

Electronic Filings in Administrative Proceedings (eFAP)



eFAP User Manual – SEC Filer

Version 1.0

Table of Contents

1	Introduction	1
1.1	eFAP Help Desk	1
2	Log-in	1
2.1	Request Application Access	3
3	My eFAP	4
4	eFAP Navigation using the Left Navigation Toolbar	6
5	Filing in an Administrative Proceeding	7
5.1	Submit Filings	7
5.2	View OS Reasons for Rejecting Documents within a Filing.....	15
6	Service.....	16
7	Detach Functionality	20
8	Clear Browser Cache	21
8.1	Internet Explorer (IE).....	21
8.2	Chrome.....	23
9	Logout	25

Table of Figures

Figure 1: eFAP Log-in page.....	1
Figure 2: eFAP Log-in page with Credentials	2
Figure 3: eFAP Log-in page Error Message	2
Figure 4: eFAP Log-in page Error Message	3
Figure 5: Request Application Access page and hyperlink.....	3
Figure 6: Request Application Access page – message with transaction ID	4
Figure 7: My eFAP page	4
Figure 8: My eFAP page – Associated Cases	5
Figure 9: My eFAP page – My Most Recent Filings	5
Figure 10: My eFAP page – History of My Filings tab	6
Figure 11: My eFAP page – My Service History tab	6
Figure 12: Left Navigation Toolbar.....	7
Figure 13: Submit Filings hyperlink	7
Figure 14: Submit Filings – Notice page – check boxes for notices	8
Figure 15: Submit Filings page – required fields	9
Figure 16: Submit Filings page – Browse function to upload documents	9
Figure 17: Submit Filings page - Upload documents using drag and drop	10
Figure 18: Submit Filings page - uploaded document(s) table	10
Figure 19: Submit Filings page - File Name column of uploaded document(s) table	10
Figure 20: Information about uploaded document(s) – Title/Description drop-down list	11
Figure 21: Information about uploaded document(s) – Document Type drop-down list	11
Figure 22: Information about uploaded document(s) – Under Seal selection	11
Figure 23: Information about uploaded document(s) – Document Removal option.....	12

Figure 24: Confirm Removal pop-up.....	12
Figure 25: Submit Filings page – Submit button	12
Figure 26: Redaction of SPI pop-up.....	12
Figure 27: Redaction of SPI pop-up with check mark in checkbox	13
Figure 28: Filing Confirmation page – Show Printable Page button and filing ID	13
Figure 29: Filing Confirmation page – Submit Another Filing buttons	14
Figure 30: Submit Filings Confirmation email – link to access filing information	14
Figure 31: Filing Information as Submitted page	15
Figure 32: Notice of Deficient Filing email with reasons for rejected filing.....	15
Figure 33: eFAP – Notice of Deficient Filing email with links to access the filing information.....	16
Figure 34: Notice of Deficient Filing page	16
Figure 35: Notice of Service email	17
Figure 36: Notice of Service email displaying service details and links to access the service	17
Figure 37: Service Information page – Document Title hyperlink	18
Figure 38: My Service History tab	18
Figure 39: My Service History tab – Service ID column	19
Figure 40: My Service History tab – View Documents hyperlink.....	19
Figure 41: Service Information page.....	19
Figure 42: Service Information page – Document Title hyperlink	20
Figure 43: My Services table on My Service History tab – Detach button	20
Figure 44: Detached Table window – Detach button and X box	21
Figure 45: Top section of an Internet Explorer Browser page – Settings button	21
Figure 46: IE Settings – Internet options.....	21
Figure 47: Browsing history Delete button in IE	22
Figure 48: Delete Browsing History window in IE and the Delete button	22
Figure 49: Top section of Google Chrome browser page – Settings button.....	23
Figure 50: Chrome Settings drop-down – Settings button	23
Figure 51: Chrome Privacy and security window – Clear browsing data button.....	24
Figure 52: Clear browsing data window in Chrome – CLEAR BROWSING DATA button	24
Figure 53: Logout	25

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.

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



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.

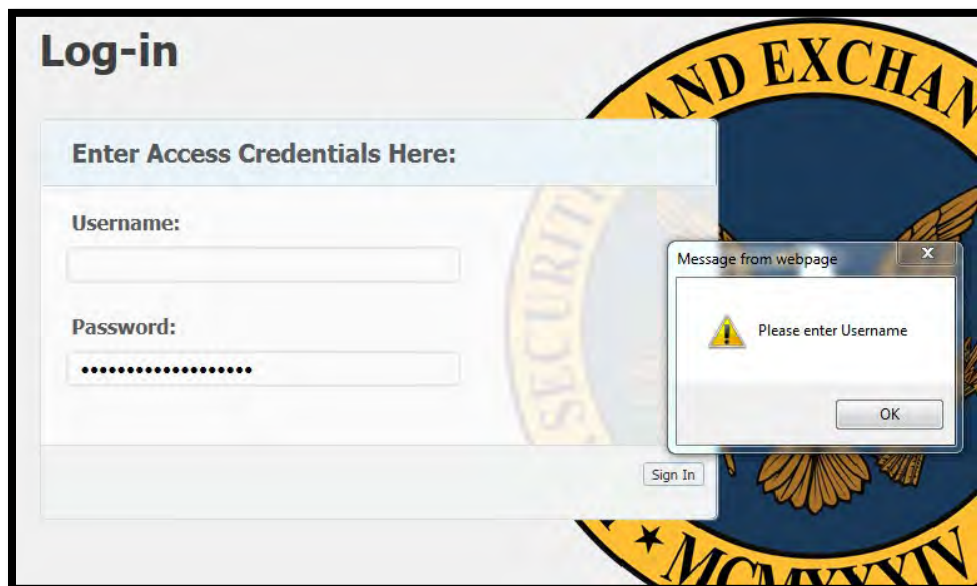


Figure 3: eFAP Log-in page Error Message

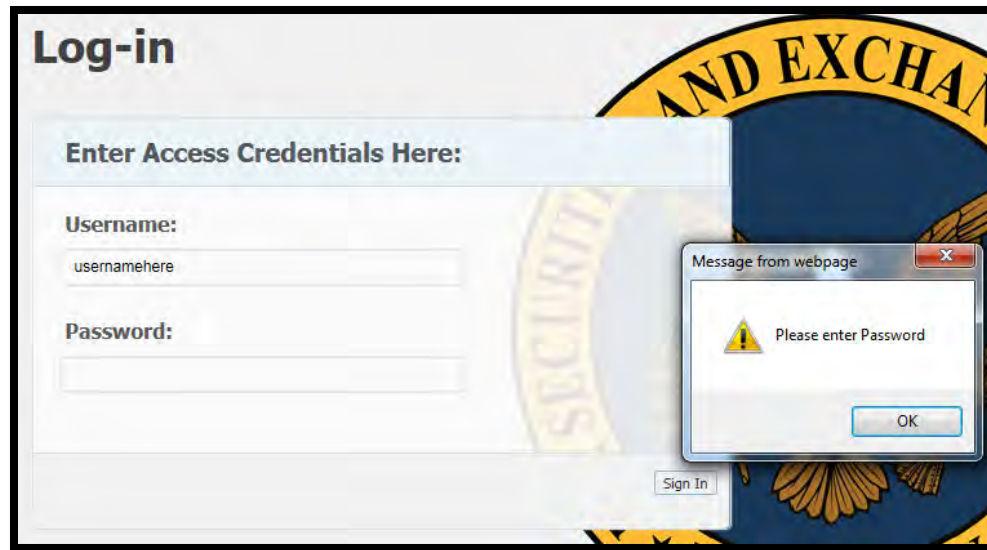


Figure 4: eFAP Log-in page Error Message

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).



