EDGAR "Quick Start" Reference Guide

Table of Contents

1. Introduction

The EDGAR "Quick Start" Reference Guide is a basic resource to help filers understand how to use the EDGAR filing websites. This reference guide is not to be used as a substitute for guidance on how to file and it is highly recommended that filers use the EDGAR Filer Manual on SEC.gov for support.

Who do I call when I have questions?

For technical questions about filings, the Filer Technical Support Help Desk is available to assist filers Monday through Friday from 9:00 a.m. to 5:30 p.m. Eastern Time (ET). Filer Support can be reached at (202) 551-8900 (Option 3).

EDGAR Filing Times

EDGAR filing times are 6:00 a.m. to 10:00 p.m. ET, Monday through Friday except Federal Holidays.

Before starting EDGAR, acknowledge that there are three main websites used for filing:

1. *The Filer Management Website* is used to apply for EDGAR Access, Generate Access Codes, Update Passphrase, and other basic filer requests to get started with filing.
   Filer Management Website: https://www.filermanagement.edgarfiling.sec.gov.

2. *The EDGAR Filing Website* is the primary EDGAR filing site used to Retrieve/Edit filer information, view submission status and to file Large Trader (13-H), Investment Manager (13-F), Municipal Advisor (MA), Regulation A and EDGARLinkOnline submissions.
   EDGAR Filing Website: https://www.edgarfiling.sec.gov.

3. *The OnlineForms Management Website* is used to Retrieve/Edit filer information, view submission status and transmit Ownership Forms (specifically form types 3, 3/A, 4, 4/A, 5, and 5/A), notices of exempt offerings of securities pursuant to Regulation D (form types D and D/A), Transfer Agent filings (form types TA-1, TA-1/A, TA-2, TA-2/A and TA-W), and XML (filer-constructed) submissions.
   OnlineForms Management Website: https://www.onlineforms.edgarfiling.sec.gov.

2. Configuration Issues

2.1. Browsers

Check what browser version you are using.

- For Internet Explorer, go to Help > About Internet Explorer. For browsers without a toolbar, click the gear icon to find About Internet Explorer.
- For Firefox, go to Firefox Menu > Help > About Firefox.

Google Chrome and Safari are not compatible and could cause the site to behave unpredictably. We recommend using Internet Explorer (IE) version 8.0 or Firefox version 24.x. Do not use higher versions. Instructions on how to modify your current browser mode can be found here: http://www.sec.gov/info/edgar/quick-reference/edgar-browser-quick-reference-guide.pdf

2.2. Pop-up Blockers

Some EDGAR submission form types will open in a separate window from your browser. Your browser’s pop-up blocker must be turned off in order to view these forms.

- In Internet Explorer, go to Tools > Pop-up Blocker > Turn off Pop-Up Blocker or go to Tools > Internet Options > Privacy > Uncheck the box “Turn on Pop-up Blocker”.
- In Firefox, go to Menu > Options > Content > Uncheck the box “Block Pop-Up Windows”.

2.3. Firewalls and Adding EDGAR to Trusted Sites in Internet Explorer

- If your network security settings are set too high, the page may not load properly. Turn down the security level and make EDGAR a trusted site in Tools > Internet Options > Security > Trusted Site, add <https://www.sec.gov>
- You may need to contact your system administrator for further assistance with internal firewall security setting issues.

2.4. URL Autofill

To start a new session on EDGAR, you must make sure the URL is not auto filling in your browser. For example, to access the filer management website, you will need to type the standard version of the URL: https://www.filermanagement.edgarfiling.sec.gov
NOT https://www.filermanagement.edgarfiling.sec.gov/Welcome/EDGAR...

2.5. “Form Already in Progress” and Timeout Error Messages

- If you see a “Form Already in Progress” message and are unable to continue, you must log off and log back in. This message may appear when there is an active form open in a separate window or if the form window was not properly closed using the “Exit” button.
- If you experience a discontinued login session message, exit your browser and start a new session. If there is an ongoing issue, you may need to configure your browser mode (scroll above for instructions) and clear your browsing history and cookies.
- Multiple log-in attempts may trigger a timed out session and you will be locked out of the site. Try again later (about 15-20 minutes). If you are timed out because your password is expired, or you forgot it; you must reset your password (refer to Section 5).

2.6. Clearing Browser History, Cache, and Cookies

Cookies are encrypted text files stored on a user’s computer. They are designed to hold data to websites allowing the server to deliver a page to the user. Because they are used by the server to store information so users can easily pick up where they left off on the server’s pages, it may cause an error loading the EDGAR filing sites.

