edgar agents

# Applying for Form ID & EDGAR Next Guide

Version 1.0

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# Amended Form ID

# Apply for EDGAR Access in 6 Steps

**Step 01**

### Login.gov

Obtain login.gov credentials to access the Filer Management Site

**Step 02**

### Apply for EDGAR Access

Apply for EDGAR Access for a new applicant

**Step 03**

### Form Fill with new sections

Follow prompts to fill out Form ID on the dashboard

**Step 04**

### Notarize & Authenticate

Save & download Form ID for signing & notarization. Re-upload into Part 6.

**Step 05**

### Submit Application

The SEC will process the application within 2-5 business days. The individual who submitted the application will receive the notification of submission.

**Step 06**

### Account Administrator Actions

Admins must accept role in dashboard to view CCC, add users & delegate to filing agents.

# Frequently Asked Questions

# Form ID Frequently Asked Questions

*Answers to common questions regarding Form ID*

**What has changed on Form ID?**

- You are now required to have 2 account admins unless you are a single member company or an individual applying.
- Power of Attorneys must be signed and notarized.

**Who can fill out Form ID?**

- Anyone with login.gov credentials.

**Who is required to fill out Form ID? (i.e., who is applying)**

- Companies and individuals that need to file with the SEC.

**What is the difference between New Filer Access and Existing Filer access?**

- New filers have never had a CIK and are applying for codes for the first time.
- Existing filers had codes in the past but no longer have access or active codes.

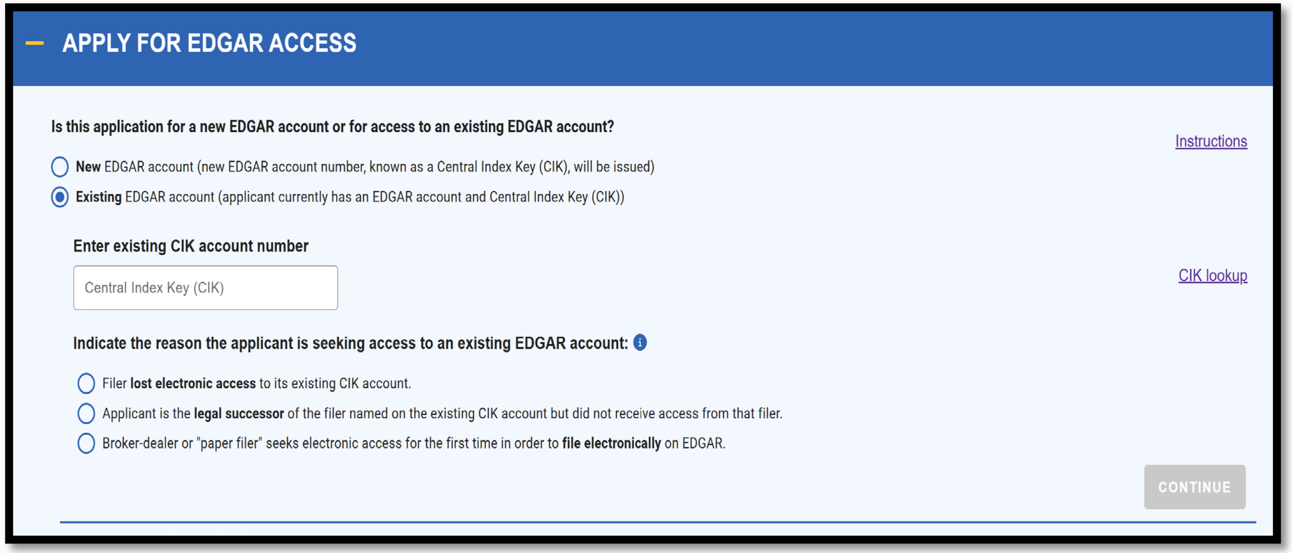
# Filing Form ID

# Restoring EDGAR Access with a CIK

*Applying for new EDGAR Access with an existing CIK*

## When to apply for restore of access

- **Access an existing EDGAR account (existing CIK)** to which the filer has lost access because, for example, the filer failed timely to perform annual confirmation, as required by Rule10(d)(4) of Regulation S-T, 17 CFR 232.10(d)(4);
- **Access an existing CIK** where the applicant is the legal successor of the filer named on the existing CIK but did not receive EDGAR access from that filer; or
- **Access an existing CIK** in which no filer has previously made electronic filings (formerly "paper filer" EDGAR accounts).

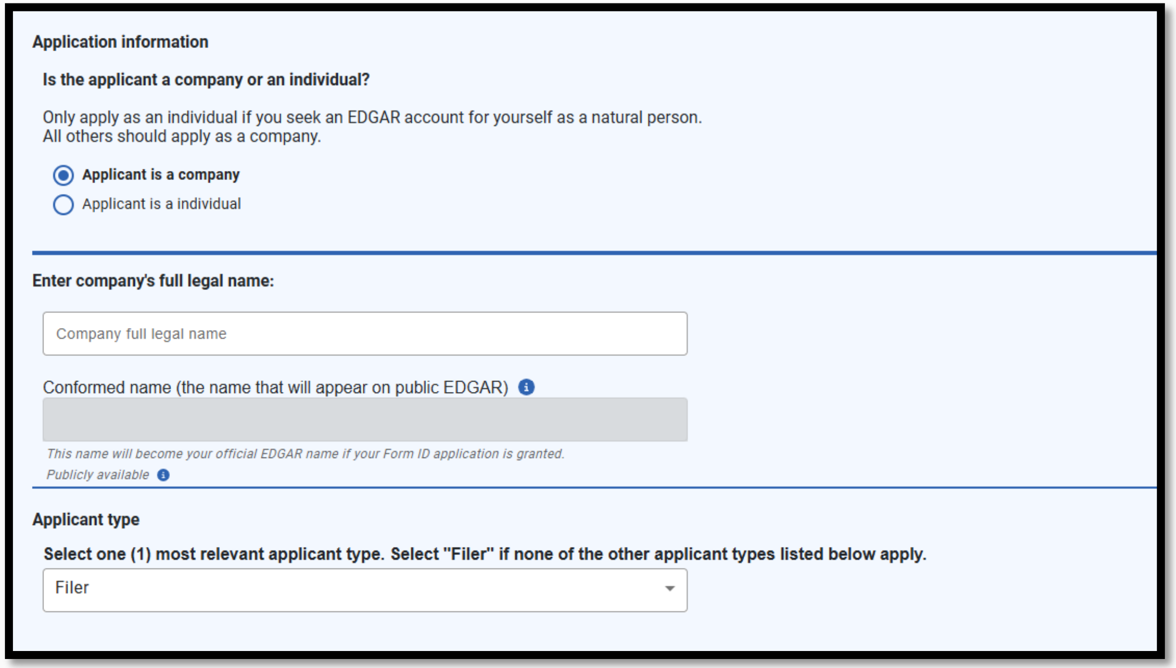


# Company Workflow

## *Filing Form ID as a company*

- Select "Applicant is a company" to populate required fields to input company information.

