

Form ID Quick Reference Guide

How to Obtain EDGAR Access Codes to Access EDGAR

Disclaimer

These instructions represent the views of the Filer Technical Support branch and are written to assist filers in the preparation and process of filing electronically. The instructions are intended as general guidance and should not be relied on as definitive or a substitute for the EDGAR Filer Manual.

<http://sec.gov/info/edgar/edmanuals.htm>

In this document, you will learn how to apply for EDGAR access codes and then use the codes to access EDGAR.

Before Obtaining EDGAR Access Codes

Before a filer can access EDGAR, the filer must have EDGAR access codes.

If you are a new filer or an existing filer who wants to file in another capacity as a filing agent or training agent, you must use a Form ID to apply for EDGAR access codes. You do this by completing and submitting an electronic Form ID along with a notarized authentication document. You can obtain this document at <https://www.filermanagement.edgarfiling.sec.gov>

Authentication Documentation *(From the Edgar Filer Manual 3.2.5)*

In addition to the submitted Form ID application, the applicant must submit additional verification documents to help ensure that the application is authentic. Accordingly, the applicant is required to attach a manually signed, notarized, and scanned PDF file of the Notarized Authentication Document to their electronic Form ID.

How to Apply for EDGAR Access Codes

Note: It is suggested that you gather the information that you need before applying for your Edgar access codes. This will save you some time. You can apply for your codes at <https://www.filermanagement.edgarfiling.sec.gov>,

To apply for your EDGAR access codes:

1. Go to <http://www.sec.gov/about/forms/formid.pdf>.
2. **Fill out** and **print** the pdf Form ID.
3. Have the form signed by the owner of the CIK.
4. Have the form **notarized and dated**.
5. **Scan the document** to your computer and save it as a pdf.

NOTE: The document file name must:

- **Be in lower case and no longer than 32 characters in length**
- **Have a name that must start with a letter (a-z) and not contain spaces.**

File names may contain digits (0-9), up to one period (.), one hyphen (-), and one underscore (_) character.

6. Attach the form to your electronic Form ID application and submit both to the Commission at <https://www.filermanagement.edgarfiling.sec.gov>

After Obtaining Your Access Codes

After you have obtained your access codes, you will be ready to log in to EDGAR, transmit submissions, run company queries, update your company information, or change your password/CCC (CIK Confirmation Code).

Below, you will see the PDF Form for Authentication Documentation.

PDF Form ID for Authentication Documentation

U.S. Securities and Exchange Commission
Washington, D.C. 20549

FORM ID APPROVAL	
EDI Number	12/25/13/01
File No.	12/25/13/01
Control Number	015

FORM ID
UNIFORM APPLICATION FOR ACCESS CODES TO FILE ON EDGAR

PART I—APPLICATION FOR ACCESS CODES TO FILE ON EDGAR

Name of applicant (Applicant's name as specified in its charter, except if individual, last name, first name, middle name, suffix [e.g., "Jr."]); ABC CO

Mailing Address or Post Office Box No. 555 Fifth St

City Alexandria State or Country VA Zip 22312

Telephone number (include Area and, if Foreign, Country Code) 555-555-5555

Applicant is (see definitions in the General Instructions):

- Individual (if you check this box, you must also check another box that appropriately describes you)
- Clearing Agency
- Filer
- Filing Agent
- Institutional Investment Manager (Form 13F Filer)
- Investment Company, Business Development Company or Insurance Company Separate Account
- Large Trader
- Municipal Advisor
- Municipal Securities Dealer
- Nationally Recognized Statistical Rating Organization
- Non-Investment Company Applicant under the Investment Company Act of 1940
- Security-Based Swap Data Repository
- Security-Based Swap Dealer and Major Security-Based Swap Participant
- Security-Based Swap Execution Facility
- Training Agent
- Transfer Agent

PART II—FILER INFORMATION (To be completed only by filers that are not individuals)

Filer's Tax or Federal Identification Number (do not enter Social Security Number) 00-0000000

Doing Business As

Foreign Name (if Foreign Issuer Filer and applicable)

Primary Business Address or Post Office Box No. (if different from mailing address)

City State or Country Zip

State of Incorporation Fiscal Year End (mm/yy)

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a current valid OMB control number.

SEC 2084 (1-13)

- Step 1: Print the form and sign it.
- Step 2: Have the form notarized and dated for authentication.

PART III—CONTACT INFORMATION (To be completed by all applicants)

Person to receive EDGAR Information, Inquiries and Access Codes: 555-555-5555

Telephone Number (Include Area and, if Foreign, Country Code): _____

Mailing Address or Post Office Box No. (if different from applicant's mailing address):
555 Fifth St.

