



**U.S. Securities and  
Exchange Commission**

# SEC Managed File Transfer (MFT)

*External / Non-SEC User Guide*



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# SEC MFT External / Non-SEC User Guide

## Overview

This External / Non-SEC User Guide provides essential instructions for SEC Registrants, and other external parties doing business with the SEC, to access and execute Managed File Transfer (MFT) functions using the IBM Aspera Faspex (“MFT”) application. Managed File Transfer refers to software solutions that facilitate secure and efficient file transfers. MFT offers a user-friendly, high-speed data transfer solution designed for efficient and secure file transfers between external organizations and the SEC. MFT encompasses workflow management, auditing, transfer tracking, reporting, and malware scanning.

This guide walks External users through the process of registering with Login.gov, signing in to the SEC MFT platform and securely sending files to the correct location based on their SEC contact or request type.

## What is MFT?

The SEC’s MFT system is based upon the IBM Aspera Faspex application, a high-speed file transfer tool designed to securely send and receive large files over long distances. MFT is a system designed for the efficient management of file transfers.

### Key Features of MFT



High-Speed Data Transfer



Secure File Exchange



Transfer Tracking & Reporting



Integrated Malware Scanning

## Audience

This User Guide is intended for use by External / Non-SEC Users. A Non-SEC User is defined as any system user not having an sec.gov email address. Non-SEC Users must be invited by authorized SEC personnel to register as a user of the MFT system.

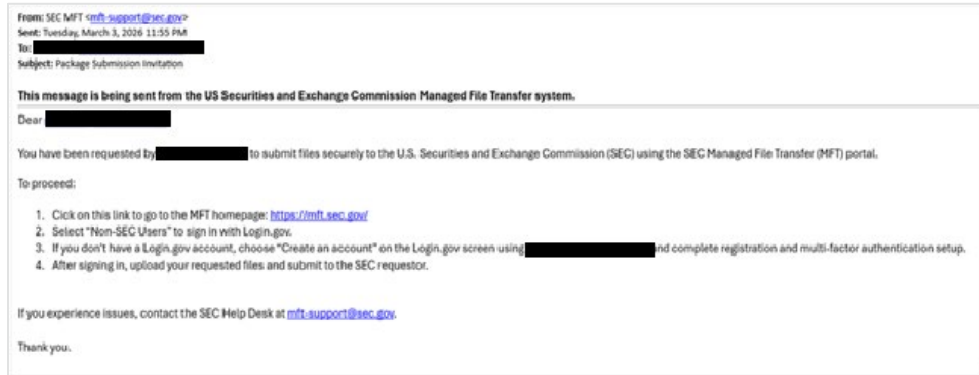
## Support Contact

For support, email your question or issue to [mft-support@sec.gov](mailto:mft-support@sec.gov). For technical issues, please include a detailed description of the issue and any system generated errors or messages.

Information regarding Login.gov and technical support options can be found here: [Login.gov Help Center](#).

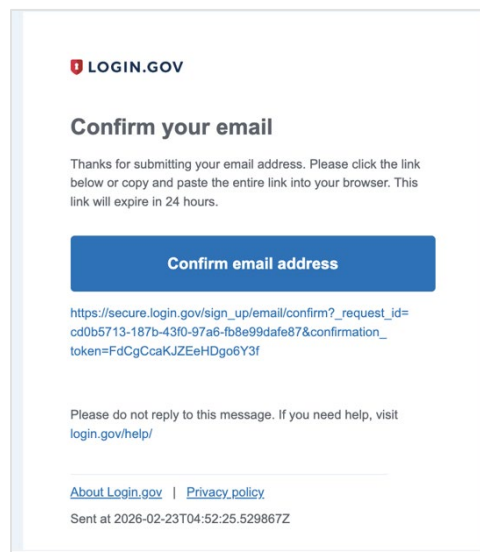
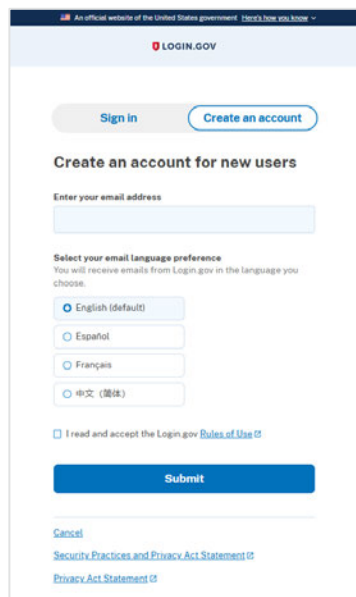
# First Time Users Only: Receiving an Invitation from SEC

To login to the MFT system for the first time, you must first receive an invite from the SEC. MFT uses Login.gov as its primary authentication method. If you do not have an existing Login.gov account tied to the email address on which you were invited, you must create one before accessing the system by following the steps below.



