Electronic Filings in Administrative Proceedings (eFAP)



eFAP User Manual – SEC Filer

Version 1.0

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1 Introduction

The Electronic Filings in Administrative Proceedings (eFAP) application is a system that enables the U.S. Securities and Exchange Commission (SEC) Office of the Secretary (OS) staff to receive, review, and process submitted filings and orders. The eFAP system allows you to submit filings for active Administrative Proceedings (AP) cases, as well as provide the ability for OS users to serve orders electronically. This user guide provides instructions and helpful information for the end-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 Log-in

You will need to enter your Active Directory (AD) credentials as your eFAP username and password in order to access the eFAP application. This section details the process for logging into the system.

 You can access the eFAP log-in page from the eFAP hyperlink on the QUICKLINKS of the SEC Exchange site (<u>https://theexchange.sec.gov/</u>) or directly (<u>https://platform.ad.sec.gov/eFAP</u>). After clicking the eFAP link, the eFAP Log-in page will appear as shown in Figure 1.

U.S. Securit eFAP	ties and Exchange Commission
Log-in	ND EXCHANCE
Enter Access Credentials	Here:
Username:	
Password:	
	Sign In MCMXXXXIII MCMXXXIII MCMXXXIII MCMXXXIII MCMXXXIII MCMXXXIII MCMXXXIII MCMXXXIII MCMXXIIII MCMXXIIII MCMXXIIII MCMXXIIII MCMXXIIII MCMXXIIII MCMXXIIII MCMXXIIIII MCMXXIIIII MCMXXIIII MCMXXIIII MCMXXIIII MCMX

Figure 1: eFAP Log-in page

2) Enter your username (AD username) and password (AD password) into the appropriate fields.

3) Click Sign In to log into eFAP.



Figure 2: eFAP Log-in page with Credentials

NOTE: A username and password are required to log into the system. An error message will be displayed if either of the two fields are blank as seen in Figure 3 and Figure 4.

.og-in	NDEXCHA
Enter Access Credentials Here:	
Username:	Message from webpage
Password:	Please enter Username
	ОК
	Sign In
	MONTON

Figure 3: eFAP Log-in page Error Message

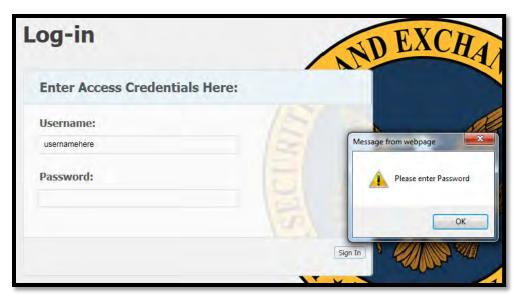


Figure 4: eFAP Log-in page Error Message

2.1 Request Application Access

The first time you log into the eFAP application, the **Request Application Access** page will appear.

1) Click the **Request Application Access** hyperlink, located at the bottom of the page, in order to be granted the SEC Filer role.

Note: As stated on the page, if you require a role different from the SEC Filer role, you need to contact the eFAP Help Desk at 202-551-EFAP (3327).

U.S. Secu	rities and
Exchange	Commission
SEC.gov SEC Rules Of Practice Guidance for Filing Electronically in SEC Administrative Proceedings (PDF) My eFAP Help • User Manual • FAQ Contact Us Logout	Electronic Filings in Administrative Proceedings Welcome Diaz, Ruben Please click the hyperlink below to be granted the SEC Filer role within eFAP, and make note of the message that will appear below it. The SEC Filer role allows you to submit filings in administrative proceedings. If you require a different eFAP role, contact the service desk at 202-551-EFAP (3327). Request Application Access

Figure 5: Request Application Access page and hyperlink

2) The page will refresh with a message, containing a unique transaction ID, appearing below the **Request Application Access** hyperlink.

Note: As stated on the page, retain the transaction ID for your records. If there are any issues with your SEC Filer role, the transaction ID will be used by the eFAP Help Desk to resolve.



Figure 6: Request Application Access page – message with transaction ID

3) Click the **Logout** hyperlink and then log back into eFAP to check your access.

3 My eFAP

 After successfully logging in, you are taken to the My eFAP page. This is the main "landing page" for users logging into eFAP, and it consists of three (3) tabs: My eFAP, History of My Filings and My Service History.

SEC.gov SEC Rules Of Practice Guidance for Filing Electronically in SEC Administrative Proceedings (PDF) My eFAP Filing in an Administrative Proceeding • Submit Filings	Welcome T My eFAP	est, diazruFiler1	f My Filings My Service History				
• Submit rhings	View 🗸 🖬 Detach						
Help	AP File No.	Date Opened					
 User Manual FAQ 	3-19155	New case	opened for validation on stage environment	07/17/2019			
Contact Us	My Most Recent Filings: 2 Record(s) Found						
Logout	Note: You can only see filings submitted by you using your eFAP account and not all information associated with the case(s) in which you are a participant.						
	View 👻	Detach					
	ID	AP File No.	Description	Date Submitted			
	10428	3-19155	test test	10/11/2019			
	10406	3-19155	4 docs	10/08/2019			

Figure 7: My eFAP page

- a) The My eFAP tab contains two tables:
 - i. Associated Cases table shows AP cases with which you are affiliated.

