EDGAR NEXT

ADOPTING BETA KICK-OFF WEBINAR

SEC EDGAR Business Office (EBO)

October 8, 2024 | 1:00 – 2:30 pm

U.S. Securities and Exchange Commission

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AGENDA

- Introduction
- Filer Transition to EDGAR Next
- Filer Support for EDGAR Next
- Content of Adopting Beta
- APIs
- Login.gov Credentials
- Roles in EDGAR Next
- Staff Testing Tips
- Demo of Adopting Beta Functionality
- Question & Answers (we will allocate approx. 45 min. for Q&A)

INTRODUCTION

On September 27, 2024, the SEC adopted rule and form changes to EDGAR filer access and account management (EDGAR Next).

Please refer to the Adopting Release and Volume I of the EDGAR Filer Manual (effective March 24, 2025) on SEC.gov.

EDGAR Filers – Understand and be ready for the transition to EDGAR Next

Here's how filers can prepare, enroll and comply with the SEC's changes to EDGAR system filer access and account management

PREPARE

BETA OPENS

September 30, 2024

Prepare for EDGAR Next changes

- Individuals authorized by filers obtain Login.gov credentials using the email address they plan to use for EDGAR. Credentials will be needed for beta testing, enrollment, and compliance.
- Filers test in Adopting Beta. If planning to connect to optional APIs, filers develop API connections and adjust their filing applications.
- Filers gather CIK, CCC, and passphrase; identify whom they will authorize as account administrators, and, if connecting to optional APIs, technical administrators (unless using API connections of delegated entity); if planning to delegate authority to file, contact potential delegated entities.
- Beta remains open until at least December 19, 2025.

ENROLL

DASHBOARD GOES LIVE

March 24, 2025

Existing filers: Enroll
Applicants for access: Submit amended Form ID

- Enrollment opens March 24, 2025, on the dashboard of the new EDGAR Filer Management website.
- Filers have 6 months to enroll before compliance is required and an additional 3 months to enroll thereafter.
- Applicants for EDGAR access (prospective new filers and existing filers who do not have information needed to enroll) must complete and submit amended Form ID on dashboard.
- Option for enrolled filers and filers granted access on amended Form ID to file through submission API and use other APIs starting March 24, 2025.
- All other filers continue filing on EDGAR filing websites per existing process through September 12, 2025.

COMPLY

COMPLIANCE REQUIRED

September 15, 2025

Filers must comply with EDGAR Next changes to file on EDGAR

- To make submissions, filers must be enrolled in EDGAR Next or granted access on amended Form ID.
- Login.gov credentials and completion of multifactor authentication required for login to all EDGAR websites.
- Existing filers may continue to enroll until December 19, 2025, but will not be able to file until they enroll.
- Filers can no longer file on EDGAR using legacy codes.
- Enrollment ends December 19, 2025. After this date, submission of amended Form ID required to request access to existing accounts.

for additional details visit www.sec.gov/edgar-next

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FILER TRANSITION TO EDGAR NEXT

Prepare now for enrollment which begins March 24, 2025

- Gather CIK, CCC and passphrase
  - Reset passphrase guidance is linked on the EDGAR Next page: EBO Information for Filers, Reset Your EDGAR Passphrase, EDGAR POC Email
- Identify one person whom the filer will authorize to enroll it.
- Identify two persons the filer will authorize as account administrators during enrollment
  - Only one account administrator is required for individual and single-member company filers but we encourage two account administrators

FILER SUPPORT FOR EDGAR NEXT

- EDGAR Next webpage on SEC.gov
  - SEC Staff assistance to understand, prepare and transition to EDGAR Next
  - Numerous linked help documents, including:
    - EDGAR Next Filer Testing Guidance
    - Overview of EDGAR APIs, EDGAR API Developer Toolkit
    - EBO Information for Filers, Reset Your EDGAR Passphrase, EDGAR POC Email
    - EBO Information for Filers, Enroll in EDGAR Next: Individual/Section 16 Filers

FILER SUPPORT FOR EDGAR NEXT

- Webinars (register through EDGAR Next web page)
  - EDGAR Next kick-off webinar series - LIVE
    - Additional sessions on October 23 and November 7
  - API Development support Q&A sessions - LIVE

- Instructional videos (linked on EDGAR Next web page)
  - EDGAR Next Instructional Video Series – SEC's YouTube Channel

- Filer Support contacts (listed on EDGAR Next web page)
  - Email support: EDGARNextBeta@sec.gov
  - Telephone support: (202) 551-8900, Option #2

CONTENT OF ADOPTING BETA

Reflects:

- EDGAR Filer Management
- EDGAR Filing
- EDGAR Online Forms
- 15 optional EDGAR Application Programming Interfaces (APIs)

CONTENT OF ADOPTING BETA

- Until March 21, 2025
    - Reflects EDGAR as it will be live from March 24, 2025 to September 12, 2025.
- As of March 24, 2025
    - Will reflect EDGAR as it will be live beginning September 15, 2025.
- Will be continuously updated to reflect enhancements and fixes

CONTENT OF ADOPTING BETA

- Account information that testers create in Adopting Beta.
- If testers created accounts in the prior Proposing Beta and Request for Comment Beta, those accounts will be available for testing as well.
- Does not contain account information from live EDGAR.
- No Beta information will carry over to live EDGAR.

APIs

Beta will reflect 15 optional EDGAR APIs:

- Submission API
- Submission Status API
- EDGAR Operational Status API
- Filer Management APIs:
  - Add/Remove/View Individuals
  - Change Roles
  - Send/Request Delegation Invitations
  - View Delegations
  - View Filer Account Information
  - Generate CCC
  - Create Custom CCC
  - Filing Credentials Verification
  - Enrollment

APIs

Resources for APIs (linked on EDGAR Next page):

- Overview of EDGAR APIs
- API Development Toolkit (also linked in Beta)
- API Development support Q&A sessions - LIVE (register through EDGAR Next web page)
  - First session this Thursday, October 10, at 1:00 p.m. Eastern Time.

LOGIN.GOV CREDENTIALS

To access and test in Beta, you must obtain individual account credentials from Login.gov.

- You must provide an email address to Login.gov that matches the email address you intend to use for EDGAR.

- You are not creating test credentials — the Login.gov credentials you create will remain valid, therefore, consider creating credentials that you will use for EDGAR in the future.

- EDGAR uses the email address provided to Login.gov for identification and notification, and the email address is visible to others; therefore, consider providing to Login.gov a different email address than that used for personal purposes.

ROLES IN EDGAR NEXT

Account administrator

- Manages the filer's account on the dashboard, including adding and removing individuals
- Performs annual confirmation
- Delegates authority to file to other EDGAR accounts
- Generates or creates custom CCC

User

- Makes submissions on behalf of the filer
- Views CCC

Technical administrator

- Generates filer API tokens
- Manages filer's connection to APIs

STAFF TESTING TIPS

Submit test Form IDs in Beta to create testing accounts.

- Notarization is *not* required for test Form IDs in Beta.

Consult EDGAR Next Filer Testing Guidance (linked on EDGAR Next page)

- Step-by-step guidance
- To test enrollment, email EDGARNextBeta@sec.gov for test CIKs.

Use fictional information in Beta (other than name and Login.gov email)

DEMO OF ADOPTING BETA FUNCTIONALITY

QUESTIONS & ANSWERS