

APPENDIX C. EDGAR SUBMISSION TYPES

C.1 Introduction

This appendix lists all electronic EDGARLink Online submission types supported by the SEC and EDGAR. See Chapter 3, “Index To Forms,” for more information about EDGAR electronic submission types. Select the submission type from the EDGARLink Online Submission Type Selection page on the EDGAR Filing Website.

Data fields are categorized by the following codes:

Code:	Status:
1	Required
2	Required when applicable
3	At least one required (from a group of four options)
4	Optional
5	Required and to be only used for confirming copies (i.e., for electronic submissions which are copies of official filings made in paper under a hardship exemption)

These category numbers are represented in **bold** and placed before each data field listed for each particular submission type in this appendix.

C.2.1 Data Fields Required for all Submission Types

You must enter appropriate data in the following data fields in all submission types:

- TYPE [VALUE]
- SROS [VALUE]
- FILER
 - CIK [VALUE]
 - CCC [VALUE]

You should mark the CONFIRMING-COPY field only if you want to submit an electronic copy of an official filing that you previously made in paper pursuant to a hardship exemption.

You are required to enter data in the SROS field except where noted in the examples shown in this appendix. Although the SROS field is generally required, note that “None” is an allowable value. See Self-Regulatory Organization (SROS) for a complete listing of allowable SROS values.

C.2.1.1 Submission Types Found in Template 1

Various 1933 Securities Act Registration Statements: AW WD, F-1, F-1/A, F-1MEF, F-3, F-3/A, F-3ASR, F-3D, F-3DPOS, F-3MEF, F-4, F-4/A, F-4MEF, F-6, F-6 POS, F-6/A, F-6EF, POS AM, POSASR, RW WD, S-1, S-1/A, S-11, S-11/A, S-11MEF, S-1MEF, S-20, S-20/A, S-3, S-3/A, S-3ASR, S-3D, S-3DPOS, S-3MEF, S-4, S-4 POS, S-4/A, S-4EF, S-4MEF, S-6, S-6/A, S-8, S-8 POS, SF-1, SF-1/A, SF-1MEF, SF-3, SF-3/A, SF-3MEF

Various Investment Company Submission Types: 487, N-14, N-14 8C, N-14 8C/A, N-14/A, N-14 MEF, N-1A, N-1A/A, N-2, N-2/A, N-2ASR, N-2MEF, N-3, N-3/A, N-4, N-4/A, N-5, N-5/A, N-6, N-6/A

Registration of Securities by Certain Investment Companies Pursuant to Rule 24F-2:

24F-2NT, 24F-2NT/A

Submissions Pursuant to the Trust Indenture Act: T-3, T-3/A, T-6, T-6/A

Registration Statements for Foreign Issuers: F-10, F-10/A, F-10EF, F-10POS, F-4 POS, F-4EF, F-7, F-7 POS, F-7/A, F-8, F-8 POS, F-8/A, F-80, F-80/A, F-80POS, S-B, S-B/A, S-BMEF

Prospectuses Filed Pursuant to Rule 424: 424B1, 424B2, 424B3, 424B4, 424B5, 424B7, 424B8, 424H, 424H/A, 424I

Examples of Template 1 Submission Types Main Page Information

Example 1

Submission Types

- N-1A
- N-3
- N-4
- N-6

Code	Data Fields	Value	Format
1	TYPE	N-3	N-3
1	SROs	AMEX	Up to 5 characters
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	FILER		
1	CIK	123456	Up to 10 digits
1	CCC	X21234@1	8 characters
5	FILE-NUMBER	333-00000	Up to 17 characters
1	INVESTMENT-COMPANY-TYPE	FORM N-3 Filer	Pick list
2	DELAYING-AMENDMENT		
1	ACTs	33 40	2 digits for each Act specified

