

## **10. DETERMINING THE STATUS OF YOUR FILING**

### **10.1 Filing Date of Electronically Transmitted Submissions**

If you begin direct transmission of a live submission after 5:30 P.M. Eastern time and the submission is accepted, it will have a filing date as of 6:00 A.M. the next business day. If you start direct transmission at or before 5:30 P.M., it will receive that day's filing date if it is accepted. For special filing date processing of certain submission types, refer to Chapter 3, "Index To Forms."

**Note:** Remember that submission transmission does not begin until EDGAR receives the first byte of a transmission. When you make a time-sensitive submission, allow time for setup of your Internet, building and error checking the submission, and the start of the transmission.

### **10.2 Receiving E-Mail Status of Filings from the SEC**

You can receive acceptance or suspense messages to an Internet electronic mail (e-mail) address; see Chapter 7, Section 7.3.5, "The EDGARLink Online Notification Information Page."

You cannot be sure EDGAR has accepted your submission unless you receive an acceptance message. You have not made an official filing unless your acceptance message includes a filing date. See APPENDIX A for more information.

The EDGAR Filing Website provides a quick way to check the status of your submission. Log in to the website and query for information on your submission, see Section 10.5.1, "Retrieving Submission Notification."

#### **10.2.1 How EDGAR Uses the Internet for E-Mail**

If you use the Notification page on your submission template to list additional e-mail addresses, EDGAR will forward acceptance and suspense messages to all specified e-mail addresses. As an EDGAR filer, you are entirely responsible for setting up a valid Internet address through an ISP. Internet access rates vary per ISP.

Please note the following information about the EDGAR Internet services:

- With an Internet address, you can receive timely information regarding the acceptance or suspension of your filing
- You must use the Notification page for all filer-directed notifications for a specific filing
- The following information will not appear in Internet notifications for test or suspended live filings:
  - Subject-Company Name
  - Subject-Company CIK
  - Form Type

**Note:** When you download your notifications from the EDGAR Filing Website, the Subject-Company Name, CIK, and Form Type appears in the body of the notice.

- All Internet addresses have a maximum length of 80 characters. Only valid EDGAR characters are accepted for Internet addresses. We also recommend that you do not use the double quote (") character in an Internet address

### 10.2.2 How Mail Is Addressed to the Internet Address

EDGAR sends acceptance and suspense messages to a valid Internet e-mail address that you list in your Company Contact Information on the EDGAR Filing Website. When you use the Notification page, EDGAR will also send e-mail to additional Internet e-mail addresses on a filing-by-filing basis. In addition, your company contact Internet e-mail address, which may be updated on the EDGAR Filing Website, will always receive an acceptance/suspense message when you submit a filing, unless you activate the “Notify Via Filing Website” check box.

On a per-filing basis, EDGAR sends submission notifications to any e-mail address listed either on the Company Contact Information form and the Notification Information page. The Notification Information page adds supplementary addresses for receiving notifications. If you wish to permanently change the e-mail address, then edit the Company Contact Information form on the EDGAR Filing Website. When submitting filings after 5:30 P.M., Eastern time, we recommend that you retrieve submission information on the EDGAR Filing Website to inquire about your submission status.

### 10.3 Accessing Submission Information

You can access submission using the EDGAR OnlineForms/XML Website:

1. Log in to the EDGAR OnlineForms/XML Website.
2. Click the ‘Retrieve/Edit Data’ link.
3. The Retrieve/Edit Data page appears and prompts you for your CIK and CCC information:
  - Enter your CIK in the CIK field and press [Tab].
  - Enter your CCC in the CCC field.
  - Click the [Continue] button.

This page verifies that you have access to retrieve or edit information on the EDGAR system.

