

## GENERAL INSTRUCTIONS

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All companies and individuals seeking access to file on EDGAR must refer to Rules 10 and 11 of Regulation S-T, Volume I of the EDGAR Filer Manual, and these instructions.

All applicants must:

- (1) Complete and submit Form ID in electronic format on the EDGAR Filer Management website; and
- (2) Create a copy of the completed, electronically submitted Form ID; have an authorized individual of the filer sign it in the “Form ID: Notarized Authentication” part in the presence of an official notary public; and upload that authenticating document to the EDGAR Filer Management website.

**Before beginning:** Form ID must be completed and submitted by an individual authorized by the applicant to do so.

- An account administrator is a person authorized by the filer to manage the filer’s EDGAR account on EDGAR on behalf of the filer.
- Each applicant must identify one or more prospective account administrator(s) that the applicant authorizes on Form ID. If the Form ID application is granted, the prospective account administrator(s) listed on Form ID will become the initial account administrators of the applicant.
- Account administrators must create individual account credentials in the manner specified in the EDGAR Filer Manual. When entering email addresses for individuals on Form ID, note that email addresses may be visible to other persons with access to the EDGAR Filer Management dashboard. Accordingly, individuals should enter email addresses that they intend to use for EDGAR and other business purposes, which may be different from the email address that they use for personal purposes. Email addresses that individuals provide to Login.gov for individual account credentials should match the email addresses they provide on Form ID.

The “EDGAR Filer Manual Volume I: General Information” contains additional requirements regarding how to file electronically, including how to obtain individual account credentials, authorize account administrators, and use the CIK and CCC.

**Note that information submitted on Form ID may become public. Do not include personally identifiable information, such as personal addresses and contact information that the applicant does not wish to become public.**

**Misstatements or omissions of fact in connection with an application for EDGAR access and/or in a submission on EDGAR may constitute a criminal violation under 18 U.S.C. sections 1001 and 1030 and/or a violation of other criminal and civil laws. If the SEC has reason to believe that an application for EDGAR access and/or a submission on EDGAR is misleading, manipulative, and/or unauthorized, the SEC may prevent acceptance or dissemination of the application/submission and/or prevent future**

**submissions or otherwise remove a filer’s access to EDGAR pursuant to Rule 15 of Regulation S-T, 17 CFR 232.15.**

**Complete all items that are relevant to the application. If an item does not apply to the application, leave that item blank.**

For assistance with procedural and technical questions about electronic filing or substantive questions, see the “EDGAR Filer Manual Volume II: Section 2.3.4 (Getting Help with EDGAR).”

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## **PART 1 — APPLICATION FOR EDGAR ACCESS**

(To be completed by **all applicants**)

Indicate whether EDGAR access is being requested for a new CIK account or an existing CIK account. If access is being requested for an existing CIK account, indicate the basis for the request—whether the applicant is a broker-dealer or “paper filer” who wants to start filing electronically on EDGAR, lost electronic access to their CIK account, or is the legal successor of the filer named on the existing CIK account but did not receive access from that filer. A filer that has lost electronic access because it failed to satisfy annual confirmation requirements or because its account administrators are no longer available should select the “lost electronic access” option.

If the applicant is applying for access to an existing CIK account, some of the filer’s currently publicly available corporate and contact information will be prepopulated into Form ID. That information can be updated on Form ID, but doing so will not update the filer’s information in EDGAR (other than the filer’s account administrator information). Changes to the filer’s corporate and contact information must be made in EDGAR after the applicant’s Form ID application is granted. However, filers who are broker-dealers that obtained an EDGAR account by submitting a Form BD to FINRA would need to update their information with FINRA directly. Broker-dealers that have made a full withdrawal of their registration, by submitting a Form BDW that has been accepted, should apply for a new EDGAR account instead of applying for access to the existing EDGAR account associated with the withdrawn registration.

Applicants should identify themselves as individuals or companies.

Provide the applicant’s full legal name in English. Note that the applicant’s name will be automatically conformed following submission to meet EDGAR standards. Specifically:

1. Leading and trailing blank spaces will be removed. Any embedded sequences of two or more spaces will be replaced with a single space.