- To clear the browsing history and cookies go to Tools > Delete Browsing History or… Tools > Internet Options > General > Browsing History > Delete.
- You can also use the keyboard command Ctrl + Shift + Del

2.7. Clearing Previous Form Data

All forms require filers to input company data. Your browser has the feature to auto complete forms if you do tasks online that require entering information. This allows users to save time but may cause issues with editing the form data.

- If you are unable to edit the data on your form because there is data already filled in from a previous filing, delete your "Form Data" from your browser. In Internet Explorer go to Tools > Delete Browsing History > Check "Form Data" > Delete. You should now have a blank form.

3. Requesting an EDGAR Account

3.1 Form ID

The Form ID is an electronic application that new filing entities (individuals or companies) use to apply for a CIK and obtain Access Codes to file forms on EDGAR. Each entity required to file on EDGAR must have its own unique CIK number (Central Index Key) and Passphrase, a master security code that was created in your Form ID. It does not expire and is used along with the CIK to generate Access Codes. If the entity already has an existing CIK, do not use this form. The form can be found here: https://www.filermanagement.edgarfiling.sec.gov.

3.1.1. Filer Types

- A Filer is an authorized individual who is filing for an entity.
- Filing Agent applicant type must be used only by a financial printer, law firm, or other person, which will be using these access codes to send a filing or portion of a filing on behalf of a filer.
- Individual vs Company: Indicate whether you are filing for an Individual or a Company.

3.1.2. Document file names must adhere to the following restrictions:

- 32 characters or less
- All letters must be lowercase
- The file must start with a letter
- No spaces in the name
- It may have digits (0-9)
- It may contain up to one period (.), one hyphen (-), one underscore (_)

3.1.3. After completing the electronic Form ID, the next step is to print the "Form ID Application Confirmation" page. This signed and notarized copy of your Form ID is referred to as the "Authentication Document"; it helps protect filers by ensuring that Form ID submissions on their behalf are authentic and legitimate. After printing the Form ID Application Confirmation page, it must be signed by an authorized person (e.g. CEO, CFO, partner, corporate secretary, officer, director, or treasurer). It must be notarized, scanned, and uploaded as a PDF as CORRESP.

3.1.4. Power of Attorney (POA) documents are attached by following the same process above for preparing the PDF of the Authentication Document. POA documents do not need to be notarized.

3.1.5. If you have errors with uploading your attachment such as an invalid pdf tag, refer to the instructions on how to resolve the invalid pdf tag in Adobe Acrobat or Adobe Reader.

- In Adobe Acrobat: http://www.sec.gov/info/edgar/quick-reference/save-authentication-document-acrobat.pdf.
- In Adobe Reader: http://www.sec.gov/info/edgar/quick-reference/save-authentication-document-reader.pdf.

After successfully submitting your Form ID, record the accession number. You will also receive a confirmation email with the accession number that is used to check the status of the filing. It generally takes 24-48 hours (two business days) to approve.

3.1.6. Common Suspended Form ID Messages

- If your Form ID has been suspended due to an "invalid pdf tag" error, follow the procedure in Section 3.1.5.
- If your Form ID has been suspended due to an "invalid file name", rename the file. The name of the file must conform to the character restrictions in Section 3.1.2.
- If your Form ID has been suspended due to a duplicate name error, check if your company already has a CIK using EDGAR search tools on the SEC.gov. If it does not match the CIK, resubmit the Form ID with a memo at the top of the form declaring that your company is a new, unique entity that is not affiliated with the other company CIK. Include a description such as the State of Incorporation to distinguish your company.

  For a more detailed explanation on how to file a Form ID, refer to the EDGAR Filer Manual, Volume I in Section 3, "How to Become an EDGAR Filer": http://www.sec.gov/info/edgar/edmanuals.htm.
  Additional information on the Form ID process here: http://www.sec.gov/info/edgar/form-id-faq.pdf.

4. Establishing EDGAR Access Codes

After your Form ID is approved you will receive your CIK via email. The next step is to Generate Access Codes using your passphrase through the Filer Management website. EDGAR Access Codes are a set of codes (CCC, PMAC, and Password) that filers use to access the EDGAR filing websites and submit filings.

- CCC (CIK Confirmation Code) is used in conjunction with the CIK to ensure authorization for filings and to retrieve and edit data. It can be changed by the filer at any time.
- Password allows you to log into the EDGAR system, submit filings, and change the CCC. It expires annually therefore it is recommended that you change your password every year.
- PMAC (Password Modification Authorization Code) allows you to change your password.