**Figure 10-1: Retrieve/Edit Data Page**

The next page is the Retrieve/Edit Company and Submission Data page, which is shown in Figure 10-2: Retrieve/Edit Company and Submission Data Page. You can access the following functions from this page:

- Retrieve Submission Information

- Retrieve Company Information
- Request Asset-Backed Securities (ABS) Issuing Entities Creation
- Change Company Password or CCC
- Enter Another CIK/CCC

**Retrieve/Edit Company and Submission Data**

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**CIK: 0000350001**

**Please select one of the following options:**

- [Retrieve Submission Information](#) *\*See Note #1\**
- [Retrieve Company Information](#) *\*See Note #2\**
- [Retrieve Module/Segment Information](#)
- [Retrieve Return Copies](#) *\*See Note #3\**
- [Enter Series and Classes \(Contracts\) Information](#)
- [Request Asset-Backed Securities \(ABS\) Issuing Entities Creation](#)
- [Request Return of Unused Funds](#)
- [Retrieve Balance Information](#)
- [View Account Activity Statement](#)
- [Change Company Password or CCC](#)
- [Enter Another CIK/CCC](#)

\*Note #1 Information will only be returned for submissions where the CIK (identified in the upper left corner of this page) is either the **Filer CIK** or **Login CIK** of the related submission.

\*Note #2 For general company queries (including wildcard searches), please search the [EDGAR Company database](#).

\*Note #3 EDGAR Release 18.3 introduced changes that remove the ability to access return copies of submissions if a return copy is requested. Filers are encouraged to save a copy of their submission prior to transmitting a TEST or LIVE filing.

**Figure 10-2: Retrieve/Edit Company and Submission Data Page**

## **10.4 Return Copy Support**

Support is no longer offered. While you can check the “Would you like a Return Copy” box on the Filer Information page, a Return Copy will not be generated.

## **10.5 Submission Information**

Retrieve Submission Information allows you to verify and retrieve information about any submission in EDGAR that is associated with that login CIK. Information will be returned only

for submissions where the CIK (identified in the upper left corner of the Retrieve/Edit Company and Submission Data page) is either the Filer CIK or Login CIK of the related submission.

Access to submission status information depends upon some time variables. In general, test filing information will only be available for two business days. Suspended filing information will be available for six business days. Accepted live filing information will be available for thirty business days.

### 10.5.1 Retrieving Submission Notification

Once you have logged into EDGAR and accessed the Company and Submission Information Retrieval page, you can access submission notifications for your CIK:

1. Click the 'Retrieve Submission Information' link. The Retrieve Submission Information page appears.

Submission Status	Number of Business Days Available After Transmission
Accepted (Test)	2
Accepted (Live)	30
Suspended (Test or Live)	6

**Figure 10-3: Retrieve Submission Information Page**

2. Enter query parameters for any or all of these three fields:
  - Enter the accession number of the filing you are looking for in the Accession Number field. This query screen does not accept wild card characters. To retrieve all submissions, leave the Accession Number field blank.
  - Choose the type of submission you are looking for: Test, Live, or Both from the Transmission Mode field.
  - Choose the date range of when the submission was transmitted: Today, Within 5, 10, or 30 Days from the Receipt Date Range field.
3. Click the [Get Information] button.



EDGAR retrieves a list of submissions associated with your CIK using the criteria you entered above.

**Note:** If the information you enter does not retrieve any submissions, you can click the [Back] button and enter different information.

Submission Information				
<p><b>Note:</b> Live correspondence (CORRESP) submissions, company updates (COUPDAT), and series and classes (contracts) updates (SCUPDAT) with a status of "ACCEPTED", as well as attached cover letter documents, are considered private. All private submissions and documents are available internally to the SEC only and are not disseminated to the public.</p>				
CIK: 0000350001				
Click on an accession number to retrieve notification information for that submission.				
Accession Number	Form Type	Receipt Date	Mode	Status
<a href="#">0000350001-14-000948</a>	8-K	27-Feb-2014 15:38	Live	Disseminated
<a href="#">0000350001-14-000947</a>	8-K	27-Feb-2014 15:37	Live	Disseminated
<a href="#">0000350001-14-000946</a>	8-K	27-Feb-2014 15:37	Live	Disseminated
<a href="#">0000350001-14-000945</a>	8-K	27-Feb-2014 15:37	Live	Disseminated

**Figure 10-4: Submission Information Page**

When the Submission Information page appears, a list of filings displays. Click the accession number hyperlink to retrieve the Submission Notification page. This page displays the e-mail notification that the e-mail recipients received. You can print this page for future reference using your browser's printing function.