## Create a Login.gov Account

- 1 Go to [MFT Home page](#).
- 2) Select Non-SEC Users (This selection will guide you directly to Login.gov).
- 3) Click Create an account if you **do not already have an account**.
- 4) Enter your email address, choose your preferred language, accept the Rules of Use, and click Submit.
- 5) You should now receive a confirmation email from Login.gov.
- 6) Once received, open the email and click the confirmation link to continue.



# Create Your Password

You will now be prompted to create a strong password.

**1) Your password must meet the following requirements:**

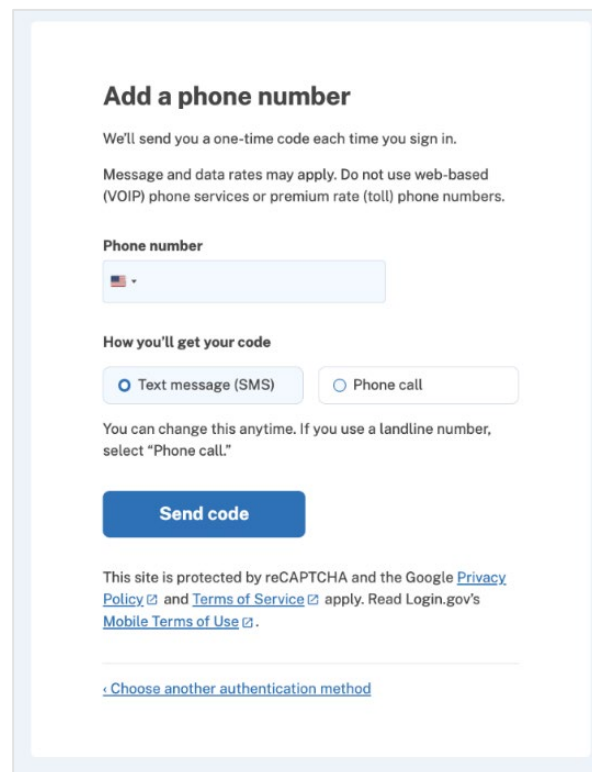
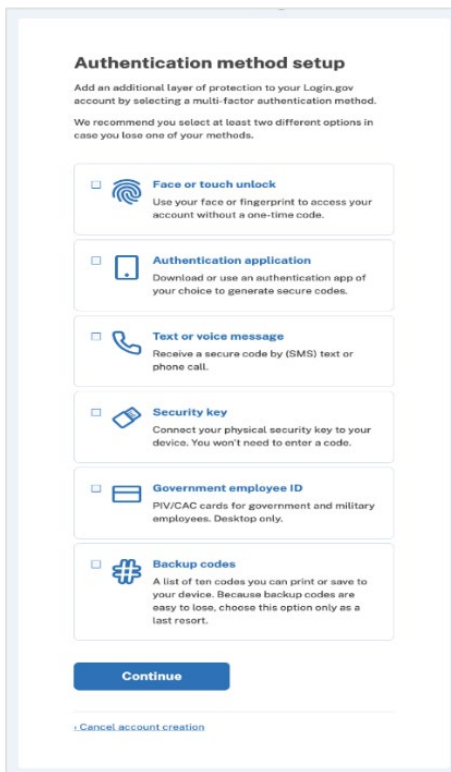
- Minimum of 12 characters.
- A combination of letters, numbers, and symbols.
- Choose a strong password to help protect your account.