Electronic Filings in Administrative Proceedings Welcome Test, diazruFilerTest My eFAP History of My Filings My Service History								
Associated Cases: 1 Record(s) Found								
View 👻	🚮 Detach							
AP File No	. Case Nar	e	Date Opened					
3-19155	07/17/2019							
My Most Recent Filings: 2 Record(s) Found Note: You can only see filings submitted by you using your eFAP account and not all information associated with the case(s) in which you are a participant. View - Detach								
ID	AP File No.	Description	Date Submitted					
10428	3-19155	test test	10/11/2019					
10406	3-19155	4 docs	10/08/2019					

Figure 8: My eFAP page – Associated Cases

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

	lic Filings in Fest, diazruFile	Administrative Proceedings						
My eFAP History of My Filings My Service History								
Associated Cases: 1 Record(s) Found								
View 👻	Detach							
AP File No.	. Case Na	ne	Date Opened					
3-19155	New cas	opened for validation on stage environment	07/17/2019					
My Most Recent Filings: 2 Record(s) Found Note: You can only see filings submitted by you using your eFAP account and not all information associated with the case(s) in which you are a participant. View View								
ID	AP File No.	Description	Date Submitted					
10428	3-19155	test test	10/11/2019					
10406	3-19155	4 docs	10/08/2019					
			· · · · · · · · · · · · · · · · · · ·					

Figure 9: My eFAP page – My Most Recent Filings

b) **History of My Filings** tab – the complete history of filings that you have previously submitted to eFAP.

Velcome	Test, diazruFiler	Test	
My eFA	P History of My Filings: 2 Re	ecord(s) Found	
-	and and and filling	- sub-sited by use using the FAD account and not all information account	
	can only see filing	is submitted by you using your eFAP account and not all information associa	ated with the case(s) in which you are a participant.
lote: You View 👻 ID		is submitted by you using your eFAP account and not all information associa	ated with the case(s) in which you are a participant. Date Submitted
∕iew •	Detach		

Figure 10: My eFAP page – History of My Filings tab

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

My eFAP His	tory of My Filings	My Service History			
ly Services: 12 Reco	ord(s) Found				
re a participant.		tea with your enam service	e email address and not all information asso	clated with the case(s) in wh	nch you
Service Date	Service ID	AP File No.	Case Name	Service Information	
08/16/2019	2383	3-19155	New case opened for validation o	View Documents	1
10/03/2019	2384	3-19155	New case opened for validation o	View Documents	
and and the second second	2385	3-19155	New case opened for validation o	View Documents	- 1
08/12/2019					
	2386	3-19155	New case opened for validation o	View Documents	
08/16/2019	2386 2389	3-19155 3-19155	New case opened for validation o New case opened for validation o	View Documents View Documents	
08/16/2019 09/05/2019	1111				-
08/16/2019 09/05/2019 09/06/2019	2389	3-19155	New case opened for validation o	View Documents	
08/16/2019 09/05/2019 09/06/2019 09/13/2019	2389 2391	3-19155 3-19155	New case opened for validation o New case opened for validation o	View Documents View Documents View Documents	
08/12/2019 08/16/2019 09/05/2019 09/06/2019 09/13/2019 09/12/2019 09/27/2019	2389 2391 2396	3-19155 3-19155 3-19155	New case opened for validation o New case opened for validation o New case opened for validation o	View Documents View Documents View Documents View Documents	

Figure 11: My eFAP page – My Service History tab

4 eFAP Navigation using the 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 an **SEC.gov** website hyperlink, a **My eFAP** page hyperlink, and a **Logout** hyperlink to logout of the eFAP application.

SEC.gov SEC Rules Of Practice Guidance for Filing Electronically in SEC Administrative Proceedings (PDF) My eFAP Filing in an Administrative Proceeding • Submit Filings	My eFAP History of My Filings My Service History Associated Cases: 1 Record(s) Found View Image: Control of the service distribution of the service distreservice distribution of the service distribution of the s					
Help	AP File No.	AP File No. Case Name Date Open				
User ManualFAQ	3-19155 New case opened for validation on stage environment 07/17/2019					
Contact Us	My Most Red	ent Filings: 2 I	Record(s) Found			
Logout	Note: You can only see filings submitted by you using your eFAP account and not all information associated with the case(s) in which you are a participant.					
	View 👻	🖌 Detach				
	ID	AP File No.	Description	Date Submitted		
	10428	3-19155	test test	10/11/2019		
	10406	3-19155	4 docs	10/08/2019		

Figure 12: Left Navigation Toolbar

5 Filing in an Adminstrative 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 to the eFAP system and the steps for viewing reasons that OS used to reject your submitted filings.

5.1 Submit Filings

If you know the associated AP File Number you want to submit a filing against, the filing can be uploaded via the **Submit Filings** function.

1) From the left navigation toolbar, under Filing in an Administrative Proceeding, click on the Submit Filings hyperlink.

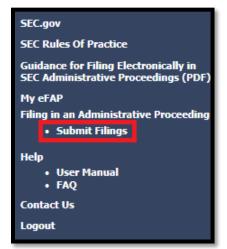


Figure 13: Submit Filings hyperlink

2) The Notice of Redaction Responsibility and Notice of Responsibility to Serve Filings page will appear. Read the notice and confirm that you understand the rules regarding the redaction of

Sensitive Personal Information (SPI) from documents and the responsibility of serving the filings. The **OK** button will not be enabled until you check the **Notice of Redaction Responsibility** and **Notice of Responsibility to Serve Filings** check boxes.

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

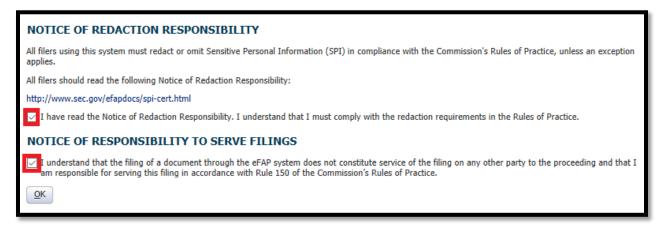


Figure 14: Submit Filings – Notice page – check boxes for notices

- 3) Upon clicking OK, the Submit Filings page appears.
- 4) Enter data into the following required fields:
 - a) AP 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. Required fields are marked with a red asterisk (*).