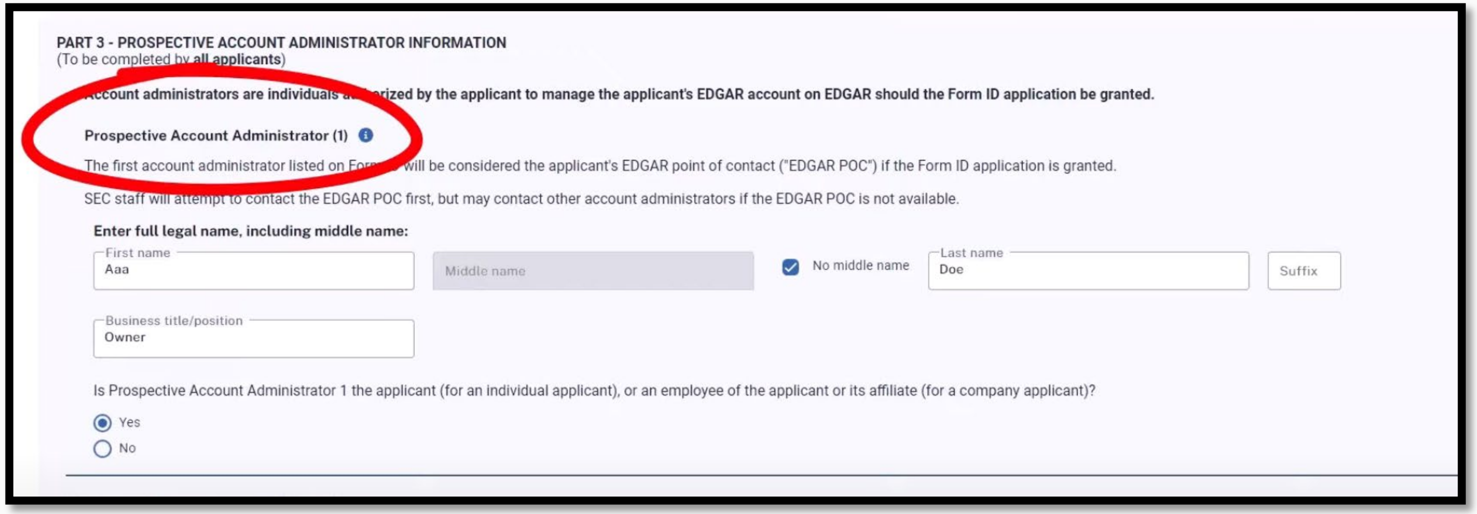
- Required company information:
  - Name, Address, Phone Number, Tax Number (If available), State/Country of Incorporation, FYE



# Company Workflow

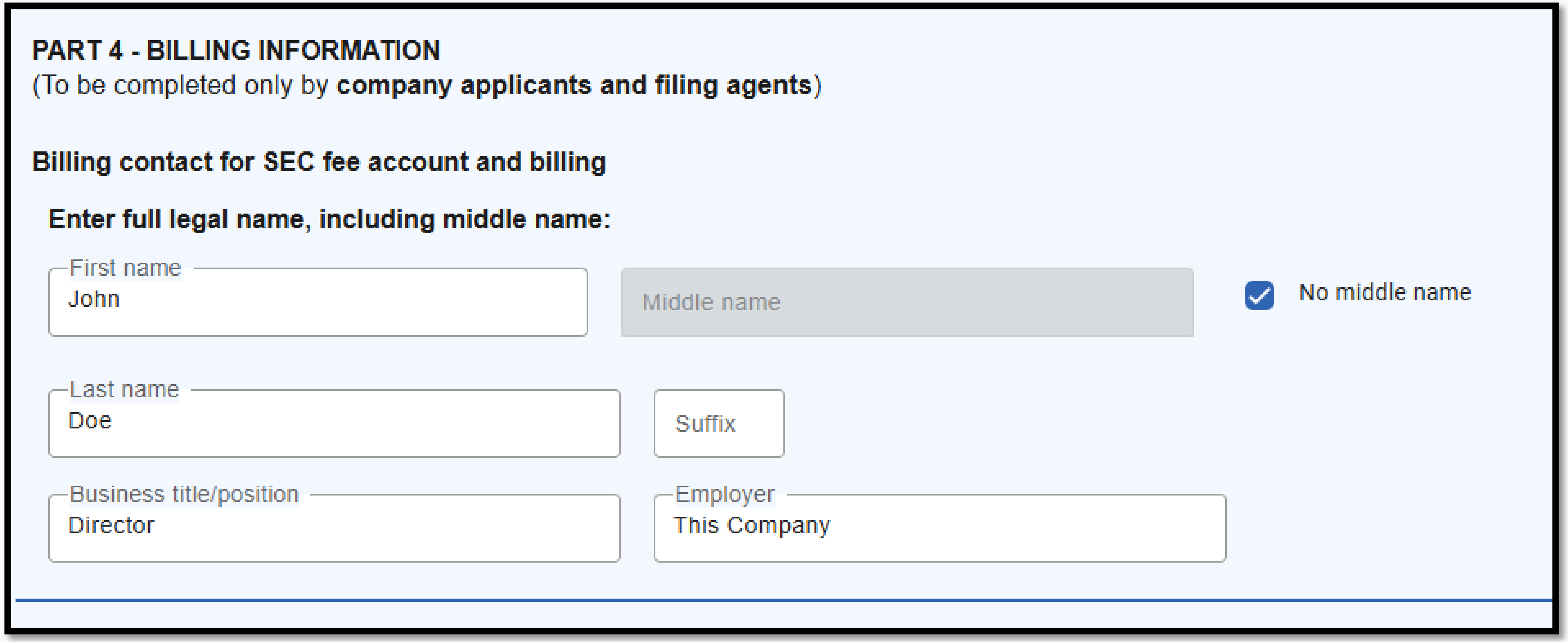
## *Filing Form ID as a company*

- Two Account Administrators (single-member companies only need one) are required.
- Required Account Admin information:
    - Name, Address, Email Address, Phone Number
- Account Admins should be employed by the company applying for codes. If they are not, a notarized POA will be required.



