

## 6. INTRODUCTION TO FILING ON EDGAR

### 6.1 Preparation and Submission

After you have completed your application to submit filings on EDGAR, you will be ready for the filing process. The SEC provides a number of tools to help you with this process. The method you use to submit your filing will depend on the form type you need to submit. The tools and detailed instructions for their use are covered in Volume II of this manual. General information about the tools and transmission methods is outlined in the following section. This information is intended as an introduction. Please refer to EDGAR Filer Manual Volume II before you submit a filing.

For EDGARLink Online and all EDGAR websites, we recommend that you use vendor supported versions of Internet Explorer. EDGARLink Online and all EDGAR websites also work with vendor supported versions of Google Chrome. The use of browsers is discussed in Section 2.3, “Introduction to Web Browsers.”

Once you have completed your registration as a filer on the EDGAR system and have obtained your access codes, to submit EDGAR filing you must:

- Obtain EDGAR-compatible hardware (computer equipment) and software, see Section 2.5, “EDGAR Hardware and Software Requirements.”
- Secure an ISP for access to the Internet
- Properly prepare and maintain documents and software, see EDGAR Filer Manual Volume II.

### 6.2 EDGARLink Online Forms

#### 6.2.1 Creating an EDGARLink Online Filing

EDGARLink Online can be accessed from the EDGAR Filing Website at:  
<https://www.edgarfiling.sec.gov>.

**Note:** Please remember to enter **https**. You will not be able to access the EDGAR Filing Website without the “s” designation.

EDGARLink Online allows you to prepare and transmit a number of submission types. (See Volume II of this manual for details as to which specific submission types.) The main content of these submissions consists of attached documents one of which is the form itself. You should create the documents first and then “build” the submission using the online application.

When preparing your submission using EDGARLink Online, you will use a browser. Once you enter all of the information needed and have attached your documents, you will submit it directly from EDGARLink Online.

##### 6.2.1.1 EDGARLink Online Data Gathering Model

All online submissions will follow the same basic model. EDGARLink Online will:

- Allow you to select the specific submission type that you want to assemble and submit to the SEC, e.g. Form 8-K, Form 24F-2NT, Form F-1.
- Allow you to provide general submission information, i.e., contact name, phone number, e-mail address, and Return Copy information.

- Allow you to provide additional e-mail addresses to receive Filer Notification messages.
- Allow you to provide all of the necessary information required by the SEC rules on an appropriate data gathering form.
- Allow you to verify the information on the form.
- Allow you to upload attachments, i.e. cover letters, exhibits, or correspondence.
- Allow you to review and confirm your information in the context of the form you are filing and then print the submission for your records.
- Allow you to transmit the reviewed submission to EDGAR for processing.

The following are important notes to consider when preparing a submission using EDGARLink Online:

- You can exit the window at any time to discard your work in progress and start over.
- **All filings designated as live that you prepare and submit online are considered to be live EDGAR submissions.** Once you transmit an online prepared submission that has been designated as live, it will be automatically processed by EDGAR, and if accepted, disseminated to the public (based on the dissemination rules in EDGAR).

### 6.2.1.2 Submitting an EDGARLink Online Form

When you create an EDGARLink Online Form, the preparation and transmission processes flow together in a single browser session. You may save your online submissions to your local drive and transmit them later. The software will guide you through the process.

When you are certain that the data you have entered is correct, then use the [SUBMIT] button to send in your submission.

## 6.3 Online XML Forms

### 6.3.1 Creating an Online XML Form

The OnlineForms/XML Website is no different than most other websites that you now visit. It uses the same browser-based application software and transmission methods as the other sites and you probably will be able to submit filings to EDGAR from the website with little or no changes in your hardware or software configurations. You can access the OnlineForms/XML Website at: <https://www.onlineforms.edgarfiling.sec.gov>.

**Note:** Please remember to enter **https**. You will not be able to access the OnlineForms/XML Website without the “s” designation.

We require that your browser supports Java script.

This website was established in order to make it easier for filers and their agents to submit ownership and other required electronic filings. The XML Forms website software will use the filer-provided information to prepare an XML tagged ownership primary document that can be verified and printed by the filer and then transmitted to EDGAR for processing. Once EDGAR has accepted the submission it will disseminate the header in tagged Standard General Markup Language (SGML) and the primary document in tagged XML.

**Note:** You can only create and submit one Form submission at a time. If you are filing on

behalf of a company's officers and directors you must create a separate form for EACH officer and director.

### 6.3.1.1 OnlineForms/XML Data Gathering Model

All online submissions will follow the same basic model. The OnlineForms/XML Website will:

- Allow you to choose the type of submission to prepare, i.e. Assemble Ownership Submission.
- Allow you to select the specific ownership form type that you want to assemble and submit to the SEC, i.e., Form 3, Form 4, Form 5.
- Allow you to provide general submission information, i.e., contact name, phone number, e-mail address, and Return Copy information.
- Allow you to provide additional e-mail addresses to receive Filer Notification messages.
- Allow you to provide all of the necessary information required by the SEC rules on an appropriate data gathering form.
- Allow you to provide your signature and signature date.
- Allow you to verify the information on the form.
- Allow you to edit reporting owner address on the form where necessary.
- Allow you to upload attachments, i.e. cover letters, exhibits, or correspondence.
- Allow you to review and confirm your information in the context of the form you are filing and then print the submission for your records.
- Allow you to transmit the reviewed submission to EDGAR for processing.