Submit Filings	(*) Required Field
Notice: This system accepts only files in PDF format (.pdf extension Guidance for Filing Electronically in SEC Administrative Pro	on). The total file size of uploaded documents is limited. Please see ceedings (PDF) for details.
Administrative Proceeding File Number (3-####) 3- On Behalf of	 Instructions: Enter the Administrative Proceeding File Number (3-#####) of the matter in which you are submitting documents. In the "On Behalf of" field, enter the name of each party for whom the filing is being made. In the "Filing Description" field, enter a brief description of document(s) being upbaded (e.g., Motion for [Name of Motion], Brief in Support and Attachments). Use the "Browsey(Choose Files" button to select files from your local drive or drag and drop files into the box below. Note: Attachments to filings and hearing exhibits must be uploaded as separate files. Once selected, files will display below the box. Verify that the file name format is in accordance with SEC Guidance
* Filing Description	 for Filing Electronically in SEC Administrative Proceedings (link above). For each file: a. Select the "Title" of the document from the drop-down list. If the applicable "Title" is not in the list, choose "Other" and enter the title. b. Select the "Ocheck the "Under Seal" box, if applicable. Yerify that your selections are correct. To remove a file, click on the "X" under the "Remove" column. 8) Once all information is complete, click the "Submit" button. You will be asked to certify that your documents comply with the Rules concerning sensitive personal information before you can complete the transmission.
* Select one or more documents to file. You may drag and drop the files into the box be	low.

Figure 15: Submit Filings page – required fields

- 5) There are two methods to upload documents to your filing:
 - a) Method 1: Click **Browse** (in Internet Explorer or **Choose Files** in Chrome), which opens a navigation window where you can browse for the documents located on your hard drive.

elect one or more documents to file, fou may drag and drop the files into the	box below.	 2		
		÷		
Browse				
size entered so far: 0.0 MB				
user can still upload up to: 2048.0 MB				
Ibmit Cancel				

Figure 16: Submit Filings page – Browse function to upload documents

b) Method 2: **Drag and drop** the documents from your hard drive into the drag and drop box. When your documents are dragged over the drag and drop area, the box will turn blue as shown in Figure 17 below.

* Select one or more documents to file, You may drag and drop the files into the box belo	и.	
Browse		
File size entered so far: 0.0 MB The user can still upload up to: 2048.0 MB Submit Cancel		

Figure 17: Submit Filings page - Upload documents using drag and drop

6) With either method, a table about the uploaded document(s) will then appear near the bottom of the page.

Browse				
File size entered so far: 0.0 MB (25.0 KB) The user can still upload up to: 2048.0 MB View -				
File Name Motion for Stay.pdf	* Title/Description	* Document Type Filing ~	Under Seal	Remove
Submit Cancel				

Figure 18: Submit Filings page - uploaded document(s) table

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

File Name	* Title/Description		* Document Type	Under Seal	Remov
Motion for Stay.pdf		~	Filing	✓ □	E

Figure 19: Submit Filings page - File Name column of uploaded document(s) table

8) The second column contains a **Title/Description** drop-down list. For each uploaded and listed document, select a required and applicable title/description from the dropdown list. There are

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.

View 👻					
File Name	* Title/Description	* Document Type		Under Seal	Remove
Motion for Stay.pdf		Filing	Y		×



- 9) The third column contains a **Document Type** dropdown 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

File size entered so far: 0.0 MB (25.0 KB) The user can still upload up to: 2048.0 MB						_
View -			-			
File Name	* Title/Description		* Document Type	1	Under Seal	Remove
Motion for Stay.pdf		\sim	Filing	~		X
				_	-	-
Submit Cancel						

Figure 21: Information about uploaded document(s) – Document Type drop-down list

10) The fourth column contains an **Under Seal** checkbox 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.

					/iew 🝷
Remove	Under Seal	* Document Type		* Title/Description	File Name
23		Filing 🗸	\sim		Motion for Stay.pdf
I.		Filing ~	~		otion for Stay.pdf

Figure 22: Information about uploaded document(s) – Under Seal selection

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.

View -					-
File Name	* Title/Description		* Document Type	Under Seal	Remove
Motion for Stay.pdf		~	Filing	✓ □	13

Figure 23: Information about uploaded document(s) – Document Removal option

- a) A prompt will appear confirming that you want to remove the selected document.
- b) Click the Yes button to remove the document from the filing or No to cancel the removal.

Confirm Removal	
Are you sure you want to remove the Stay.pdf?	e document Motion for
	Yes No

Figure 24: Confirm Removal pop-up

- 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, click the **Submit** button to continue the filing submission process.

View -						
File Name	* Title/Description		* Document Typ)e	Under Seal	Remov
Motion for Stay.pdf		×	Filing	~		23

Figure 25: Submit Filings page – Submit button

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

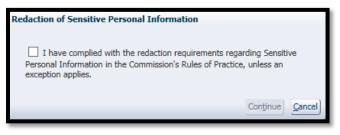


Figure 26: Redaction of SPI pop-up

15) If you are in compliance with redaction requirements, click the checkbox to add a check mark and then click **Continue**.