*Filing Form ID as a company*

- Required billing information:
  - Name, Address, Email Address, Phone Number



**PART 4 - BILLING INFORMATION**
(To be completed only by **company applicants and filing agents**)

**Billing contact for SEC fee account and billing**

**Enter full legal name, including middle name:**

First name: John
Middle name
No middle name

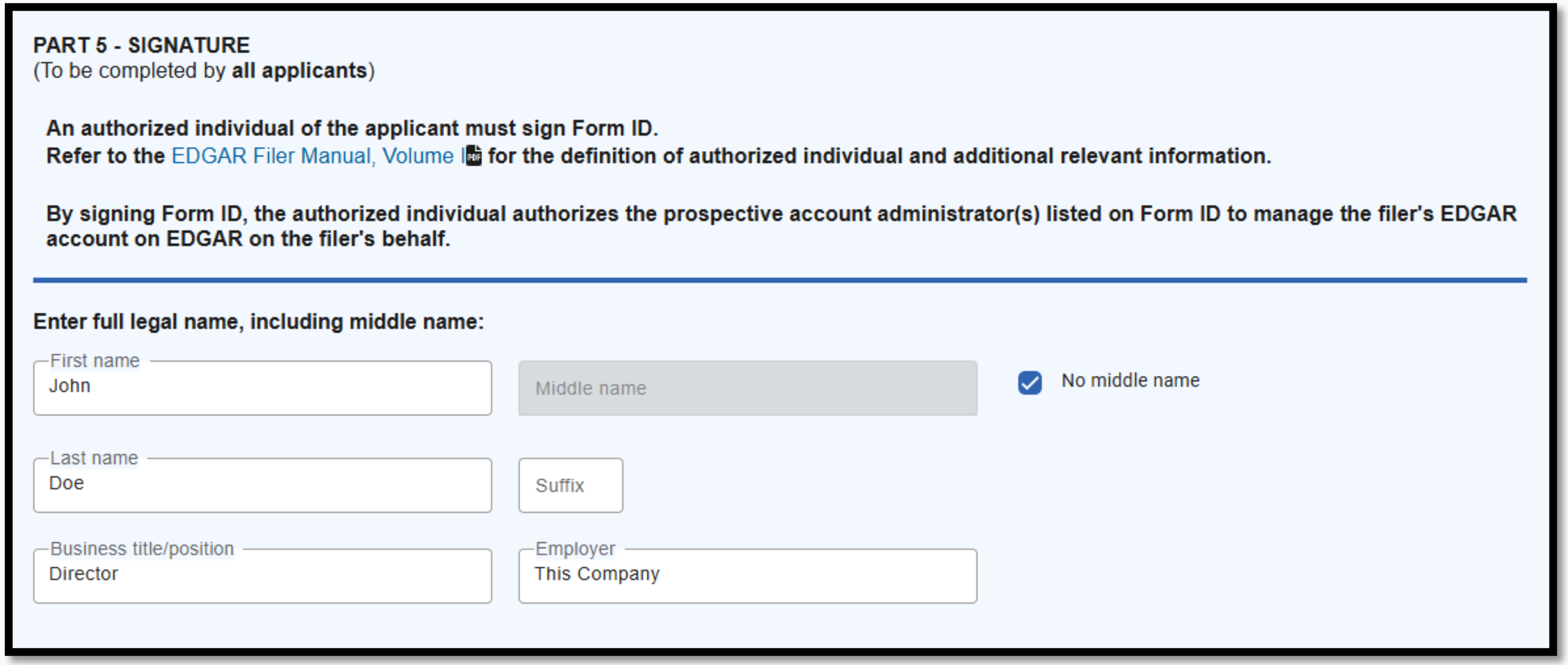
Last name: Doe
Suffix

Business title/position: Director
Employer: This Company

# Company Workflow

*Filing Form ID as a company*

- Signature requirements:
  - Name, Address, Email Address, Phone Number
- The person signing must be a manager, director, or CXO. Otherwise, a signed and notarized POA will be required.
- If you are using an POA for the account admin or signature, the Title/Position must be "By POA from (first name/last name), Valid Title."



PART 5 - SIGNATURE
(To be completed by **all applicants**)

**An authorized individual of the applicant must sign Form ID.**
**Refer to the** EDGAR Filer Manual, Volume I **for the definition of authorized individual and additional relevant information.**

**By signing Form ID, the authorized individual authorizes the prospective account administrator(s) listed on Form ID to manage the filer's EDGAR account on EDGAR on the filer's behalf.**

**Enter full legal name, including middle name:**

First name: John
Middle name
No middle name
Last name: Doe
Suffix
Business title/position: Director
Employer: This Company

# Company Workflow

*Filing Form ID as a company*

- Upload your Form ID
- Upload supporting documents, if required

**PART 6 - DOCUMENTS**
(To be completed by **all applicants**)

**All filers must upload a notarized Form ID authentication document to EDGAR as a PDF attachment that is submitted with your Form ID.**
See the EDGAR Filer Manual, Volume I ,for more information about the notarized authentication document.

**Other documents to be uploaded in certain circumstances:**

- **Prospective account administrator(s) not employed by the applicant, including filing agents and other third parties acting on behalf of the applicant:**
  - Must upload to EDGAR a notarized Power of Attorney clearly indicating that an authorized individual of the applicant, as defined in the EDGAR Filer Manual, Volume I, gives the individual(s) named as a prospective account administrator(s) the authority to act as the applicant's account administrator(s) and manage the applicant's EDGAR account.
- **Applicants for access to an existing CIK account:**
  - Must upload to EDGAR documents that clearly establish the applicant's authority over the company or individual whose name currently is listed in EDGAR on the existing CIK account.