Examples of Template 1 Submission Types Main Page Information

Example 2

Submission Type

- T-3

Code	Data Fields	Value	Format
1	TYPE	T-3	T-3
1	SROs	AMEX	Up to 5 characters
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	FILER		
1	CIK	123456	Up to 10 digits
1	CCC	X21234@1	8 characters
5	FILE-NUMBER	000-00000	Up to 17 characters

Example 3

Submission Type

- F-6EF

Code	Data Fields	Value	Format
1	TYPE	F-6EF	F-6EF
1	SROs	AMEX	Up to 5 characters
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	FILER		
1	CIK	123456	Up to 10 digits
1	CCC	x21234@1	8 characters
5	FILE-NUMBER	000-00000	Up to 17 characters
1	DEPOSITORY	International Financial Corporation	Up to 50 characters
2	REFERENCES-429	333-00000	Up to 17 characters

C.2.1.2 Submission Types Found in Template 2

Various Investment Company Submission Types: 40-17F1, 40-17F1/A, 40-17F2, 40-17F2/A, 40-17G, 40-17G/A, 40-17GCS, 40-17GCS/A, 40-24B2, 40-24B2/A, 40-33, 40-33/A, 40-8B25, 40-8F-2, 40-8F-2/A, N-18F1, N-18F1/A, N-23C-2, N-23C-2/A, N-23C3A, N-23C3A/A, N-23C3B, N-23C3B/A, N-23C3C, N-23C3C/A, N-27D-1, N-27D-1/A, N-8F, N-8F/A

1934 Securities Exchange Act Proxy Materials and Information Statements Filed Pursuant to Section 14: DEF 14A, DEF 14C, DEFA14A, DEFA14C, DEFC14A, DEFC14C, DEFM14A, DEFM14C, DEFN14A, DEFR14A, DEFR14C, DFAN14A, DFRN14A, PRE 14A, PRE 14C, PREC14A, PREC14C, PREM14A, PREM14C, PREN14A, PRER14A, PRER14C, PRRN14A, PX14A6G, PX14A6N, SC 14N, SC 14N/A, SC 14N-S, SC 14N-S/A

Submission Types for Business Development Companies: N-54A, N-54A/A, N-54C, N-54C/A, N-6F, N-6F/A

Company Act Registration Statements: N-8A, N-8A/A, N-8B-2, N-8B-2/A, N-8B-3, N-8B-3/A, N-8B-4, N-8B-4/A

Williams Act Submission Types: CB, CB/A, F-N, F-N/A, SC 13D, SC 13D/A, SC 13E1, SC 13E1/A, SC 13E3, SC 13E3/A, SC 13G, SC 13G/A, SC 14D9, SC 14D9/A, SC14D9C, SC 14F1, SC 14F1/A, SC TO-C, SC TO-I, SC TO-I/A, SC TO-T, SC TO-T/A, SC13E4F, SC13E4F/A, SC14D1F, SC14D1F/A, SC14D9F, SC14D9F/A

Miscellaneous 1933 Securities Act Submission Types: 425, F-X, F-X/A, FWP, SUPPL

Ownership Submissions Pursuant to Section 16 or Rule 144: 144, 144/A

Development Bank Submission Types: ANNLRPT, ANNLRPT/A, DSTRBRPT, DSTRBRPT/A, QRTLYRPT, QRTLYRPT/A

Examples of Template 2 Submission Types Main Page Information

Example 1

Submission Types

- 40-33, 40-33/A

Code	Data Fields	Value	Format
1	TYPE	40-33/A	See List Above
1	SROs	AMEX	Up to 5 characters
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	FILER		
1	CIK	123456	Up to 10 digits
1	CCC	x21234@1	8 characters

