Electronic Filings in Administrative Proceedings (eFAP)

eFAP User Manual – Registered User

Version 2.0
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1 Introduction

The Electronic Filings in Administrative Proceedings (eFAP) application is a system that assists the U.S. Securities and Exchange Commission (SEC) Office of the Secretary (OS) staff to receive, review, and process submitted filings. This document provides instructions and helpful information for the public registered users of the eFAP system.

1.1 eFAP Help Desk

If you experience technical difficulties while using eFAP, (e.g., web browser questions, authentication, or timeout issues, etc.), please call the eFAP Help Desk at 202-551-EFAP (3327) for assistance.

2 Register as a User with eFAP

In order to use the eFAP application, all users must register with eFAP. The eFAP registration process is completed in two stages: (1) creating an account in login.gov and (2) registering in eFAP. login.gov is a U.S. Government shared service that SEC and other government agencies are using to provide public users with private and secure online access to participating government programs such as eFAP. Each stage of the registration process and how to access eFAP is described below.

2.1 Access eFAP

The eFAP application is accessed through an eFAP intermediate page located on SEC.gov website. This section discusses how to access the eFAP intermediate page and the eFAP application.

1) Click on the SEC.gov link (https://www.sec.gov) to open the website. Hover over Enforcement in the top navigation menu and select Administrative Proceedings.

![Figure 1: SEC.gov home page – Administrative Proceedings under Enforcement drop-down](image)
2) The **Administrative Proceedings** page will appear. Click on the **Electronic Filings in Administrative Proceedings (eFAP)** link located on the right side of the page under **Quick Links**.

**NOTE:** The **Electronic Filings in Administrative Proceedings (eFAP)** link is also located under the **Quick Links** of the following SEC.gov pages: **ALJ Initial Decisions**, **ALJ Orders**, **Administrative Proceeding Documents**, **Opinions and Adjudicatory Orders**, and **Enforcement**.

![Figure 2: Enforcement's Administrative Proceedings page- eFAP intermediate page link](image)

3) The eFAP intermediate page will appear. The page contains links to SEC Rules of Practice, a PDF file on filing electronically, the latest eFAP user manual, and a Frequently Asked Questions (FAQ) document. The page also contains a link that provides access to the eFAP application. Click on the **Submit** link.

![Figure 3: eFAP Intermediate page – Submit link](image)

4) The **eFAP Acceptance Disclaimer** page will appear. Click the **Accept** button.

2.2 Creating an account in login.gov

Some users may already have an account within login.gov. This established login.gov account may be used with eFAP if the email address associated with the account is the same email address you provided, or will provide, to the SEC OS. If this is the case, you just need to sign-in and then proceed to section 2.3.

For those that don’t have a login.gov account or need to make a new login.gov account with the email that you provided, or will provide, to the SEC OS, you will click the Create an account hyperlink, located below the Sign-in button, on the login.gov-eFAP Sign-in page. The multiple steps in the account creation process are detailed at the following login.gov webpage: https://www.login.gov/help/creating-an-
account/how-to-create-an-account/. If you successfully complete the steps of the login.gov account creation process, you will be taken to login.gov you’ve created an account page. Click the Continue button and proceed to section 2.3.

![Figure 6: Successful login.gov Account Creation page – Continue button](image)

### 2.3 Register within eFAP

Either through signing in with your existing account, or by creating a login.gov account and clicking the Continue button on the you’ve created an account page, you will be taken to the eFAP Terms and Conditions of Use page.

![Figure 7: Terms and Conditions of Use page](image)

1) Read the Terms and Conditions of Use, click the checkbox, and then click the Continue button.

![Figure 8: Terms and Conditions of Use page – acceptance checkbox clicked and Continue button enabled](image)

2) The User Registration page will appear. This page is where you will enter your account information.
NOTE: To cancel the registration process at any point, click the Cancel button on the bottom of the page. If Cancel is clicked, you will be sent to the generic login.gov Sign in page where you should close your browser.

3) Enter your information in the following required fields (indicated with a red asterisk [*]):
   - First Name
   - Last Name
   - Phone Number

   NOTE: Data can be entered into any of the optional fields.

