

Lexis® Securities Mosaic®

Practice Area Guide Enforcement & Litigation

From preliminary investigations to grand jury convictions, our research and news platform offers you the data and guidance you need to keep current, analyze trends, and identify precedent in the enforcement arena.

Enforcement & Litigation

- Discover the difference hand-tagged data can make. Filter results by **defendant name, position and company**; and where applicable, by **violation, penalty type and penalty amount**.
- Extract disclosure by public companies concerning **investigations by federal agencies** (the SEC, Department of Justice, the FTC), US States and foreign governments.
- Use our **SEC Enforcement-Defendant Search** page to find releases by violation type, including **accounting violations, conspiracy, insider trading, mail fraud, money laundering, options backdating** and more.
- Follow on a daily basis **significant decisions handed down from the federal courts**. View decision summaries or browse our archive of the last 30 days.

Laws, Rules, Agencies

Use this simple, lightning-fast platform to **search simultaneously on all phases of the bureaucratic process**: from legislation currently in Congress, to codification in federal law, to agency rulemaking and finally to enforcement. This search page includes:

- **Enforcement, adjudication or disciplinary releases** from the Department of Justice, CFTC, Federal Reserve, FTC, SEC, FinCEN, Office of the Comptroller of the Currency, FINRA and the PCAOB.
- **Amicus briefs** and **case filings** from the FTC, DOJ and Department of Labor.
- **Investor Claims Funds** from the SEC.
- Enforcement trend **reporting and analysis** from the FTC and DOJ.
- The complete **U.S. Code** and **CFR**.

Law Firm Memos

- Search almost **100,000 authoritative memos** from top law firms.
- Memo practice areas include **Anti-Money Laundering, Enforcement, Litigation & ADR, Criminal Law & Prosecution** and **FCPA**.
- Set up a **daily memo alert** by practice area.

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Disclosure & Transactions

- Use our **SEC Filings page** for powerful searching at both the filing and company levels, to quickly find precious needles in the haystack of **SEC EDGAR filings**.
- Drill down into **8-K items** for reporting on special events (**temporary suspensions of trading, departure of directors or principal officers**) and **10-K items** for **legal proceedings, D&O and Corporate Governance** and more.
- Find public company disclosure of **ongoing investigations** (SEC, CFTC, DOJ, OFAC, FCPA, FCC, etc.).
- Use our **Law Firm Relationships page** to see which firms are representing which public companies for business matters requiring SEC disclosure.

News & Alerting

- Set up **customized alerts** for almost any dataset on our website. Choose daily or weekly digests, or opt to receive them in real-time.
- Read **authoritative commentary and analysis** on enforcement, litigation, and white-collar crime from the world press, top law firms, and the industry's most trusted bloggers.
- Learn of **bills and other Congressional actions** that impact your world.
- Stay current on the latest news from a **broad range of federal agencies** and other regulators.
- Receive our **Securities Mosaic® Litigation News**, a daily digest of crucial current events coverage, including:
 - SEC and PCAOB **Enforcement Actions**
 - Recent **law firm memos** on topics of interest
 - Selected **Federal Appellate Decisions**
 - SEC Investigations Disclosures

Ready to find out more? Contact us.

1-866-650-3600

LSMSupport@lexisnexis.com



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