Example 2

Submission Types

- SC TO-I, SC TO-I/A
- SC TO-T, SC TO-T/A

Code	Data Fields	Value	Format
1	TYPE	SC TO-T	See List Above
1	SROs	AMEX	Up to 5 characters
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	FILER		
1	CIK	123456	Up to 10 digits
1	CCC	x21234@1	8 characters
4	FORM TYPES	SC TO-T	Pick list
4	FORM TYPES	SC 13D/A	Pick list
1	SUBJECT COMPANY		
1	NAME	ABC COMPANY	Up to 150 characters
1	CIK	654321	Up to 10 digits
1	IRS-NUMBER	22-7777777	9 digits + hyphen
5	FILE-NUMBER	000-00000	Up to 17 characters
2	GROUP-MEMBERS	XYZ COMPANY	Up to 60 characters

C.2.1.3 Submission Types Found in Template 3

Applications under the Investment Company Act of 1940: 40-OIP, 40-OIP/A, 40-6B, 40-6B/A, 40-APP, 40-APP/A

Regulation E Filings: 1-E, 1-E/A, 1-E AD, 1-E AD/A, 2-E, 2-E/A

Annual, Quarterly, and Periodic Reports: 10-D, 10-D/A, 10-K, 10-K/A, 10-KT, 10-KT/A, 10-Q, 10-Q/A, 10-QT, 10-QT/A, 11-K, 11-K/A, 11-KT, 11-KT/A, 15-12B, 15-12B/A, 15-12G, 15-12G/A, 15-15D, 15-15D/A, 15F-12B, 15F-12B/A, 15F-12G, 15F-12G/A, 15F-15D, 15F-15D/A, 18-K, 18-K/A, 20-F, 20-F/A, 40-F, 40-F/A, 6-K, 6-K/A, 8-K, 8-K/A, 8-K12B, 8-K12B/A, 8-K12G3, 8-K12G3/A, 8-K15D5, 8-K15D5/A, ARS, ARS/A, NT 10-D, NT 10-D/A, NT 10-K, NT 10-K/A, NT 10-Q, NT 10-Q/A, NT 11-K, NT 11-K/A, NT 15D2, NT 15D2/A, NT 20-F, NT 20-F/A, SP 15D2, SP 15D2/A, IRANNOTICE, SD, SD/A, ABS-EE, ABS-EE/A

1934 Securities Exchange Act Registration Statements: 10-12B, 10-12B/A, 10-12G, 10-12G/A, 18-12B, 18-12B/A, 18-12G, 18-12G/A, 20FR12B, 20FR12B/A, 20FR12G, 20FR12G/A, 25, 25/A, 40FR12B, 40FR12B/A, 40FR12G, 40FR12G/A, 8-A12B, 8-A12B/A, 8-A12G, 8-A12G/A

Certification by the exchange approving securities for listing: CERT

Other Submissions Pursuant to the Trust Indenture Act: 305B2, 305B2/A

Prospectuses Filed Pursuant to Rule 424: 424A

Various Investment Company Submission Types: 485APOS, 485BPOS, 485BXT, 486APOS, 486BPOS, 486BXT, 497, 497AD, 497H2, 497J, 497K, 497VPI, 497VPSUB, 497VPU, N-VP, N-VP/A, N-VPFS, N-VPFS/A, AW, DEL AM, N-2 POSASR, POS 8C, POS AMI, POS EX, POS462B, POS462C RW, UNDER, UNDER/A

Periodic Reports for Registered Investment Companies: N-30B-2, N-30D, N-30D/A, N-CSR, N-CSR/A, N-CSR, N-CSR/A, N-PX, N-PX/A, N-PX-FM, N-PX-FM/A, N-PX-NT, N-PX-NT/A, N-PX-VR, N-PX-VR/A, N-PX-CR, N-PX-CR/A, NT-NCSR, NT-NCSR/A, NT-NCEN, NT-NCEN/A, NPORT-EX, NPORT-EX/A

Information Required of Institutional Investment Managers Pursuant to Emergency Order, Securities Exchange Act of 1934: SH-ER, SH-ER/A, SH-NT, SH-NT/A

Withdrawal of an application for exemptive or other relief from the federal securities laws: APP WD, APP WD/A