   ![Figure 9: Self-Registration – User Registration page – required fields](image)

4) After completing all required fields, click the Register button, which becomes enabled once text has been entered into all required fields.

   ![Figure 10: User Registration page – Register button enabled](image)

   NOTE: If you enter any information incorrectly the field box that contains the error will display a red border and a pop-up window will appear that lists the error(s).

   ![Figure 11: Self Registration – User Registration page – red border around field error and Error pop-up](image)

5) If there are no errors in the fields, clicking the Register button will take you to the Self Registration Success page.

6) Click the Proceed to eFAP button to be taken to the My eFAP page as shown in Figure 13. Section 4 discusses this page.
3  Sign in as a Registered User

In order to sign into eFAP, you must enter the email address and password associated with your eFAP account. Your password is the one you used during the registration process or the latest password you updated it to. This section details the specific steps for signing into the eFAP system.

1) Upon clicking the Submit link on the eFAP intermediate page (as discussed in Section 2.1) or the eFAP hyperlink (https://www.sec.gov/eFAP), your internet browser will take you to the eFAP Acceptance Disclaimer page.

2) Click the Accept button.
3) The login.gov-eFAP Sign-in page will appear. [Refer to the following login.gov webpage regarding sign in through login.gov: https://www.login.gov/help/signing-in/how-to-sign-in/.]
Enter your username and password, and click the Sign In button.

![Figure 15: login.gov-eFAP Sign-in page – Sign In button](image)

4) The page associated with the authentication method you selected during the login.gov creation process will appear. Shown in Figure 16 is the method where a security code is texted to your cell phone. For this authentication method, enter the code sent to your cell phone and click the Submit button.

![Figure 16: login.gov-eFAP security code page](image)

5) If you entered the correct code (or successfully completed the authentication method you selected), the My eFAP page (described in the next section) will appear.
4 My eFAP

After successfully signing in through login.gov-eFAP, you will be taken to the My eFAP page. This is the main “landing page” for eFAP registered users, and consists of three (3) tabs: My eFAP, History of My Filings and My Service History.

![My eFAP page](image)

Figure 17: My eFAP page

a) The My eFAP tab contains two tables:

i. **Associated Cases** table – shows Administrative Proceedings (AP) cases that you are affiliated with. If you are not a participant in any AP cases, this table will not appear.

![Associated Cases table](image)

Figure 18: My eFAP page – Associated Cases table

ii. **My Most Recent Filings** table – shows the list of filings that you have most recently submitted to eFAP.

![My Most Recent Filings table](image)
Figure 19: My eFAP page – My Most Recent Filings table

b) **History of My Filings** tab – the complete history of filings that have been submitted by you.

Figure 20: My eFAP page – History of My Filings tab

c) **My Service History** tab – the complete list of electronic services received by you.

Figure 21: My eFAP page – My Service History tab
NOTE: Refer to Section 9 for additional information on the My Service History tab and Service functionality.

NOTE: For questions regarding the Detach button, refer to Section 10.

5 Left Navigation Toolbar

The left navigation toolbar provides the ability to quickly and easily navigate through the eFAP system. It contains hyperlinks and functions, which are explored in greater detail throughout this document. At a minimum, the navigation toolbar will always display a hyperlink for the My eFAP page and a hyperlink to Logout of the application. Except when updating your profile, the toolbar will include a hyperlink back to the SEC.gov website and a Contact Us hyperlink. Clicking the later provides additional information on how to contact the SEC’s technical support resources.

![Figure 22: Left Navigation Toolbar – key links](image)

6 Update User Profile

If the personal information you submitted during the registration process has changed, it can be updated in the eFAP system. This section details how to change personal information associated with your user profile and account.

1) After signing into eFAP, click the Update Profile hyperlink in the left navigation toolbar under My Profile.
2) The **Update User Profile** page with an associated left navigation toolbar will appear.

6.1 **Update User Information**

1) On the **Update User Profile** page, user information associated with your eFAP account is shown. First Name, Last Name, and Phone Number, marked with a red asterisk (*), are required fields and therefore, cannot be blank.

