

Countdown to EDGAR Next Enrollment!

MARCH 5, 2025



Agenda

EDGAR Next and Security	Scott Theis, CEO, Novaworks LLC
Discussion with the Securities and Exchange Commission (SEC)	Wanda M. Welch, Business Analyst, Donnelley Financial Solutions (DFIN) Securities and Exchange Commission (SEC) Staff
Prepping for Enrollment	Nikky Berteau, Sales Engineer, Disclosure Solutions, Broadridge Financial Solutions, Inc.
Technical Review of Manual Enrollment	Nikky Berteau
Technical Review of Bulk Enrollment	Angela McTere, Business Requirements Analyst, Donnelley Financial Solutions (DFIN)
Questions	

EDGAR Next and Security

What We're Covering Today

- Why Another Webinar?
- Over the decades, EDGAR has seen several significant improvements to access and data structure
- A New EDGAR System Opening Soon — EDGAR Next
- This seminar will introduce the main points of the transition

Where Have We Been?

- Very limited roles—
 - Registrant
 - Agent Credentials
 - Training Agent Credentials
- Assuming they have Agent Credentials and a CIK/CCC — someone can file
- It has been difficult to discern the individual who logged in and submitted the filing

Security Concerns

- A better method of controlling who can file on a registrant's behalf has been needed for a long time
- Omnibus agent credentials shared by hundreds of users has been a security issue
- Existing system does not have Multi-Factor Authentication (MFA)

Refining Roles for Filing

- Today, we have many types of entities accessing the EDGAR System:
 - Registrants in all forms and sizes
 - Self filers
 - Law Firms
 - Agents
 - Financial Printers
- Each will be impacted in various ways

Filing Entities

- The actual filing entities tended to have disclosure related roles
- With EDGAR Next, new roles are added with respect to controlling how a submission is made and by whom
- For some organizations, this will involve a fair amount of work to setup multiple legal entities
- This will impact workflow and internal organization of responsibilities

Agents

- Each user must now have unique credentials:
 - Each user that can submit on behalf of an agent or registrant must have their own credentials
 - This is mandated
- Filers will be looking for assistance
- Many firms have helped manage the large database of filing entities, this particularly true of 40 Act filers
- New methods, controls and training will be needed

New Ideas, New Terminology

- Today will cover how to get started
- We'll discuss key points with the SEC
- Cover enrollment from a number of perspectives
 - Setting up log in via login.gov
 - Multi Factor Authentication
 - Covering enrollment, roles, tokens, etc
- *Now is the time to start thinking and learning about EDGAR Next*

Discussion with SEC Staff

Discussion with SEC Staff

- Daniel Chang, Senior Special Counsel, EDGAR Business Office, Office of Chief Counsel, Securities and Exchange Commission (SEC)
- Rosemary Filou, Deputy Director and Chief Counsel, EDGAR Business Office, Securities and Exchange Commission (SEC)
- Laurita Finch, Senior Special Counsel, EDGAR Business Office, Office of Chief Counsel, Securities and Exchange Commission (SEC)

Prepping for Enrollment

Prepare For Enrollment Checklist

- ✓ Verify the CIK
- ✓ Confirm CCC, and it is current
- ✓ Validate passphrase, and it is current
- ✓ Designate at least two (2) Account Administrators
- ✓ Determine the EDGAR CIK annual confirmation date (Mar. 31, Jun. 30, Sept. 30, or Dec. 31)
- ✓ Identify if single-member EDGAR account
- ✓ Identify your delegated filers (Name & CIK)
- ✓ Attain Login-gov credentials for all Account Administrators and Users



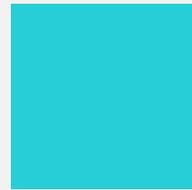
Verify the CIK

- If lost or forgotten, or to confirm, you may look it up by searching for your company name on [EDGAR company search](#)
- You can also utilize the [CIK Lookup](#)
- Certain broker-dealers must change information using [FINRA's Web CRD system](#).

Confirm your CIK Confirmation Code (CCC)



If lost or forgotten, can be re-generated as part of a new set of codes (CCC, password, PMAC).



If your CCC hasn't been reset since September 2019, it must be reset before enrollment.



