Beginner’s Business and Legal Research

SANS Open-Source Intelligence Summit
Monday, February 25, 2019
Alexandria, Virginia, USA

Tracy Z. Maleeff - @InfoSecSherpa
Who Do I Think I Am?

- Master of Library and Information Science
  - University of Pittsburgh
- 15 years as a librarian
- GSEC certification
- SOC Analyst
Where to Find the Presentation Links

sherpaintel.wordpress.com/sans
Key Point #1:

Provenance
Key Point #2: Admissibility
Key Point #4:

$\$\$\$\$
Beginner’s Business Research
Private Companies (Pay Resources)

- Capitaliq.com
- DNB.com
- Hoovers.com
- MergentOnline.com
- PitchBook.com
- PrivCo.com
Private Companies (Free / Low-Cost Resources)

- Bizjournals.com
  - Book of Lists
- Fortune 500 / 100 Lists
- Glassdoor.com

- Private Company Research Guide from the Library of Congress
- U.S. Securities and Exchange Commission
  - Schedule 13e-3
    - when a public company goes private
## Public Companies: Cracking the Code of Business Listings

<table>
<thead>
<tr>
<th>Company DUNS #: 06-070-4780</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Corporate Name:</strong> Apple Inc.</td>
</tr>
<tr>
<td><strong>Tradestyle Name:</strong> Apple</td>
</tr>
<tr>
<td><strong>Point of Contact:</strong> Mr. Timothy D. Cook</td>
</tr>
<tr>
<td><strong>Title:</strong> Chief Executive Officer</td>
</tr>
<tr>
<td><strong>Address:</strong> 1 Infinite Loop, Cupertino CA 95014-2083</td>
</tr>
<tr>
<td><strong>Telephone:</strong> (408) 996-1010</td>
</tr>
<tr>
<td><strong>Latitude:</strong> +37.331847</td>
</tr>
<tr>
<td><strong>Sales Volume:</strong> $170,910,000,000</td>
</tr>
<tr>
<td><strong>Employees on Site:</strong> 2,000</td>
</tr>
<tr>
<td><strong>Total Employees:</strong> 80,300</td>
</tr>
<tr>
<td><strong>Line of Business:</strong> Radio TV Communications Equipment Manufacturing</td>
</tr>
</tbody>
</table>

### NAICS Codes

<table>
<thead>
<tr>
<th>NAICS 1</th>
<th>NAICS 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>334220</td>
<td>334111</td>
</tr>
</tbody>
</table>

- **NAICS 1 Description:** Radio and Television Broadcasting and Wireless Communications Equipment Manufacturing
- **NAICS 2 Description:** Electronic Computer Manufacturing

<table>
<thead>
<tr>
<th>SIC Codes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SIC 1:</strong> 36639906</td>
</tr>
<tr>
<td><strong>SIC 2:</strong> 35719904</td>
</tr>
</tbody>
</table>

- **SIC 1 Description:** Mobile communication equipment
- **SIC 2 Description:** Personal computers (microcomputers)
Public Companies: Cracking the Code of Business Listings

- **D-U-N-S Number**
  - DNB.com
  - Unique 9-digit identification number for each physical location of a business.

- **NAICS aka “Nakes”**
  - North American Industry Classification System
  - Used by Federal statistical agencies in Canada, Mexico, and the United States
SIC = Standard Industrial Classification system

• SIC last updated in 1987

• NAICS was established in 1997 to replace SIC

- It is common to still see both used today!
Meet EDGAR of the Securities and Exchange Commission

Electronic Data Gathering, Analysis, and Retrieval

EDGAR Search: Enter a Search String
"cyber" OR "cyber security" OR "cybersecurity" Search
(e.g., "present and not past") See Search Help

Start: 2015 ▼ End: 2019 ▼
The Significance of the Form 8-K

- **Form 8-K** is the form on which public companies report, on a current basis, the occurrence of significant corporate events.

  - A *reportable event* is a transaction or occurrence of major significance.
Some International EDGAR Counterparts

- **Canada**
  - SEDAR

- **France**
  - AMF (Autorité des Marchés Financiers)

- **Germany**
  - Unternehmensregister

- **United Kingdom**
  - Companies House
Graph-based network security threat detection across time and entities

<table>
<thead>
<tr>
<th>Inventors:</th>
<th>Apostolopoulos; Georgios (San Jose, CA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Splunk Inc.  San Francisco  CA  US</td>
</tr>
<tr>
<td>Assignee:</td>
<td>SPLUNK INC.  (San Francisco, CA)</td>
</tr>
<tr>
<td>Family ID:</td>
<td>1000003819423</td>
</tr>
<tr>
<td>Appl. No.:</td>
<td>15/419,959</td>
</tr>
<tr>
<td>Filed:</td>
<td>January 30, 2017</td>
</tr>
</tbody>
</table>
Patent Information Users Group (PIUG)

- International Society for Patent Information Professionals
  - PIUG.org
  - wiki.piug.org

- Robust multi-national patent databases

- Single-Authority patent databases
  - From Albania to USA
What’s the Sqoop.com?
Economic Research

- U.S. Bureau of Labor Statistics
  - bls.gov/data
Easy Peasy Twitter Searches

- Twitter.com/search-advanced or from the search bubble

- From:SEC_Enforcement filter:links
  • Litigation notices from the U.S. Securities and Exchange Commission, links to documents

- $TSLA recall
  • Stock symbol and keyword
Hot Business Research Tips

- Mechanics' Institute Library in San Francisco - milibrary.org
  - USD $120.00 per year for online access to research databases, including access to MergentOnline.com

- Free Library of Philadelphia – freelibrary.org
  - Library card with online database access
    - Pennsylvania residents, FREE
    - Out of State, USD $50.00 per year
Beginner’s Business Research Summary

- Determine if company is private or public.