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.

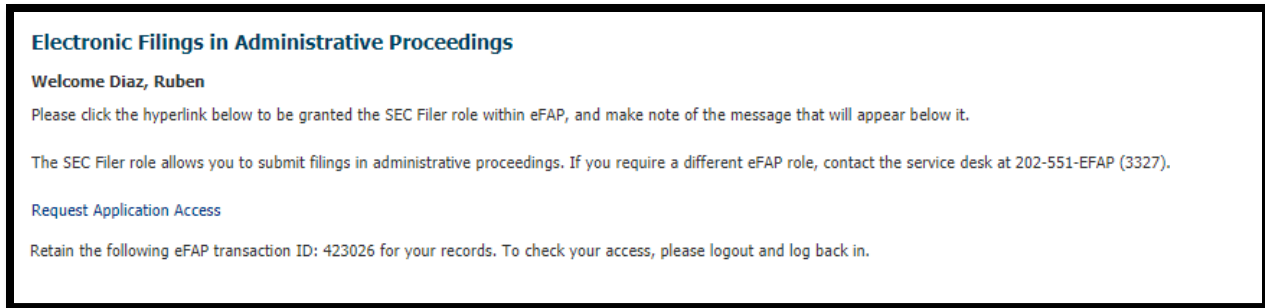


Figure 6: Request Application Access page – message with transaction ID

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

3 My eFAP

- 1) 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**.

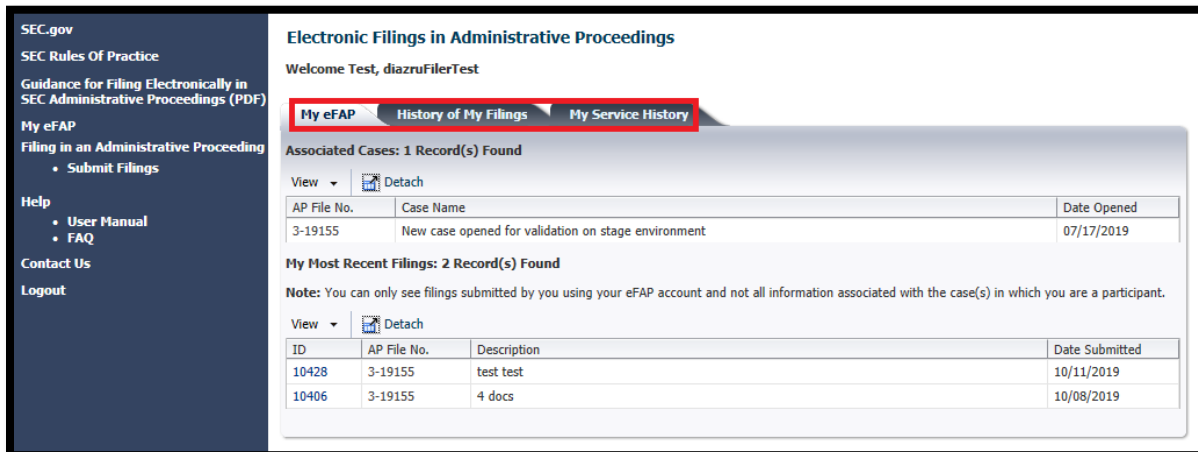


Figure 7: My eFAP page

- 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 Name	Date Opened
3-19155	New case 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 ▾ 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.

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 Name	Date Opened
3-19155	New case 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 ▾ 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 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.