See [Generate new and replacement CCC, password, and PMAC.](#)

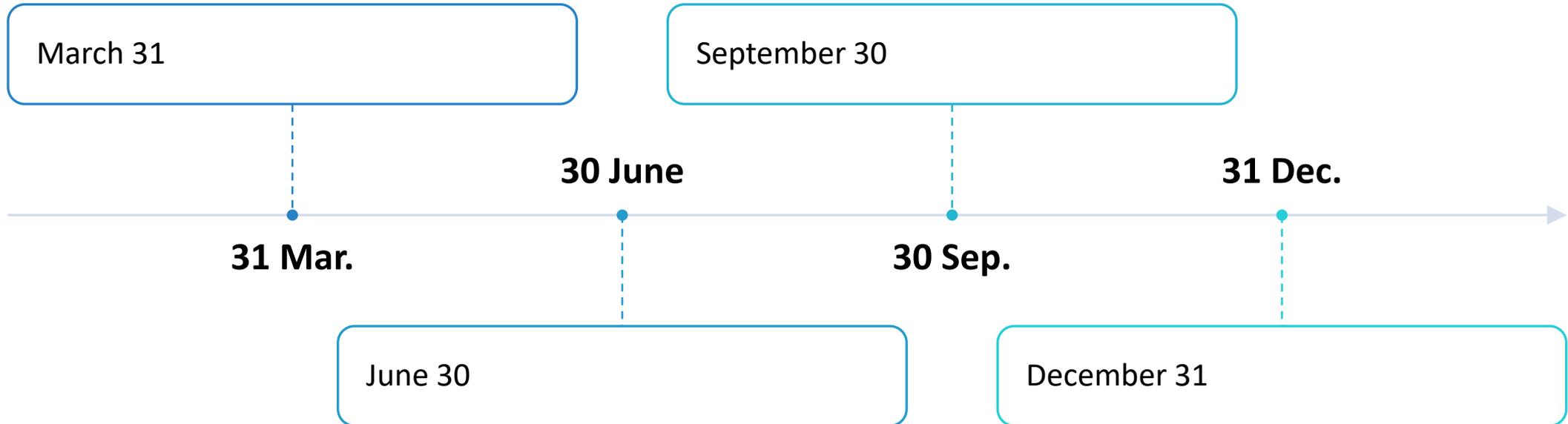
Validate Your Passphrase

- If lost, forgotten or has not reset since September 2019:
[Reset the passphrase](#)
- **Security token request—preferred method**
 - The quickest and easiest way to reset the passphrase is by submitting a request that EDGAR send a security token to the filer's EDGAR point of contact (POC) email address.
- **Manual update request—limited availability**
 - ONLY if unable to reset the passphrase by requesting a security token.

Designate Account Administrators (2)

- Business Email Address
- Full Name
- Business Address Line 1
- Business Address Line 2, if applicable
- City
- State/Territory
- Zip/Postal Code
- Province/Country
- Business Phone Number
- Employer info (if different)

Select Annual Confirmation Date



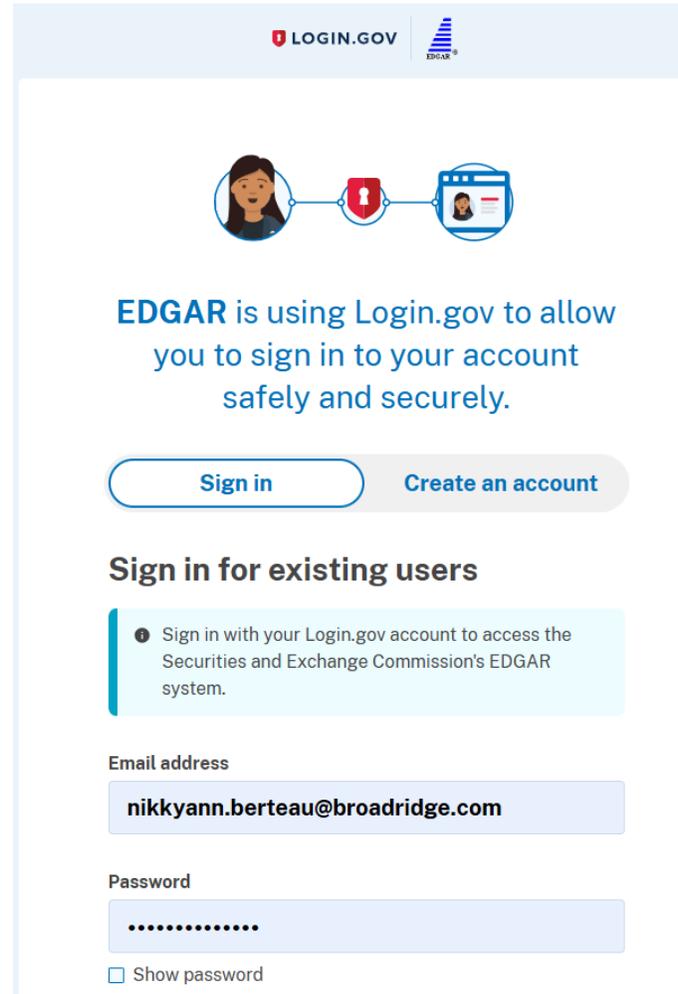
Is the EDGAR Account a single-member entity?