The following are important notes to consider when preparing a submission using the OnlineForms/XML Website:

- There is no capability to save work in progress so it is important for you to have all of the information necessary to complete the form before you begin to assemble your submission online.
- You can exit the window at any time to discard your work in progress and start over.
- **All filings that you prepare and submit online are considered to be live EDGAR submissions.** Once you transmit an online prepared submission it will be automatically processed by EDGAR; and, if accepted by EDGAR, immediately disseminated to the public.
- The maximum size of your submission must not exceed 200 MB.

### 6.3.2 Transmitting an Online XML Form

Unlike other form types, when you create an Online Form, the preparation and transmission processes flow together in a single browser session. Since you cannot save your online submissions, you must transmit them immediately after their preparation. The software will guide you through the process. When you are certain that the data you have entered is correct, then use the [Transmit Submission] button to send in your submission.

## 6.4 Filer-Constructed Technical Filing Specifications

The SEC recognizes that there are cases when filers will want to prepare their own submissions without the use of the software developed by the SEC. There are companies that develop value added software for the preparation and submission of EDGAR filings. Many times a subsection of the filing community will find this software desirable and the programs may include capabilities beyond that of the SEC provided software. Some filers may also want to develop their own interface to larger computer systems that will deliver tagged form output ready for submission. Other filers may want to develop their own tagged output without the aid of computer programs or interfaces. We call all of these types of filings “Filer-Constructed”. (Please note that previously these filings were referred to as “reduced content” filings. Since their content is actually the same as filings produced by any of the EDGAR Filer software programs, we are updating the name used to refer to these filings to Filer-Constructed.)

To facilitate this type of filing content development, we publish technical specifications. This allows companies to create software or form output compatible with the EDGAR system. The SEC does not provide support services for this type of development, but will keep the technical documentation up-to-date to coincide with EDGAR releases. We recognize that we cannot always provide the amount of lead time that development firms would like to create or modify their software, but we will publish these technical specifications as soon as possible in a draft format.

PLEASE NOTE: Draft EDGAR Technical Specifications posted before Commission approval of potential regulatory changes in a release are provided as a service to our filing community to assist filers, agents, and software developers in preparing for potential changes the staff anticipates. Since this is a draft specification, the SEC retains the right to change any part of the specification before the release is made final. The changes outlined in the technical specifications will note the date that these changes, if regulatory changes are approved, are scheduled to take effect. The schedule is subject to change. The final version of the technical specification will be made available on or about the release date on the SEC's public website.

Because of their limited audience, these documents are produced separately from the EDGAR Filer Manual. Also, the production schedule may not follow that of the Filer Manual. Most filers will not use these documents. Only those companies with technical skill sets and understanding needed to produce software that creates submissions or Filer-Constructed documents should utilize these manuals.

### 6.4.1 XML Form Type Technical Specification

Online filings are produced in XML format. The XML Technical Specification is comprised of a number of documents, each specifying the format for a specific submission type or a small group of related submission types. For example, the document describing Section 16 Forms is called the Section 16 Forms XML Technical Specification. Form types that are XML formatted include the content of the paper form within the main, primary document. Thus a Technical Specification for one form type is considerably larger than that an EDGARLink Online Filer-Constructed XML form, which would include header information only. Also, many companies may produce a single or limited number of forms in this format. In this case, delivering all of the forms in a single document might make the information for a single form type more difficult to find. Packaging the Technical Specifications for all XML form types in a single document would

produce an extremely large document that would take considerable time to download and would be difficult to use. Thus we feel separate form packaging is desirable.

Since XML is a tagged format, the document includes a description of all of the tags and the allowable content and format of the data elements. In this type of submission, the form type is made up of XML content. The technical specification reflects this aspect and describes all of the form content in a tagged structure. The technical specification also includes the details on how to include additional document content such as cover letters and correspondence. Attached documents must be MIMed and must be surrounded by tags that define the content as an attached document.

#### **6.4.2 Transmitting XML Form Types**

After you prepare your Filer-Constructed submissions, you can submit them using the website pages for transmitting filings. XML Filer-Constructed filings can be submitted using the OnlineForms/XML Website (<https://www.onlineforms.edgarfiling.sec.gov>) and using the EDGAR Filing Website (<https://www.edgarfiling.sec.gov>). Directions on the website guide you to select the file to be transmitted using the standard Microsoft browse function. If you have a third party application that uses low-level HTTPS software to transmit filings, you will need to ***have your EDGAR interface integrity inspected often***. The SEC cannot guarantee that EDGAR website pages will remain constant; therefore, developers of these applications must be prepared to update this interface whenever a new EDGAR release is installed.