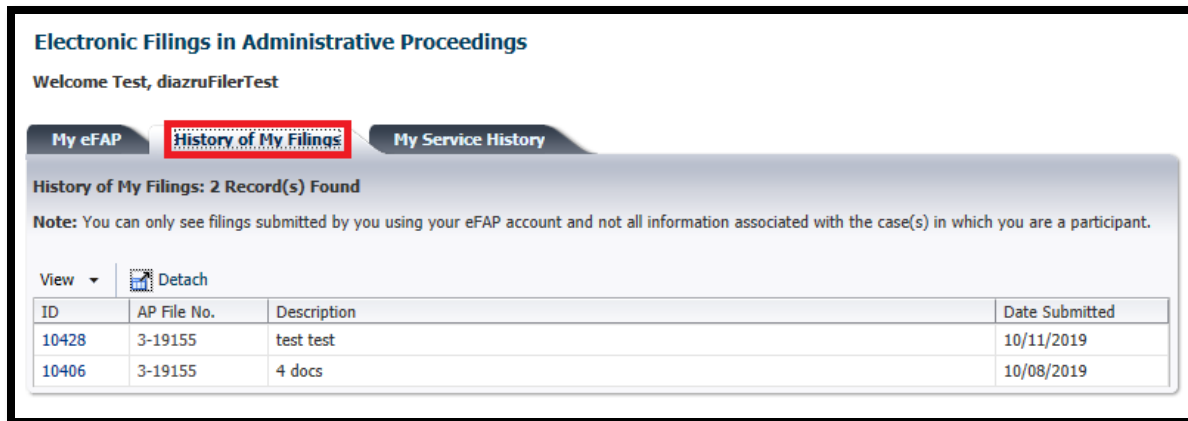


Figure 10: My eFAP page – History of My Filings tab

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

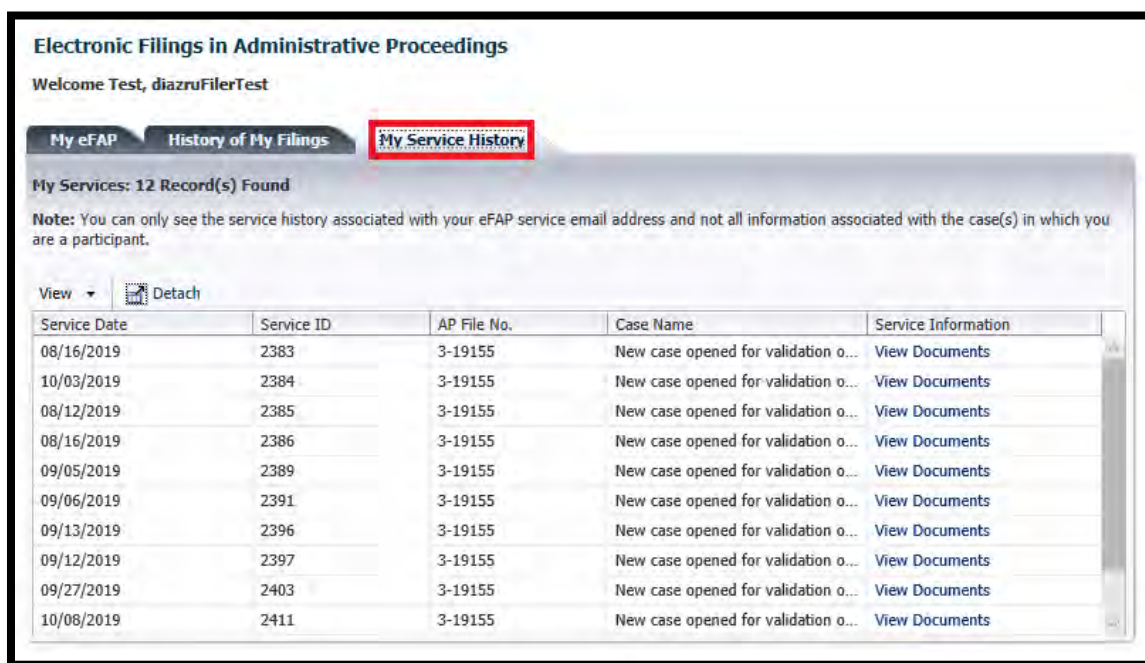


Figure 11: My eFAP page – My Service History tab

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.

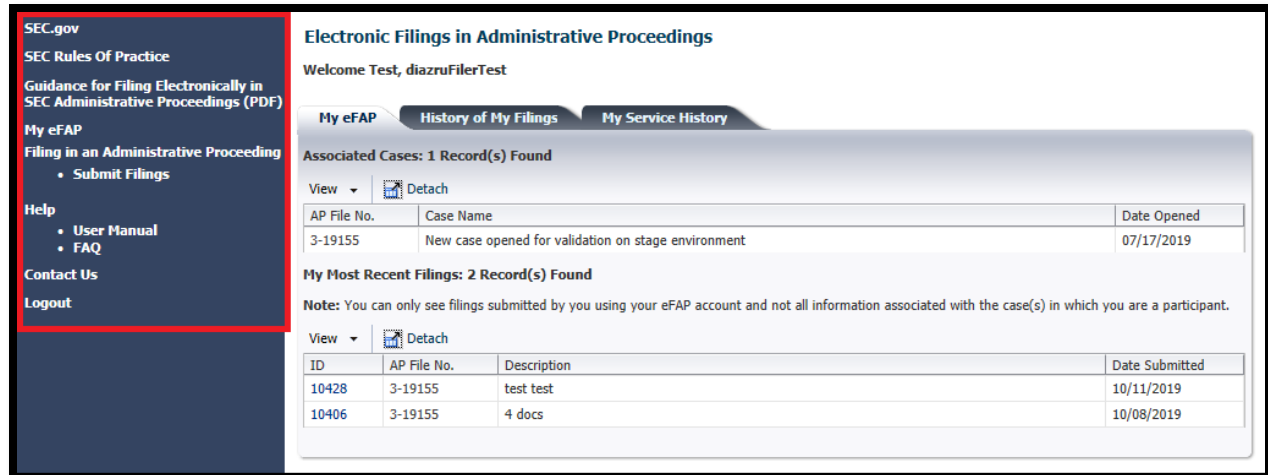


Figure 12: Left Navigation Toolbar

5 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 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.

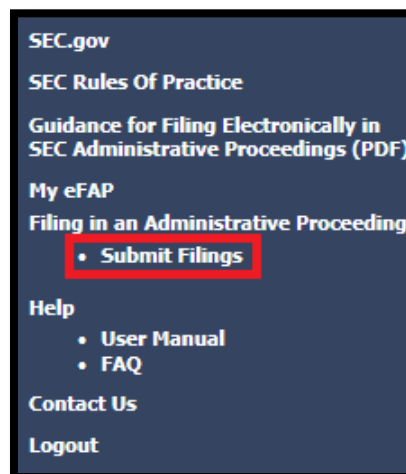


Figure 13: Submit Filings hyperlink

- 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.

NOTICE OF REDACTION RESPONSIBILITY

All filers using this system must redact or omit Sensitive Personal Information (SPI) in compliance with the Commission's Rules of Practice, unless an exception applies.

All filers should read the following Notice of Redaction Responsibility:

<http://www.sec.gov/efapdocs/spi-cert.html>

☒ I have read the Notice of Redaction Responsibility. I understand that I must comply with the redaction requirements in the Rules of Practice.

NOTICE OF RESPONSIBILITY TO SERVE FILINGS

☒ I understand that the filing of a document through the eFAP system does not constitute service of the filing on any other party to the proceeding and that I am responsible for serving this filing in accordance with Rule 150 of the Commission's Rules of Practice.

OK

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). The total file size of uploaded documents is limited. Please see [Guidance for Filing Electronically in SEC Administrative Proceedings \(PDF\)](#) for details.

* Administrative Proceeding File Number (3-####)
3-

* On Behalf of

* Filing Description

Instructions:

- 1) Enter the Administrative Proceeding File Number (3-####) of the matter in which you are submitting documents.
- 2) In the "On Behalf of" field, enter the name of each party for whom the filing is being made.
- 3) In the "Filing Description" field, enter a brief description of document(s) being uploaded (e.g. Motion for [Name of Motion], Brief in Support and Attachments).
- 4) Use the "Browse/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.
- 5) Once selected, files will display below the box. Verify that the file name format is in accordance with SEC Guidance for Filing Electronically in SEC Administrative Proceedings (link above).
- 6) 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 "Document Type" from the drop-down list.
 - c. Check the "Under Seal" box, if applicable.
- 7) Verify 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 below.

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.

* Select one or more documents to file.
You may drag and drop the files into the box below.

File size entered so far: 0.0 MB
The user can still upload up to: 2048.0 MB

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.