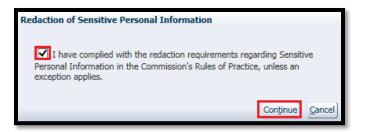


Figure 27: Redaction of SPI pop-up with check mark in checkbox

NOTE: After clicking Continue, 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: The Filing Confirmation page contains the unique filing ID for your submission.

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

Filing Con	firmation						
Show Printab	ale Page						
Your Filing ID i	and the second se						
		quires about this filing.					
		to retain the ID Number for your records					
Filing Det	ails						
AP File	No. 3-19155		Filer Test, diazruFilerTest		ID 1	0432	
Case Na	ame New case of	pened for validation on stage environment	On Behalf of Test Company				
Date Submit	tted 10/18/2019						
	tion Motion for S						
							_
✓ Success	sfully Upload	ed Files					
✓ Success	sfully Upload	ed Files					
	sfully Upload			Title/Description		Document Type	Under Seal
View +				Title/Description Motion for Stay		Document Type Filing	Under Seal
View - AP File No.	Date Submitte	d File Name		and the set of the set			in the second
View - AP File No.	Date Submitte	d File Name		and the set of the set			in the second
View + AP File No. 3-19155	Date Submitte 10/18/2019	d File Name Motion for Stay.pdf	tem does not constitute service of this filing on a	Motion for Stay	ving this filing in accorda	Filing	No
View + AP File No. 3-19155	Date Submitte 10/18/2019	d File Name Motion for Stay.pdf	tem does not constitute service of this filing on a	Motion for Stay	ving this filing in accorda	Filing	No
View - AP File No. 3-19155	Date Submitte 10/18/2019 RDING SERVICE:	d File Name Motion for Stay.pdf	tem does not constitute service of this filing on a	Motion for Stay	ving this filing in accorda	Filing	No
View + AP File No. 3-19155 NOTICE REGAP Practice. Sub <u>m</u> it Anoth	Date Submitte 10/18/2019 RDING SERVICE: her Filing Su	d File Name Motion for Stay.pdf The filing of a document through the eFAP syst bmit Another Filing for Different AP Case		Motion for Stay	ving this filing in accorda	Filing	No
View - AP File No. 3-19155 NOTICE REGAR Practice. Submit Anoth	Date Submitte 10/18/2019 RDING SERVICE: her Filing Su ther filing for the	d File Name Motion for Stay.pdf The filing of a document through the eFAP syst bmit Another Filing for Different AP Case same AP File Number, click "Submit Another Fi	ling,*	Motion for Stay		Filing	No
View - AP File No. 3-19155 NOTICE REGAR Practice. Submit Anoth	Date Submitte 10/18/2019 RDING SERVICE: her Filing Su ther filing for the	d File Name Motion for Stay.pdf The filing of a document through the eFAP syst bmit Another Filing for Different AP Case same AP File Number, click "Submit Another Fi		Motion for Stay		Filing	No

Figure 28: Filing Confirmation page – Show Printable Page button and filing ID

18) To submit another filing for the same AP file number, click the Submit Another Filing button. To submit another filing for a different AP file number, click the Submit Another Filing for Different AP Case button.

Filing Con	firmation					
Show Printal	ole Page					
Your Filing ID	is 10432.					
Use this ID wh	en making any inquires	about this filing.				
Print this cor	firmation page to re	tain the ID Number for your records	L			
Filing Det	ails					
AP File	No. 3-19155		Filer Test, diazruFilerTest		ID 10432	
Case N	ame New case opened	for validation on stage environment	On Behalf of Test Company			
Date Submi	tted 10/18/2019					
Descrip	tion Motion for Stay					
~ Succes	sfully Uploaded F	iles				
View +						
AP File No.	Date Submitted	File Name		Title/Description	Document Type	Under Seal
3-19155	10/18/2019	Motion for Stay.pdf		Motion for Stay	Filing	No
NOTICE REGA Practice. Submit Anot	2012103120 100	ling of a document through the eFAP sys	tem does not constitute service of this filing on	any other party. You are responsible for ser	ving this filing in accordance with Rule 150 of	the Commission's Rules of

Figure 29: Filing Confirmation page – Submit Another Filing buttons

- 19) After submitting the filing package, a system-generated email from <u>no-reply@sec.gov</u> will be sent to your SEC email.
- 20) Clicking on either the **here** hyperlink or the URL link in the email body shown in Figure 30 will bring you to the **Filing Information as Submitted** page as shown in Figure 31.

Prom: no-resi/@sec.gov Sent: Fróday, October 18, 2013 4 27 PM To: diazy-lifetar diazy-lifetarte 8262.COV> Subject: ePAP Notice of Filing – AF File No. 3-16155
Office of the Secretary United States Securities and Exchange Commission Electronic Filings in Administrative Proceedings System
This is an automatic email message generated by the Electronic Filings in Administrative Proceedings (eFAP) system. Please DO NOT RESPOND to this email because the mailbox is unattended.
Notice of Filing
Your filing has been received by the eFAP system.
AP File No.: 3-19155 Case Name: New case opened for validation on stage environment Date: 10/18/2019 Description: Motion for Stay ID: 10432 YOU ARE RESPONSIBLE FOR SERVING THIS FILING IN ACCORDANCE WITH RULE 150 OF THE COMMISSION'S RULES OF PRACTICE. Filing a document in the eFAP system does not constitute service of such document. Please click house to access the filing information.
If you click the link and it appears to be broken, please copy and pastel it into a new browser window https://platformstg.ad.sec.gov/eFAP/faces/RevevedFilingDocs?WirdfAB9x8DkKnE3x fxz.gov==
If you are not currently logged into eFAP system, you will be asked to log in after clicking on the link.
If you have questions concerning this notice, you may contact the Office of the Secretary at 202-S51-3327 during business hours (9.00 a.m \$:30 p.m., Eastern Time, on weekdays excluding Federal holidays).
This email message (and any attachments) from the Office of the Secretary is for the exclusive use of the intended recipient(s) and may contain confidential and privileged information. If you are not the intended recipient, please do not read, distribute, or take action in reliance upon the message. If you have received this message in error, please notify the Office of the Secretary immediately at (202) 551-3327 and promptly delete this message and its attachments from your computer system. Be advised that no privileges are waived by the transmission of this message.