   **NOTE:** The email address, used as the username for the account, is greyed out and cannot be changed.
2) After you update any user information field, the **Apply** and **Reset** buttons will be enabled. Click the **Apply** button to save your changes.

   **NOTE:** To undo all changes, press the **Reset** button.

Figure 25: Update User Profile page – Apply button to save changes

3) After clicking the **Apply** button, a confirmation pop-up message will appear at the top of the page confirming that your changes were saved. Click the **OK** button.

Figure 26: Update User Profile page – Information successfully updated pop-up

7  **Forgot Password**

If you forget your password, you can reference the following login.gov site for Forgot My Password functionality ([https://www.login.gov/help/signing-in/forgot-my-password/](https://www.login.gov/help/signing-in/forgot-my-password/)).

8   **Filing in an Administrative Proceeding**

The eFAP application provides users the ability to submit filings electronically instead of sending hard copies to SEC Headquarters. This section details the steps for submitting electronic filings and applications for review to the eFAP system.

8.1  **Submit Filings**

If you know the associated AP file number, against which you want to submit a filing, the filing can be uploaded via the **Submit Filings** function.
1) From the left navigation toolbar, under the Filing in an Administrative Proceeding section, click on the Submit Filings hyperlink.

![Submit Filings link](image1)

**Figure 27: Submit Filings link**

2) The NOTICE OF REDACTION RESPONSIBILITY and NOTICE OF RESPONSIBILITY TO SERVE FILINGS page will appear. Confirm that you understand the rules regarding the redaction of Sensitive Personal Information (SPI) from documents and the serving of filings by clicking both checkboxes.

*NOTE: The OK button will not be enabled until you click both checkboxes.*

*NOTE: It is very important you verify that any SPI has been redacted from the documents intended to be uploaded.*

![Notices of Responsibility](image2)

**Figure 28: Notices of Responsibility with checkboxes clicked and OK button enabled**

3) After the OK button is clicked, the Submit Filings page will appear.

4) Enter data into the following required fields:
   a) Administrative Proceeding File Number
   b) On Behalf of (who the filing is being uploaded on behalf of)
c) **Filing Description** (short description of what the filing is)

*NOTE: Instructions for completing these fields and all other actions on this page can be found on the right side of the page under the heading Instructions. Required fields are marked with a red asterisk (*).*

![Submit Filings page – required fields and Instructions](image)

Figure 29: Submit Filings page – required fields and Instructions

5) The next step would be to upload documents, which must be in PDF format, since the system only accepts files in this format. There are two methods to upload documents for the filing:

a) Method 1: Click the **Upload Files** (or **Browse** for Internet Explorer or **Choose Files** in Chrome) button, which opens a navigation window where you can browse for the documents located on your hard drive.
b) Method 2: Drag and drop the files from your hard drive into the drop box which will turn blue once the file or set of files is dragged over it. Release the file(s) into the drop box.

NOTE: The box will turn blue once you have dragged the document(s) over the drop box as shown in Figure 32.
6) With either method, information about the uploaded document(s) will then appear in a new table near the bottom of the page after clicking **OK**.

7) The **File Name** column contains the file name(s) of the document(s) that you uploaded.

8) The second column contains the required field **Title/Description**. For each uploaded and listed document, select an applicable title/description from the **Title/Description** drop-down list. There are almost sixty choices in the list including Other. If you select Other, a text box will appear to allow you to enter your own title/description. If you leave the Other text box blank, eFAP will add into this field the text “Other – “ followed by the file name of the document once you click the **Submit** button.
9) The third column contains the required field **Document Type**. This field has a drop-down list. The default document type is Filing. For each uploaded and listed document, you can keep the default or select another. The options for **Document Type** are:
   - Filing
   - Attachment
   - Hearing Exhibit/Admitted
   - Hearing Exhibit/Offered Not Admitted
   - Certified Record

10) The fourth column contains an **Under Seal** check box for each uploaded and listed document. For each document, select the check box under the **Under Seal** column if the document is to be filed under seal. If the document is not to be filed under seal, leave the check box unchecked.

