



SEC EDGAR Filer Technical Support Frequently Asked Questions



The following frequently asked questions have been prepared by the Filer Technical Support Team. The following guidance should not be relied on as definitive or a substitute for the [EDGAR Filer Manual](#).

How does one obtain a CIK to access EDGAR?

The Form ID/Passphrase Update was suspended for an “Invalid PDF Tag.” What does this mean?

Why does an “Invalid File Name” error message pop-up in the upload attachment window?

What browser should be used to file on EDGAR?

What website is used to file the electronic form D?

How to change company address, company name, contact information?

Why doesn't the filer's updated company information appear on SEC.GOV?

How does an entity update the State of Incorporation field in Retrieve/Edit Data?

What does the “Java.lang.NullPointerException” error mean in a PDF attachment?



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Frequently Asked Questions



How does one obtain a CIK to access EDGAR?

If an entity (individual, company, filing agent, etc.) has never filed with the SEC, they are required to apply for a CIK number by submitting a **Form ID application** at the [EDGAR Filer Management Website](#). For more information on the Form ID process, please refer to the [Form ID Frequently Asked Questions](#) for a step-by-step guide to navigate the process of obtaining a CIK.

Note: A broker-dealer does not request a new CIK. As a result of their initial registration with FINRA and the CRD feed that comes into EDGAR, broker-dealers are already assigned a CIK as paper filers. If a broker-dealer wishes to begin filing electronically on EDGAR, they should submit a Convert Paper Only Filer to Electronic request via the EDGAR Filer Management Website.

The Form ID/Passphrase Update was suspended for an “Invalid PDF Tag.” What does this mean?

A filing is suspended when it does not meet EDGAR’s content or technical requirements. One of the most common reasons for a suspended Form ID or Passphrase Update is an “Invalid PDF tag”. This means that a PDF had underlying text, active JavaScript or form fields that couldn’t be read by the EDGAR system. To **resolve the PDF error**, follow the steps outlined below and resubmit your Form ID or Passphrase Update with the newly saved PDF.

1. Open the PDF file on your computer.
2. Click “File” on the top menu bar and then select “Print.”
3. Select “Adobe PDF” from the printer drop-down box.
4. Click the “Advanced” button and check the box next to “Print as Image.”
5. Click “Ok” and then select “Print.”
6. When prompted to save the reformatted PDF file, save it with a different name so that the new PDF file does not overwrite the old PDF.
7. Resubmit the form with the new, reformatted PDF. Refer to the [Adobe Acrobat Quick Reference Guide](#) for detailed instructions and screenshots. If the full version of Adobe Acrobat isn’t accessible, please refer to the [Adobe Reader Quick Reference Guide](#).

Why does an “Invalid File Name” error message pop-up in the upload attachment window?

This error message **refers specifically to the file name**, not the file path where the document is located that is sometimes visible in EDGAR when a filer uploads their document. To comply with EDGAR’s file naming standards, the file name must be in all lower case letters and/or digits without any spaces. The name must be 32 characters or less and begin with a letter (not a number). More than one hyphen, underscore or period will result in an invalid file name.



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What browser should be used to file on EDGAR?

EDGAR supports **Internet Explorer 8 and Firefox 24**. In more recent versions of Internet Explorer, version 8 can be emulated by utilizing the F12 Developer Tools, located under the main tool bar (or by selecting F12 from the keyboard functions). Using Chrome can cause the site to behave unpredictably and therefore is not a recommended browser. Refer to the [Browser Quick Reference Guide](#) for detailed instructions as well as workarounds for common browser issues.

What website is used to file the electronic Form D?

The electronic Form D is accessible by logging in to the [EDGAR Online Forms Website](#). There is a common error filers encounter when their pop-up blocker is enabled. After the filer selects the type of filing and selects the Next button, instead of the form opening the filer will see this error message stating: **“there is currently a Form D in progress”**, or they could be re-routed to the Online Forms Filer News page.

Make sure to **disable the pop-up blocker** before selecting “File Form D” from the main menu. If subsequent issues arise and the Form D does not open in a new window, delete the browsing history within browser settings, close the browsing session and log-in again using the recommended browser.

How to change company address, company name, contact information?

Any changes to company data can be made in the **Retrieve/Edit Data** page on the [EDGAR Filing Website](#) or [Online Forms Website](#). Log in to either of the EDGAR filing websites and select the Retrieve/Edit Data link from the main menu. Input the credentials (CIK and CCC) of the entity for which information is being changed and select “Retrieve Company Information.” Review the company information and scroll to the bottom of the page in order to edit any incorrect information.

Note: As stated in the EDGAR Filer Manual, Filers that are registered as Broker-Dealers cannot update their company information (except for e-mail address) through the ‘Retrieve/Edit Data’ link on the EDGAR Filing Website. Instead, they must submit a Form BD/A (Amendment) to CRD to update their company information. The Form BD/A filing will automatically update the company information in EDGAR, and thereafter the new company address information will be pre-populated into the applicable address fields on future EDGAR submissions.

Why doesn't the filer's updated company information appear on SEC.GOV?

Any changes to company information made via the Retrieve/Edit Data page will not appear on the SEC.gov website until the entity makes a public filing after the company information change request has been accepted.

Note: Company information changes to the mailing address, contact person, state of incorporation, etc. are updated in real time in the internal EDGAR database and are available for viewing on the Retrieve Company Information page. **Company name changes** must be reviewed and approved by the SEC. Once accepted, the updated name will not be disseminated to SEC.gov until the entity makes a public filing.



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How does an entity update the State of Incorporation field in Retrieve/Edit Data?

To access the Retrieve/Edit Data function, the entity must input their CIK and CCC. Next, select “Retrieve Company Information” and scroll down to the bottom of the Company Information page and select “Edit Company Information.” The State of Incorporation field is listed under “General Information.” This field will be greyed out if the entity identified itself as a “**filing agent**” in the Form ID application.

Filing agents do not submit filings under the filing agent CIK. Rather, the filing agent uses their CIK and password to log in to the filing website and files on behalf of the entity by using the entity’s CIK and CCC when transmitting the filing.

Note: Individuals should use their own CIK number and password each time they logon to EDGAR, even if their filings relate to different registered entities. For security purposes, the SEC recommends changing your CCC after it has been provided to a third-party filing agent. The number of people you share your access codes with should be limited in order to protect the data submitted.

What does the “`java.lang.NullPointerException`” error mean in a PDF attachment?

This error message can appear when validating an attached PDF document or it may occur when attempting to attach a PDF to a filing. The “`java.lang.NullPointerException`” error message means that the text in the PDF is not recognizable. To resolve this error, **run text recognition** on the PDF file and save the changes. Refer to the [13-H Org Chart Quick Reference Guide](#) for step-by-step instructions on how to run text recognition in a PDF file.

What does an error message stating that a PDF is an unofficial document mean?

The full error message will read “an Unofficial PDF Document filename.pdf of type [name of form] must be associated with an official document”. An official PDF document is considered acceptable for certain form types, please see the list of exceptions in the [EDGAR Filer Manual](#), Volume 2 under the “Exception for PDF as Official Document”. **Acceptable formats for a primary document are .htm or .txt.** Once an acceptable primary document is attached, filers are allowed to attach a PDF version of the primary document as a secondary document. Refer to the [Plain Text Quick Reference Guide](#) or [HTML Quick Reference Guide](#) on how to assemble HTM/TXT documents.