5. Updating EDGAR Access Codes

If you have forgotten your password, PMAC, or CCC you will have to generate a new set of access codes using your CIK and passphrase.

- To make a general update to your Password and/or CCC, access the EDGAR Filing website or the EDGAR Online Forms website and click "Retrieve/Edit Data."
- If you forgot your Password and/or other Access Codes or if they have expired, you will need to "Generate Access Codes" from the Filer Management website using your CIK and Passphrase.
- If you forgot your Passphrase you will need to create a new Passphrase using the "Update Passphrase" link in the Filer Management Website. The form must be printed, signed by an authorized person, notarized, and uploaded as a PDF document.

For more information on EDGAR Access Codes, please refer to the EDGAR Access Code Quick Reference Guide:
http://www.sec.gov/info/edgar/quick-reference/form-id.pdf

6. Converting from Paper to Electronic Filer

If your company has been filing with the SEC using paper forms only and has to file electronically, you must go to the Filer Management Website: https://www.filermanagement.edgarfiling.sec.gov and click "Convert Paper Only Filer to Electronic Filer". Here you must enter your CIK, a Passphrase, and e-mail address where your confirmation will be sent after submission and review.

7. Filing Process

7.1. What form do I use?

There are many SEC forms that all companies are required to file electronically through EDGAR including registration statements, periodic reports, ownership forms, etc. For example, If you wish to register or withdraw as a Municipal Advisor, you must use the form MA or its variants (MA-I, MA-W…). Large Traders use form 13-H. To file a notice of exempt offerings of securities pursuant to Regulation D, use Form D. To file a securities offerings made pursuant to Regulation A, use form 1-A. (*Note: Form C, C-U, C/A, C-AR, C-AR/A, C-TR, C-W, C/A-W, C-AR/W, C-AR/A-W, C-TR/W are forms for Crowd Funding due out in Dec. 2015).

If you are unsure of which form to use, refer to the Index of Forms on the Commission's website. It can be found here: http://www.sec.gov/info/edgar/forms/edgform.pdf. You may wish to contact legal resources for support on which forms you need to file.

7.2. Things to be aware of:

7.2.1. Hyperlinks

Documents cannot include hyperlinks. Remove hyperlinks before submitting your form.

7.2.2. ASCII/HTML Limits

Your successful creation of electronic submissions requires that both the sending and receiving computers must "speak" the same language. For EDGAR to read what it receives, prepare your documents in American Standard Code for Information Interchange (ASCII) or HTML version 3.2.

If you are saving your documents as .txt files (ASCII), save as Plain Text in Word and check the Line Break Option. Each line must not exceed 80 characters including spaces. To make a visual guideline to make these line breaks, add a placer (such as a *) after 80 characters then press shift for each line. The font must be Courier or Courier New, font size 12. Make the margins at least 1 inch on the right and left. For instructions on how to construct ASCII/HTML formatted documents refer to the Filer Manual Volume II.

7.3. PDF Restrictions

Forms must be submitted in txt or html format (.txt, .htm). In general, PDF documents are not permitted as a primary document, except in certain cases. An official PDF document is considered acceptable for the following submission form types: 13H, 40-33, 497AD, 40-17G, 40-17GCS, 40-24B2, MA, and MA-I. EDGAR will continue to allow ASCII and HTML as the primary document for submission form types 40-33, 40-33/A, 497AD, 40-17G, 40-17G/A, 40-17GCS, 40-17GCS/A, 40-24B2, and 40-24B2/A.

7.4. File Naming Convention

As explained in Section 3.1.2., all documents uploaded to EDGAR must adhere to certain naming restrictions. The filing may not submit properly or the form may be rejected if the file name does not conform. Document names must adhere to the following restrictions:

- 32 characters or less
- All letters must be lowercase
- The file must start with a letter
- No spaces in the name
- It may have digits (0-9)
- It may contain up to one period (.), one hyphen (-), one underscore (_)

7.5. File Size Limits

Your file submission size, including all attached documents, must not exceed 200 MB for submissions through the EDGAR Online Forms Management and the EDGAR Filing websites. If your document attachment is larger than the size limit, split the document into two or more documents. For example, if you are a filing a 10-K, attach page 1 of 2 of the document then file an amendment, 10-K/A, with page 2 of 2 at the top.

7.6. HTML Header Tags: What are they?

The header tag element of your HTML document represents a container for introductory content. The "tagging" language is a powerful data representation method that enhances the method of displayed public information.