11) The final column, named **Remove**, contains a red box with an “X” for each uploaded and listed document. To remove a document for any reason, click the corresponding red box under the **Remove** column.
a) A **Confirm Removal** pop-up window will appear confirming that you want to remove the specified document.
b) Click the **Yes** button to remove the document from the filing or **No** to cancel the removal.

![Confirm Removal pop-up]

Figure 39: Submit Filings page – Confirm Removal pop-up

12) To add additional documents to the same filing, repeat the steps 5 to 10 above.
13) Once the filing-related documents have been uploaded and all required fields have been completed, continue the filing submission process by clicking the **Submit** button.

![Submit button]

Figure 40: Submit Filings page – Submit button

14) A pop-up window requesting that you certify that all SPI has been redacted will appear.

![Redaction of SPI pop-up]

Figure 41: Submit Filings page – Redaction of SPI pop-up

15) If you are in compliance with redaction requirements, click the checkbox to add a check mark, which will enable the **Continue** button. Then click the **Continue** button.

*NOTE: After clicking the Continue button, the filing will be received and processed by members of the OS Staff.*
16) Upon submission of your filing package, the **Filing Confirmation** page will display.

   **NOTE:** This page contains the unique filing ID for your submission.

   **NOTE:** For a printer-friendly version of the confirmation page, click the **Show Printable Page** button at the top left of the page.

17) To submit another filing against the same case, click the **Submit Another Filing** button. To submit another filing for a different AP case, click the **Submit Another Filing for Different AP Case** button.
Figure 44: Filing Confirmation page – Submit Another Filing buttons

18) After submitting the filing package, a system-generated email from no-reply@sec.gov will be sent to the email you registered with.

19) Clicking on either the here hyperlink or the URL link in the email body shown in Figure 45 will bring you to the Filing Information as Submitted page as shown in Figure 46.

NOTE: If you are not already signed into the eFAP application, the login.gov page will appear after you click the here hyperlink or URL link in the email. Sign into eFAP as described in Section 3.
8.2 Submit Applications for Review

This section details how to submit applications for review to eFAP. When submitting applications for review, there will not be an associated case number.
1) On the left navigation toolbar, under the **Filing in an Administrative Proceeding** section, click the **Submit Applications for Review** hyperlink.

![Figure 47: Submit Applications for Review link](image)

2) The **NOTICE OF REDACTION RESPONSIBILITY** and **NOTICE OF RESPONSIBILITY TO SERVE FILINGS** page will appear. Confirm that you understand the rules regarding the redaction of SPI from documents and the serving of filings by clicking both check boxes.

*NOTE: The OK button will not be enabled until you click both check boxes.*

*NOTE: It is very important you verify that any SPI has been redacted from the documents intended to be uploaded.*

![Figure 48: Notices of Responsibility with checkboxes clicked and OK button enabled](image)

3) After the OK button is clicked, the **Submit Applications for Review** page appears.

4) Enter data into the following required fields:

   a) **On Behalf of** (who the filing is being uploaded on behalf of)

   b) **Filing Description** (short description of what the filing is).

   *NOTE: Instructions for completing these fields and all other actions on this page can be found on the right side of the page under the heading Instructions. Required fields are marked with a red asterisk (*).*
5) The next step is to upload documents in PDF format, since the system only accepts files in this format. There are two methods to upload documents to your filing:

a) Method 1: Click the **Upload Files** button, which opens a pop-up where you can browse for the files located on your hard drive and select the file(s) you want to upload.
b) Method 2: Drag and drop the files from your hard drive into the drop box which will turn blue once the file or set of files is dragged over it. Release the file(s) into the drop box.

![Figure 51: Upload Filings page – drag and drop box](image1)

**NOTE:** The box will turn blue once you have dragged the document(s) over the drop box as shown below.

![Figure 52: Upload Filings page – drop box turns blue when documents dragged over it](image2)

6) With either method, information about the uploaded document(s) will then appear near the bottom of the page after clicking **OK**.
7) The **File Name** column contains the file name of the document(s) that you uploaded.