File selection

Drag one file at a time here or choose from folder

Document type

(based on file uploaded)

File description *(optional)*

0 / 255

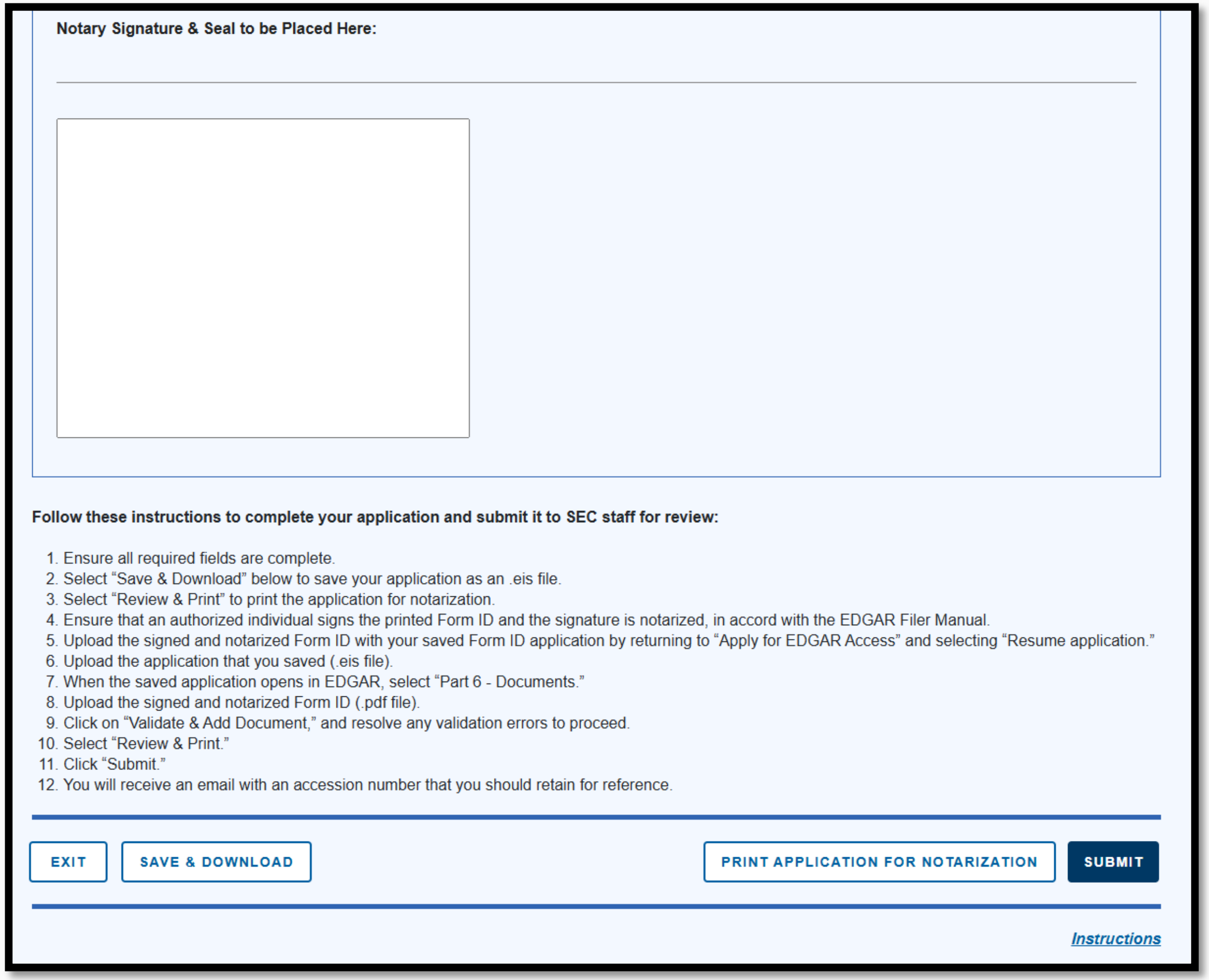
VALIDATE & ADD DOCUMENT

| | File name | Document type | File description |
|---|---|---|---|

# Company Workflow

*Filing Form ID as a company*

- Print and Review your Form ID.
- Sign and Notarize.
- Upload to online application for review.



**Notary Signature & Seal to be Placed Here:**

**Follow these instructions to complete your application and submit it to SEC staff for review:**

1. Ensure all required fields are complete.
2. Select “Save & Download” below to save your application as an .eis file.
3. Select “Review & Print” to print the application for notarization.
4. Ensure that an authorized individual signs the printed Form ID and the signature is notarized, in accord with the EDGAR Filer Manual.
5. Upload the signed and notarized Form ID with your saved Form ID application by returning to “Apply for EDGAR Access” and selecting “Resume application.”
6. Upload the application that you saved (.eis file).
7. When the saved application opens in EDGAR, select “Part 6 - Documents.”
8. Upload the signed and notarized Form ID (.pdf file).
9. Click on “Validate & Add Document,” and resolve any validation errors to proceed.
10. Select “Review & Print.”
11. Click “Submit.”
12. You will receive an email with an accession number that you should retain for reference.