- q Identify CIK accordingly. Confirm if a sole equity holder, director, or officer?
- q Section 16 Filers or single-member companies: Minimum of 1 / maximum of 20 Account Administrators
- q We recommend a minimum of 2 Account Administrators on ALL EDGAR Accounts.

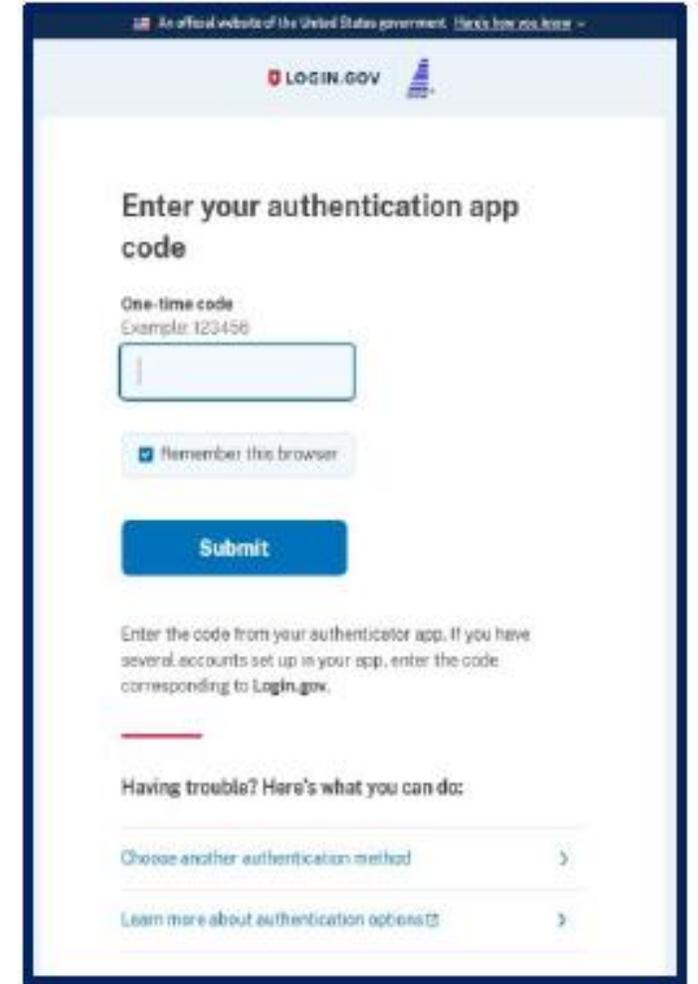
Technical Review of Manual Enrollment

Attain Login.gov Credentials

1. Visit [Login.gov](https://login.gov)
2. Create an Account
3. Set Up Multi-Factor Authentication (MFA)
4. Email Verification
5. Complete Authentication
6. Account Confirmation



The screenshot shows the Login.gov sign-in page for EDGAR. At the top, there are logos for LOGIN.GOV and EDGAR. Below the logos is a diagram showing a person, a shield, and a computer screen connected by lines. The main heading reads: "EDGAR is using Login.gov to allow you to sign in to your account safely and securely." There are two buttons: "Sign in" and "Create an account". Below this is a section titled "Sign in for existing users" with a note: "Sign in with your Login.gov account to access the Securities and Exchange Commission's EDGAR system." There are two input fields: "Email address" with the value "nikkyann.berteau@broadridge.com" and "Password" with masked characters. A checkbox labeled "Show password" is at the bottom.