- The D-U-N-S, NAICS, & SIC codes make research easier!

- EDGAR will get the 8-Ks for significant corporate events.

- USPTO or PIUG can provide worldwide patent information.

- Libraries contain a wealth of information!
Beginner’s Legal Research
Let’s keep it simple!
Jurisdiction

“The differences between federal and state courts are defined mainly by *jurisdiction*.

*Jurisdiction* refers to the kinds of cases a court is authorized to hear.”

Source: Findlaw
Federal vs. State Courts - Key Differences via FindLaw

Federal Courts:
- Cases in which the United States is a party;
- Cases involving violations of the U.S. Constitution or federal laws;
- Cases between citizens of different states over $75,000; and
- Bankruptcy, copyright, patent, and maritime law cases.
Federal vs. State Courts - Key Differences via FindLaw

▪ State Courts:
  • Robberies
  • Traffic violations
  • Broken contracts
  • Family disputes
  • and similar

▪ Note: In some cases, both federal and state courts have jurisdiction.

Universal City Studios, Inc. v. Corley, 273 F.3d 429 (2d Cir. 2001)

Stella Liebeck v. McDonald's Restaurants, P.T.S., Inc.
and McDonald's Int’l, Inc.

1994 Extra LEXIS 23 (Bernalillo County, N.M. Dist. Ct. 1994)
1995 WL 360309 (Bernalillo County, N.M. Dist. Ct. 1994)
# Regional Reporters Cheat Sheet

<table>
<thead>
<tr>
<th>Regional Reporter</th>
<th>State Coverage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Atlantic</td>
<td>Connecticut, Delaware, District of Columbia, Maine, Maryland, New Hampshire, New Jersey, Pennsylvania, Rhode Island, Vermont</td>
</tr>
<tr>
<td>North Eastern</td>
<td>Illinois, Indiana, Massachusetts, New York, Ohio</td>
</tr>
<tr>
<td>North Western</td>
<td>Iowa, Michigan, Minnesota, Nebraska, North Dakota, South Dakota, Wisconsin</td>
</tr>
<tr>
<td>Pacific</td>
<td>Alaska, Arizona, California, Colorado, Hawaii, Idaho, Kansas, Montana, Nevada, New Mexico, Oklahoma, Oregon, Utah, Washington, Wyoming</td>
</tr>
<tr>
<td>South Eastern</td>
<td>Georgia, North Carolina, South Carolina, Virginia, West Virginia</td>
</tr>
<tr>
<td>South Western</td>
<td>Arkansas, Kentucky, Missouri, Texas, Tennessee</td>
</tr>
<tr>
<td>Southern</td>
<td>Alabama, Florida, Louisiana, Mississippi</td>
</tr>
</tbody>
</table>
U.S. Circuit Courts (Appellate Courts)
Legal Citation Help
What’s *motion in limine* and other legal terms?
Public Access to Court Electronic Records (PACER.gov)

- Federal courts
- Registration required
- 10 cents per page
- Keep a credit card on file, no charge if < $15 per quarter
British and Irish Legal Information Institute

- BAILII.org
  - British and Irish case law & legislation
  - European Union case law
  - Law Commission reports
  - Other law-related British and Irish material
Oyez! Oyez! Oyez!

- SCOTUSblog.com
- SupremeCourt.gov
- Oyez.org
The Website Formerly Known as FDsys.gov

GovInfo.gov

U.S. Government Publishing Office
The Website Formerly Known as FDsys.gov

- Code of Federal Regulations (CFR)
  - 49 CFR 236.403
    - Title 49 – Transportation
    - Part 236
    - Section 236.403 - Signals at controlled point

- Federal Register (FR)
  - 49 FR 3386, Jan. 26, 1984
  - 49 FR 3386
Search Your State or County Courts

- Check your jurisdiction!

- National Center for State Courts
  - NCSC.org

- 50-State Surveys
  - Cross-jurisdictional resources
Court Documents Not Online? Get a Runner!
Law Books – They’re Not Dead Yet!
Law Books – They’re Not Dead Yet!

- Look into private law libraries and law school libraries!

- For example, Jenkins Law Library in Philadelphia
  - JenkinsLaw.org
  - The general public may use the library on daily basis for $5 per day.
  - Computer usage is limited to one-hour per day.
The Yelp of Law Books


2018 Edition

Kendall F. Svengalis
Excellent Free Resources for US & Non-US Law

- Law Library of Congress
  - Guide to Law Online
    - International and Multinational
    - Nations of the World
    - Indigenous Law Portal

- GlobaLex
  - International Law
  - Comparative Law
  - Foreign Law Research
Excellent Free Resources for US & Non-US Law News

- International Law Office
  - InternationalLawOffice.com
- JD Supra
  - JDSupra.com
- Lexology
  - Lexology.com
- Mondaq
  - Mondaq.com
Beginner’s Legal Research Summary

- Know your jurisdiction.

- Is it Federal or State?

- PACER for US court documents, BAILII for UK/Europe.

- GovInfo.gov for Federal Regulations and more!

Thank you, SANS OSINT Summit!
- @InfoSecSherpa

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