EXIT | SAVE & DOWNLOAD | PRINT APPLICATION FOR NOTARIZATION | SUBMIT

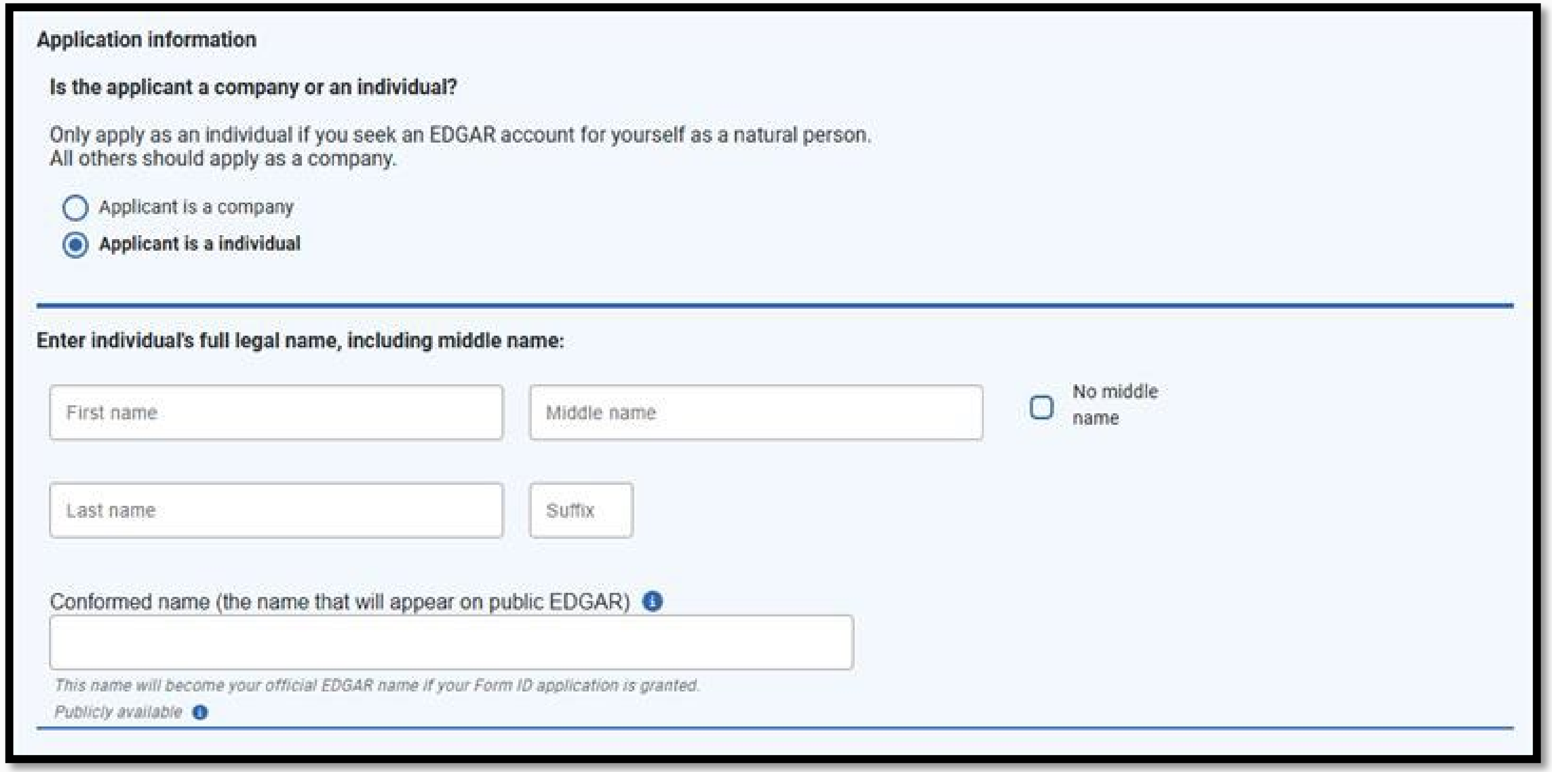
*Instructions*

# Individual Workflow

*Filing Form ID as an individual filer*

- Select "Applicant is a individual" to populate required fields to input individual information.

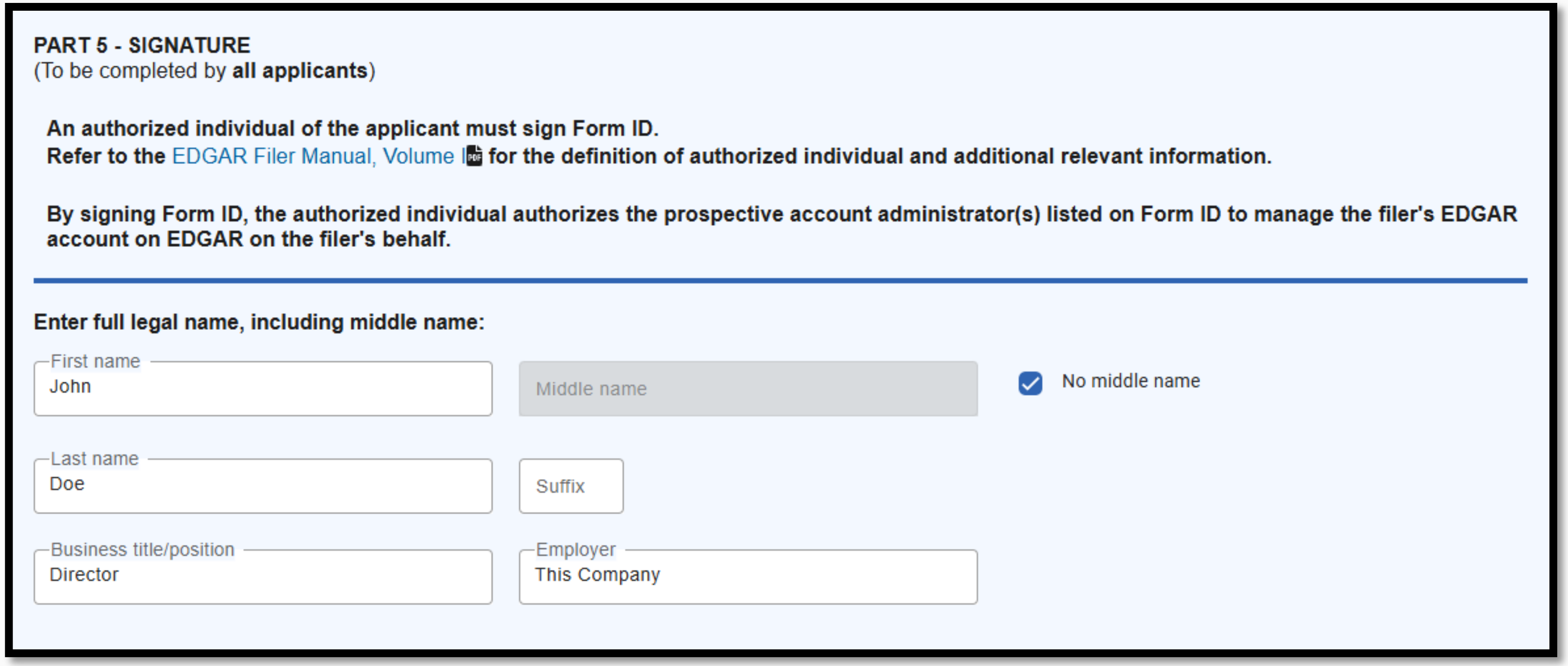
- Required Individual Information
    - Name, Address, Phone Number