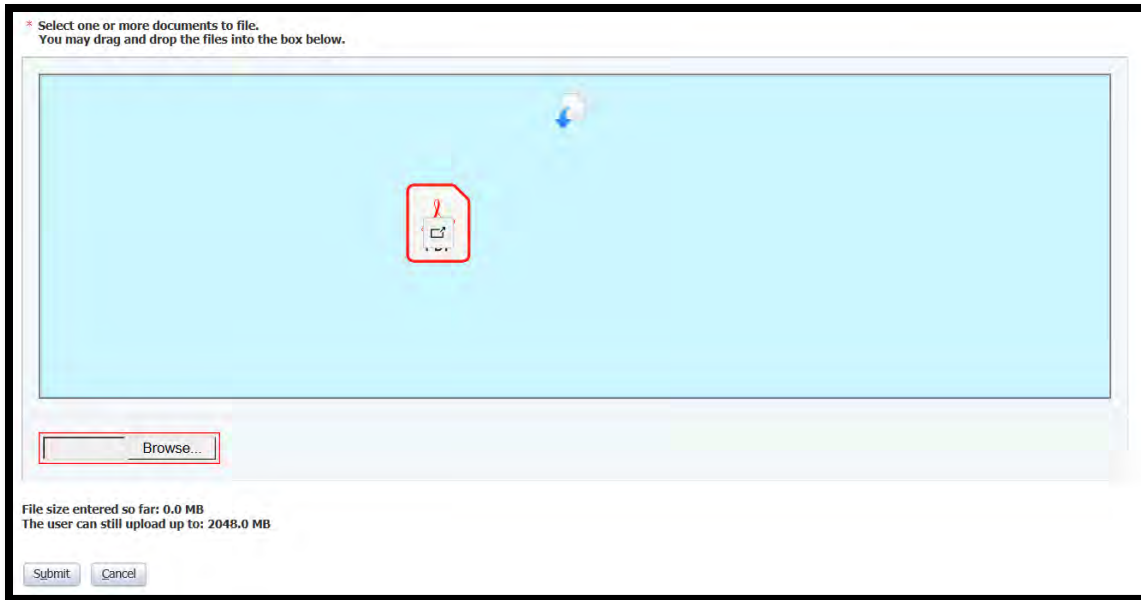


Figure 17: Submit Filings page - Upload documents using drag and drop

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

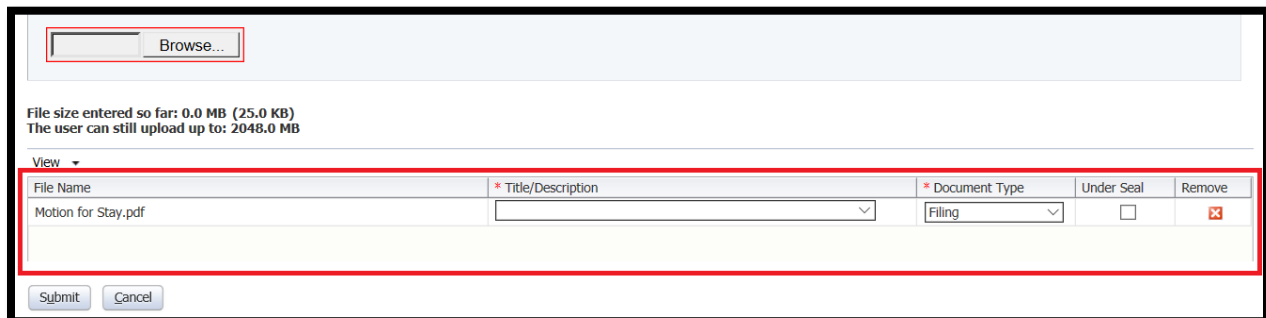


Figure 18: Submit Filings page - uploaded document(s) table

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

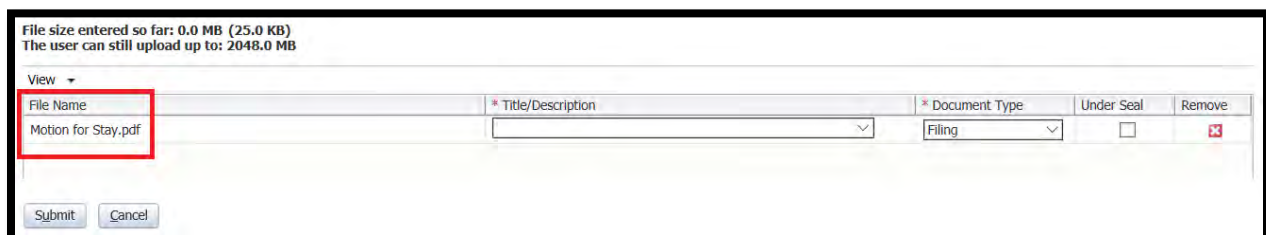


Figure 19: Submit Filings page - File Name column of uploaded document(s) table

- 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.

File size entered so far: 0.0 MB (25.0 KB)
The user can still upload up to: 2048.0 MB

File Name	* Title/Description	* Document Type	Under Seal	Remove
Motion for Stay.pdf	<input type="text"/>	Filing	<input type="checkbox"/>	<input type="button" value="x"/>

Submit Cancel

Figure 20: Information about uploaded document(s) – Title/Description drop-down list

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

File Name	* Title/Description	* Document Type	Under Seal	Remove
Motion for Stay.pdf	<input type="text"/>	Filing	<input type="checkbox"/>	<input type="button" value="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.

File size entered so far: 0.0 MB (25.0 KB)
The user can still upload up to: 2048.0 MB

File Name	* Title/Description	* Document Type	Under Seal	Remove
Motion for Stay.pdf	<input type="text"/>	Filing	<input type="checkbox"/>	<input type="button" value="x"/>

Submit Cancel

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.

File size entered so far: 0.0 MB (25.0 KB)
The user can still upload up to: 2048.0 MB

File Name	* Title/Description	* Document Type	Under Seal	Remove
Motion for Stay.pdf		Filing	<input type="checkbox"/>	<input type="button" value="Remove"/>

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 document: Motion for Stay.pdf?

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.

File size entered so far: 0.0 MB (25.0 KB)
The user can still upload up to: 2048.0 MB

File Name	* Title/Description	* Document Type	Under Seal	Remove
Motion for Stay.pdf		Filing	<input type="checkbox"/>	<input type="button" value="Remove"/>

Figure 25: Submit Filings page – Submit button

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

Redaction of Sensitive Personal Information

☐ I have complied with the redaction requirements regarding Sensitive Personal Information in the Commission's Rules of Practice, unless an exception applies.

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**.

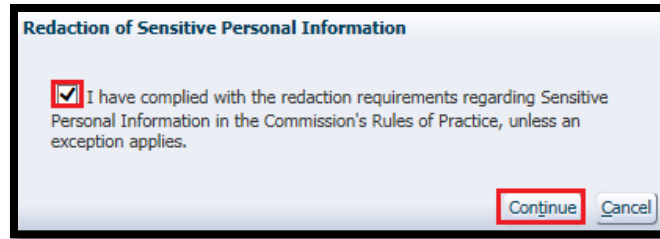


Figure 27: Redaction of SPI pop-up with check mark in checkbox

*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 Confirmation

[Show Printable Page](#)

Your Filing ID is 10432.

