Form 4 reading checklist (PDF)

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Use this on each filing before acting on an insider headline.

Filing details

Company, ticker and filing date _____

Insider name and relationship (Box 5) _____

Date of earliest transaction (Box 3) and days until filing _____

Table I

Transaction code(s) and (A) or (D) _____

Shares and price for each line _____

Amount owned following, and % change in holding _____

Direct (D) or indirect (I) ownership _____

Context

- [ ] Was the Rule 10b5-1 box checked? Plan adoption date in footnotes
- [ ] Any derivative transactions in Table II (M, X, C codes)
- [ ] Other insiders filing P or S in the same weeks
- [ ] Footnotes: price ranges, offerings, trusts

Sources: Investor.gov: Insider transactions and Forms 3, 4 and 5; SEC: Ownership form transaction codes; SEC: Insider trading arrangements and related disclosures; Investor.gov: Insider trading. Full explanation and links: https://uxs.nz/stocks/how-do-you-read-a-form-4-filing-to-see-insider-buying/

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