# Individual Workflow

*Filing Form ID as an individual filer*

- One Account Administrator is required for an individual filer.
- The Account Admin should be the applicant. If they are not, a notarized POA will be required.
- The Title/Position for an individual filer must be "Applicant."
- Required Account Admin information:
  - Name, Address, Email Address, Phone Number



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No middle name
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Suffix
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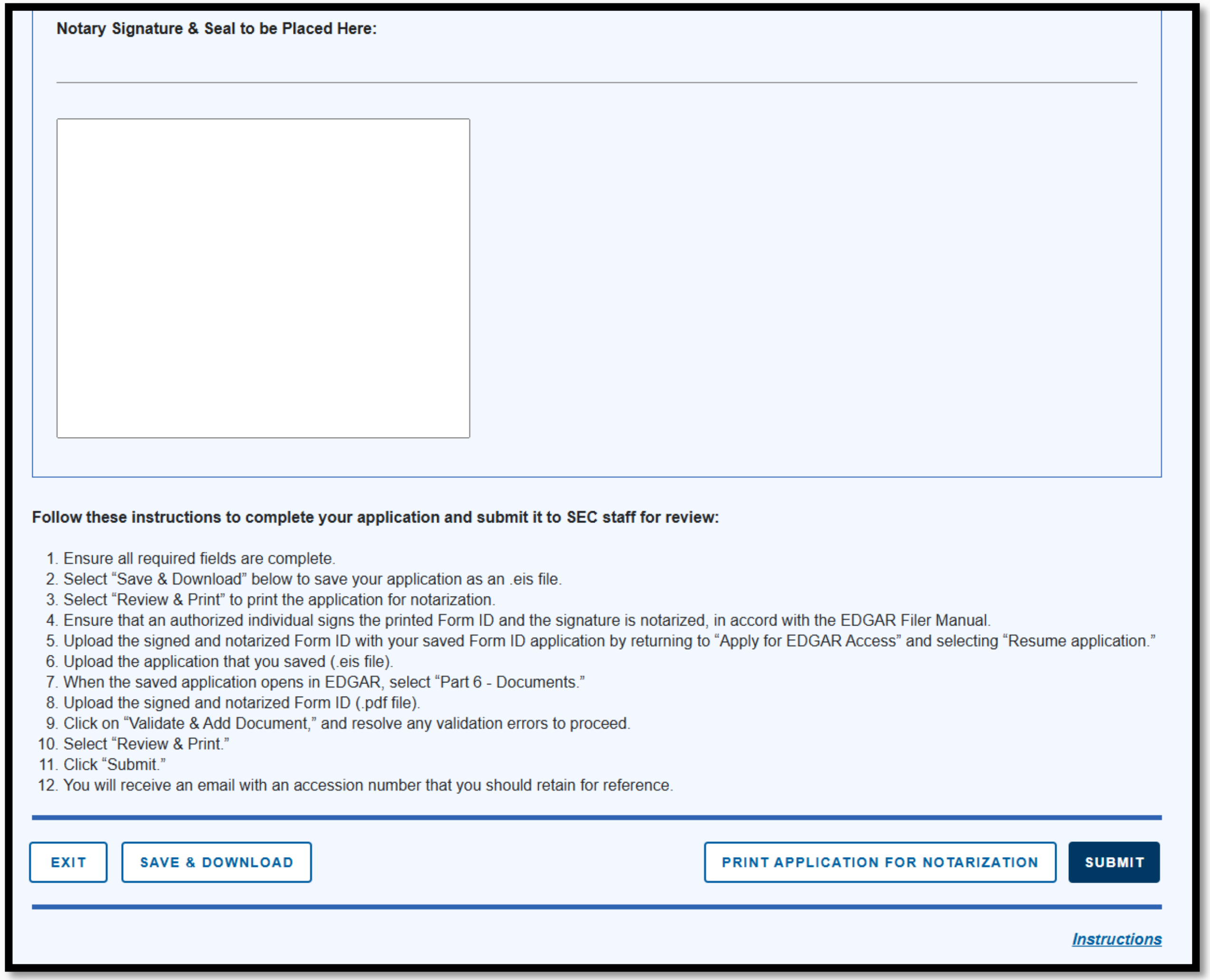

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EXIT | SAVE & DOWNLOAD | PRINT APPLICATION FOR NOTARIZATION | SUBMIT

Instructions

# Individual Workflow

*Filing Form ID as an individual filer*

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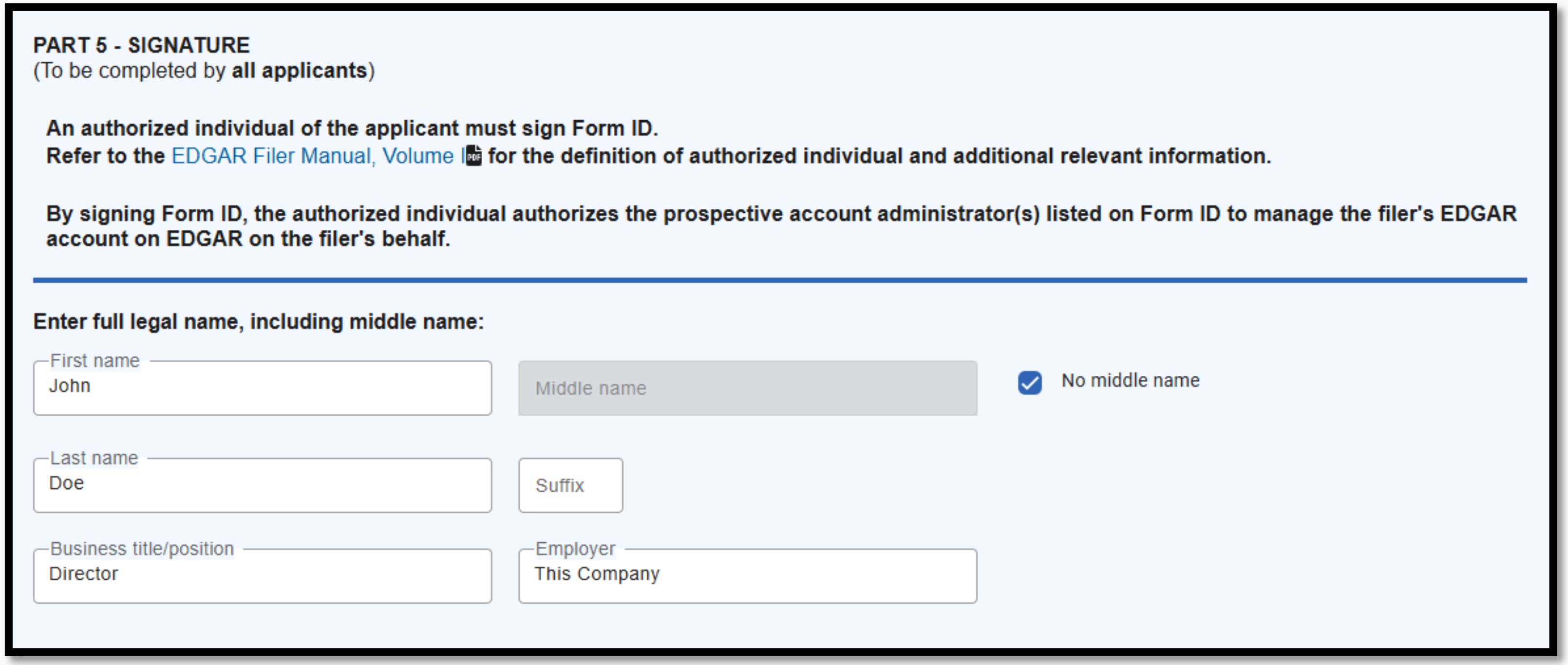
  - Name, Address, Email Address, Phone Number

