

Securities Drafting & Compliance

Drive Your SEC Compliance Strategy Forward

Your Challenge

When it's your job to steer the periodic reporting or securities offerings prep process for your clients, following an effective road map is vital to achieving compliance. But when you're faced with constant detours—like having to switch between different tools and multiple sources of information—it's hard to stay on track.

That's where Securities Drafting & Compliance can help you reach the finish line—in record time.

Our Solution

The Securities Drafting & Compliance application delivers everything you need to draft 10-K, 10-Q, 8-K, S-1, and S-3 filings in one place. Our solution shifts your research into high gear by connecting the SEC Forms with relevant regulations, guidance, SEC Filings, and Comment Letters and responses, significantly reducing the time currently spent manually cross-referencing documents. And that's not all. Our interactive checklists enable you to monitor and share the status of each checklist item, giving you greater confidence in the quality and accuracy of your filings.

What We Offer

- SEC forms
- Form checklists
- Statutes, regulations, rules & schedules
- Linking to current SEC disclosure
- Staff guidance & interpretations
- Law, accounting, compensatory & advisory firm guidance
- Annotation, highlighting, note & redline functionality
- Expert support

Professionals We Serve

- Securities law attorneys
- Corporate attorneys
- Information professionals/librarians
- Paralegals
- Practice heads/partners

Contact Us

To learn more about Securities Drafting & Compliance, or to sign up for a free trial, visit:

<http://www.intelligize.com/sdc>

Securities Drafting & Compliance

Drive Your SEC Compliance Strategy Forward

Why Us



Eliminate the burden of looking up rules referenced in SEC Forms

Securities Drafting & Compliance, which presents SEC Forms as interactive checklists, jump-starts your research by connecting individual Form Items with relevant regulatory requirements. Hyperlinks take you directly to the exact part of the regulations being referenced, saving you valuable research time.

Plus, we're the only solution that connects you to associated documents linked in the regulations. Our checklists include links that enable you to perform precise searches for SEC Filings and Comment Letters and responses relevant to the Form Item or Sub-Item you're working on, making it faster and easier to find language that helps inform your disclosure strategy.



Easily spot changes in Form Items and the underlying regulations

With Securities Drafting & Compliance, you don't have to worry about overlooking recent SEC rule changes when drafting new filings. Our online checklists always represent the latest Form Items, and new or changed items are clearly highlighted—so you can be confident you're moving in the right direction from the start. Plus, you can redline past versions to instantly identify how any statutes, regulations, rules and forms have changed over time.



Quickly find peer company precedents when drafting new disclosures

With expert searches available at the click of a button, you can go directly to relevant precedent language for any Item or Sub-item being drafted. Because we index and tag SEC disclosures with more granularity, you can search across peer companies for specific filing areas or topics with unmatched flexibility and precision.



Increase efficiencies and reduce risks with filing workflow tracking tools

Securities Drafting & Compliance makes it easy to stay on course when drafting new filings, with interactive checklists that help you track the status of individual Form Items and the steps that need to be completed. You can mark the checklist as work is finished, add notes for an Item, and filter to show only the outstanding Items needing attention. Plus, you can export the checklist—including notes—to Word or PDF documents and share with team members, making it easier to get important information into the right hands.



Improve your review accuracy by highlighting and annotating key regulatory content

When you are reviewing regulatory materials, you need to analyze and interpret how the statutes, regulations, rules and forms affect your client's filings. Our annotation functionality lets you track your key ideas and considerations so you can draw conclusions associated with key regulatory requirements and make strategic decisions with confidence.



Fine-tune your risk factor disclosure research and drafting process

With SEC staff questioning risk factor disclosures that are too generic—and potential Comment Letters on the line—you must be as precise as possible in researching peer disclosures at each relevant section of a Form. The advanced filtering in Securities Drafting & Compliance enables you to look at disclosures in relation to risk factors for a specific Item in the Form, then zero in on peer companies to find risk factors that are most likely to be relevant to your client. Our solution categorizes risk factors into 455 subjects and presents the ranking of risk factors, which helps guide your decision-making on risk factor placement.



Trust our experts

When you're navigating through the SEC filings process, you may encounter occasional bumps in the road. Don't worry, our team of knowledgeable subject matter experts is on hand to provide direction that quickly gets you back on the path to success. As the industry's most trusted compliance and transactional professionals—with more than 150 years of combined experience—they can provide you with unparalleled support to match your specific needs.