Miscellaneous Investment Company Reports: N-CR, N-CR/A, N-LIQUID, N-LIQUID/A, N-RN, N-RN/A

Examples of Template 3 Submission Types Main Page Information

Example 1

Submission Types

- 10-12B
- 10-12G
- 18-12B
- 18-12G
- 20FR12B
- 8-A12B
- 8-A12G

Code	Data Fields	Value	Format
1	TYPE	8-A12B	See List Above
1	SROs	AMEX	Up to 5 characters
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	FILER		
1	CIK	123456	Up to 10 digits
1	CCC	x21234@1	8 characters
5	FILE-NUMBER	000-00000	Up to 17 characters

Examples of Template 3 Submission Types Main Page Information

Example 2

Submission Types

- 10-QT
- 10-QT/A
- 11-KT
- 11-KT/A
- IRANNOTICE

Code	Data Fields	Value	Format
1	TYPE	10-QT	See List Above
1	SROs	AMEX	Up to 5 characters
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	FILER		
1	CIK	123456	Up to 10 digits
1	CCC	x21234@1	8 characters
5	FILE-NUMBER	333-00000	Up to 17 characters
1	PERIOD	12/12/1996	Up to 20 characters

C.2.1.4 Example of Template 4 Submission Types Main Page Information

Example 1

Submission Type

- CORRESP

Code	Data Fields	Value	Format
1	TYPE	CORRESP	See List Above
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	FILER		
1	CIK	1234567890	Up to 10 digits
1	CCC	x21234@1	8 characters

C.2.1.5 Example of Template 5 Submission Types Main Page Information

Example 1

Submission Types

- MODULE
- SEGMENT

Code	Data Fields	Value	Format
1	TYPE	Module	See List Above
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	FILER		
1	CIK	1234567890	Up to 10 digits
1	CCC	x21234@1	8 characters

C.2.1.6 Template 6 BULK Submission Type

Main Page Information

Bulk submissions are prepared regular submission types (Templates 1-5) that are grouped together for ease of transmission. Once transmission is completed, the submissions are separated and processed in the same way as single submissions.

After accessing the Bulk Submission Template from the EDGARLink Online Submission Type Selection page, continue through the dialogue boxes to add the desired submissions to the template. The template displays the names of all added file names and the document count. A field is also provided for additional description information (if desired) for each submission. Once added, items in the template can be viewed and or deleted from the template. After

completion, the Bulk Submission Template can be transmitted in the same way as single submissions.

For more information on Bulk submissions see Chapter 7, “Preparing and Transmitting EDGARLink Online Submissions.”

C.2.1.7 Submissions Pursuant to SDR

SDR-CCO

Example of SDR Submission Types Main Page Information

Example 1

Submission Type

SDR-CCO

Code	Data Fields	Value	Format
1	TYPE	SDR-CCO	SDR-CCO
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	ISSUER		
1	CIK	123456	Up to 10 digits
1	CCC	x21234@1	8 characters
5	FILE-NUMBER	040-00000-1	Up to 17 characters
1	START PERIOD	01/15/2014	Date Picker
1	END PERIOD	01/15/2015	Date Picker
2	Please describe what information is being amended with this filing	Description of changes since the previous report	Up to 1000 characters

C.2.1.8 Submissions Pursuant to Regulation A

Submission types found under Regulation A: REG A

Example of Regulation A Submission Types Main Page Information

Example 1

Submission Type

- 1-SA

Code	Data Fields	Value	Format
1	TYPE	1-SA	1-SA
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	ISSUER		
1	CIK	123456	Up to 10 digits
1	CCC	x21234@1	8 characters
5	FILE-NUMBER	24R-00000-1	Up to 17 characters
1	PERIOD	12/15/2014	Date Picker
1	Is this filing a successor company pursuant to Rule 257 (b) (5) resulting from a merger or other business combination?	Yes	Radio button
2	FILE-NUMBER	24R-00000-1	Up to 17 characters

