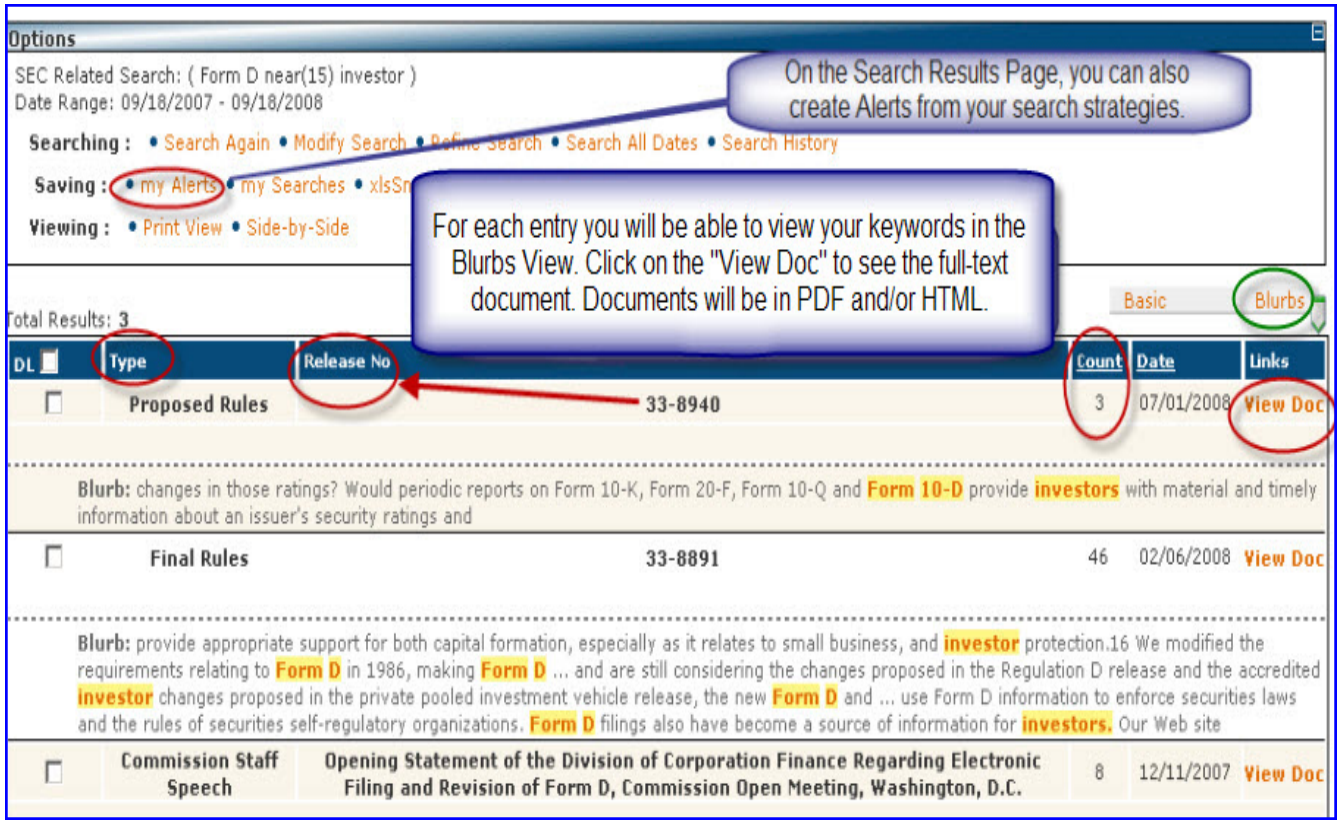
The following document **Types** are included:

- Final Rules: date back to 1962
- Proposed Rules: date back to 1994
- Exemptive Orders: date back to 1999
- Concept Releases: date back to 1994
- Interpretive Releases: date back to 1978
- Policy Statements: date back to 1989
- PCAOB Rule Proposals: date back to 2003
- Chairman and Commissioner Speeches: back to 1929
- Commission Staff Speeches: back to 1929



Date default is one year, or select your dates to narrow your search. After selecting your criteria, click on the **Submit** Button to start your search. The **Reset** button clears out the search.