City: Alexandria State or Country: VA Zip: 20744

E-Mail Address: _____

PART IV—ACCOUNT INFORMATION (To be completed by filers and filing agents only)

Person to receive SEC Account Information and Billing Invoices: John Doe

Telephone Number (Include Area and, if Foreign, Country Code): 555-555-5555

Mailing Address or Post Office Box No. (if different from applicant's mailing address):
555 Fifth St.

City: Alexandria State or Country: VA Zip: 22312

PART V—SIGNATURE (To be completed by all applicants)

Signature: _____

Type or Print Name: John Doe

Position or Title: CEO

Date: 2/2/2002

Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C. 1001.

Section 19(a) of the Securities Act of 1933 (15 U.S.C. 77e(a)), sections 13(a) and 23(a) of the Securities Exchange Act of 1934 (15 U.S.C. 77sw(a) and 77sw(a)), section 319 of the Trust Indenture Act of 1939 (15 U.S.C. 77ss), and sections 30 and 38 of the Investment Company Act of 1940 (15 U.S.C. 80a-29 and 80a-37) authorize solicitation of this information. We will use this information to assign system identification to filers, filing agents, and training agents. This will allow the Commission to identify persons sending electronic submissions and grant secure access to the EDGAR system.

**Print the form and sign it.
Have the form Notarized and
Dated for authentication.**

After the SEC Receives Your Form ID Application

After the SEC receives both the electronic Form ID application and the attached authentication documentation, the Commission will authenticate the request. A notification message stating the SEC's disposition of the application will be sent to the e-mail address provided in the "Contact for EDGAR Information" part of the Form ID. The disposition will be either "accepted" or "rejected."

Applying for EDGAR Access

Please follow these steps:

Step 1: Log on to the EDGAR website <https://www.filermanagement.edgarfiling.sec.gov>.

Step 2: Click on the option **Apply for EDGAR Access (New)**.

The screenshot shows the EDGAR Filer Management website. On the left, a blue sidebar contains the following menu items:

- EDGAR® Form ID
 - Home
- Filer Management
 - Apply for EDGAR Access (New)
 - Generate Access Codes (New/Replacement)
 - Update Passphrase
 - Convert Paper Only Filer to Electronic Filer
 - EDGAR Access for New Serial Companies
- Support
 - General Help
 - Frequently Asked Questions

The main content area is white and features the U.S. Securities and Exchange Commission logo and the text "Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Filer Management". Below this, there is a welcome message and a list of links:

- Apply for EDGAR Access (New)**
Use this link if you as an individual, another individual whom you represent, or a company that you represent is new to filing electronically with the SEC. If the potential filer already has an EDGAR Central Index Key (CIK), use one of the other links on this website to resolve any EDGAR access issues.
- Generate Access Codes (New/Replacement)**
Use this link to generate a set of EDGAR access codes (i.e., PMAC, Password and CCC) when:
 - your initial application for EDGAR access has been accepted (new user),
 - your password has expired (existing user),
 - you have forgotten all of your EDGAR access codes (existing user), or
 - you need to change your access codes for security reasons (i.e., they have been compromised).
- Update Passphrase**
Use this link to reset your EDGAR Passphrase if you have forgotten it or it has been compromised.
- Convert Paper Only Filer to Electronic Filer**
Use this link if your company has been filing with the SEC via *paper forms only* and it has become necessary to file electronically.

Apply for Edgar Access (New)

The Form ID Application is displayed.

Step 3: Choose the filer type, and fill out the rest of the form.

EDGAR Filer Management - Windows Internet Explorer
Application for EDGAR Access (Form ID)

Applicant Type
Filer
Filing Agent
Investment Company, Business Development Company or Insurance Company Separate Account
International Investment Manager (Form 333 Filer)
Large Trader
Non-Development Company Applicant under the Investment Company Act of 1940
Training Agent
Transfer Agent
Mutual Fund Service

Also, the value that you enter below may be conformed to meet EDGAR standards. Click [here](#) for details.

Name of Applicant (English language) *

Mailing Street 1 * Mailing Street 2

Mailing City * Mailing State/Country *

Mailing Zip/Postal Code *

Phone *

Note: If the potential filer does not have a TIN, enter "00-0000000" below.
Tax Identification Number (TIN) (00-0000000) *

Filer Information

"Doing Business As" Name

Note: The Foreign Name is intended to be the name of your company in any language other than English.
Foreign Name

Business address same as mailing address. Business address is required if not the same.
Business Street 1 Business Street 2

Business City Business State/Country

Business Zip/Postal Code

State of Incorporation

Fiscal Year End (MMDD)

Contact for EDGAR Information, Inquiries and Access Codes

Contact Name *

Contact address same as mailing address. Contact address is required if not the same.
Contact Street 1 Contact Street 2

Choose the type of filer. For example: **Filer; Filing Agent; Large Trader.**

Step 4: Enter the signature on the form.