- The person signing must be the applicant. Otherwise, a signed and notarized POA will be required.



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First name: John
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Business title/position: Director
Employer: This Company

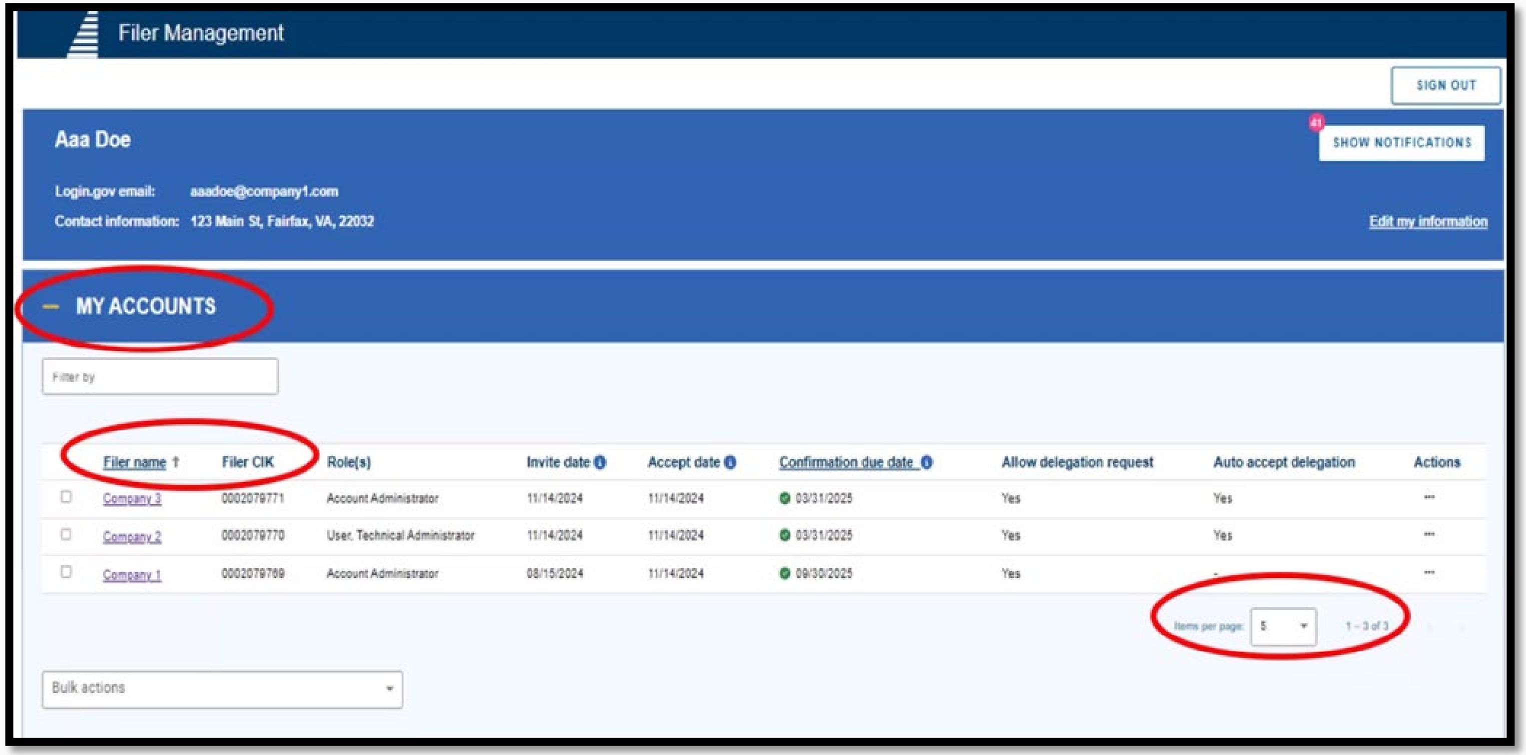
# EDGAR Next Account Management Guidance

## *Handling Multiple Client (Filer) Accounts in EDGAR*

EDGAR Next offers a unified dashboard for a single individual to manage multiple Filer accounts.

“My Accounts” Dashboard provides:

- Toggling between Client A (Filer CIK) and Client B.
- Viewing of your assigned role per Filer.
- Illustrative list of Annual Confirmation Status per Filer.
- Single Sign-on access; no more juggling separate logins.



# What Happens After Filing Form ID?

# What Happens After Submitting a New Form ID?

*Key updates and actions for post-application for EDGAR Access for new Filers*

## Account Admins Must Activate

Individuals designated as Prospective Account Administrators must log into the Filer Management site with their login.gov credentials.

## The 14 Day Rule

An Account Administrator's invitation to a filer's EDGAR account expires in 14 days. The individual can be re-invited only by another Account Administrator.