2. For companies, the following words will be removed if they are the first word of the name:

A

An

The

3. For companies, the following text substitutions will be applied to all words except the first:

<u>Original Text</u>	<u>Conformed Text</u>
Company	Co
Corporation	Corp
Incorporated	Inc
Incorporation	Inc
And	&

4. For companies, the following substitution will be applied if the word is neither the first in the name, nor is immediately followed by the word “Partnership”:

<u>Original Text</u>	<u>Conformed Text</u>
Limited	Ltd

5. For individuals, the name components (“Last,” “First,” “Middle,” and “Suffix”) will be combined left-to-right (separated by spaces) into a single field and truncated at 150 characters.

6. For individuals with a suffix, the following text substitutions will be applied:

<u>Original Text</u>	<u>Conformed Text</u>
Junior	JR
Senior	SR

Select one (1) applicant type to indicate whether the applicant will send electronic submissions as one of the listed filer types.

Indicate whether the filer is applying for EDGAR access to submit non-public draft registration or offering statements on submission type DRS or DOS. If so, the applicant’s new CIK number and EDGAR contact information will not be listed on the public EDGAR company database until the applicant makes a public filing.

Provide the preferred mailing address and contact information for the applicant. A company applicant should provide information for the department, unit, or group most directly responsible for the filer’s EDGAR submissions. This may be the applicant’s registered agent, law firm, or filing agent. In that case, identify them in the mailing address and contact information, but do not include any specific individuals by name or any personally identifiable information that you do not want to make publicly available because the mailing address and contact information will generally be publicly available.

Indicate whether the applicant has been criminally convicted as a result of a Federal or state securities law violation, or civilly or administratively enjoined, barred, suspended, or banned in any capacity (*e.g.*, officer or director bar, prohibition from associating with brokers, dealers, investment advisers, and/or other securities entities, or bar from participation in certain industries), as a result of a Federal or state securities law violation.

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## **PART 2 —COMPANY INFORMATION**

(To be completed only by **applicants who are not natural persons**)

Provide the applicant's tax or Federal identification number, the number issued by the Internal Revenue Service. (This does **not** apply to individuals. Accordingly, do **not** enter a Social Security number.) If an investment company applicant is organized as a series company, the investment company may use the tax or Federal identification number of any one of its constituent series. Applicants that have applied for but not yet received their tax or Federal identification number and foreign applicants that do not have a tax or Federal identification number must include all zeroes.

Provide the applicant's legal entity identifier (LEI), if any.

Indicate whether applicant is in good standing in its state or country of incorporation. Generally, this means a company is legally authorized to do business in that state or country and has filed all required reports and paid all related fees to the relevant jurisdiction.

Provide the filer's state of incorporation and fiscal year end. Select "none" for state of incorporation and "N/A" for fiscal year end if the filer has not incorporated. Foreign filers should also include their country of organization. If the filer's fiscal year does not end on the same date each year (*e.g.*, falls on last Saturday in December), the filer must enter the date the current fiscal year will end.

Provide the company's primary website, if any.

Provide the applicant company's primary business information or that of the company's registered agent. Do **not** enter the address of the company's law firm or filing agent.

Indicate whether the filer is a single-member company. This refers to a company that only has a single individual who acts as the sole equity holder, director, and officer (or, in the case of an entity without directors and officers, holds position(s) performing similar activities as a director and officer).

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### **PART 3 — PROSPECTIVE ACCOUNT ADMINISTRATOR INFORMATION**

(To be completed by all applicants)

Identify the individuals being authorized as prospective account administrator(s) who will manage the filer's EDGAR account on the filer's behalf, should the Form ID application be granted, including the account administrator(s) business title(s)/position(s), address(es), and contact information. Individual filers and single-member companies must authorize at least one prospective account administrator. All other filers must authorize two prospective account administrators on Form ID. Additional account administrators may be added through the Filer Management dashboard, should the Form ID application be granted.

For each individual being authorized as a prospective account administrator, indicate whether the individual has been criminally convicted as a result of a Federal or state securities law violation, or civilly or administratively enjoined, barred, suspended, or banned in any capacity (*e.g.*, officer or director bar, prohibition from associating with brokers, dealers, investment advisers, and/or other securities entities, or bar from participation in certain industries), as a result of a Federal or state securities law violation.

If an individual being authorized as a prospective account administrator is not the applicant (in the case of an individual applicant), or an employee of the applicant or its affiliate (in the case of a company applicant), disclose that fact and provide the name and CIK (if any) of the prospective account administrator's employer. In addition, a notarized power of attorney authorizing the prospective account administrator must be attached in Part 6.

For more information on account administrators, see Rules 10 and 11 of Regulation S-T and Volume I of the EDGAR Filer Manual.