**2) Set Up Multi-Factor Authentication (MFA)**

- To further secure your account, you must set up Multi-Factor Authentication (MFA).
- MFA provides an additional layer of security by requiring a second verification method when signing in.
- You will be required to configure one of the following authentication methods:

**OPTION 1:** Recommended – Mobile Authentication App (e.g., Google Authenticator, Authy).

**OPTION 2:** SMS (Text Message) or Security Key.



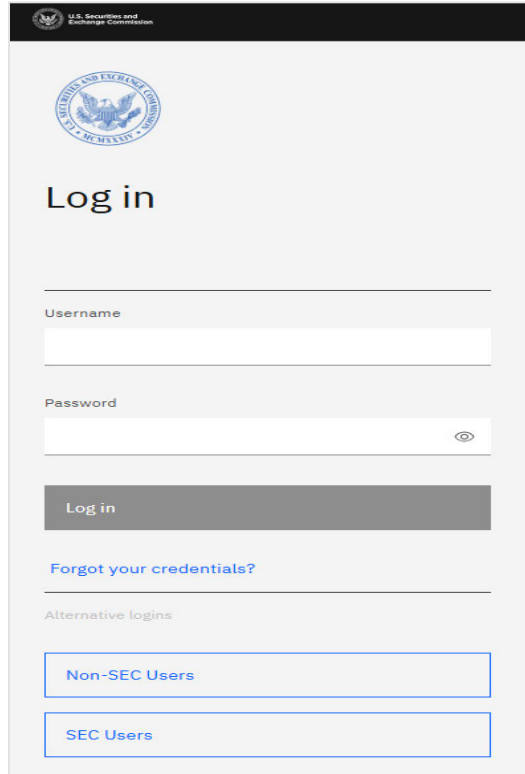
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*Once all steps are complete, your Login.gov account will be ready for use.*

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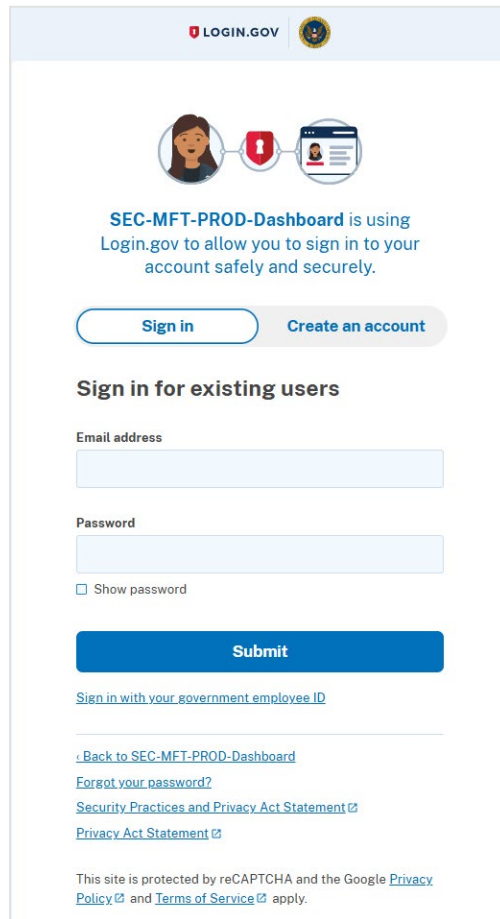
# Access the SEC MFT Platform

- 1) Open your web browser and go to the [SEC MFT Portal](#).
- 2) Click **Non-SEC Users**



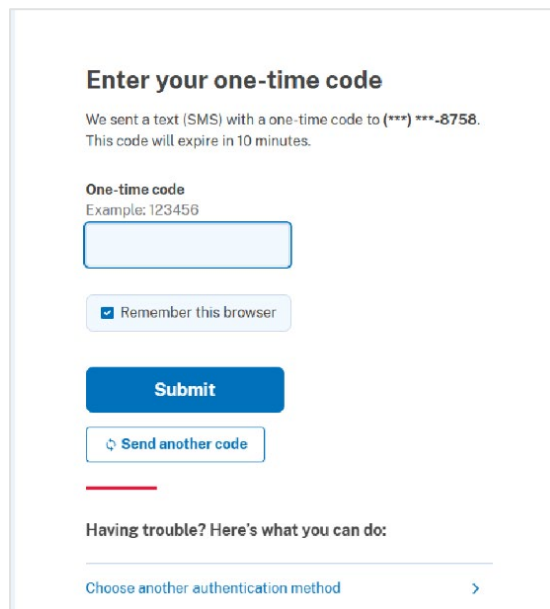
The screenshot shows the login page for the SEC MFT Platform. At the top left, there is the U.S. Securities and Exchange Commission logo. Below it is the SEC seal. The main heading is "Log in". There are two input fields: "Username" and "Password". The "Password" field has a toggle icon for visibility. Below the input fields is a "Log in" button. Underneath the button is a link for "Forgot your credentials?". At the bottom, there is a section for "Alternative logins" with two buttons: "Non-SEC Users" and "SEC Users".