Use this ID when making any inquires about this filing.

Print this confirmation page to retain the ID Number for your records.

Filing Details

AP File No.	3-19155	Filer	Test, diazruFilerTest	ID	10432
Case Name	New case opened for validation on stage environment: On Behalf of Test Company				
Date Submitted	10/18/2019				
Description	Motion for Stay				

Successfully Uploaded Files

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 REGARDING SERVICE: The filing of a document through the eFAP system does not constitute service of this filing on any other party. You are responsible for serving this filing in accordance with Rule 150 of the Commission's Rules of Practice.

[Submit Another Filing](#) [Submit Another Filing for Different AP Case](#)

To submit another filing for the same AP File Number, click "Submit Another Filing."

To submit a filing for a different AP File Number, click "Submit Another Filing for Different Case." Alternatively, you can also submit a new filing using "Submit Filings" on the navigation panel.

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 Confirmation

Show Printable Page

Your Filing ID is 10432.

Use this ID when making any inquiries about this filing.

Print this confirmation page to retain the ID Number for your records.

Filing Details

AP File No.	3-19155	Filer	Test, diazruFilerTest	ID	10432
Case Name	New case opened for validation on stage environment: On Behalf of Test Company				
Date Submitted	10/18/2019				
Description	Motion for Stay				

Successfully Uploaded Files

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 REGARDING SERVICE: The filing of a document through the eFAP system does not constitute service of this filing on any other party. You are responsible for serving this filing in accordance with Rule 150 of the Commission's Rules of Practice.

Submit Another Filing Submit Another Filing for Different AP Case

To submit another filing for the same AP File Number, click "Submit Another Filing."

To submit a filing for a different AP File Number, click "Submit Another Filing for Different Case." Alternatively, you can also submit a new filing using "Submit Filings" on the navigation panel.

Figure 29: Filing Confirmation page – Submit Another Filing buttons

- 19) After submitting the filing package, a system-generated email from no-reply@sec.gov 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.

From: no-reply@sec.gov <no-reply@sec.gov>
 Sent: Friday, October 18, 2019 4:27 PM
 To: diazruFilerTest <diazruFilerTest@SEC.GOV>
 Subject: eFAP Notice of 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 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 [here](#) to access the filing information.

If you click the link and it appears to be broken, please copy and paste it into a new browser window
https://platforms.ad.sec.gov/eFAP/faces/ReviewedFilingDocx?_afAB9x8LxKne-3x1cxqgw==

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

Filing Information as Submitted Back

Filing Details

AP File No. 3-19155 Filer Test, diazruFilerTest ID 10432

Case Name New case opened for validation on stage environment On Behalf of Test Company

Date Submitted 10/18/2019

Description Motion for Stay

Documents

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.

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

From: no-reply@sec.gov <no-reply@sec.gov>
Sent: Monday, October 21, 2019 7:37 AM
To: diazruFilerTest <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
ID: 10432

The filing was deficient for the following reasons:
Please see Reasons for Rejection document.

Please click [here](#) to access the filing information and, if applicable, additional information concerning the deficiency.

If you click the link and it appears to be broken, please copy and paste it into a new browser window.
https://platformsqa.ad.sec.gov/eFAP/faces/ReviewedFilingDocs?_afm=daIDPGGT6RfO1AHcsumi7nZAvCJM4wVPwILNwo=

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 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.

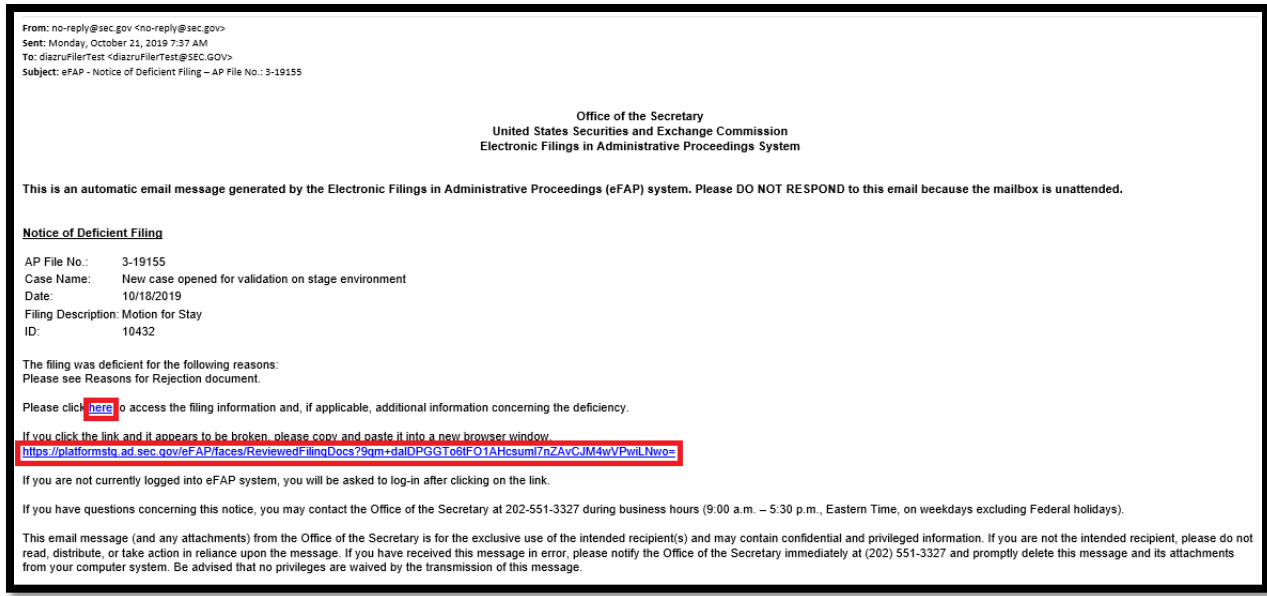


Figure 33: eFAP – Notice of Deficient Filing email with links to access the filing information

- 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.

