Bulk enrollment CSV template instructions

To perform bulk enrollment, begin by downloading the CSV file. Enter information in the CSV file following the format provided. The CSV file must contain a header row with the correct information entered in the header columns in the following order:

1. Entity Name
2. CIK
3. CCC
4. Passphrase
5. Confirmation Quarter
6. Allow Delegation Requests
7. Single-Member Company
8. First Account Administrator (FAA) First Name
9. FAA Middle Name
10. FAA Last Name
11. FAA Suffix
12. FAA Business Street Address 1 (no P.O. Box)
13. FAA Business Street Address 2
14. FAA City
15. FAA U.S. State or Foreign State
16. FAA Zip Code
17. FAA Country/Province Code
18. FAA Business Phone Number
19. FAA Email
20. Second Account Administrator (SAA) First Name
21. SAA Middle Name
22. SAA Last Name
23. SAA Suffix
24. SAA Business Street Address 1 (no P.O. Box)
25. SAA Business Street Address 2
26. SAA City
27. SAA US State or Foreign State
28. SAA Zip Code
29. SAA Country/Province code
30. SAA Business Phone Number
31. SAA Email

In addition to the header row, there should be at least one row completed with relevant data elements for at least one filer to be enrolled. There are a maximum of 100 rows of data, not including the header row, in the CSV file, which allow enrollment of up to 100 filers on one CSV.

Details and requirements of data elements

Below are details of all data elements specified:

Entity Name
- Name of the filer
- Required

- Max length 150 characters

CIK

- CIK of the filer
- Required
- Max length 10 characters
- Leading zeros will automatically be added to the CIK if less than 10 characters are entered
- CIK must not be already enrolled
- The CSV file cannot contain same CIK twice

CCC

- Current CCC of the filer
- Required

Passphrase

- Current passphrase of the filer
- Required

Confirmation Quarter

- Annual confirmation quarter
- Required
- Must be one of the following values:
  - 1 – March 31*
  - 2 – June 30*
  - 3 – September 30*
  - 4 – December 31*
    *Or following business day if that date falls upon a weekend or holiday

Allow Delegation Requests

- This option will allow other EDGAR accounts to request authorization to file on behalf of the listed CIK
- Required
- Must be one of the following values:
  - 0 – Do not allow delegation requests
  - 1 – Allow delegation requests

Single-Member Company

- Whether the filer is a single-member company
- Required
- Must be one of the following values:
  - N/A – The filer is an individual filer making filings in their personal capacity. You must provide information for at least one account administrator.
  - 0 – No, the filer is not a single-member company. You must provide information for two account administrators.
  - 1 – Yes, the filer is a single-member company. You must provide information for at least one account administrator.
- Although individuals and single-member companies are only required to authorize one account administrator, we recommended that you authorize at least two account administrators so that management of the filer's account is not interrupted by the unavailability of an account administrator. Following enrollment, additional account administrators can be added in the EDGAR Filer Management Dashboard.

First Account Administrator (FAA) First Name

- First account administrator's first name
- Required

- Max length 50 characters

FAA Middle Name
- First account administrator's middle name
- Optional
- Max length 30 characters

FAA Last Name
- First account administrator's last name
- Required
- Max length 60 character

FAA Suffix
- First account administrator's suffix (Jr, Sr, etc.)
- Optional
- Max length 10 characters

FAA Business Street Address 1 (no P.O. Box)
- First account administrator's street address line 1
- Required
- Max length 40 characters

FAA Business Street Address 2
- First account administrator's street address line 2
- Optional
- Max length 40 characters

FAA City
- First account administrator's city
- Required
- Max length 30 characters

FAA US State Code or Foreign State
- If First account administrator has a US Address
  - First account administrator's state code
  - Required, unless non-US Address
  - Must be a US state code listed at SEC.gov | EDGAR State and Country Codes
  - Max length 2 characters
- If First account administrator has a non-US Address
  - First account administrator's state
  - Optional
  - Max length 30 characters

FAA Zip Code
- If First account administrator has a U.S. address
  - First account administrator's U.S. zip code
  - Required, unless non-US Address
- If First account administrator has a non-U.S. address
  - First account administrator's non-U.S. postal code
  - Optional
- Max length 10 characters

FAA Country/Province code

- If First account administrator has a U.S. address
    - First account administrator's country/province code
    - Required
        - X1 (for the U.S.)
- If First account administrator has a non-U.S. address
    - First account administrator's country/province code
    - Required
        - If first account administrator is Canada, it must be one of Canadian province codes listed at SEC.gov | EDGAR State and Country Codes
        - If first account administrator is other than Canada, it must be one of country codes listed at SEC.gov | EDGAR State and Country Codes
- Max length 2 characters

FAA Business Phone Number
- First account administrator's business phone number
- Required

FAA Email
- First account administrator's email
- Required
- This will be primary email address at which the first account administrator will be contacted and with which they will be identified.

Second Account Administrator (SAA) First Name, SAA Middle Name, SAA Last Name, SAA Suffix, SAA Business Street Address 1 (no P.O. Box), SAA Business Street Address 2, SAA City, SAA US State Code or Foreign State, SAA Zip, SAA Country/Province code, SAA Business Phone Number, and SAA Email
- For individuals and single-member companies (see above)
    - This group of data elements is optional because only one account administrator is required for individuals and single-member companies. However, the filer will be unable to manage their EDGAR account if the single account administrator is not available. For this reason, the filer is encouraged to authorize a second account administrator to ensure that an account administrator is always available to take necessary actions.
- For non-single member companies (see above)
    - This group of data elements is required because two account administrators are required.
    - Details and requirements are same as first account administrator's data elements requirements (see above).

Processing a CSV file and error response
The CSV file is processed as a single unit, and it is expected all data elements for all data rows meet the requirements specified in the "Details and requirements of data elements" section above.

- If the header row and all data rows are valid (meets all requirements), the enrollment will be processed, all specified entities will be enrolled, the account administrators will be authorized in the EDGAR system, and notification of enrollment will be sent.
- If the header row is invalid, the system will respond stating the CSV file uploaded is not a valid CSV file.
- If the header row is valid but one or more data rows are invalid (does not meet one or more requirements), none of the data rows will be processed and the response to the request will be a CSV file containing details about the errors in specific rows.