Figure 30: Submit Filings Confirmation email – link to access filing information

Filing Inform	ation as Submitted					Back
🗵 Filing Deta	ils					
AP File No.	3-19155		Filer Test, diazruFilerTest		ID 10432	
Case Name	New case opened for validation on sta	ge environment	On Behalf of Test Company			
Date Submitted	10/18/2019					
Description	Motion for Stay					
Documents	5					
View -						
AP File No.	Date Submitted	File Name	Title/Description	Document Type	Under Seal	
3-19155	10/18/2019	Motion for Stay.pdf	Motion for Stay	Filing	No	

Figure 31: Filing Information as Submitted page

5.2 View OS Reasons for Rejecting Documents within a Filing

After reviewing a filing that you submitted, OS may decide to reject document(s) within that filing. Rejections can occur for a number of reasons. To view OS reasons for rejecting the document in the filing, follow the steps below.

 If OS rejects your filing document(s), you will receive an email from <u>no-reply@sec.gov</u> notifying you of this information. Along with the filing information, the email will contain OS comments as to why the filing was rejected.

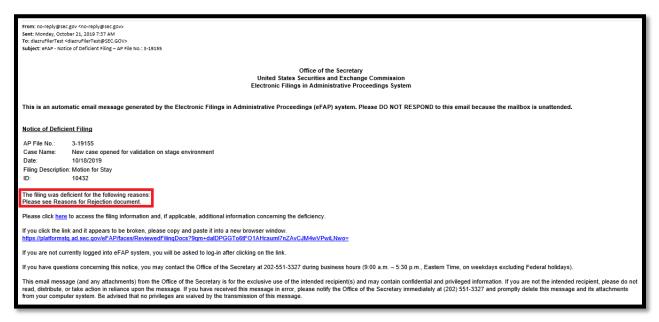


Figure 32: Notice of Deficient Filing email with reasons for rejected filing

2) Click either the **here** hyperlink or the URL link in the email to navigate to the **Filing Information** page.

From: no-reply@sec.gov <no-reply@sec.gov></no-reply@sec.gov>
Sent: Monday, October 24, 2019 7:37 AM
To: diazruFilerTest <diazrufilertest@sec.gov></diazrufilertest@sec.gov>
Subject: eFAP - Notice of Deficient Filing – AP File No.: 3-19155
Office of the Secretary
United States Securities and Exchange Commission
Electronic Filings in Administrative Proceedings System
This is an automatic email message generated by the Electronic Filings in Administrative Proceedings (eFAP) system. Please DO NOT RESPOND to this email because the mailbox is unattended.
Notice of Deficient Filing
AP File No.: 3-19155
Case Name: New case opened for validation on stage environment
Date: 10/18/2019
Filing Description. Motion for Stay
Timing Description: motion for data
10. IV+92
The filing was deficient for the following reasons: Please see Reasons for Rejection document.
Please click need o access the filing information and, if applicable, additional information concerning the deficiency.
If you click the link and it appears to be broken, blease copy and paste it into a new browser window. https://platformstg.ad.sec.gov/eFAP/faces/ReviewedFilingDocs?9gm+dalDPGGToEfFO1AHcsumI7nZAvCJM4wVPwiLNwo=
If you are not currently logged into eFAP system, you will be asked to log-in after clicking on the link.
If you have questions concerning this notice, you may contact the Office of the Secretary at 202-551-3327 during business hours (9:00 a.m 5:30 p.m., Eastern Time, on weekdays excluding Federal holidays).
This email message (and any attachments) from the Office of the Secretary is for the exclusive use of the intended recipient(s) and may contain confidential and privileged information. If you are not the intended recipient, please do not read, distribute, or take action in reliance upon the message. If you have received this message in error, please notify the Office of the Secretary immediately at (202) 551-3327 and promptly delete this message and its attachments from your computer system. Be advised that no privileges are waived by the transmission of this message.

Figure 33: eFAP – Notice of Deficient Filing email with links to access the filing information

- 3) After logging in, you can see the details for the rejected filing.
- 4) The rejection comments will be on the page, along with any supporting documentation that OS uploaded.

Filing Informa	tion			Back
Notice of Defi	cient Filing			
The filing was def	icient for the following re	sons Please see Reasons for Rejection document.		
	AP Fi	e No. 3-19155	Filer Test, diazruFilerTest	ID 10432
	Case	Name New case opened for validation on stage environment	On Behalf of Test Company	
	Date Subr	nitted 10/18/2019		
	Descr	ption Motion for Stay		
To access the fi	ling (as submitted) cli	k the ID number above.		
	information Decem	line Definited filles		
		ling Deficient Filing		
AP File No.		Document Title		
3-19155	10432	Reasons for Rejection.pdf		

Figure 34: Notice of Deficient Filing page

5) Resubmit the filing per OS's guidance.

6 Service

If you are associated to an AP case, OS may serve you certain documents based on case developments. If you are served, you will receive a system-generated email from <u>no-reply@sec.gov</u> in your email inbox. The email will provide details of the service, as well as the hyperlink and URL link, from which you can access the service.