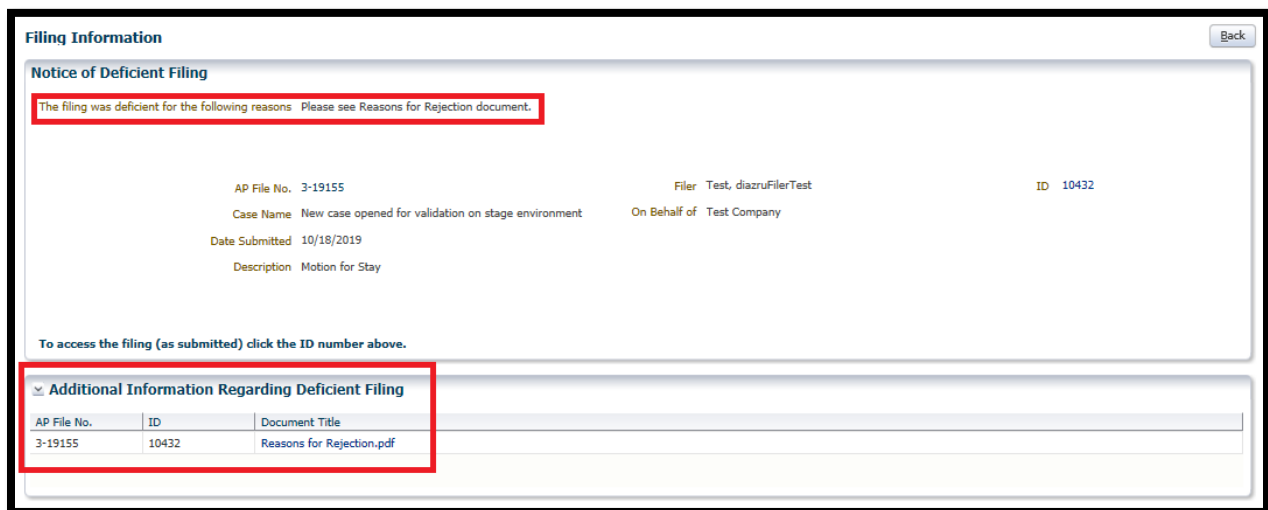


Figure 34: Notice of Deficient Filing page

- 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 no-reply@sec.gov 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.

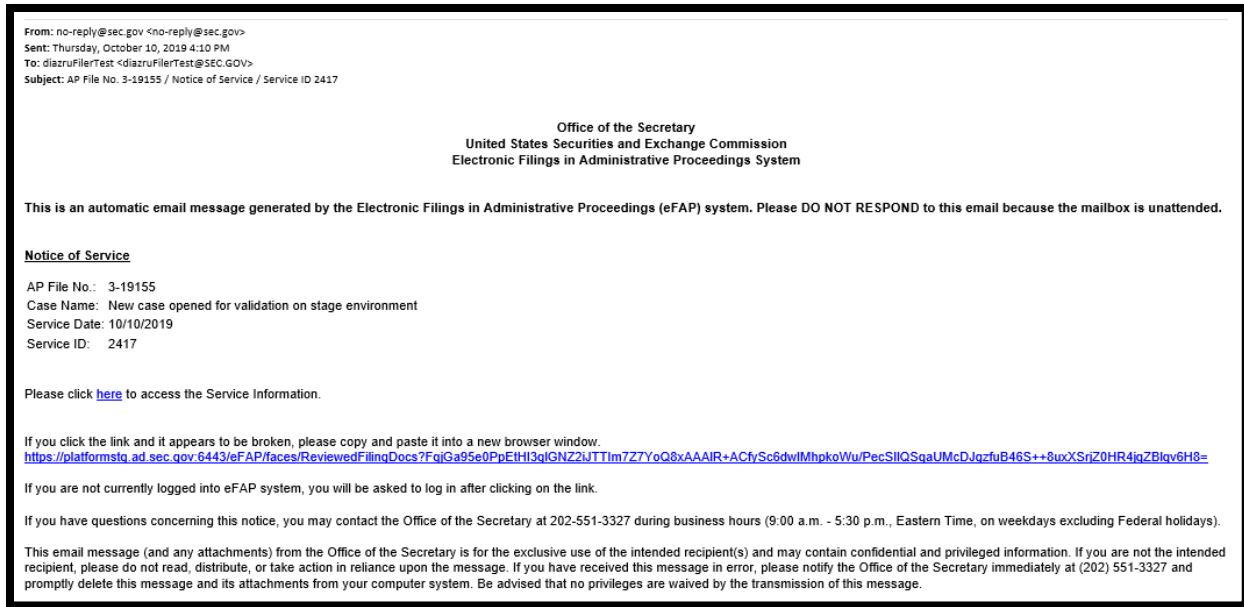


Figure 35: Notice of Service email

- 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.

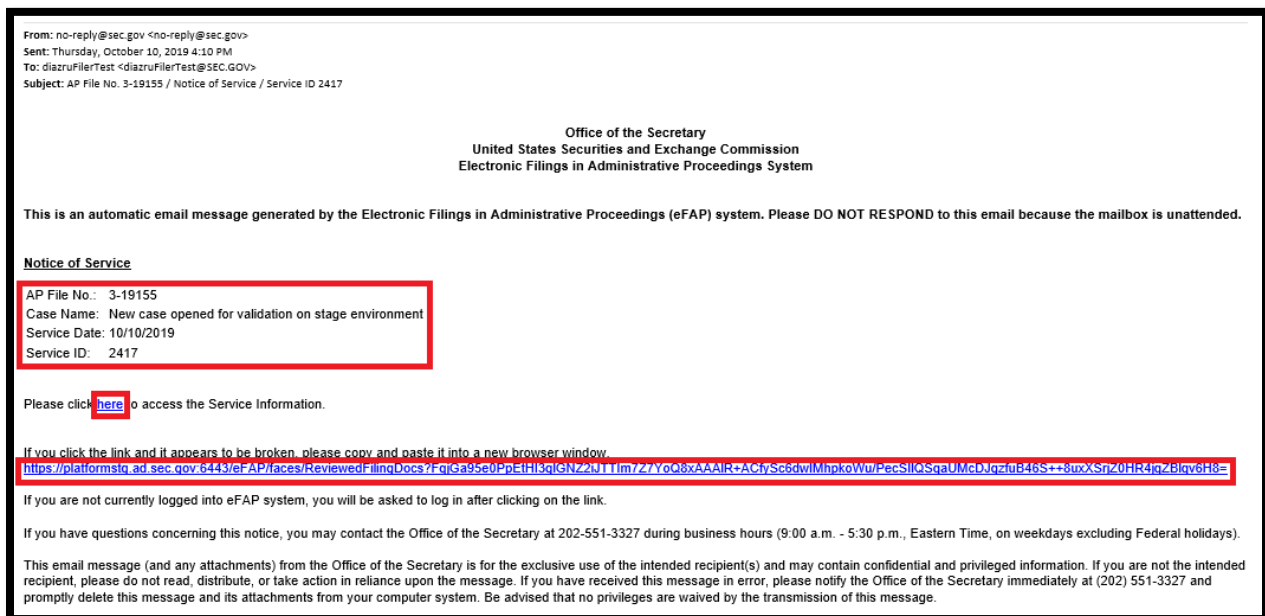


Figure 36: Notice of Service email displaying service details and links to access the service

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

Service Information Back

Service Details

AP File No. 3-19155 Served To DIAZRUFILERTEST

Case Name New case opened for validation on stage environment Served By Office of the Secretary

Service Date 10/10/2019 Service ID 2417

Document Information

Document Title	Under Seal
Order Vacating Bar Order	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.