The screenshot shows the Login.gov authentication app code entry page. At the top, there are logos for LOGIN.GOV and EDGAR. Below the logos is a heading: "Enter your authentication app code". There is a "One-time code" field with an example "123456" and a text input field. Below the input field is a checkbox labeled "Remember this browser". A blue "Submit" button is below the checkbox. Below the button is a note: "Enter the code from your authenticator app. If you have several accounts set up in your app, enter the code corresponding to Login.gov." At the bottom, there are two links: "Having trouble? Here's what you can do:" followed by "Choose another authentication method" and "Learn more about authentication options".

EDGAR Filer Management Website

1. Select **Sign in**
2. Enter your Login.gov email address and password
3. Multi-Factor (MFA) system is required
4. You can now access your EDGAR dashboard

Filer Management

EDGAR has new access and account management processes

 Consult [Rule 10 of Regulation S-T](#) and the [EDGAR Filer Manual](#) for requirements. Reference the [EDGAR Next - Improving Filer Access and Account Management](#) page and the [How Do I?](#) pages for guidance.

⇒ **All filers must have at least two account administrators**—except individual filers and single-member companies must have at least one account administrator.

All individuals must have individual account credentials obtained through Login.gov to access EDGAR. Select "Sign in with LOGIN.GOV" below to sign in to EDGAR or to obtain individual account credentials. If you do not have individual account credentials through Login.gov, you will be prompted to create them.

BEFORE YOU PROCEED TO LOGIN.GOV: The Login.gov credentials you create may be used to log into live EDGAR in the future. Consider using an email address that you plan to use for EDGAR, at which you would receive EDGAR notifications. For the Beta and later live EDGAR, the email address will appear next to your name on the dashboard and will be visible to other persons. You may wish to provide Login.gov a different email address than that which you use for personal purposes.

[Sign in with !\[\]\(4ae72a306054dbd6e24ae8eb29da4b3f_img.jpg\) LOGIN.GOV](#)



EDGAR is available from 6:00 a.m. to 10:00 p.m. ET, Monday through Friday, except [Federal holidays](#). Plan to make your filings and manage your account during these business hours. Please also familiarize yourself with the rules related to filing dates.

[Contact Filer Support](#)

Avoid technical problems by using EDGAR's [recommended browsers](#): Google Chrome or Microsoft Edge.



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EDGAR Filer Management – Enrollment

- ❑ Select “Enroll in EDGAR Next”

The screenshot displays the 'Filer Management' dashboard for user Nikkyann Berteau. At the top right, there is a 'SIGN OUT' button and a notification bell icon with '99+' alerts and a 'SHOW NOTIFICATIONS' button. Below the user's name, contact information is provided: 'Login.gov email: nikkyann.berateau@broadridge.com' and 'Contact information: Three Allen Center, 333 Clay Street, Houston, TX, 77002'. An 'Edit my information' link is located on the right. A vertical menu on the left contains five options, each with a plus sign icon: 'MY ACCOUNTS', 'RETRIEVE SUBMISSION INFORMATION', 'MY USER API TOKEN', 'APPLY FOR EDGAR ACCESS', and 'ENROLL IN EDGAR NEXT'. A mouse cursor is positioned over the 'ENROLL IN EDGAR NEXT' option.

EDGAR Next Dashboard - Enrollment

- ❑ Select “Manual Enrollment.”
- ❑ Enter the filer’s CIK and current CCC and passphrase.
- ❑ Select “Verify Entity.” Ensure the information displayed matches the filer you are enrolling.

ENROLL IN EDGAR NEXT

All filers must enroll in EDGAR Next. Enrollment may be accomplished below. [PASSPHRASE RESET](#)

Be prepared to provide information regarding account administrators authorized by the filer to manage the filer's EDGAR account.

Are you performing a manual or bulk enrollment? ⓘ

Manual enrollment
 Bulk enrollment

ENTER ACCESS CODES

Central Index Key (CIK)

CIK Confirmation Code (CCC)

Passphrase

VERIFY ENTITY

ENROLL IN EDGAR NEXT

All filers must enroll in EDGAR Next. Enrollment may be accomplished below. [PASSPHRASE RESET](#)

Be prepared to provide information regarding account administrators authorized by the filer to manage the filer's EDGAR account.