On the **Search Results Page,** the Regulatory documents appears in the **Basic** or **Extended View**. Columns include: Type of document, the Release Number, Keyword Count, Date of document, and a Link to the document. The documents in this Dataset can be either in PDF or HTML formats. In the **Blurbs** View, keywords will be highlighted. Click on any of the highlighted terms to take you to the full-text document. You will also be able to save your searches and create alerts.



NOTE: In this Dataset, the Side-by-Side View will navigate to show the entire document, not the keywords in context. However, when clicking on any of the keywords in the **Blurbs** View (which will take you to the full-text document), you will be able to see all highlighted keywords in the document by clicking on the "Jump to match" link.

To print this data, Click on the **Print View** located in the **Options Box**. When using xlsSnapshot (See the **xlsSnaphot** document), your results will download into Excel and will include the link to the document. **Reminder:** Searches in the Regulatory Dataset are also alertable (See **Alerts** document).

HELP/SUPPORT/TRAINING

There are several ways to contact 10-K Wizard for help: Contact **Customer Support** at **800-365-4608, option 2,** or email at **Support@10kwizard.com.** You may also click on the **FEEDBACK** link located in the upper right hand corner of each webpage. Support is open Monday-Friday, 7 a.m.-9 p.m. CST. For Training, please contact the Librarians at **librarians@10kwizard.com.**

10k WIZARD
SEC POWER SEARCH

Boolean Operators

	10-K Syntax	Examples
	N=number of words	
PROXIMITY Documents containing keywords or terms within the given (number of words) either preceding or following	NEAR(n) or w/n	Doubt w/10 going concern or Doubt NEAR(10) going concern
Keywords within the same sentence	NEAR(n) or w/n	w/15 - for a sentence or NEAR(15) – for a sentence
Keywords or phrase within the same paragraph	NEAR(n) or w/n	w/50 for a paragraph or NEAR(50) for a paragraph
Personal Names	firstname NEAR(n) lastname	William NEAR(3) gates or William w/3 gates
SEQUENCE One term must precede the other	JOIN(n) or p/n	Substantial p/2 doubt Substantial JOIN(2) doubt
The first term precedes the second within the same sentence	JOIN(n) or p/n	p/15 for sentence or JOIN(15) for a sentence
The first term precedes the second within the same paragraph	JOIN(n) or p/n	p/50 for a paragraph or JOIN(50) for a paragraph
GROUPING: PARENTHESES Use grouping to execute a search in a specific manner.	( )	Red and (blue or green) Is different from: (red and blue) or green
QUOTES Use quotes when phrase contains a Boolean Operator (and, or, not) OR when a phrase contains symbols.	" "	"AT&T" or "13e-4(c)" or "Securities and Exchange Commission"
EXCLUSION (NOT) Excludes filings containing the keyword after NOT	NOT or AND NOT	(William w/3 Gates) NOT Microsoft
OR Delivers all filings containing **any** of the keywords listed.	OR	Red or blue or white
AND Delivers only filings containing **all** keywords listed.	AND	Hedge fund and portfolio manager
STEMMING Delivers variations of the root word.	* or !	Manag! Manag* Managers, management, managing, managed, manage
PLURAL TERMS	asterisk * or exclamation point !	Stock* or Stock!
AT LEAST Number of times the keyword appears in a filing.	No syntax required	Re-sort results by clicking on the Count column on the Search Results page.
ABBREVIATIONS	AARP or A.A.R.P.	
PUNCTUATION		
Period	Treated as a space	
Comma	Treated as a space	
Hyphen	Literal	real-time

SEARCH