Electronic Filings in Administrative Proceedings

Welcome Test, diazruFilerTest

My eFAP **History of My Filings** **My Service History**

My Services: 12 Record(s) Found

Note: You can only see the service history associated with your eFAP service email address and not all information associated with the case(s) in which you are a participant.

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 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

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.

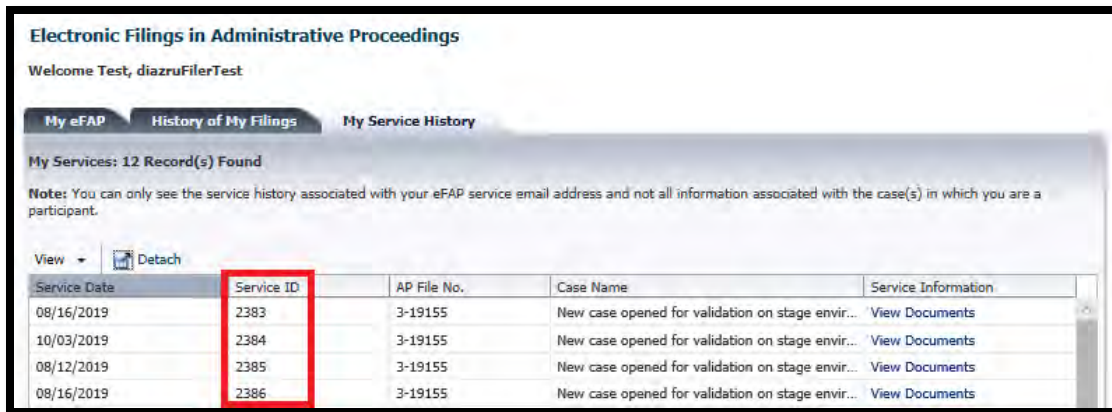


Figure 39: My Service History tab – Service ID column

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

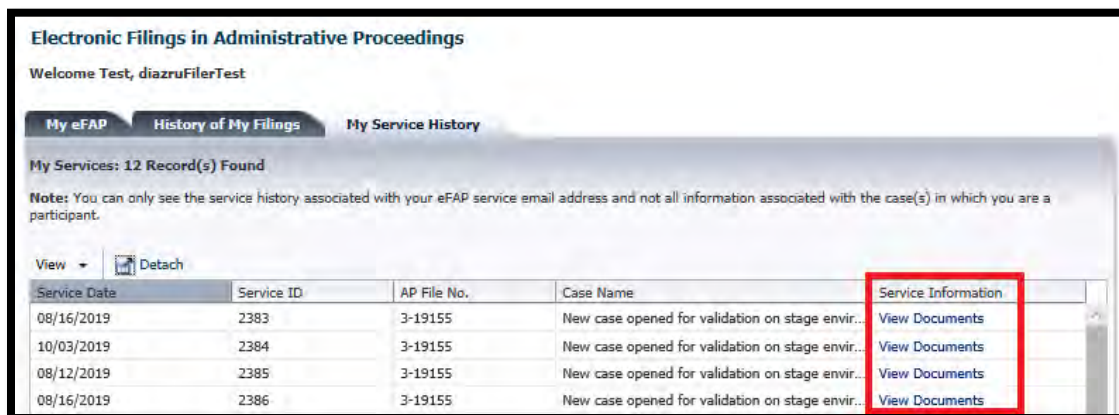


Figure 40: My Service History tab – View Documents hyperlink

- 5) The **Service Information** page will appear.

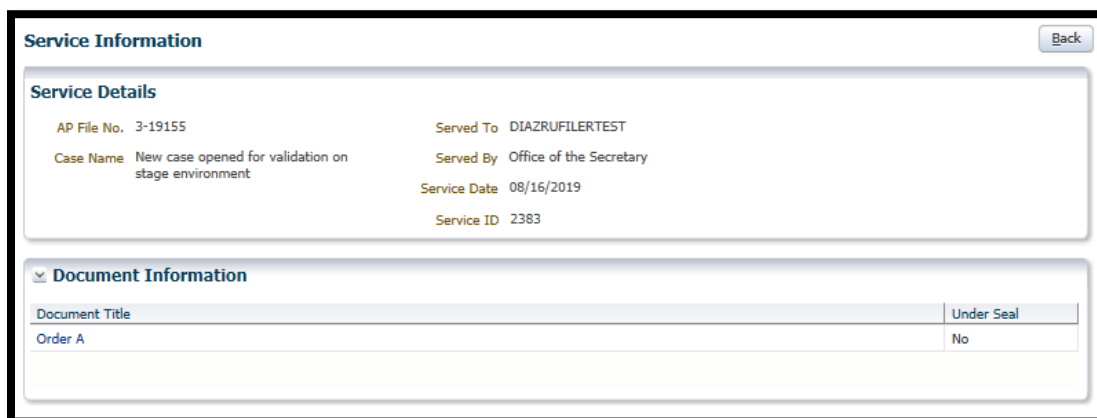


Figure 41: Service Information page

- 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 Back

Service Details

AP File No. 3-19155 Served To DIAZRUFILERTEST
 Case Name New case opened for validation on stage environment Served By Office of the Secretary
 Service Date 08/16/2019
 Service ID 2383

Document Information

Document Title	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.

My Services: 12 Record(s) Found

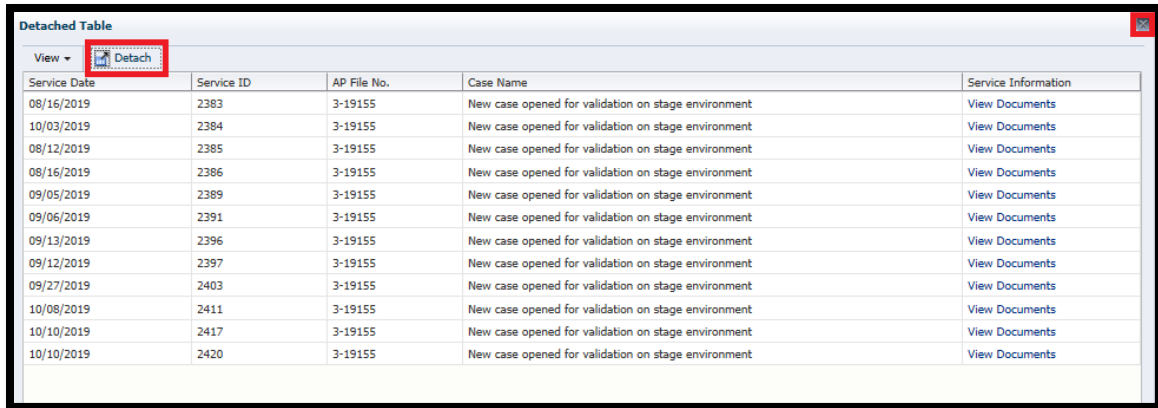
Note: You can only see the service history associated with your eFAP service email address and not all information associated with the case(s) in which you are a participant.