3) Enter your Login.gov **Email** and **Password**.



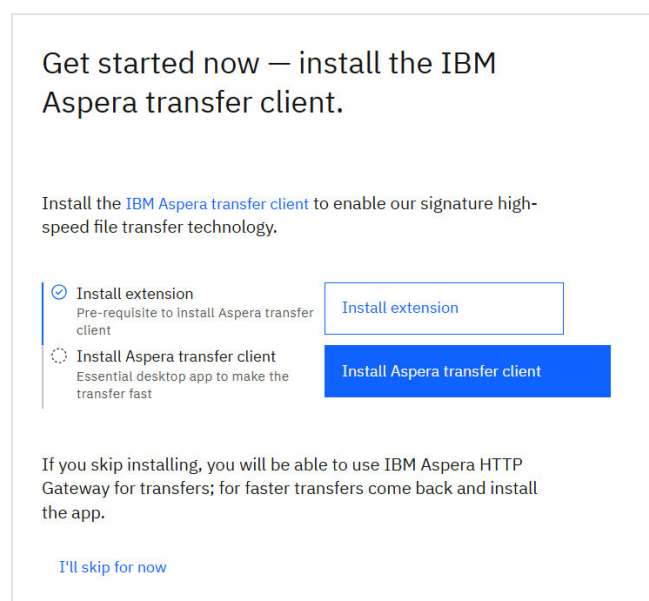
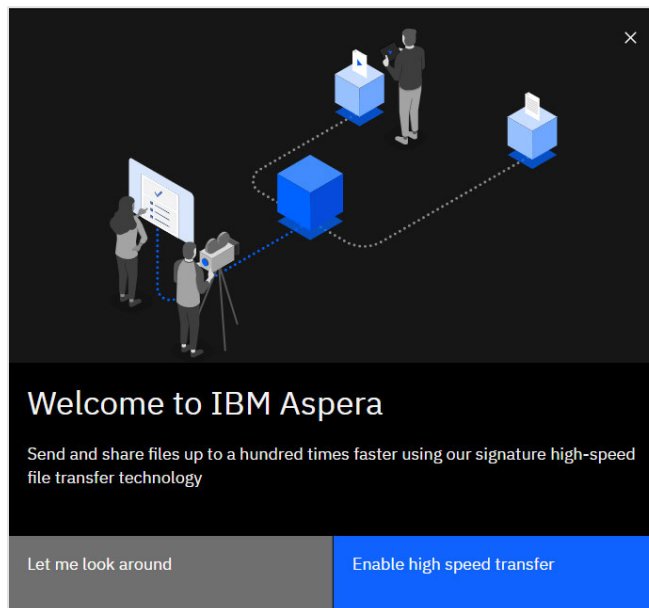
The screenshot shows the Login.gov sign-in interface. At the top, there is a header with the 'LOGIN.GOV' logo and a shield icon. Below the header, there is a central graphic showing a person's profile, a shield, and a document. The text reads: "SEC-MFT-PROD-Dashboard is using Login.gov to allow you to sign in to your account safely and securely." Below this, there are two buttons: "Sign in" and "Create an account". Underneath, the heading "Sign in for existing users" is followed by two input fields: "Email address" and "Password". A checkbox labeled "Show password" is located below the password field. A large blue "Submit" button is positioned below the input fields. At the bottom of the form, there are several links: "Sign in with your government employee ID", "Back to SEC-MFT-PROD-Dashboard", "Forgot your password?", "Security Practices and Privacy Act Statement", and "Privacy Act Statement". A footer note states: "This site is protected by reCAPTCHA and the Google Privacy Policy and Terms of Service apply."

4) Complete the Multi-Factor Authentication (MFA) request.



The screenshot displays the "Enter your one-time code" page. The heading is "Enter your one-time code". Below it, the text says: "We sent a text (SMS) with a one-time code to (\*\*\*) \*\*\*-8758. This code will expire in 10 minutes." Underneath, there is a section for "One-time code" with an example: "Example: 123456". A text input field is provided for the user to enter the code. Below the input field, there is a checkbox labeled "Remember this browser" which is checked. A large blue "Submit" button is located below the checkbox. Below the "Submit" button, there is a button labeled "Send another code" with a refresh icon. At the bottom, there is a section titled "Having trouble? Here's what you can do:" followed by a link "Choose another authentication method" with a right-pointing arrow.