C.2.1.9 Dodd-Frank Act Submission Types

Submission Types found under Dodd-Frank Act: ABS-15G, ABS-15G/A, ETR, SBS DISPUTE NOTICE, SBS DISPUTE NOTICE/A

Examples of Dodd-Frank Act Submission Types Main Page Information

Example 1

Submission Type

- ABS-15G

Code	Data Fields	Value	Format
1	TYPE	ABS-15G	ABS-15G
1	SROs	AMEX	Up to 5 characters
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	FILER		
1	CIK	123456	Up to 10 digits
1	CCC	X21234@1	8 characters
5	FILE-NUMBER	333-000000	Up to 17 characters
1	ABS ASSET CLASS	Auto loans	Pick list
2	RULE 15GA-1		Radio button
2	ITEM	Item 1.01	Pick list
2	Securitizer has no activity to report for the initial period pursuant to Rule 15Ga-1(c)(1)	Yes	Check box

Examples of Dodd-Frank Act Submission Types Main Page Information

Example 2

Submission Type

- ABS-15G/A

Code	Data Fields	Value	Format
1	TYPE	ABS-15G/A	ABS-15G/A
1	SROs	AMEX	Up to 5 characters
4	SUBMISSION-CONTACT		
4	NAME	A. Jones	Up to 30 characters
4	PHONE	202-555-1111	Up to 20 characters
1	FILER		
1	CIK	123456	Up to 10 digits
1	CCC	x21234@1	8 characters
1	FILE-NUMBER	025-00000	Up to 17 characters
1	ABS ASSET CLASS	Auto loans	Pick list
	ACCESSION NUMBER	123456-000000	Up to 20 characters
2	RULE 15GA-1		Radio button
2	ITEM	Item 1.02	Pick list
2	START PERIOD	09-30-1980	Date Picker
2	END PERIOD	12-31-2050	Date Picker
2	Has the Securitizer previously an ABS-15G under item 1.01 for the same Asset Class as this report?	Yes	Radio button
2	FILE-NUMBER	025-00000-1	Up to 17 characters
2	Securitizer has no activity to for the quarterly period pursuant Rule 15Ga-1(c)(2)(i)	Yes	Check box
2	Securitizer has no activity to for the annual period pursuant to Rule 15Ga-1(c)(2)(ii)	Yes	Check box

C.2.1.10 Attached Documents List Page Information

The Attached Documents List page allows ASCII text, HTML, PDF, XML, JPEG, and GIF documents to be attached, deleted, and viewed within the submission template.

Following are the fields on the Attached Documents List page:

Field	Description
File Name	Document's file name automatically appears when a document is enclosed.
Type	Choose the document type: Cover, Correspondence, Graphic, EU-1, EX, Form, and Report.
Description	Enter a brief description up to thirty (30) characters in length.
[Doc Validation]	When you select the check box corresponding to the document and click the [Doc Validation] button, EDGARLink Online validates the document.
Errors	Displays the number of errors in an attached document in EDGARLink Online.
Document Count*	Automatically displays the number of documents attached to your submission.

There are six EDGARLink Online page buttons that bring up the corresponding page:

- [Main Page]
- [Documents]
- [Notifications]
- [Module/Segment]
- [Fee Offsets]**
- [Offerings/Fees]**

There are six subdocument buttons:

- [Add Document]
- [Delete Document]
- [View Document]
- [Doc Validation]
- [Move Doc Down]
- [Move Doc Up]

There is also the Save icon that saves your entire submission.

For more information on submission documents, see Chapter 7, “Preparing and Transmitting EDGARLink Online Submissions.”

*Read-only information is automatically entered.

**Available for fee bearing submissions only.

C.2.1.11 Notification Page Information

EDGARLink Online allows you to notify as many people as necessary of the status of your EDGAR submission.