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 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.



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.

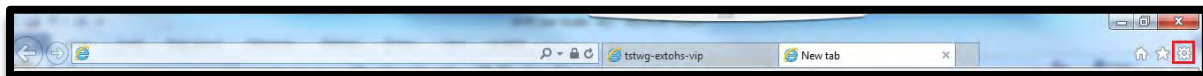


Figure 45: Top section of an Internet Explorer Browser page – Settings button

- 2) Select **Internet Options**.

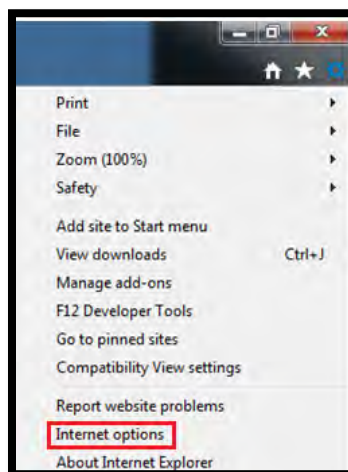


Figure 46: IE Settings – Internet options

- 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**.

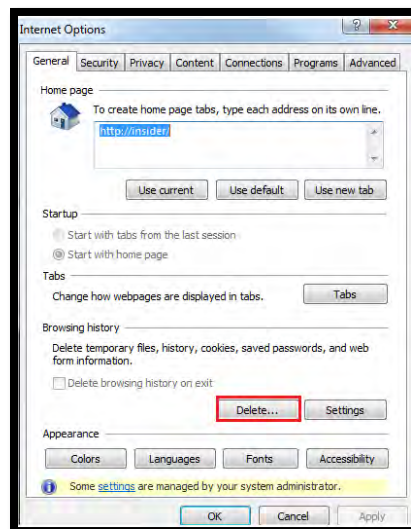


Figure 47: Browsing history Delete button in IE

- 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.

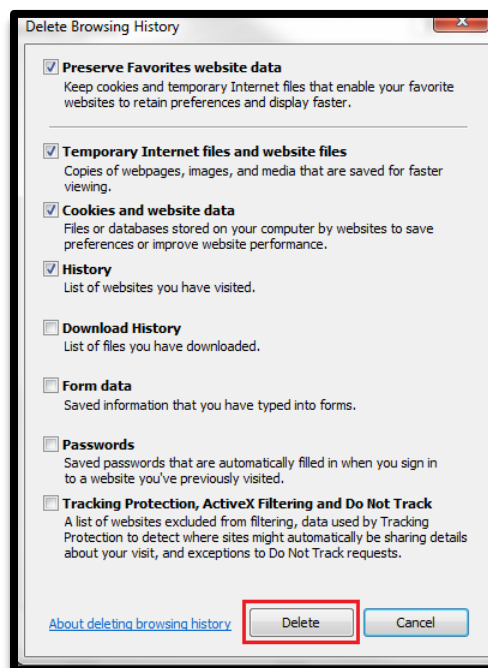


Figure 48: Delete Browsing History window in IE and the Delete button

- 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.



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

- 2) Click **Settings** from the dropdown.

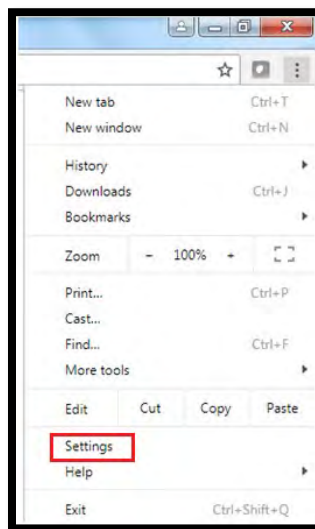


Figure 50: Chrome Settings drop-down – Settings button

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

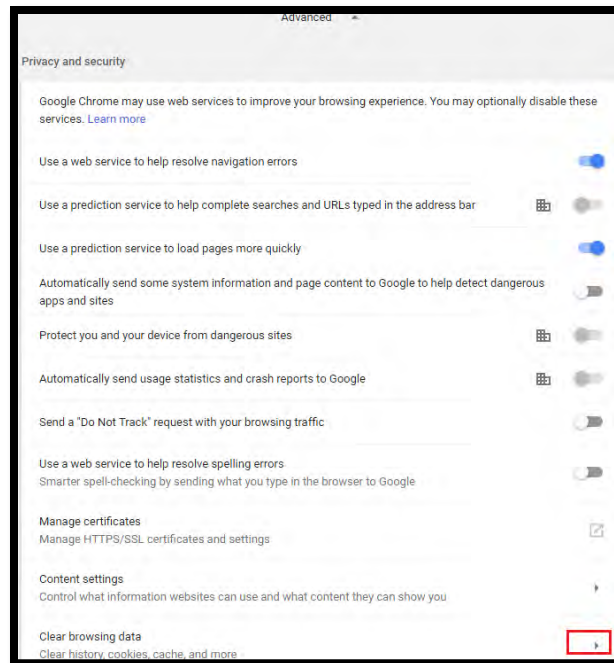


Figure 51: Chrome Privacy and security window – Clear browsing data button

- 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.

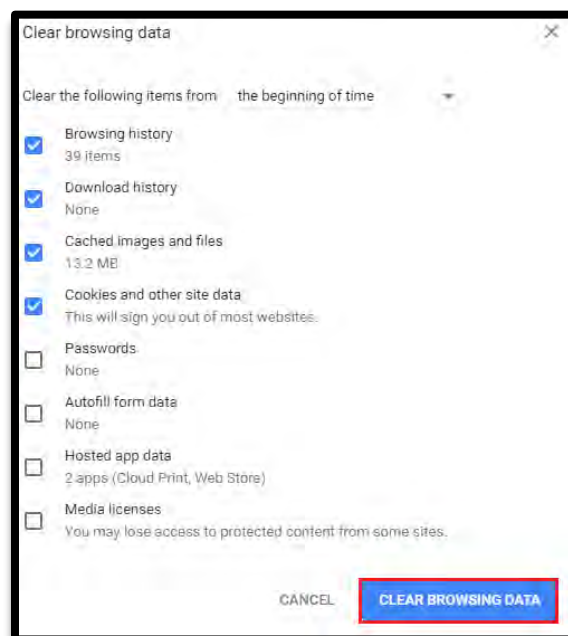


Figure 52: Clear browsing data window in Chrome – CLEAR BROWSING DATA button

- 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.



Figure 53: Logout