Submission Notification	
<p>Subject: ACCEPTED FORM TYPE 8-K (0000350001-05-029072)  Date: 01-Jul-2005 10:17</p>	
<p>THE FOLLOWING SUBMISSION HAS BEEN ACCEPTED BY THE U.S. SECURITIES AND EXCHANGE COMMISSION.</p>	
COMPANY:	JOHN DOE CO
FORM TYPE:	8-K
RECEIVED DATE:	01-Jul-2005 10:15
FILING DATE:	01-Jul-2005 10:15
TEST FILING:	NO
NUMBER OF DOCUMENTS:	10
ACCEPTED DATE:	01-Jul-2005 10:17
CONFIRMING COPY:	NO
<p>ACCESSION NUMBER: 0000350001-05-029072</p>	
<p>FILE NUMBER(S):  1. 811-09447</p>	

**Figure 10-5: Submission Notification Page**

### 10.5.2 Retrieve Module/Segment Information

When you are creating a submission and want to include a reference to a module or segment, you can verify that it is residing on EDGAR by using the Retrieve Module and Segments page on the EDGAR Filing Website:

1. Log in to EDGAR and access the Retrieve/Edit Company and Submission page. Refer to Volume I for details.
2. Click the 'Retrieve Module/Segment Information' link.
3. The Module/Segment Information page appears. Click one of the two links to access the module or segment information page:
  - Retrieve Module Information
  - Retrieve Segment Information

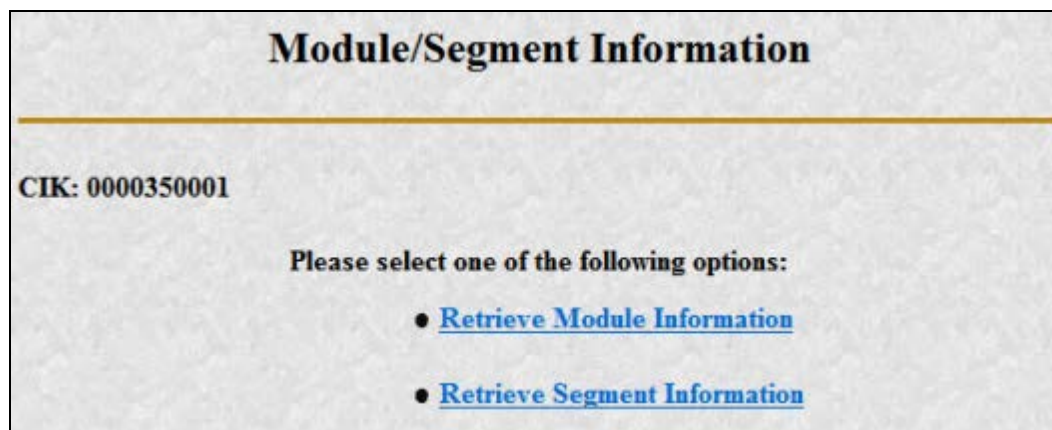


Figure 10-6: Module/Segment Information Page

### 10.5.3 Module Information

When you access the Module Information page by clicking 'Retrieve Module Information', EDGAR displays a list of all the modules currently residing on EDGAR for your CIK. The list contains the names and dates the modules were posted.

## Module Information

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CIK: 0000350001

<u>Module Name</u>	<u>Receipt Date</u>
HMODULE	28-Feb-2014 11:09
HTMOD5	28-Feb-2014 11:09
MODULE4	28-Feb-2014 11:09
TEST	28-Feb-2014 11:09

Would you like to delete one of these Modules?

**Figure 10-7: Module Information Page**

Use your browser's print function to print this list for future reference in your submission documents, or reference in the Module/Segment page of EDGARLink Online.

**Note:** You cannot view the contents of a module or segment from this page.

### 10.5.3.1 Deleting Modules

Because modules are stored on EDGAR indefinitely, from time to time you may need to update modules on EDGAR. To replace a module, delete the existing module, and then transmit the new module with the same name.

1. Log in to EDGAR and access the Module/Segment Information page.
2. Click the 'Retrieve Module Information' link. The Module Information page appears.
3. Click the [Yes] button at the bottom of this page to open the Delete Module page.