Due to some formatting restrictions, EDGAR will accept only a subset of the HTML 3.2/4.0

tagging standard. For more information, including a reference table with the list of acceptable HTML document header tags, can be found in the Filer Manual, Volume II: https://www.sec.gov/info/edgar/edmanuals.htm.

7.7. Data Entry Fields

All EDGAR filings submitted using EDGAR templates contain fields to manually enter your company information. If you are amending a previous filing, enter your CIK and CCC to populate your current data. If you experience this with a new filing and wish to create new data, delete "Form Data" from your Delete Browsing History option under your browser tools. (Instructions are found in Section 2.7).

7.8. Document Attachments

Many EDGAR filings include attached secondary documents that are labeled specifically to their content. These documents are known as "Exhibits". When you attach an exhibit it must be labeled with its specific type. If you have multiple Exhibits (Ex-99) then you must name them Ex-99.1, Ex-99.2, etc. You can find more information on common problems with Exhibits in the Filer Manual Volume II.

A detailed list of acceptable exhibit types can be found in Section "E.4 Submission and Documents" types in the Filer Manual Volume II.

7.9. Organizational Charts

If you choose to attach an Organization Chart document to your 13-H filing, it must be uploaded as a PDF file. The construction and style of the Organizational Chart is subject to the filer's standards as long as it qualifies as a readable PDF document with scanned images that have been parsed for character recognition. This is so that the Organizational Chart will pass EDGAR validation. Instructions on how to save your Organizational Chart can be found here: http://www.sec.gov/info/edgar/quick-reference/save-org-chart-as-pdf.pdf.

7.10. Printing

If you would like to print a form prior to submitting a filing, click the Print button in the form and choose a blank form or the current form with your form data. Errors with printing such as opening a blank form may be due to configuration issues. Follow the instructions for trouble-shooting technical issues in Section I, "Configuration Issues". The form may also be printed after it has been submitted, reviewed and disseminated. The submission can also be printed from the Commission's site after it has been disseminated.

7.11. Saving Form Data (.eis files)

You can save a form in progress on your computer and resume later by uploading your saved form (saved as an .eis file). Make sure you save this file as is. Changing its file name may corrupt the file.

7.12. Confidential submissions

7.12.1. DRS– Draft Registration Statements

Pursuant to the Jumpstart Our Business Startups Act, an Emerging Growth Company (as defined in the Act) whose common equity securities have not been previously sold pursuant to an effective registration statement under the Securities Act of 1933 may confidentially submit to the Commission a draft registration statement for confidential non-public review.

Instructions on how to file a DRS and amendments can be found here: https://www.sec.gov/divisions/corpfin/guidance/drsfilingprocedures.pdf. The DRS form is filed under the EDGAR Filing Website.

7.12.2. DOS/DOSLTRS – Non-public Draft Offering Statements/Draft Offering Statement Letter

Issuers who qualify to submit draft offering statements under Regulation A must prepare and submit their draft offering statements using submission form types DOS and DOS/A. Issuers must submit correspondences related to draft offering statements using the submission type, "Draft Offering Statement Letter" (DOSLTR).

For more information on Draft Offering Statements, refer to the EDGAR Filer Manual Volume I: https://www.sec.gov/info/edgar/edmanuals.htm.

Dissemination of Confidential Material: Frequently asked questions about confidential submission processing can be found on the Commission's site: https://www.sec.gov/divisions/corpfin/guidance/cfjumpstartfaq.htm.

8. After You Submit Your Filing

8.1. File Amendments

You can file amendments to your form to update information on EDGAR by selecting the amendment option (e.g. 13F-HR/A).

8.2. Accession Numbers: What are they?

The accession number is a unique number generated by EDGAR for each electronic submission. Although this number does not mean that EDGAR has accepted your submission, it is a reference number that can be used to inquire about the status of your application. You cannot use accession numbers to filter for types of filings.

8.3. Using the Retrieve/Edit Data tool to keep Company Information up to date

You can make changes to your company's information by using the "Retrieve/Edit Data" link in the EDGAR Filing Website or the EDGAR OnlineForms Management Website.

Making changes to company data should take effect immediately however you will not see any changes on the Commission's SEC.gov website until the next filing is made. Company name changes do not take effect immediately and requires up to two business days for approval. In some cases, filers do not have access to make changes to company data due to the company's filer type. If you are unable to make changes to your company's State of Incorporation/Jurisdiction because the fields are not available (gray), you may have to request to change your filer type from Filing Agent to Filer by calling Filer Technical Support.