Are you performing a manual or bulk enrollment? ⓘ

Manual enrollment
 Bulk enrollment

ENTER ACCESS CODES

Central Index Key (CIK)
0003001309

CIK Confirmation Code (CCC)
dazzle#1

Passphrase

VERIFY ENTITY

VERIFY ENTITY

ENTITY INFORMATION					
Entity name	CIK	Filer type	City	State	Zip code
Enrollment 538	0003001309	Company	FAIRFAX	Indiana	1234567

EDGAR Next Dashboard - Enrollment

- ❑ Next, select “**Yes**” or “**No**” to indicate whether the filer is a single-member company.
 - You will need to confirm if the CIK represents a single individual who acts as sole equity holder, director, or officer? Or represents a position holding similar activities as a director and officer.

Single-Member Company? ⓘ

You should select “Yes” if the company 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).

Yes

No

EDGAR Next Dashboard - Enrollment

- q Next, select an annual confirmation date from the drop-down.
 - q Choose from one of the following options:
 - q March 31
 - q June 30
 - q September 30
 - q December 31

You must also select an annual confirmation date.

December 31 

Select

March 31

June 30

September 30

December 31 

ENROLL NOW

EDGAR Next Dashboard - Enrollment

- q Next, for each account administrator enter:
 - § Full name
 - § Email address
 - § Business address
 - § Business telephone number

Account Administrator (1) ?

The first account administrator listed will be considered the applicant's EDGAR point of contact ("EDGAR POC") should the Form ID application be granted.

Commission staff will attempt to contact the EDGAR POC first, but may contact other account administrators if the EDGAR POC is not available.

Enter email:

<input type="text" value="email"/> nikkyann.berteau@broadridge.com	<input type="text" value="Re-enter email"/> nikkyann.berteau@broadridge.com
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Enter full legal name, including middle name or initial:

<input type="text" value="First name"/> Nikkyann	<input type="text" value="Middle name"/>	<input checked="" type="checkbox"/> No middle name
<input type="text" value="Last name"/> Berteau	<input type="text" value="Suffix"/>	

Enter business address:

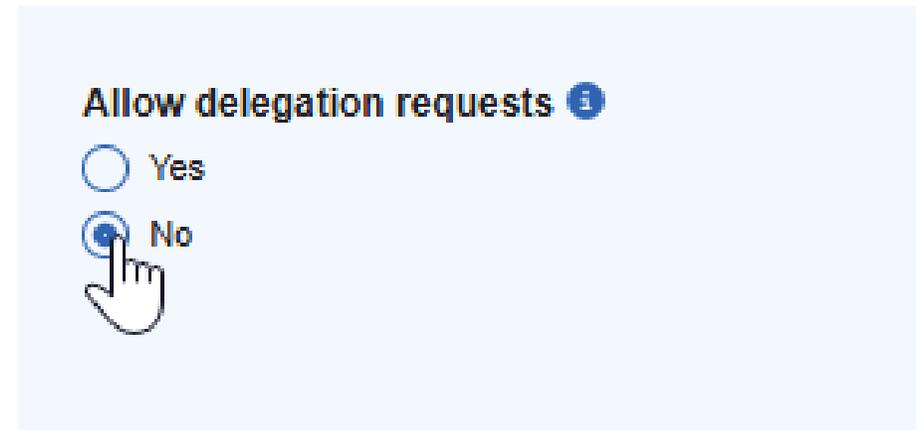
Address is for a non-U.S. location (do not select if address is for U.S. territory).

333 Clay Street
Suite 4850

<input type="text" value="City"/> Houston	<input type="text" value="Province/Country"/> Texas	<input type="text" value="U. S. State/Territory"/> Texas	<input type="text" value="Zip/Postal code"/> 77002	<input type="text" value="Country"/> United States
<input type="text" value="Telephone number"/> 123-456-7890				

EDGAR Next Dashboard - Enrollment

- ❑ Next, you can select if you would like to “**Allow Delegation Requests**”
 - ❑ Selecting this option will allow other EDGAR accounts to send you requests to authorize them to file on your behalf. If you do not select this option, these requests will be blocked



