

APPENDIX B. FREQUENTLY ASKED QUESTIONS

The Filer Support Branch in your subject matter division helps filers with general filing and technical information or assistance. You can reach Filer Support Staff during the hours of 9:00 A.M. to 5:30 P.M. on business days. The phone number is (202) 551-8900. Many of the questions that Filer Support staff answer daily involve similar issues. We have summarized the most frequently asked questions and their answers in this section. Please review this section before calling Filer Support. Filer Support voicemail will be available during off hours.

Questions	Answers
How do I reach the EDGAR Filing Website?	You can reach this site by using the EDGAR Filing Website: https://www.edgarfiling.sec.gov . Please bookmark this site the next time you visit it.
How do I reach the EDGAR Filer Management Website	You can reach this site by using the EDGAR Filer Management Website URL, which is https://www.filermanagement.edgarfiling.sec.gov . Please bookmark this site the next time you visit it.
Which web browser shall I use for EDGARLink Online?	For EDGARLink Online, we recommend using a version of Microsoft Internet Explorer or Google Chrome which is still supported by the vendor.
Which web browser shall I use for other EDGAR websites?	For other EDGAR websites, we recommend that you use a version of Microsoft Internet Explorer or Google Chrome which is still supported by the vendor.
Can I use a web browser such as Safari to access EDGAR websites?	Safari does not perform consistently with EDGAR and so we do not recommend the use of this browser.
Why may filing agents have more than one CIK?	Filing agents may have several CIKs for accounting and management purposes. For example, a filing agent may use a different CIK for each operating office, each industry group, or for certain categories of filers on whose behalf they make an SEC filing(s). However, the filing agent must use a separate and distinct CIK for any filing(s) they make on their own behalf.
What happens if I submit a filing by mistake?	This could be a very serious problem if the filing does not contain errors that would cause EDGAR to suspend the filing. Once EDGAR accepts a public filing, it is immediately disseminated. We cannot intercept a filing after its acceptance and prevent its dissemination, nor can we retrieve the filing.

Questions	Answers
How quickly can I determine whether my filing was accepted?	The quickest way for you to find out if your filing was accepted or suspended is to use the EDGAR Filing Website. You can also read the messages EDGAR will send to your Internet e-mail address.
How do I use digital signature?	Digital signatures increase the privacy protection of information transmitted over the Internet. Note: EDGARLink Online does not currently support Digital Signatures. This support will be addressed in a future release.
How do I name my attached documents for filings sent via the EDGAR Filing Website?	All document file names must be upper or lower case and no longer than 32 characters in length. The names must start with a letter (a-z) or a number (0-9) and may not contain spaces. File names may contain any number of periods (.), hyphens (-), and underscore (_) characters and must end with *.htm , *.txt , *.pdf , *.fil , *.jpg , *.gif , *.xsd , or *.xml extensions.
How do I check the status of a submission?	You can check the status of filings using the EDGAR Filing Website. Once you have logged into EDGAR and accessed the Company and Submission Information Retrieval page, you can access submission information for your CIK. You must provide the CCC for the Login CIK or the Primary Filer/Filed-By CIK before you can access any submission information.
How do N-SAR software and EDGARLink Online interact?	We produced the N-SAR software for the Division of Investment Management to help you prepare and submit your N-SAR reports. You must use the N-SAR PC application version 6.1.a to prepare your document, answer.fil . Once created, N-SAR documents can also be added to a submission using EDGARLink Online. They can then be transmitted using the EDGAR Filing Website.
How do I prepare and transmit Form N-SAR?	EDGAR has not changed the process of creating N-SAR documents. You must continue to use the N-SAR version 6.1.a to prepare your answer.fil document. After creating your answer.fil document, you may use EDGARLink Online to assemble and transmit your N-SAR submission.