8) The second column contains the required field **Title/Description**. For each uploaded and listed document, select an applicable title/description from the **Title/Description** drop-down list. The options for **Title/Description** are: Application for Review, Application for an Order Setting Aside Rule Change, and Other. If you select Other, a text box will appear to allow you to enter your own title/description. If you leave the Other text box blank, eFAP will add into this field the text “Other – ” followed by the file name of the document once you click the **Submit** button.

9) The third column contains the required field **Document Type**. This field has a drop-down list. The default document type is Filing. For each uploaded and listed document, you can keep the default or select another. The options for **Document Type** are:

- Filing
- Attachment
- Hearing Exhibit/Admitted
- Hearing Exhibit/Offered Not Admitted
- Certified Record
10) The fourth column contains an **Under Seal** check box for each uploaded and listed document. For each document, select the check box under the **Under Seal** column if the document is to be filed under seal. If the document is not to be filed under seal, leave its check box unchecked.

11) The final column, named **Remove**, contains a red box with an “X” for each uploaded and listed document. To remove a document for any reason, click the corresponding red box under the **Remove** column.

   a) A **Confirm Removal** pop-up window will appear confirming that you want to remove the specified document.

   b) Click the **Yes** button to remove the document from the filing or **No** to cancel the removal.

12) To upload additional documents to the same filing, repeat steps 5 to 10 above.

13) Once the filing-related documents have been uploaded and all required fields have been completed, continue the filing submission process by clicking the **Submit** button.
14) A pop-up window requesting that you certify that all SPI has been redacted will appear.

![Redaction of Sensitive Personal Information](image)  
**Figure 61: Submit Applications for Review page – Redaction of SPI pop-up**

15) If you are in compliance with redaction requirements, click the checkbox to add a check mark, which will enable the **Continue** button. Then click the **Continue** button.

*NOTE: After clicking the **Continue** button, the filing will be received and processed by members of the OS Staff.*

![Redaction of Sensitive Personal Information](image)  
**Figure 62: Submit Applications for Review page – Redaction of SPI pop-up with Continue button enabled**

16) Upon submission of your filing package, the **Filing Confirmation** page will display.

*NOTE: This page contains the unique filing ID for your submission.*

*NOTE: For a printer-friendly version of the confirmation page, click the **Show Printable Page** button at the top left of the page.*
17) To submit another application for review, click the **Submit Another Filing** button at the bottom of the page.
18) After submitting the filing package, a system-generated email from no-reply@sec.gov will be sent to the email, with which you registered.

19) Clicking on either the here hyperlink or the URL link in the email body shown in Figure 65 will bring you to the Filing Information as Submitted page, as shown in Figure 66.

*NOTE: If you are not already signed into the eFAP application, the login.gov page will appear after you click the here hyperlink or URL link in the email. Sign into eFAP as described in Section 3.*
8.3 View a Filing or an Application for Review

This section details how to view a filing or an application for review that you submitted within the eFAP system.

1) To view any filing or application for review, first click the My eFAP link on the left navigation toolbar. Then click the ID number of the filing or application for review, which you want to view, in the My Most Recent Filings table or the table contained in the History of My Filings tab, if your filing or application for review does not appear on the most recent filings table.

2) The Filing Information as Submitted page for the clicked ID will appear. Click the Back button to return to the My eFAP page.
8.4 Deficient Filing

After reviewing a filing that you submitted, OS may decide to reject document(s) within that filing for reasons, which they will provide.

1) If OS rejects your filing document(s), you will receive an email with a subject line that includes the phrase “eFAP – Notice of Deficient Filing” from no-reply@sec.gov.

2) Along with the filing information, the email will contain OS comments as to why the filing was rejected.

3) Click either the here hyperlink or the URL link in the email.

4) After signing in, the Filing Information: Notice of Deficient Filing page will appear. The rejection comments will display along with any additional information from OS.
5) Submit a new filing per OS’s guidance.

9 Service

If you are associated to an AP case, OS may serve you certain documents based on case developments.

1) If you are served, you will receive a system-generated email with a subject line that includes the phrase “Notice of Service” from no-reply@sec.gov.
2) The email will provide details of the service including the AP file number, case name, service date, and service ID. Click either the here hyperlink or the URL link in the email to navigate to the Service Information page.