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#### **PART 4 — BILLING INFORMATION**

(To be completed only by company applicants and filing agents)

Billing information is used if questions arise related to account and billing matters, such as:

1. Accounts activity statements
2. Account receivable letters
3. Refund questions

Identify the individual who should receive account information and/or billing invoices from the SEC and include their email address. Ensure the accuracy of the email address and maintain an accurate, active email address in the EDGAR Filing website. EDGAR will send communications to the email address if there are questions pertaining to the account and billing information, and failure to maintain an accurate, active email address could result in failure to receive EDGAR account statements.

Indicate whether the billing contact has been criminally convicted as a result of a Federal or state securities law violation, or civilly or administratively enjoined, barred, suspended, or banned in any capacity (*e.g.*, officer or director bar, prohibition from associating with brokers, dealers, investment advisers, and/or other securities entities, or bar from participation in certain industries), as a result of a Federal or state securities law violation.

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#### **PART 5 — SIGNATURE**

(To be completed by all applicants)

If the applicant is not a natural person, indicate the capacity in which the authorized individual signs the Form ID on behalf of the applicant (business title/position). The authorized individual must be an individual with the authority to legally bind the applicant, or an individual with a power of attorney from an individual with the authority to legally bind the applicant for purposes of Form ID.

If the applicant is an individual, the applicant must sign the Form ID and should list their business title/position as "applicant," unless the applicant executes a notarized power of attorney authorizing a third-party individual to sign the Form ID on the applicant's behalf.

Indicate whether the authorized individual signing the Form ID has been criminally convicted as a result of a Federal or state securities law violation, or civilly or administratively enjoined, barred, suspended, or banned in any capacity (*e.g.*, officer or director bar, prohibition from associating with brokers, dealers, investment advisers, and/or other securities entities, or bar from participation in certain industries), as a result of a Federal or state securities law violation.

Indicate whether Form ID is being signed pursuant to a power of attorney.

If another person signs on behalf of the applicant, confirm in writing the authority of that person to sign by attaching a notarized power of attorney to the Form ID. For more information on the documentation needed to confirm the authority of a person signing the Form ID on behalf of the applicant, see Volume I of the EDGAR Filer Manual.

- If relevant, provide the name, address, and contact information for the person signing the power of attorney. Indicate whether the person signing the power of attorney has been criminally convicted as a result of a Federal or state securities law violation, or civilly or administratively enjoined, barred, suspended, or banned in any capacity (*e.g.*, officer or director bar, prohibition from associating with brokers, dealers, investment advisers, and/or other securities entities, or bar from participation in certain industries), as a result of a Federal or state securities law violation.
- For Form IDs signed in connection with a power of attorney document, the person signing the power of attorney should indicate in the business title/position field: “By POA from [(a) name of the authorized individual signing the power of attorney (if opening an account for a natural person); or (b) name and business title/position of the authorized individual signing the power of attorney (if opening an account for a company)].” For example, a filing agent signing Form ID pursuant to a power of attorney from Roger Smith, the Chief Executive Officer of the applicant, could provide in the business title/position field: “By POA from Roger Smith, CEO.”

The applicant must upload a notarized copy of Form ID and any other required attachments to the electronic Form ID filing. The Form ID authenticating document must be attached to the electronic Form ID filing in PDF format. PDF attachments cannot: (i) be blank; (ii) be image-only; or (iii) contain active contents (Actions, embedded JavaScript, etc.), external references (Destinations, Hyperlinks, etc.), passwords, or document security controls.

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## **PART 6 — DOCUMENTS**

(To be completed by all applicants)

Attach the mandatory notarized authenticating document in PDF format (Form ID authenticating document). The mandatory Form ID authenticating document must include the following information:

- Signature of Authorized Individual
- Printed Name of Signature
- Title of Person Signing
- Notary Signature and Seal

Other documents to be provided with the Form ID must be attached in this part as well, including power of attorney documents. If an account administrator is not an employee of the applicant or its affiliates, or if the individual signing Form ID is doing so pursuant to a power of attorney, a notarized power of attorney must be attached. Do not upload documents containing potentially sensitive personally identifiable information, such as birth certificates, driver’s licenses, or passports. Applicants seeking access to an existing CIK must upload documents that clearly establish their authority over the company or individual whose name is currently listed in EDGAR on the existing CIK account. For more information on documents

that may need to be submitted with the Form ID application, see Volume I, section 3, of the EDGAR Filer Manual.