

SEC Filing Types: Complete Reference for Alma News

How Many Types Exist?

There are **~490+ SEC form/submission types** in EDGAR — far more than the handful commonly cited. The SEC maintains an official [Forms Index](#), and publishes [EDGAR filing counts by form type](#) reflecting the full ecosystem.

For Alma News, roughly **30-40 form types** are practically relevant. Here's the watchlist organized by signal strength:

Tier 1: Direct Liquidity / Wealth Realization (Highest Donation-Opportunity Signal)

These tell gift officers: **"This person just got money or is about to."**

Insider Ownership & Selling

| Form | What It Is | Signal for Gift Officers |
|-----------------|--|---|
| Form 3 | Initial Statement of Beneficial Ownership | Prospect just became an insider (officer/director/10%+ owner) — career milestone + wealth signal |
| Form 4 | Changes in Beneficial Ownership (due within 2 days) | Prospect bought/sold stock, exercised options, RSUs vested — exact share counts and prices . Stock sale = liquidity event = time to call |
| Form 5 | Annual Ownership Summary | Catches transactions not reported on Form 4. Year-end cleanup of insider holdings |
| Form 144 | Notice of Proposed Sale of Restricted/Control Securities | Prospect is about to sell restricted stock — upcoming liquidity |

Large Ownership / Concentrated Wealth

| Form | What It Is | Signal |
|---------------------------------|-------------------------------------|---|
| Schedule 13D (+13D/A) | Beneficial Ownership >5% (activist) | Major concentrated wealth. Amendments signal increasing/decreasing stakes |
| Schedule 13G (+13G/A) | Beneficial Ownership >5% (passive) | Same wealth signal, passive investor variant |

IPO / Going Public / Becoming Liquid

| Form | What It Is | Signal |
|--|----------------------------|---|
| S-1 / F-1 (+amendments, MEF variants) | IPO Registration Statement | Lists founders, officers, pre-IPO holdings. Paper wealth becomes real |
| 424B (prospectus filings) | Final/Updated Prospectus | The "IPO priced / offering live" moment |
| Form 8-A / 10-12B / 10-12G | Securities Registration | Listing/registration events around going public |

M&A / Take-Private / Cashout Events

| Form | What It Is | Signal |
|------|------------|--------|
|------|------------|--------|

| | | |
|-------------------------------------|---------------------------------|--|
| S-4 / F-4 (+amendments) | Merger/Acquisition Registration | Stock-for-stock/cash mergers, roll-ups — prospect may receive payout |
| SC TO (Tender Offer filings) | Tender Offer Schedules | Buyout offers — prospect's shares being acquired at premium |
| Schedule 13E-3 (+amendments) | Going Private Transaction | Company being taken private — cash-out event for shareholders |

Institutional Wealth Proxy (Fund Manager Prospects)

| Form | What It Is | Signal |
|--------------------------------|-----------------------------------|---|
| Form 13F (+13F-HR/A) | Institutional Holdings Disclosure | Proxy for AUM/influence. A prospect running a fund with \$2B+ AUM has significant personal wealth |
| Form ADV | Investment Adviser Registration | Shows assets under management, number of clients, compensation structure |

Tier 2: Career / Influence Events (Relationship & Timing Triggers)

These tell gift officers: "**Here's your reason to reach out.**"

Executive / Board Changes & Major Corporate Events

| Form | What It Is | Signal |
|-----------------------------|---|--|
| Form 8-K (+8-K/A) | Current Report — the "something happened" workhorse | Exec appointment/departure, material agreements, financings, acquisitions, restructuring. Prospect named as new CEO = congratulations call + wealth signal |

Compensation & Governance (Best "Wealth Context" Document)

| Form | What It Is | Signal |
|----------------|--------------------------------------|---|
| DEF 14A | Definitive Proxy Statement | Single best document for total wealth picture: executive compensation (salary, bonus, stock awards), board roles, ownership tables |
| DEFA14A | Additional Proxy Soliciting Material | Supplemental proxy info |
| DEFM14A | Merger-Related Proxy | Proxy for merger votes — names key people involved |
| DEFC14A | Contested Proxy | Proxy fight — names activist investors and board candidates |

Ongoing Public Company Disclosures

| Form | What It Is | Signal |
|---------------------------|--------------------|---|
| 10-K (+amendments) | Annual Report | Officer lists, signatures, business performance context |
| 10-Q (+amendments) | Quarterly Report | May mention personnel changes, less directly useful |
| NT 10-K / NT 10-Q | Late Filing Notice | Company in distress or transition — contextual signal |

Foreign Issuers (Same Signals, Non-US Companies)

| Form | What It Is | Signal |
|-------------|--------------------------|--|
| 20-F | Annual Report (Foreign) | Equivalent of 10-K for foreign private issuers |
| 6-K | Current Report (Foreign) | Equivalent of 8-K for foreign private issuers |
| 40-F | Annual Report (Canadian) | Canadian cross-listed companies |

Tier 3: Situational / Niche but Still Relevant

These matter **depending on your prospect set** — especially useful for prospects at earlier-stage or private companies.

Private Fundraising / "Company is Raising"

| Form | What It Is | Signal |
|---------------|-------------------------------|--|
| Form D | Reg D Private Offering Notice | Prospect's company raised a private round — wealth trajectory signal |

Mini-Public Paths

| Form | What It Is | Signal |
|------------------------|-----------------------|-------------------------------------|
| Form 1-A | Regulation A Offering | Smaller companies going semi-public |
| Form C (family) | Reg CF Crowdfunding | Early-stage company filings |

Distress / Negative Context (Stewardship Timing)

| Form | What It Is | Signal |
|--|-------------------------------------|--|
| 8-K (bankruptcy items) | Restructuring/Bankruptcy Disclosure | Know when to not ask — or when to offer support. Still valuable for relationship management |
| 10-K/10-Q (going concern notes) | Distress indicators | Context for stewardship timing |

Priority Matrix for Alma News

MUST TRACK (daily/real-time)

- **Form 4** — stock sales, option exercises (liquidity)
- **Form 8-K** — career events, major corporate news
- **Schedule 13D/G** — large ownership positions

HIGH VALUE (weekly)

- **DEF 14A** — compensation + holdings (wealth picture)
- **Form 3** — new insider appointments
- **Form 144** — planned stock sales
- **S-1/F-1** — IPO filings
- **Form 13F** — fund manager holdings

MONITOR (periodic)

- **S-4/F-4, SC TO** — M&A events
 - **Form D** — private fundraising
 - **10-K** — annual officer/director context
 - **Form ADV** — investment adviser AUM
 - **20-F, 6-K** — foreign issuer equivalents
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Current SEC Prospect Matcher Note

The existing system scans raw SEC text files without distinguishing form type. Adding form-type awareness would allow:

1. **Prioritized scanning** — Process Form 4s and DEF 14As first (highest signal density per file)
 2. **Tagged matches** — Gift officers immediately know *why* a prospect appeared
 3. **Filtered alerts** — Let clients choose which filing types trigger notifications
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Sources:

- [SEC Official Forms Index](#)
- [EDGAR Filing Counts by Form Type](#)
- [Giving USA: Wealth Data for Prospect Research](#)
- [Helen Brown Group: Deciphering Form ADV](#)

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