Contact Zip/Postal Code
Contact Phone *
Note: The E-mail address below is where your new CTR will be sent after form submission and review. It is very important that you enter it correctly. To help ensure accuracy, you must enter it twice.
E-mail Address *
Re-enter E-mail Address *
Contact for SEC Account Information and Billing Invoices
Contact Name *
 Contact address same as mailing address. Contact address is required if not the same.
Contact Street 1 Contact Street 2
Contact City Contact State/Country
Contact Zip/Postal Code
Contact Phone *
Signature Information
Note: Only a duly authorized person - such as a partner, president, treasurer, corporate secretary, officer, or director - may sign this application on behalf of the applicant.
Signature * Date (MM/DD/YYYY) *
Title/Position *
Continue >> Help
Exit Window

Typed Signature here

Step 5: Browse for the Authentication Document that you scanned into your computer.

Upload Attachment

To complete processing of your Form ID, you must upload a notarized authentication document. Your Form ID will not be processed if this document is not received. Your authentication document must be a PDF attachment that is submitted with your Form ID.

Enter the attachment information in the fields below and then select the "Upload" button. Note that only ASCII text, HTML or PDF documents can be uploaded. These documents must have the appropriate file name extension (.txt, .htm or .pdf respectively), and document type (COVER for cover letter, CORRESP for correspondence, and EX-24 for power of attorney). Please note that PDF documents must use the CORRESP document type. To return to the "Upload/Delete Attachment(s)" screen without uploading an attachment, select the "Cancel" button.

* indicates required field. Help for a field may be accessed by clicking its label.

Attachment Information
File Name * Browse...
Type CORRESP
Description
Upload Cancel
Exit Window

Browse for your Authentication Documentation. Click on **Upload**

Choose: Type - Correspondence for your Authentication Document. Choose Type- EX-24 for Power of Attorney if needed.

Step 6:

Upload/Delete Attachment(s)

The following table contains a list of your currently attached documents. Use the "Upload Attachment" and "Delete Attachment" buttons below the table to make modifications to this list.

Attached Documents List			
#	File Name	Type	Description
1	secformid.pdf	CORRESP	Form ID

Once your document is in the field
Click on OK

Before submitting your Form ID, you must enter and re-enter a passphrase. You will use this passphrase later, along with your new CIK, to generate your EDGAR access codes.

It is important that you remember this passphrase for later use.

Note that this passphrase is **not** your EDGAR Login password.

Once you obtain your CIK via e-mail, this passphrase along with your CIK may be used to generate your EDGAR Login password (as well as CCC and PMAC).

Note: Your passphrase must be 8 characters long and contain at least one digit and one of the following characters: @, #, *, or \$.

Step: 7

Before submitting your Form ID, you must enter and re-enter a passphrase below. You will use this passphrase later, along with your new CIK, to generate your EDGAR access codes. **It is important that you remember this passphrase for later use.** Note that this passphrase is **not** your EDGAR Login password. Once you obtain your CIK via e-mail, this passphrase, along with your CIK, may be used to generate your EDGAR Login password (as well as CCC and PMAC).

* indicates required field. Help for a field may be accessed by clicking its label.

Passphrase Information

Passphrase * Note: Your passphrase must be 8 characters long and must contain at least one digit and one of the following characters: @, #, *, or \$.

Re-enter Passphrase *

Once you have confirmed the Form ID information above, attached all necessary documents, and entered the passphrase, select the "Submit Form ID" button below.

Make up a passphrase

Click **Submit Form ID**

Once you obtain your CIK via e-mail, this passphrase, along with your CIK, may be used to generate your EDGAR Login password (as well as CCC and PMAC).

Note: After you receive the CIK you will must return to the Filer Management website <https://www.filermanagement.edgarfiling.sec.gov> to generate your Edgar access codes.

Step 8: Go to <https://www.filermanagement.edgarfiling.sec.gov>

Click on Generate Access Codes

Use this link to generate a set of EDGAR access codes (i.e., PMAC, Password and CCC) when:

- your initial application for EDGAR access has been accepted (new user),
- your password has expired (existing user),
- you have forgotten all of your EDGAR access codes (existing user), or
- you need to change your access codes for security reasons (i.e., they have been compromised).