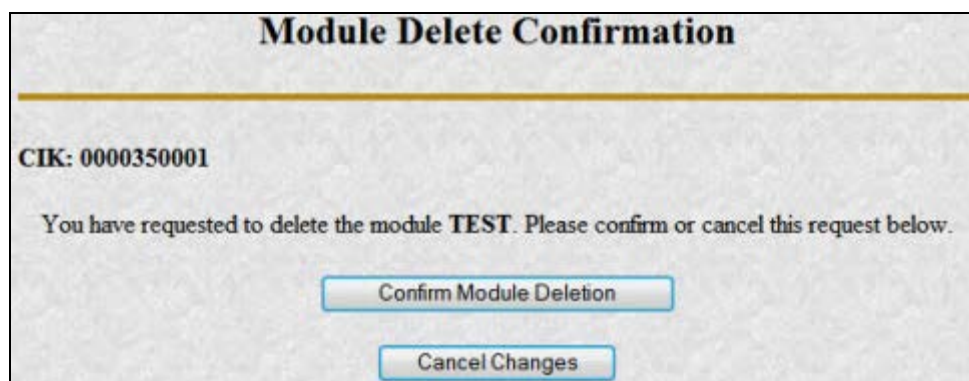
On the Delete Module page, a list of your modules is displayed in the Select Module to Delete list.



**Figure 10-8: Delete Module Page**

4. Scroll down the list and select the module you want to delete by clicking it.
5. Click the [Delete Module] button.

The Module Delete Confirmation page appears listing the module name and confirming you want to delete the listed module from EDGAR.

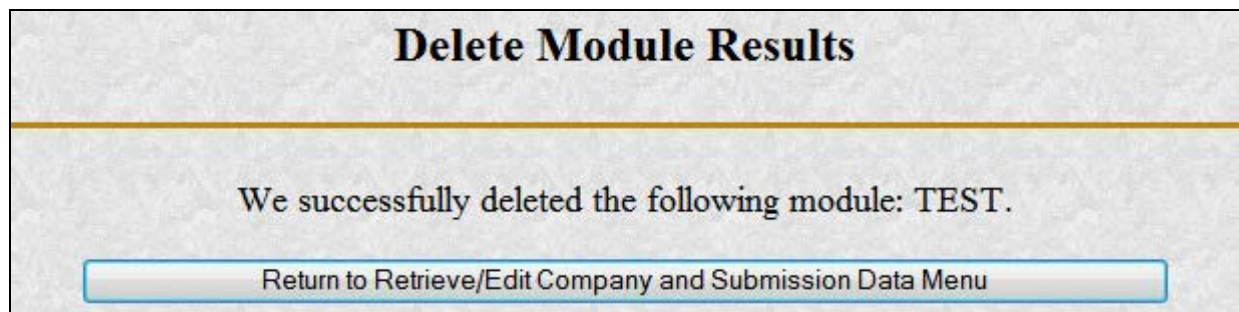


**Figure 10-9: Module Delete Confirmation Page**



6. Click the [Confirm Module Deletion] button to delete the module.
7. Click the [Cancel Changes] button to cancel the deletion, and return to the Company and Submission Information Retrieval page.

The Delete Module Results page appears confirming your module has been deleted. Return to the Delete Module page to remove any additional modules. Once your module has been deleted from EDGAR, you cannot restore it. You will have to prepare and resubmit the module using the Module/Segment template.



**Figure 10-10: Delete Module Results Page**

#### 10.5.4 Segment Information

Because segments are stored on EDGAR for only six (6) business days, you do not need to delete them. However, you can check to verify that a segment is still residing on EDGAR:

1. Log in to EDGAR and access the Module/Segment Information Page, Figure 11-12: Module/Segment Information Page.
2. Click the 'Retrieve Segment Information' link. The Segment Information page appears with a list of all the segments related to your CIK.

Segment Information	
CIK: 0000350001	
<u>Segment Name</u>	<u>Receipt Date</u>
MYSEGMENT1	18-Feb-2014 14:59
MYSEGMENT3	18-Feb-2014 14:59
MYSEGMENT4	18-Feb-2014 14:59
MYSEGMENT5	18-Feb-2014 14:59
MYSEGMENT6	18-Feb-2014 14:59
MYSEGMENT7	18-Feb-2014 14:59

**Figure 10-11: Segment Information Page**

You can print this page using your browser's printing function for future reference.

This page displays the Segment Name and the Receipt Date. Remember you have six business days from the time EDGAR receives your segment to reference it in your submission. If you do not use the segment within six business days, you will have to resubmit it.

## **10.6 Getting Help with the Content of Filings or Exemptions/Adjustments**

For help regarding filing content or fees, see Section 2.3.5, "Getting Help with EDGAR."