5) Once logged in, the system will prompt you to download **IBM Aspera Connect** and **browser extension**. While installation of both components is recommended, it is not required. Transfer speeds will be limited if the Connect client and browser extension are not installed.



6) Verify Successful Installation of Browser Extension.

1. Open the Browser (Chrome or Microsoft Edge).
2. Navigate to Settings.
3. Select Extensions.
4. Confirm that the IBM Aspera Connect Extension is listed and enabled.

- 7) Verify Successful Installation of Aspera Connect.
    1. Access your Computer's Search Menu.
    2. Type Aspera Connect.
    3. Open the application to confirm it is installed and accessible.
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*Note: Aspera Connect application runs in background and does not open visibly when clicked.*

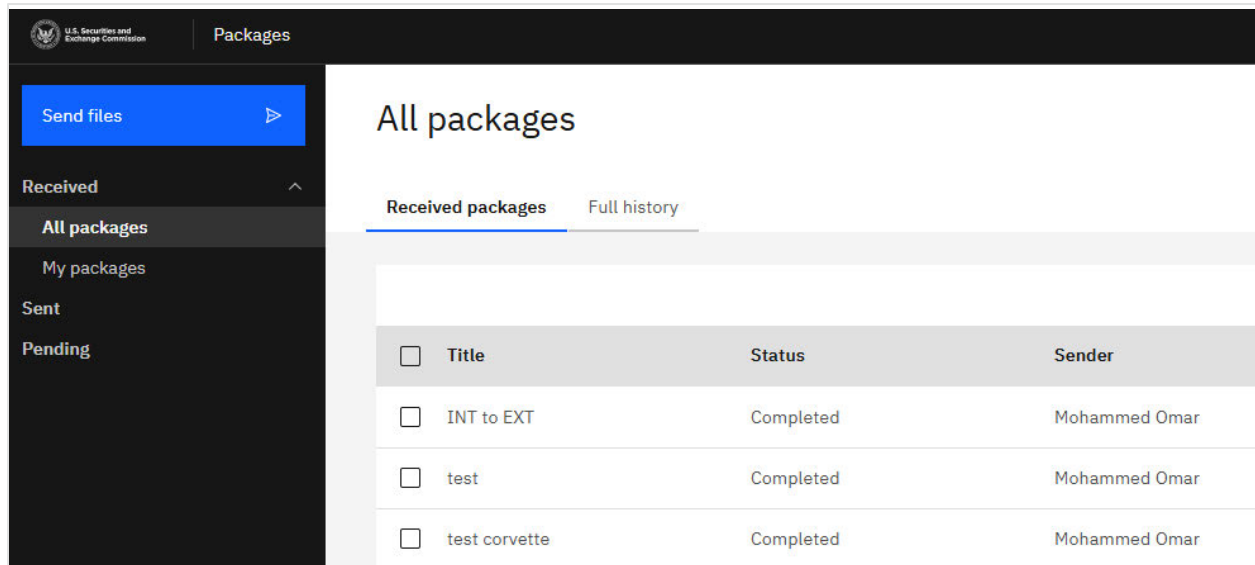
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- 8) Your account must be authorized before you will be able to send data to the SEC. This can take up to **4 business hours**.

# Sending Files to the SEC

## Sending Files to a Specific or Multiple SEC Users

1) To send files to SEC User(s), begin by logging into the [MFT Portal](#).



2) Once logged in, you will be directed to the **MFT dashboard landing page**.

3) Select **Send Files** to initiate file transfer process.

**\*\*If you wish to notify additional SEC Users of the transfer, click **Notifications** and select the SEC User email account(s).**

4) Enter the **SEC staff member's email address(es)** provided in the request.

5) Add a **Title** for your submission.

*Example: Requested Documents – [Project or Case Name].*

6) Upload your files by selecting **Add Files** and click **Send**.  
After sending the file(s), they will appear in your Sent folder.