From: no-reply@sec.gov <no-reply@sec.gov> Sent: Thursday, October 10, 2019 4:10 PM To: diazruFilerTest <diazrufilertest@sec.gov> Subject: AP File No. 3-19155 / Notice of Service /D 2417</diazrufilertest@sec.gov></no-reply@sec.gov>
Office of the Secretary United States Securities and Exchange Commission Electronic Filings in Administrative Proceedings System
This is an automatic email message generated by the Electronic Filings in Administrative Proceedings (eFAP) system. Please DO NOT RESPOND to this email because the mailbox is unattended.
Notice of Service
AP File No.: 3-19155 Case Name: New case opened for validation on stage environment Service Date: 10/10/2019 Service ID: 2417
Please click here to access the Service Information.
If you click the link and it appears to be broken, please copy and paste it into a new browser window. https://platformstg.ad.sec.gov.6443/eFAP/faces/ReviewedFilingDocs?FgiGa95e0PpEtHI3gIGN22JJTTIm7Z7YoQ8xAAAIR+ACfySc6dwlMhpkoWu/PecSIIQSgaUMcDJgzfuB46S++8uxXSrjZ0HR4jgZBlqv6H8=
If you are not currently logged into eFAP system, you will be asked to log in after clicking on the link.
If you have questions concerning this notice, you may contact the Office of the Secretary at 202-551-3327 during business hours (9:00 a.m 5:30 p.m., Eastern Time, on weekdays excluding Federal holidays).
This email message (and any attachments) from the Office of the Secretary is for the exclusive use of the intended recipient(s) and may contain confidential and privileged information. If you are not the intended recipient, please do not read, distribute, or take action in reliance upon the message. If you have received this message in error, please notify the Office of the Secretary immediately at (202) 551-3327 and promptly delete this message and its attachments from your computer system. Be advised that no privileges are waived by the transmission of this message.

Figure 35: Notice of Service email

1) Click either the **here** hyperlink or the URL link in the email to navigate to the **Service Information** page.

NOTE: You may be asked to log into eFAP if you are not already logged in.

From: no-reply@sec.gov <no-reply@sec.gov> Sent: Thursday, October 10, 2019 4:10 PM To: diazruFilerTest <diazrufilertest@sec.gov> Subject: AP File No. 3-19155 / Notice of Service / Service ID 2417</diazrufilertest@sec.gov></no-reply@sec.gov>	
	Office of the Secretary United States Securities and Exchange Commission Electronic Filings in Administrative Proceedings System
This is an automatic email message generated by the Electronic I	ilings in Administrative Proceedings (eFAP) system. Please DO NOT RESPOND to this email because the mailbox is unattended.
Notice of Service	
AP File No.: 3-19155 Case Name: New case opened for validation on stage environment Service Date: 10/10/2019 Service ID: 2417	
Please click nere o access the Service Information.	
If you click the link and it appears to be broken, please copy and paster https://platformstg.ad.sec.gov.6443/eFAP/faces/ReviewedFilingDocs?	it into a new browser window. cgGa95e0PpEfHI3gIGN22UTTIm7ZZY0Q8xAAAIR+ACfySc6dwiMhpkoWw/PecSIIQSgaUMcDJgzfuB46S++8uxXSrjZ0HR4jgZBlqv6H8=
If you are not currently logged into eFAP system, you will be asked to	og in after clicking on the link.
If you have questions concerning this notice, you may contact the Office	e of the Secretary at 202-551-3327 during business hours (9:00 a.m 5:30 p.m., Eastern Time, on weekdays excluding Federal holidays).
recipient, please do not read, distribute, or take action in reliance upon	etary is for the exclusive use of the intended recipient(s) and may contain confidential and privileged information. If you are not the intended the message. If you have received this message in error, please notify the Office of the Secretary immediately at (202) 551-3327 and system. Be advised that no privileges are waived by the transmission of this message.

Figure 36: Notice of Service email displaying service details and links to access the service

2) On the **Service Information** page, click each hyperlinked document title to view or download a copy of each document within the service.

Service Info	ormation			Back
Service Deta	ails			
AP File No.	3-19155	Served To	DIAZRUFILERTEST	
Case Name	New case opened for validation on	Served By	Office of the Secretary	
	stage environment	Service Date	10/10/2019	
		Service ID	2417	
_	t Information			
Document Title Order Vacating				Under Seal
Order Vacating				NO

Figure 37: Service Information page – Document Title hyperlink

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** hyperlink on the left navigation toolbar to open the **My eFAP** page (if you are not there already).
- 2) Click the My Service History tab.

Welcome Test, diazro		Proceedings My Service History			
participant.	the service history associa	ted with your eFAP service	email address and not all information associated with th	ne case(s) in which you are	a
View + Detac	Service ID	AP File No.	Case Name	Service Information	
08/16/2019	2383	3-19155	New case opened for validation on stage envir	View Documents	0
10/03/2019	2384	3-19155	New case opened for validation on stage envir	View Documents	
and the second sec					
08/12/2019	2385	3-19155	New case opened for validation on stage envir	View Documents	

Figure 38: My Service History tab

3) Locate the service ID that you were served in the **Service ID** column. Each service will be located on a single row.

