

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

#### Large Ownership / Concentrated Wealth

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

#### IPO / Going Public / Becoming Liquid

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

#### M&A / Take-Private / Cashout Events

Form	What It Is	Signal

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

### Institutional Wealth Proxy (Fund Manager Prospects)

Form	What It Is	Signal
<b>Form 13F</b> (+13F-HR/A)	Institutional Holdings Disclosure	Proxy for AUM/influence. A prospect running a fund with \$2B+ AUM has significant personal wealth
<b>Form ADV</b>	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
<b>Form 8-K</b> (+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
<b>DEF 14A</b>	Definitive Proxy Statement	<b>Single best document</b> for total wealth picture: executive compensation (salary, bonus, stock awards), board roles, ownership tables
<b>DEFA14A</b>	Additional Proxy Soliciting Material	Supplemental proxy info
<b>DEFM14A</b>	Merger-Related Proxy	Proxy for merger votes — names key people involved
<b>DEFC14A</b>	Contested Proxy	Proxy fight — names activist investors and board candidates

### Ongoing Public Company Disclosures

Form	What It Is	Signal
<b>10-K</b> (+amendments)	Annual Report	Officer lists, signatures, business performance context
<b>10-Q</b> (+amendments)	Quarterly Report	May mention personnel changes, less directly useful
<b>NT 10-K / NT 10-Q</b>	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 <b>not</b> 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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