10k WIZARD
SEC POWER SEARCH

Common Searches* for Accounting Research

For the Boolean Operators' Table, please see the back page of this document.

QUERY	SEC FILING	SEARCH SYNTAX
Audit Fees/Services	10-K 10-Q Proxies	In the Advanced Dataset, in the Word Search Field, type: (account! or audit!) w/5 (fee or fees or service!) Select: 10-K, 10-Q, and Proxies in the Form Group
Restatement of Financials	10-K 10-Q 8-K	In the Advanced Dataset, in the Word Search Field, type: restat! w/15 financial! **TIP:** Narrow the search by added various filters.
Auditor Changes	All Filings	In the Advanced Dataset, in the Word Search Field, type: (resign! or terminat! or decline! or dismiss! or engaged) w/20 name of organization **TIP:** When using the name of the organization, try all formats like Pricewaterhouse or PWC or Price Waterhouse.
Fairness Opinions	All Filings	In the Advanced Dataset, in the Word Search Field, type: (opinion! w/25 fair!) w/5 "financial point of view" **TIP:** Narrow the search by added various filters.
Changes in Accounting	All Filings	In the Advanced Dataset, in the Word Search Field, type: change in p/3 accounting **TIP:** Narrow the search by added various filters.
Push Downs/Purchase Methods	All Filings	In the Advanced Dataset, in the Word Search Field, type: (purchase method or push down) w/5 account! **TIP:** Narrow the search by added various filters.
Locating FASB/SAB/SFAS Numbers/Topics/Keywords	All Filings	In the Advanced Dataset, type these keywords in the Word Search Field: (FASB or SAF or SFAB) w/5 # **Tip:** # equals the number, topic or keywords. For example: w/4 144 <u>or</u> w/5 keyword search
Internal Controls Deficiencies	All Filings	In the Advanced Dataset, in the Word Search Field, type: "We have identified" w/10 (significant deficien! or material weakness or internal controls) **TIP:** Narrow the search by added various filters.
Auditor Letters Specifically for Accounting Firms	All Filings	In the Advanced Dataset, click on the **Focus within Search** by the Word Search Field. Check mark the Audit Letter and in the Word Search Field, type in the accounting firm or name.
Financial Notes	10-K Item 8	1. In the 10-K Dataset, in the Word Search Field, type: notes p/100 keyword search 2. Check mark Item 8 3. Submit Search **Tip:** Broaden your search by p/500

BOOLEAN OPERATORS' TABLE

	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) <u>OR</u> 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

*NOTE: All search strategies on the 10-K Wizard service can be tweaked to fit the user's research needs.