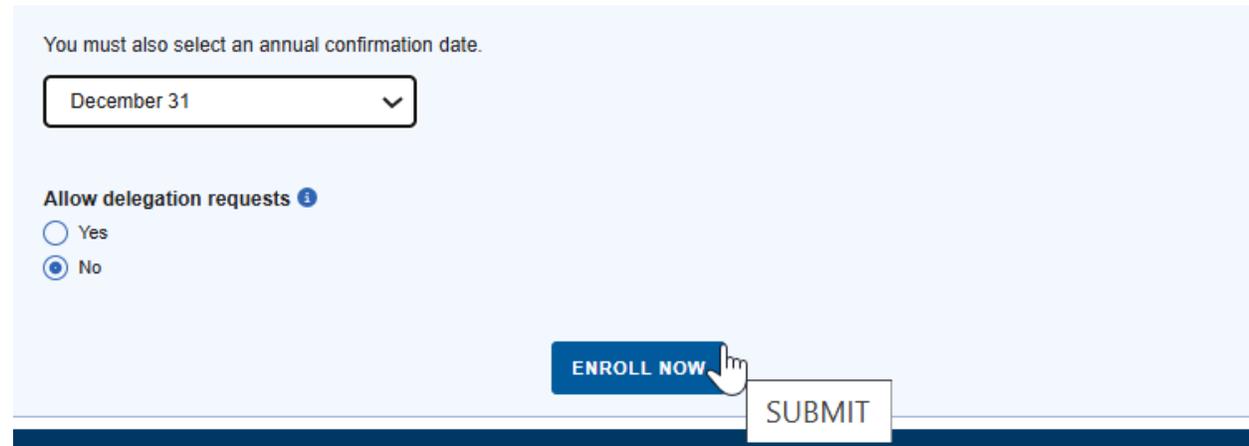
Allow delegation requests ⓘ

Yes

No

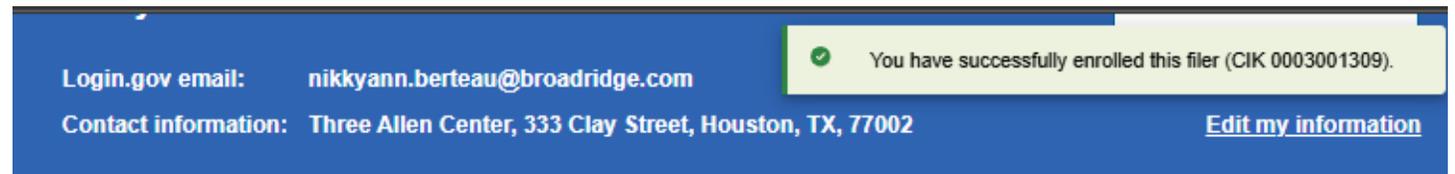
EDGAR Next Dashboard - Enrollment

- ❑ Once all required fields are completed, you can select **“ENROLL NOW”** to enroll in EDGAR Next
- ❑ A notification will pop-up in the top right corner of your screen indicating a successful enrollment in EDGAR Next
- ❑ An email notification will also be sent to the EDGAR POC and other Account Administrators to notify.



The screenshot shows a light blue form area with the following elements:

- A text prompt: "You must also select an annual confirmation date."
- A dropdown menu showing "December 31" with a downward arrow.
- A section titled "Allow delegation requests" with a blue information icon.
- Two radio button options: "Yes" (unselected) and "No" (selected).
- A blue button labeled "ENROLL NOW" with a hand cursor over it.
- A white button labeled "SUBMIT".



The footer area is a dark blue bar containing the following information:

- Login.gov email: nikkyann.bertheau@broadridge.com
- Contact information: Three Allen Center, 333 Clay Street, Houston, TX, 77002
- A green notification box with a checkmark: "You have successfully enrolled this filer (CIK 0003001309)."
- An [Edit my information](#) link.

EDGAR Next Dashboard - Delegation

- ❑ Filers' account administrators can delegate filing authority via the dashboard to any EDGAR account, allowing multiple filing agents.
- ❑ Unlimited delegations per filer/EDGAR account.
- ❑ On your individual dashboard, under "MY ACCOUNTS"
 - Select the **Filer name**

Nikkyann Berteau 99+ [SHOW NOTIFICATIONS](#)

Login.gov email: nikkyann.berateau@broadridge.com

Contact information: Three Allen Center, 333 Clay Street, Houston, TX, 77002 [Edit my information](#)

MY ACCOUNTS

Filter by

	Filer name	Filer CIK	Role(s)	Invite date	Accept date	Confirmation due date	Allow delegation request	Auto accept delegation	Actions
<input type="checkbox"/>	Enrollment 538	0003001309	Account Administrator	03/04/2025	03/04/2025	✓ 12/31/2025	-	-	...
<input type="checkbox"/>	New F... Style Pizza LLC	Click to manage Enrollment 538 (CIK 0003001309) account				26	-	-	...

