



Signal / Event Dictionary

1) Agreements

An agreement is a business arrangement made between two companies. It includes:

- Alliances
- Partnerships
- Collaborations
- Joint ventures

Identifying Characteristics:

- All participating companies
- Date of agreement

Additional Information:

None

2) Asset Transactions

The buy or sell of an asset between multiple companies. It includes:

- Sale of a part of a business
- Sale of certain assets (like equipment, IP, investments, etc.)

Identifying Characteristics:

- All participating companies
- An asset
- Date of agreement

Additional Information:

In 2020, this will be included under Mergers and Acquisitions as a sub-signal

3) Bankruptcy

A bankruptcy is the liquidation of a company or the filing for debt forgiveness. It includes:

- Chapter 7
- Chapter 11
- Liquidation
- Insolvency
- Dissolution

Identifying Characteristics:

- Company going bankrupt

- Type of bankruptcy (see above)
- Date of filing

Additional Information

In 2020, sub-signals will distinguish between initial filing vs. changes to the filing and completion or discharge

4) Business Risks

A business risk is defined as an event that could have a meaningful negative impact to a company's performance. Risks include:

- Operational risks (i.e. cybersecurity / fraud)
- External risks (i.e. disasters, geopolitical unrest, Activism, Sanctions, Trade risks)
- Regulatory risks (i.e. changes in regulations)
- Competitive risks

Identifying Characteristics:

- Affected company
- Risk to performance or reputation

Additional Information

In 2020, sub-signals to include different stages of regulatory risks such as investigations, fines and loss of accreditation / qualifications.

5) Credit Rating

A Credit Rating is the reporting of a credit rating by a rating agency.

Identifying Characteristics

- Company being rated
- Rating agency
- Date of the report

Additional Information

Coming in 2020:

- New rating vs. old rating
- Sub-signals for Downgrade/Upgrade/Credit Watch

6) Debt Transactions

A debt transaction is defined as any activity conducting by a company to raise funds through debt financing. These include:

- Issuance of bonds, bills and notes
- Debentures, Commercial paper
- Loans (i.e. bridge loans, secured and unsecured loans)

Identifying Characteristics

- Company raising debt financing
- Underwriter of loan or offering
- Date of the transaction

Additional Information

Coming in 2020: sub-signals for different types of debt transactions.

7) Earnings

Earnings refer to the announcement by public companies, of earnings. These include:

- Earnings announcements
- Reactions to earnings announcements
- Revision / amendments to earnings

Identifying Characteristics

- Company announcing earnings
- Date of the announcement
- Earnings period

Additional Information

Coming in 2020: This signal will become a sub-signal of “Financial Health”

8) Equity Transactions

An Equity transaction signal is a change in the equity structure of a company or an important corporate action involving the stock. It includes:

- Private placement – Private fund raising
- Venture Capital funding
- Initial Public offering (announcement, closure, withdrawal)
- Public offering (new change listing)
- Delisting
- Other corporate actions (share buy-back, reverse stock splits, stock splits, dividend payments, etc.)
- Tender offer

Identifying Characteristics

- Subject company
- Type of action
- Date of the action

Additional Information

In 2020, Tender offers will move to *Mergers and Acquisitions*. Additionally, sub-signals will identify specific events listed in the definition.

9) Executive Change

The arrival or departure of an officer or board member of a company.

Identifying Characteristics

- Subject company
- Executive
- Action

Additional Information

In 2020, sub-signals will include classification of executive (C-level, Board, Executive) as well as the below:

- Company coming from or going to
- Position
- Date of the change

10) Facility

A Facility signal identifies changes to a company's locations/buildings. It includes:

- Headquarters change
- Opening or expanding a location
- Renovating a location

Identifying Characteristics

- Subject company
- Geo locations
- Date of action

Additional Information

In 2020, this signal will be expanded to include expansion of footprint, not just 'physical'.

11) Financial Filing

A Financial Filing is the filing of a financial statement or other official document with a financial regulatory agency.

Identifying Characteristics

- Filing company
- Filing ID

Additional Information

- Filing type (8k, 10k, Def14A, etc.)
- Relevant timeframe of filing
- Date of filing



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12) Financial Health

A Financial Health signal Identifies changes to a company's Financial Performance. It typically includes information like:

- Company strategy / shifts (i.e. outsourcing strategy to cut costs, white labeling)
- Price changes that impact top line results (i.e. sustained reduction in pricing to compete effectively)
- Financial results

Identifying Characteristics

- Subject company
- Financial performance

Additional Information

In 2020, 'Earnings' will be a sub-signals, along with Financial results.

13) Labor

A Labor signal is an event that impacts the labor force of a company. It includes:

- Facility openings/closings
- Furloughs
- Layoffs
- Hiring announcements
- Broad pay increases/bonus payouts
- Union agreements
- Strikes

Identifying Characteristics

- Employer Company
- Action
- Date of action

Additional Information

In 2020, sub-signals to differentiate types of labor signals above as well as identifying:

- Number of employees affected*
- Geo locations

14) Legal Issue

A Legal Issue is an accusation or court filing for an illegal activity including:

- Anti-trust
- Criminal activity (i.e. Embezzlement, fraud, etc.)
- Class action lawsuits
- Employment lawsuits
- Recall lawsuits

- Investigations of corruption, scandal, violations
- Settlements

Identifying Characteristics

- Defendant Company
- Plaintiff
- Date of filing

Additional Information

In 2020, sub-signals to identify each type of legal issues separately and extract key data such as:

- Charge
- Monetary value
- Geo location of filing

15) Merger Acquisition

The Merger Acquisition signal represents the merging of two companies or the acquisition of one company by another.

Identifying Characteristics

- Acquirer
- Acquired

Additional Information

In 2020, tender offers and asset transactions will be incorporated within this category as sub-signals, including the stage of transaction (i.e. rumor, announcement, negotiations, approval, completion) as well as:

- Monetary value*
- Date of event

16) Real Estate Transaction

A Real Estate Transaction is a transaction involving real estate. It includes:

- Purchases/Sales
- Leases
- Foreclosures

Identifying Characteristics

- Property
- Date of transaction
- Transaction type

Additional Information

In 2020, sub-signals to distinguish the types of transactions as well as extract key data such as parties involved



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17) Products Markets

Products-Markets identifies new products / markets as well as changes to existing products:

- New product release
- Expansion of a product into a new demographic / market
- Changes to a product that impacts the product performance (i.e. outsourcing of production or assembly)
- Product recalls

Identifying Characteristics

- Subject company
- Product

Additional Information

In 2020, sub-signals to distinguish the types of product events and stages of product, like patent approved, drug trials, drug approvals, etc.

18) Recognitions

Recognitions about a company's products, processes, people or overall performance, including:

- Nomination
- Award
- Ranking
- Certifications

Identifying Characteristics

- Subject company
- Recognition

Additional Information

In 2020, sub-signals to distinguish the types of recognitions, as well as incorporation of philanthropy recognitions