## CCC Generated

The CCC will be viewable in the "Manage CCC & Password" section of the filer's dashboard.*

*From now until September 15th, an Account Administrator can generate a password to be used in combination with the CIK to access EDGAR filing websites. After September 15th, login.gov credentials will be used as single sign-on to access all EDGAR sites.

## Receiving Delegations

Receiving delegation requests from your filing agent will only occur if:

- The "Accept Delegation Requests" option is checked off for the filer.
- For an entity, both Account Administrators are active in the account.

# How to create a Custom CCC and Password?

1. Log into the [EDGAR Filer Management website]() with the Login.gov credentials.
2. Select the **Filer name** associated with the CIK.
3. Select **Manage CCC & Password.**
4. To change the CCC:
5. Select either **Generate CCC**, or
   - Enter a new CCC in the boxes above **Create Custom CCC** and confirm the new CCC by selecting **Create Custom CCC.**
   - The new CCC can be viewed by authorized filers by selecting the box **Show CCC** or by selecting **Account Details** at the top of the page.
6. To change the Password:
   - Enter a new password in the boxes above **Set New Password** and confirm the new password by selecting **Set New Password**.
   - Remember to store the new password as it is not viewable EDGAR Filer Management website. The box **Show new password** only allows filers to see the password prior to confirmation.

Source: SEC.gov | Understand and Utilize EDGAR CIKs, Passphrases, and Access Codes

# Form ID Best Practices

# New Filer Applicant Form ID Process

*The Form ID application is available on the dashboard and can be filled out by an authorized individual with login.gov credentials.*

**Best Practices**

- Print the online Form ID after they have completed the form on the dashboard.
- Obtain the notarized signature of an authorized individual of the applicant on the printed copy of the completed Form ID.
- Submit that Form ID authenticating documents through the dashboard. (such as notarized form & POA, if applicable)
- Ensure the application is signed by an individual with a valid title (e.g., CEO, CFO, partner).
- Include state of incorporation, business email, and fiscal year end.
- Indicate if the prospective account administrator has been criminally convicted, or civilly or administratively enjoined, barred, suspended, or banned due to a Federal or state securities law violation.
- Prospective Account Administrators have 14 days from the date the SEC grants the application to accept their roles in the EDGAR Next dashboard on behalf of the filer; if they do not accept, a new Form ID will need to be submitted.

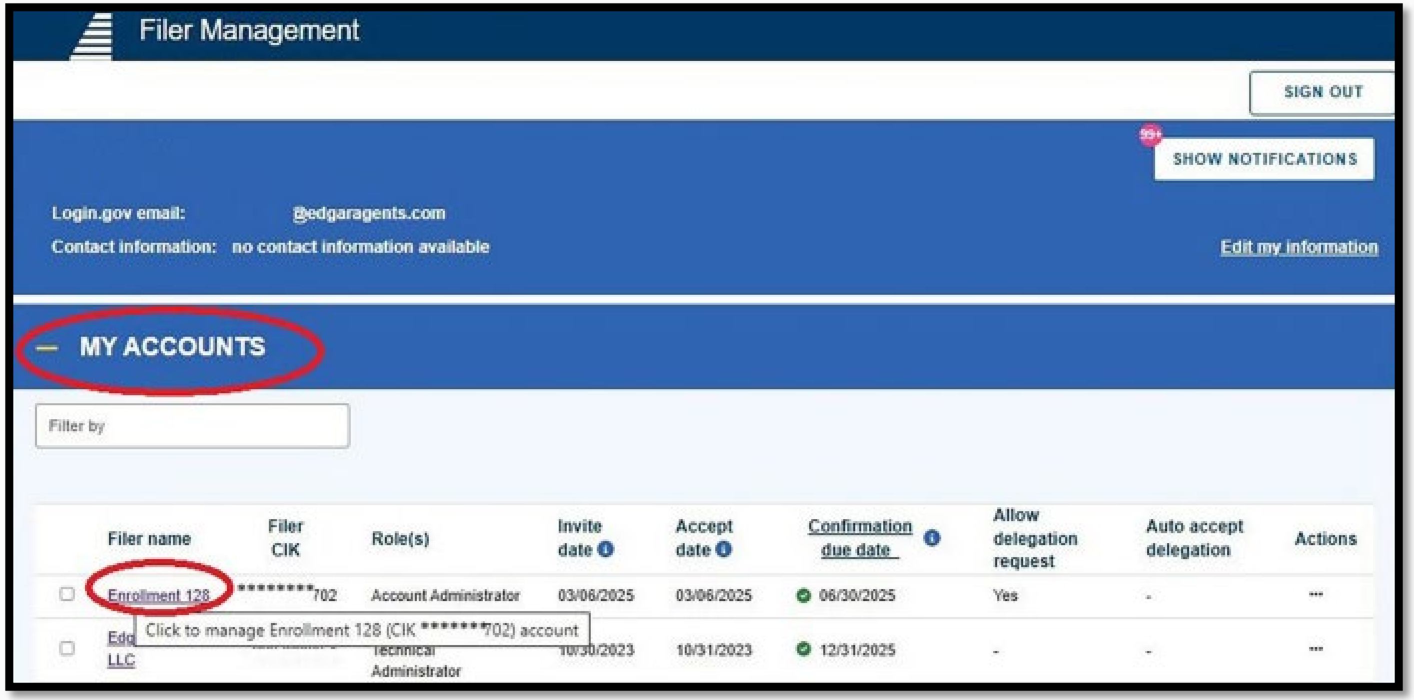
# Account Administrator Workflow

# Account Admin Workflow

*Once you assign your Account Admin(s), they will receive an email with a link to accept the delegation.*

- After successful enrollment or the acceptance of a Form ID application, the Filers' Account Administrators can delegate filing authority via the dashboard to any EDGAR account, allowing multiple filing agents.

- From your dashboard, select the filer name under "My Accounts." You will now be able to access the EDGAR account for the selected filer.



# Resources

# Resources

*Resources for filing Form ID*

[Applying for EDGAR Access – YouTube video]

[EDGAR Filer Manual]

[EDGAR Next Enrollment Guide for Existing Filers]

[EDGAR Next Filing Delegation Guide]

[Filer Management Website]

# THANK YOU

For additional assistance with EDGAR Next contact your representative or email edgarnext@edgaragents.com

For general queries contact info@edgaragents.com