

Preface

Welcome to the Electronic Data Gathering, Analysis, and Retrieval (EDGAR) system of the U.S. Securities and Exchange Commission (SEC). EDGAR provides an electronic filing process for filers and filing agents submitting documents under the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, and the Investment Company Act of 1940 (collectively, “Acts”).

When you have determined that you have a requirement to file electronically on EDGAR, you must follow a specified process. The first step of this process, applying to be an electronic filer, is covered in this manual. The EDGAR system has built in a number of safeguards that require you to complete a formal application process before you can access most of the EDGAR Filer websites. After you complete that process, you will be able to generate new or replacement access codes that allow you to start filing on the system. These codes also provide access to other sites that allow you to create certain types of filings, or to update your company information. The two EDGAR Filer Manuals are designed to help you follow this process. The first volume of this manual covers the application process and outlines how to keep your company data, which is stored in EDGAR, up-to-date. The second volume helps you understand the tools provided by the SEC for constructing and transmitting electronic submissions.

The SEC accepts electronic submissions through the Internet. EDGAR will disseminate that information and you may view electronically submitted filings in the SEC’s Public Reference Room in Washington, DC, through commercial dissemination services, or by using the SEC’s website on the World Wide Web (<https://www.sec.gov>).

Do you need to file through EDGAR?

Whether or not you need to submit filings on EDGAR will depend on the form type(s) you are required to submit. For those requirements, refer to Regulation S-T, Rule 101 [Mandated Electronic Submissions and Exceptions].

Rules Governing Forms and Filing Information

EDGAR provides you with an electronic means to submit information to us. **It does not change the content of what you submit.** Regulation S-T mandates electronic submissions of filings by all domestic and foreign registrants. Regulation S-T also provides the general requirements and procedures for electronic filing. You may find copies of Regulation S-T in the Federal Register and the Code of Federal Regulations (17 CFR Part 232) in our Public Reference Rooms. You will also find Regulation S-T under the Division of Corporation Finance area on the SEC’s website (<https://www.sec.gov>) under Forms and Associated Regulations, EDGAR.

Please see the EDGAR Filer Manual Volume II for a detailed listing of laws and releases that affect electronic filing. You may obtain copies of this material from our SEC website (<https://www.sec.gov>).