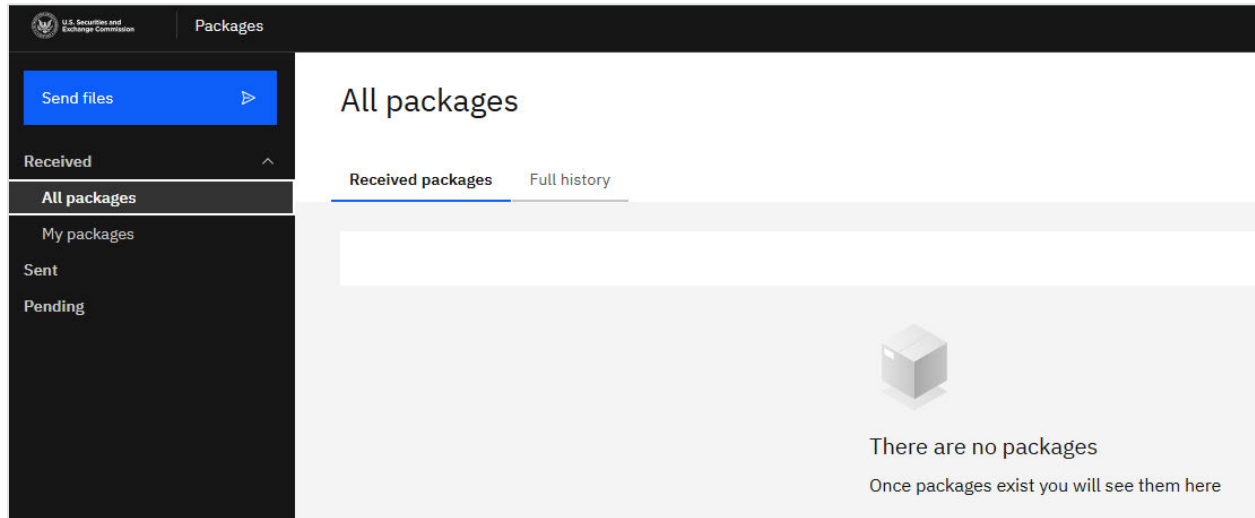
The screenshot shows a 'Send a package' form. At the top, it says 'Send a package'. Below that is a 'To' field with a search icon and a dropdown menu. The 'Title' field contains 'Files for Case number 56849' and has a 'Max length: 255' label. There is an 'Add Files' button with a plus sign. Below that is a dashed box with the text 'Drag and drop files here to add content'. A file named 'JPG Test.jpg' is listed below. At the bottom, there is a 'Message (optional)' field containing 'File for Case 56849'.

The screenshot shows a 'Send package' form with a 'Back to previous /' link at the top left. The form has two tabs: 'Package data' (selected) and 'Metadata'. The 'To' field contains 'Shared inbox: SEC Exams S...' and has a 'Notifications' button highlighted with a red box. The 'Title' field is empty and has a 'Max length: 255' label. There is an 'Add files +' button. Below that is a dashed box with the text 'Drag and drop files here to add content'. The 'Message (optional)' field is empty and has a 'Max length: 65535' label. At the bottom, there are 'Schedule for later' and 'More transfer options' buttons.

## Submitting Files for an SEC Examination

You may be instructed by SEC staff to submit data to the SEC Exams Submissions Inbox, rather than an individual recipient. If so, follow the steps below:

1) Login to the [MFT Portal](#).



2) From the dashboard, click **Send Files**.

3) In the **To** field, type **SEC Exams Submissions** or select the **SEC Exams Submissions** group from the contact list.

*\*\*If you wish to notify additional SEC Users of the transfer, click **Notifications** and type the SEC User email account(s).*

4) Add a **Title** for your submission.

*Example: Requested Files for [Registrant/Firm name].*

5) Select **Add Files** and upload the requested documents.

6) Add a message if needed (optional).

7) Click **Next** to proceed.

8) Enter the **Exam Number** if it was provided to you. If an exam number was not provided, enter your **SEC File Number** in the **Metadata** field.

9) Click **Send** to submit the file. Once submitted, the file transfer will appear in your **Sent** folder.

### Send package

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Package data  Metadata

Exam Number

Max length : 100 characters



## Receiving Packages

You will receive an email notification when a file or folder has been sent and available for download. Files remain available for **30 days**. The notification email will include a **Download Package Link**.

To Access the Files:

- 1) Click the **Download Package** link in the email notification.
- 2) Log in to the **MFT Platform**.
- 3) Click **Download All** to download the entire package, or download individual files as needed.