Questions	Answers
Can I submit my filing in PDF format?	<p>You may submit the PDF version of your filing as an unofficial document attachment to the assembled submission. EDGAR must receive all official documents in either ASCII/SGML format or HTML format (with optional JPG or GIF Graphic support files) or the submission will be suspended. However, the following exceptions apply:</p> <ul style="list-style-type: none"> • The PDF authentication documents that accompany the applications for EDGAR access, update passphrase, convert paper only filer to electronic filer, and access for new serial companies are considered official documents. • An official PDF document is considered acceptable for the following submission form types and their variants: 13H, 40-33, 497AD, 40-17G, 40-17GCS, 40-24B2, MA, MA-I, NRSRO-UPD, NRSRO-CE, NRSRO-FR, NRSRO-WCLS, NRSRO-WREG, and X-17A-5. 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, 40-24B2/A, X-17A-5 and X-17A-5/A. • An official PDF document is considered acceptable for the following exhibits of submission form types DOS, 1-A, 1-K, 1-SA, 1-U, and their variants: <ul style="list-style-type: none"> ○ EX1A-13 TST WTRS ○ EX1K-13 TST WTRS ○ EX1SA-13 TST WTRS ○ EX1U-13 TST WTRS <p>In addition, official documents for these exhibits are accepted in HTML and ASCII formats.</p> <ul style="list-style-type: none"> • An official PDF document is considered acceptable for the following Regulation Crowdfunding submission form types: C, C/A, C-AR, C-AR/A, C-TR, CFPORTAL, CFPORTAL/A, and CFPORTAL-W. In addition, official documents for these submission form types are accepted in HTML and ASCII formats.

Questions	Answers
How do I view an assembled submission or individual document prior to transmitting it to the SEC?	You may view an individual document by selecting “View Document” on the Documents page of the EDGARLink Online submission. We recognize a need for filers to view or print a submission in its entirety prior to transmission, but given the variety of document formats (ASCII, HTML, JPG, GIF, PDF, etc.) that are supported, this functionality is not likely to be incorporated into EDGARLink Online.
How do I name modules/segments with the EDGARLink Online software?	You should submit modules/segments (via the Modules/Segments submission) using uppercase letters and numerals. You should subsequently reference these modules and segments in the same uppercase format as initially submitted. A module/segment can be used either as a Type 1 reference within a document or as a Type 2 reference listed on the Modules/Segments page of the EDGARLink Online submissions.
Why are N-SAR documents not validated when I select EDGARLink Online validation on the Attached Documents List page?	N-SAR documents are validated only as valid ASCII documents. All N-SAR content is validated within the N-SAR application before the answer.fil document is created.
Why does my browser connection fail during large file transfers to the FWS?	The browser may not allocate enough cache for the current transmission. You may need to make more cache available to the browser (the recommended minimum is 20 MB) before transmitting large filings to EDGAR.
Can I download Copy Return Copies more than once?	Return copies are no longer available for download.
How will I know if you have changed the EDGARLink Online software or the Filer Manual?	The EDGAR Filing Website will notify you of upgrades to the software. We will post a current version of the Filer Manual on the SEC’s Public Website (https://www.sec.gov/info/edgar.shtml). Because we provide the updated Filer Manual in electronic format on the website, you can download the complete document and print the entire manual or specific chapters. We will also provide Filer Manual updates through the Public Reference Rooms. Please note that there may be an associated fee for updates retrieved through the Public Reference Rooms.

Questions	Answers
Where do I find the Form ID?	<p>To find the PDF version of Form ID, use the following link to the SEC web page: https://www.sec.gov/forms.</p> <p>You must submit Form ID applications electronically as the SEC does not accept these applications in paper format.</p> <p>To apply for EDGAR access, use the EDGAR Filer Management Website URL: https://www.filermanagement.edgarfiling.sec.gov.</p>
Why do strikeouts appear in my document on the SEC’s Public Website?	<p>This is a browser issue and only appears in documents viewed using the Internet Explorer browser. Make sure you are viewing the correct format of the document submitted. The HTML filter used to display filings submitted in html will interpret the internal stub tag <s> as the html strikeout code if the tag appears within approximately 30 lines from the top of the document. For suggestions contact Filer Technical Support (202-551-8900).</p>
How do I access the EDGAR Quick Reference Guides from the EDGAR Filing Website?	<p>Navigate to the Frequently Asked Questions screen on the EDGAR Filing Website, and click the “EDGAR Quick Reference Guides” hyperlink displayed under “Other Filer Management FAQ Topics.” The following EDGAR Quick Reference Guides will be displayed as hyperlinks:</p> <ul style="list-style-type: none"> • Authentication Document — Save as a PDF File in Adobe Acrobat • Authentication Document — Save as a PDF File in Adobe Reader • Browser Quick Reference Guide • Filings — Attaching and Submitting • Form 13F — Create a 13F XML Information Table using Excel 2010 or 2007 • Form ID — How to Obtain EDGAR Access Codes to Access EDGAR • HTML — Creating Simple HTML Files • Organizational Chart — Save using ADOBE Acrobat • SC 13D Blank Form Instructions • SC 13G Blank Form Instructions