Items per page: 5 1 - 5 of 8

EDGAR Next Dashboard - Delegation

- ❑ You will now access the EDGAR Account for that selected Filer
 - Select “**Manage Delegations and User Groups**”

The screenshot displays the EDGAR Next dashboard interface. At the top, the user's name "Nikkyann Berteau" is shown. Below it, the account information is displayed: "Account, CIK: Enrollment 538 - CIK 0003001309" and "My role(s): Account Administrator". To the right, there are two buttons: "ACCOUNT DETAILS" and "ANNUAL CONFIRMATION (due date 12/31/2025)". Below the account information, there is a list of navigation options, each with a plus sign icon:

- + MANAGE INDIVIDUALS
- + MANAGE CCC & PASSWORD
- + **MANAGE DELEGATIONS AND USER GROUPS** (highlighted with a mouse cursor)
- + MANAGE ABS ISSUER ACTIVITY
- + MANAGE FILER API TOKEN

EDGAR Next Dashboard - Delegation

- ❑ Select “Add Delegation”
- ❑ To delegate authority to file on your behalf to another filer, enter the CIK number or name of that filer.
- ❑ Only delegate to a filer with which you have an existing agreement to file on EDGAR on your behalf.
- ❑ Only CIKs enrolled in EDGAR Next can be a Delegated Filer
- ❑ **Delegated entities cannot further delegate filing authority or access the delegating filer’s dashboard.**

MANAGE DELEGATIONS AND USER GROUPS

[Delegations to](#) | [Delegations received](#) | [User groups](#) | [Delegation preferences](#) Show all grids

Delegations to
(none - you have not authorized any entities to file on behalf of you)

ADD DELEGATION

Delegated entity name ↑	CIK	Status	Last updated	Actions
---	-----	--------	--------------	---------

Items per page: 5 0 of 0

Delegate authority to file [X]

To delegate authority to file on your behalf to another filer, enter the CIK number or name of that filer below.

- Only delegate to a filer with which you have an existing agreement to file on EDGAR on your behalf.
- If the filer’s account administrator accepts the invitation, the filer will become your delegated entity and will be able to make filings on your EDGAR account.
- You may cancel the delegation at any time by selecting "Cancel delegation." The delegated entity need not accept the cancellation for it to be effective.
- For more information on delegation, see [EDGAR Next](#) on SEC.gov.

Delegated filer(s): Enrollment 538 - CIK 0003001309

Enter your delegated entity's CIK or Name
0001140361

EDGAR Next Dashboard - Delegation

- Review your Delegated Filer Information
- Select “**Delegate**” when complete
- The system will request you to Confirm delegation, select “**Yes, Delegate**” to confirm
- If the filer’s account administrator accepts the invitation, the filer will become your delegated entity and will be able to make filings on your EDGAR account.
- You may cancel the delegation at any time by selecting "Cancel delegation." The delegated entity need not accept the cancellation for it to be effective.

Delegated filer(s): Enrollment 538 - CIK 0003001309

Enter your delegated entity's CIK or Name
0001140361

Name	Enrollment 66
CIK	0001140361
City	STERLING
State	HI
Zip code	1234567
State of Incorporation	IN

Confirm delegation
Are you sure you want to delegate authority to file to Enrollment 66?

Technical Review of Bulk Enrollment

Bulk Enrollment

- Bulk enrollment enables multiple EDGAR accounts to be enrolled concurrently.
- The bulk process benefits entities that manage various EDGAR accounts.
- A bulk enrollment template (.csv file) is available in the Dashboard for downloading, completing and uploading for bulk enrollment.
 - The SEC will only accept 100 row entries on the bulk enrollment form.
 - The header is considered a row entry. Therefore, filers can enroll up to 99 accounts/CIKs using the form.

Bulk Enrollment - continued

- Create and/or log into your login.gov account to access the EDGAR Next enrollment options
 - On the Dashboard, open the Enroll In EDGAR Next tab to access the enrollment options.
 - Download the bulk enrollment template for completing and uploading into the enrollment portal.

— ENROLL IN EDGAR NEXT

All filers must enroll in EDGAR Next. Enrollment may be accomplished below.

Be prepared to provide information regarding account administrators authorized by the filer to manage the filer's EDGAR account.

Are you performing a manual or bulk enrollment? 