3) The Service Information page will appear if you are already signed into the eFAP system. If not already signed in, the eFAP Acceptance Disclaimer page will appear. You will follow the Sign-in process to open the Service Information page. (See section 3.) On the Service Information page you will see the details of the service at the top of the page with a table at the bottom listing one or more documents. You can view any listed document by clicking the hyperlinked document title.

NOTE: Depending on the browser that you are using (e.g., Internet Explorer, Chrome), the system will open the document within your browser window, or the file will automatically start downloading to your hard drive.

You can also access the same information from the My Service History tab on the My eFAP landing page.

1) Click the My eFAP link on the left navigation toolbar.
2) Click the My Service History tab.

3) Depending on the number of orders you have been served, the My Service History tab will display one or more rows of services. In the Service ID column, locate the service ID whose service details and corresponding documents you would like to view.

4) Click the View Documents hyperlink in the far right Service Information column to view the documents associated with that service.
5) The **Service Information** page will appear. Within the **Service Information** page, you will see the details of the service at the top of the page with a table at the bottom listing one or more documents. You can view any listed document by clicking the hyperlinked document title.

![Service Information page – Service Details and Document Title link](image)

**NOTE:** Depending on the browser that you are using (e.g., Internet Explorer, Chrome), the system will open the document within your browser window, or the file will automatically start downloading to your hard drive.

### 10 Detach Functionality

The **Detach** button for each table is seen throughout the eFAP application. One such **Detach** button is shown in Figure 75. Clicking on this button will open a separate window with the corresponding table displaying more than ten rows at a time, as shown in Figure 76. This functionality is helpful if the table contains a large number of AP cases, filings, orders, etc.

![My eFAP page – History of My Filings tab & table – Detach button](image)

To close the **Detached Table** window, click the **Detach** button or the **X** box in the top right corner.
11 Clear Browser Cache

If you are having issues successfully signing into/accessing eFAP, try clearing your web-browser cache. The sections below detail the steps for clearing your browser cache for two browser types.

11.1 Internet Explorer (IE)

To clear the Internet Explorer (IE) browser cache, complete the following steps.

NOTE: As stated previously, IE 11 works best for the eFAP application. Depending on the version of IE that you have, the screenshots and steps below may differ slightly.

1) Click the **Settings** icon near the top-right corner of the page.

![Figure 80: Settings icon at top section of IE browser page](image)

2) The IE settings drop-down list will appear. Click **Internet options**.

![Figure 81: IE Settings drop-down list – Internet options](image)

3) The **Internet Options** window will appear. Click the **Delete ...** button in the **Browsing history** section.
4) The **Delete Browsing History** pop-up window appears. Click the appropriate check boxes to add checkmarks to the listed items in your pop-up window to match the same items checked in Figure 83 and then click the **Delete** button.

5) After a few seconds, the browser cache will be cleared.

6) Close the browser window, restart IE, and try accessing the application again.
11.2 Google Chrome
To clear Google Chrome web-browser cache, complete the following steps.

NOTE: eFAP has been tested with Google Chrome 70. Depending on the Google Chrome version and downloaded add-ins, the screenshots and steps below may differ slightly from what you see.

1) Click the Customize icon near the top-right corner of the page.

![Figure 84: Top right section of Google Chrome browser page – Customize icon](image)

2) The Customize drop-down list will appear. Click Settings.

![Figure 85: Customize drop-down list – Settings](image)

3) The Settings page appears. Scroll down to the bottom of the page and click the Advanced button to view the Privacy and security section as shown in Figure 86. Click the Clear browsing data button.
4) The **Clear browsing data** pop-up window appears. Click the appropriate check boxes to add checkmarks to the listed items in your pop-up window to match the same items checked in Figure 87 and then click the **CLEAR BROWSING DATA** button.

5) After a few moments, you will be brought back to the **Settings** page.
6) Close the browser, restart Google Chrome, and try accessing the application again.
12 Logout

To logout from the eFAP application, click **Logout** from the left navigation toolbar or the top right-hand corner of the page.

![Logout links](image)

*Figure 88: Logout links*