Welcome Test, diazr	s in Administrative _{uFilerTest}	Proceedings			
My eFAP His	tory of My Filings	My Service History			
My Services: 12 Reco	ord(s) Found				
a a	the second on Links and a second	total with some a CAD manufact	e email address and not all information associated with the	he man / a) in sublish sons and	-
participant.		ned with your erap service	email address and not all information associated with th	ne case(s) in which you are	a
			email address and not all information associated with th		
View + Detacl		AP File No. 3-19155		Service Information	a 0
articipant. View + Detad Service Date 08/16/2019	h Service ID	AP File No.	Case Name	Service Information View Documents	
View 🔹 🛃 Detad	h Service ID 2383	AP File No. 3-19155	Case Name New case opened for validation on stage envir	Service Information View Documents View Documents	

Figure 39: My Service History tab – Service ID column

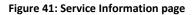
4) Click the **View Documents** hyperlink in the far-right **Service Information** column to view the documents associated with that service.

Electronic Filings Welcome Test, diazru	s in Administrative ^{uFilerTest}	Proceedings			
My eFAP His	tory of My Filings	My Service History			
My Services: 12 Reco					
participant.		ted with your effer service	email address and not all information associated with t	ne case(s) in which you are	a
participant.		AP File No.	email address and not all information associated with t	ne case(s) in which you are	a
View 🔹 🚮 Detac					a
View + Detack	Service ID	AP File No.	Case Name	Service Information	
View + Detach Service Date 08/16/2019	Service ID 2383	AP File No. 3-19155	Case Name New case opened for validation on stage envir	Service Information	

Figure 40: My Service History tab – View Documents hyperlink

5) The Service Information page will appear.

ervice Info	rmation			(Back
ervice Deta	ails				
AP File No.	3-19155	Served To	DIAZRUFILERTEST		
	New case opened for validation on	Served By	Office of the Secretary		
:	stage environment	Service Date	08/16/2019		
		Service ID	2383		
Document	t Information			Under Seal	
Order A				No	
					al



6) As mentioned previously, from the **Service Information** page you can click each hyperlinked document title to view or download a copy of each document.

Service Information				
Service Deta	ails			
AP File No.	3-19155	Served To	DIAZRUFILERTEST	
Case Name	Case Name New case opened for validation on		Office of the Secretary	
	stage environment	Service Date	08/16/2019	
		Service ID	2383	
Document Title	t Information			Under Seal
Order A				No

Figure 42: Service Information page – Document Title hyperlink

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.

7 Detach Functionality

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

	the service history associa	ted with your eFAP service	e email address and not all information associated with th	ne case(s) in which you are a
articipant.				
View 👻 🛃 Detac	h			
Service Date	Service ID	AP File No.	Case Name	Service Information
08/16/2019	2383	3-19155	New case opened for validation on stage envir	View Documents
10/03/2019	2384	3-19155	New case opened for validation on stage envir	View Documents
08/12/2019	2385	3-19155	New case opened for validation on stage envir	View Documents
08/16/2019	2386	3-19155	New case opened for validation on stage envir	View Documents
09/05/2019	2389	3-19155	New case opened for validation on stage envir	View Documents
09/06/2019	2391	3-19155	New case opened for validation on stage envir	View Documents
09/13/2019	2396	3-19155	New case opened for validation on stage envir	View Documents
09/12/2019	2397	3-19155	New case opened for validation on stage envir	View Documents
09/27/2019	2403	3-19155	New case opened for validation on stage envir	View Documents
10/08/2019	2411	3-19155	New case opened for validation on stage envir	View Documents

Figure 43: My Services table on My Service History tab – Detach button

When you click the **Detach** button located above a table you are interested in viewing, that table will be displayed in a detached (separate) window. To close the **Detached Table** window, click on the **Detach** icon or the **X** box in the top right corner.

View + Detach				
Service Date	Service ID	AP File No.	Case Name	Service Information
08/16/2019	2383	3-19155	New case opened for validation on stage environment	View Documents
10/03/2019	2384	3-19155	New case opened for validation on stage environment	View Documents
08/12/2019	2385	3-19155	New case opened for validation on stage environment	View Documents
08/16/2019	2386	3-19155	New case opened for validation on stage environment	View Documents
09/05/2019	2389	3-19155	New case opened for validation on stage environment	View Documents
09/06/2019	2391	3-19155	New case opened for validation on stage environment	View Documents
09/13/2019	2396	3-19155	New case opened for validation on stage environment	View Documents
09/12/2019	2397	3-19155	New case opened for validation on stage environment	View Documents
09/27/2019	2403	3-19155	New case opened for validation on stage environment	View Documents
10/08/2019	2411	3-19155	New case opened for validation on stage environment	View Documents
10/10/2019	2417	3-19155	New case opened for validation on stage environment	View Documents
10/10/2019	2420	3-19155	New case opened for validation on stage environment	View Documents

Figure 44: Detached Table window – Detach button and X box

8 Clear Browser Cache

If you are having issues successfully logging into/accessing eFAP, try clearing your web-browser cache. Please refer to the sections below which detail the steps for clearing your browser cache.

8.1 Internet Explorer (IE)

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

NOTE: Depending on the version of IE that you have, the screenshots and steps below may differ slightly.

1) Click the **Settings** button near the top-right corner of the browser.

4 4.5	All is the first state		
	D - 🗎 C 🧭 tstwg-extohs-vip	🥖 New tab 🛛 🗙	ᡬ ☆ 🕮

Figure 45: Top section of an Internet Explorer Browser page – Settings button

2) Select Internet Options.