Manual enrollment

Bulk enrollment

Add account administrators for multiple CIKs at the same time. Provide the relevant CIKs, enter information for a second account administrator, and enter the passphrase and CCC for each CIK.

Use the template below to authorize account administrators for multiple EDGAR accounts/CIKs at the same time. Provide the relevant CIKs, information for both account administrators, and the passphrase and CCC for each CIK. Upload the completed template using the expected formats displayed below.

Bulk enrollment CSV template

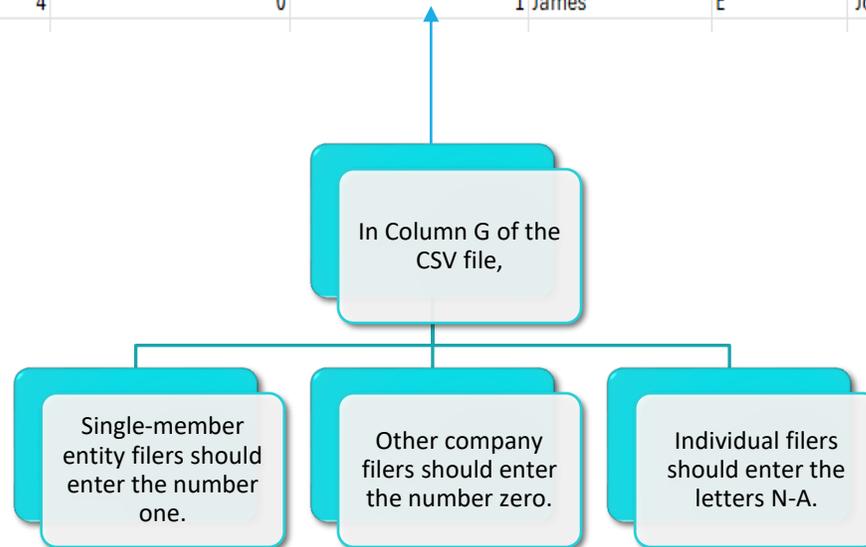
Bulk enrollment CSV template instructions



Bulk Enrollment - continued

- Information needed for completing the CSV file is the same information required for manual enrollment.
- One exception is the requirement of the Single Member Company status.

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P
Entity Name	CIK	CCC	Passphr	Confirmation Quarter	Allow Delegation Requests	Single-Member Company	First Account Administrator (FAA) First Name	FAA Middle Name	FAA Last Name	FAA Suffix	FAA Business Street Address 1 (no P.O. Box)	Business Street Address 2	FAA City	FAA US State Code or Foreign State	FAA Zip
Enrollment 872	3001836	dazzle#1	dazzle#1	2	1	0	Maya		Angelou		123 Happy Ave		Detroit	MI	48224
Enrollment 873	3001837	dazzle#1	dazzle#1	4	0	1	James	E	Jones		321 Proud St		Roswell	GA	30009



Bulk Enrollment - continued

- If all information is entered correctly, a successful enrolled message is received.
- If any errors are identified in the form, an error message is received.
- If enrollment is successful, all account administrators listed will receive an email and a notification in the Dashboard.

ENROLL IN EDGAR NEXT

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[Bulk enrollment CSV template](#) [Bulk enrollment CSV template instructions](#)

UPLOAD THE COMPLETED TEMPLATE

File information

Drag one file at a time here or [choose from folder](#)

en_bulk_enrollment-test2.csv

ENROLL NOW

Error

The uploaded file does not follow the template above. Please follow the above template before re-submitting your file.

Success

You have successfully enrolled these filers.

Bulk Enrollment - continued

- After enrollment, the entity can be viewed in the Dashboard under My Accounts.
 - Click on the company name link to view the entity's account information and perform any updates needed.

MY ACCOUNTS

Filter by

Filer name	Filer CIK	Role(s)	Invite date ⓘ	Accept date ⓘ	Confirmation due date ⓘ	Allow delegation request	Auto accept delegation	Actions
<input type="checkbox"/> Enrollment 872	0003001836	Account Administrator	03/04/2025	03/04/2025	✓ 06/30/2025	-	-	...

Angela McTere

Account, CIK:

My role(s): Account Administrator

ACCOUNT DETAILS

✓ **ANNUAL CONFIRMATION**
(due date 06/30/2025)

+ MANAGE INDIVIDUALS

+ MANAGE CCC & PASSWORD

+ MANAGE DELEGATIONS AND USER GROUPS

Questions
