

SEC Filing

Regulatory Intelligence Monitor

SCHEDULE	FILING TYPE	ENRICHMENT	FREQUENCY
Mon/Wed/Fri 6:00 UTC	8-K (Item 5.02)	Apollo	3x/week

01

Overview

SEC Filing monitors 8-K filings, specifically Item 5.02 covering executive leadership changes, for tracked companies. It pulls filings from the SEC-API, uses Claude Haiku to parse the legal language and extract key personnel changes, enriches individuals via Apollo for contact data, and pushes structured results to Airtable. This catches C-suite departures and appointments that signal strategic shifts, giving BCG consultants early intelligence on leadership transitions at client and prospect companies.

Item 5.02 filings are legally mandated within four business days of a leadership change. This creates a reliable, structured feed of executive movements ahead of press coverage.



How It Works

- 1 **Load Tracked Companies**
Pull the company list and CIK codes from Airtable. CIK (Central Index Key) codes are the SEC's unique identifier for each filing entity.

- 2 **Fetch 8-K Filings**
Query SEC-API for recent 8-K filings filtered to Item 5.02 (Departure/Election of Directors; Appointment of Principal Officers).

- 3 **Parse with Claude Haiku 4.5**
Claude Haiku 4.5 (claude-haiku-4-5-20251001) extracts structured data from SEC legal language: who left, who joined, what role, effective date, compensation changes, and stated reason. Haiku chosen over Sonnet for 5x cost savings on high-volume legal parsing with equivalent extraction accuracy.

- 4 **Enrich via Apollo**
Apollo lookup for new appointees provides contact data, LinkedIn profiles, prior company history, and professional background.

- 5 **Push to Airtable**
Write filing records with parsed executive changes, enrichment data, and BD Radar flags for the next briefing cycle.

EXTRACTED FIELDS

- Departing Executive
- Incoming Executive
- Role / Title
- Effective Date
- Reason for Change
- Apollo Contact Data

APIS & SERVICES



COST STRUCTURE

Cost scales with filing volume. SEC-API subscription for real-time filing access, Claude Haiku for low-cost legal text parsing, and Apollo credits for new appointee enrichment.