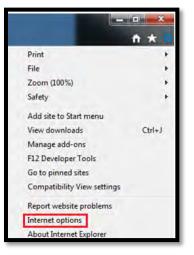


Figure 46: IE Settings - Internet options

3) The Internet Options window appears.

```
NOTE: You can also use the "CTRL" + "Shift" + "Delete" shortcut to access this same window.
```

4) Press the **Delete...** button under **Browsing history**.

ieneral	Security	Privacy	Content	Connections	Programs	Advan
Home p	bage					_
~	To cre	ate home p	age tabs,	type each add	ress on its o	wn line.
-	http	//insider/				*
		-		_		
		Use cur	rent	Use default	Use ne	ew tab
Startu	p	_				
S	itart with t	abs from th	e last sess	ion		
@ S	itart with h	ome page				
Tabs		_				
Char	nge how w	ebpages ar	e displayed	d in tabs.	Та	bs
	ng history				7542-03.	
			tory, cook	ies, saved pas	swords, and	web
Dele	te tempora informatio					
Dele form	informatio	n.	on exit			
Dele form	informatio		on exit		1	
Dele form	informatio	n.	r ori exit	Delete	Sett	ings
Dele form	i informatio Jelete brov	n.	r ori exit	Delete	Sett	ings
Dele form	i informatio Jelete brov	n.		Delete Fonts		ings isibility
Dele form	rance	n. /sing history	Jages	Fonts	Acces	
Dele form	rance	n. /sing history	Jages		Acces	

Figure 47: Browsing history Delete button in IE

5) On the **Delete Browsing History** window, ensure your checked items match those that are checked in Figure 48, and then click the **Delete** button.

Delete Browsing History
Preserve Favorites website data Keep cookies and temporary Internet files that enable your favorite websites to retain preferences and display faster.
Temporary Internet files and website files Copies of webpages, images, and media that are saved for faster viewing.
Cookies and website data Files or databases stored on your computer by websites to save preferences or improve website performance.
V History List of websites you have visited.
Download History List of files you have downloaded.
Form data Saved information that you have typed into forms.
Passwords Saved passwords that are automatically filled in when you sign in to a website you've previously visited.
Tracking Protection, ActiveX Filtering and Do Not Track A list of websites excluded from filtering, data used by Tracking Protection to detect where sites might automatically be sharing details about your visit, and exceptions to Do Not Track requests.
About deleting browsing history Delete Cancel

Figure 48: Delete Browsing History window in IE and the Delete button

- 6) After a few seconds, the browser cache will be cleared.
- 7) Close the browser window, restart IE, and try accessing the application again.

8.2 Chrome

To clear Chrome web-browser cache, complete the following steps.

NOTE: Depending on the Chrome version and downloaded add-ins, the screenshots and steps below may differ slightly from what you see.

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

☆	() google.com	☆	:
_			

Figure 49: Top section of Google Chrome browser page – Settings button

2) Click Settings from the dropdown.

		☆		:
New tab			Ctrl+	r'
New wind	wob		Ctrl+N	1
History				
Downloa	ds		Ctrl+	1
Bookman	ks			
Zoom	- 3	+ 100%	5	1
Print			Ctrl+1	2
Cast				
Find			Ctrl+	Ē
More too	ls			
Edit	Cut	Сору	Pas	te
Settings				
Help				

Figure 50: Chrome Settings drop-down – Settings button

3) The **Settings** window appears. Select the **Clear browsing data...** button under the **Privacy and security** section.

ivacy and security		
Google Chrome may use web services to improve your browsing experience. You may optic services. Learn more	onally disabl	e these
Use a web service to help resolve navigation errors		-
Use a prediction service to help complete searches and URLs typed in the address bar	₽	0-
Use a prediction service to load pages more quickly		-
Automatically send some system information and page content to Google to help detect da apps and sites	angerous	
Protect you and your device from dangerous sites	₽	-
Automatically send usage statistics and crash reports to Google	₽	-
Send a "Do Not Track" request with your browsing traffic		-
Use a web service to help resolve spelling errors Smarter spell-checking by sending what you type in the browser to Google		
Manage certificates Manage HTTPS/SSL certificates and settings		2
Content settings Control what information websites can use and what content they can show you		•
Clear browsing data		-
Clear history, cookies, cache, and more)

Figure 51: Chrome Privacy and security window – Clear browsing data button

4) On the next page, ensure your checked items match those that are checked in Figure 52 and then click the **CLEAR BROWSING DATA** button.

NOTE: You can also use the "CTRL" + "Shift" + "Delete" shortcut to access this same page.

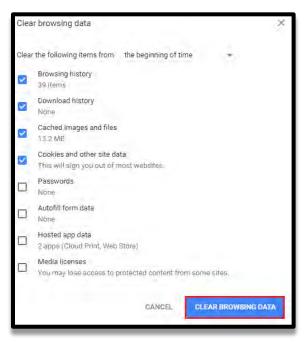


Figure 52: Clear browsing data window in Chrome – CLEAR BROWSING DATA button

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

9 Logout

To logout from the eFAP application, click Logout located at the bottom of the left navigation toolbar or at top right-hand corner of most eFAP pages.

A STREET BALL				1000
U.S. Secu Exchange				
CULLER				Accessibility Logged in as Test, diazruFilerTest (Logo
EC.gov EC Rules Of Practice EC Administrative Proceedings (PDF) by eFAP Iling in an Administrative Proceeding • Submit Filings	Welcome To My eFAP Associated	est, diazruFile	of My Filings My Service History rd(s) Found	Date Opened
 User Manual FAQ 	3-19155	New cas	e opened for validation on stage environment	07/17/2019
iontact Us ogout	Note: You ca		Record(s) Found is submitted by you using your eFAP account and not all information associat	ed with the case(s) in which you are a participant.
	ID	AP File No.	Description	Date Submitted
	10432	3-19155	Motion for Stay	10/18/2019
	10428	3-19155	test test	10/11/2019
	10406	3-19155	4 docs	10/08/2019

Figure 53: Logout