The Notification Information page has one field:

Field	Description
Internet Notification Address	Enter the Internet e-mail addresses in the standard Internet format.
The [Add] button	Inserts additional address lines. Do not try to enter more than one e-mail address in each of the Internet Notification Address fields.
Notify via Filing Website Only?	Keeps EDGAR from e-mailing your submission status to anyone, and notification will be available through the EDGAR Filing Website only.

There are six EDGARLink Online page buttons that bring up the corresponding page:

- [Main Page]
- [Documents]
- [Fee Offsets]**
- [Module/Segment]
- [Help]
- [Offerings/Fees]**

There is also the Save icon that saves your entire submission.

For more information on notification, see Chapter 7, “Preparing and Transmitting EDGARLink Online Submissions.”

**Available for fee bearing submissions only.

C.2.1.12 Module/Segment Page Information

The Referenced Module/Segment List page is only used for referencing Type 2 modules or segments that have already been created, validated, and transmitted to EDGAR. There are five fields on this page:

Field	Description
M/S	Select M for module or S for segment.
Module/Segment Name	Enter the correct module or segment name.
CIK	Enter the CIK of the filer whose module you are using.
CCC	Enter the CCC of the filer whose module you are using.
Type	Select the type of Type 2 module/segment you are attaching.
Add Module/Segment Reference	Adds more module or segment lines.

There are six EDGARLink Online page buttons that bring up the corresponding page:

- [Main Page]
- [Documents]
- [Fee Offsets]**
- [Module/Segment]
- [Help]
- [Offerings/Fees]**

There is also the Save icon that saves your entire submission.

If the referenced module or segment does not exist on EDGAR, your submission will be suspended.

For more information on modules and segments, see Chapter 7, “Preparing and Transmitting EDGARLink Online Submissions.”

**Available for fee bearing submissions only.

C.2.1.13 Fee Offset Page Information

The Fee Offset Information page is used for entering previously filed fee bearing submission information and offset fee amounts. There are six fields on this page:

Field	Description
CIK	Enter the CIK of the filer whose module you are using.
Form Type	Enter the form type of the previous filing.
File Number	Enter the file number of the previous filing.
Offset Filing Date	Enter the filing date of the previous filing.
Amount	Enter the amount applicable to the current submission.
Fee Offset Total*	Enter the total amount of all previous filings.
[Add Fee Offset Line]	Inserts additional fee offset lines.

There are six EDGARLink Online page buttons that bring up the corresponding page:

- [Main Page]
- [Documents]
- [Fee Offsets]**
- [Module/Segment]
- [Help]
- [Offerings/Fees]**

There is also the Save icon that saves your entire submission.

*EDGARLink Online automatically enters read-only information.

**Available for fee bearing submissions only.

C.2.1.14 Offerings & Fees Page Information

The Offerings & Fees page allows you to enter the submission offering data and uses the latest SEC rate information downloaded from the EDGAR Filing Website.

Field	Description
Payor CIK	Third party paying CIK
Payor CCC	Third party paying CCC
Payment Method	Method of fee payment: Fedwire/Lockbox
Fee Paid	Amount paid
Total offering*	Total submission offering
Fee rate as of*	SEC fee rate
Total fee*	Total fee amount due
Total offset from Fee Offset Page*	Offset total amount from the Fee Offset page
Fee due*	Total fee amount due
Security Type	Type of security being offered
Amount Being Registered	Total number of units being registered
Proposed maximum offering price per unit	Maximum amount to pay per unit
Proposed maximum aggregate offering price	Maximum amount of total offering
[Add Offering Entry]	Adds additional offering lines

There are six EDGARLink Online page buttons that bring up the corresponding page:

- [Main Page]
- [Documents]
- [Fee Offsets]**
- [Module/Segment]
- [Help]
- [Offerings/Fees]**

There is also the Save icon button that saves your entire submission.

*Read-only information is automatically entered.

**Available for fee bearing submissions only