workiva

Backup Filing Procedure

In the rare instance that the Workiva platform is experiencing issues and filing is unavailable within our system, please follow these steps outlined to submit your filing directly to EDGAR.

For questions on this process, you can consult our additional resources or contact methods provided below.

Prep Step: Backup your documents to be filed

To file directly to EDGAR, you will need compliant versions of your filing documents, including all .htm files, XBRL® files, and graphics that were a part of your filing package. We recommend backing up your filing documents a few days before you plan to live file. To access these files, follow the steps outlined here: **Download filing documents**. These will be the files you will supply to EDGAR. When you are ready to submit these to EDGAR, simply unzip the files on your machine to access your files.

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Step 1: Login to EDGAR

1. Go to www.edgarfiling.sec.gov and login using your CIK and password.
   - **Note**: any browser can be used, but if you want to preview EDGAR before filing you will need to use **FireFox**.
2. Click on **EDGARlink Online Form Submission**.
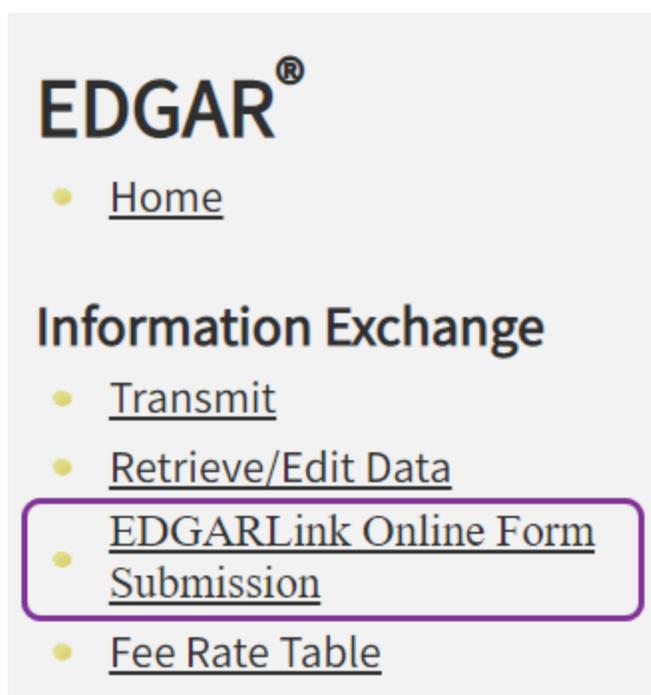
   - Select the form type to be filed. This will open a new window with the same fields found in the Wdesk filing wizard (although prepared in a different view).

Step 2: Populate Filing Details

1. Fill in all required (CIK, CCC, Submission Type, and Period) and any optional fields you want. **Make sure to designate if you want this filing to be live or a test. A test filing is recommended to catch any errors or discrepancies.**

(Required fields are marked with an asterisk)

Step 3: Add Documents to be Filed

1. Select the **Restore** button to upload the .eis file from your computer into EDGARonline.
    *   Restoring the files this way will auto-populate the fields in the filing page and might save time.
2. Verify all information is correct and complete (in **Main**, **Documents**, and **Notifications** tabs) as some information may not come in, or may come in incorrectly.

Step 4: Reorder Documents

In the Documents tab, reorder the documents to appear in the order that you want them to be listed on the SEC website by using the **Move Doc Up** and **Move Doc Down** buttons.

Step 5: View Documents

Use the **View Document** button to preview one or more documents in EDGAR.

Note: Only works when using Firefox browser.

Step 6: Document Validation

Check the boxes next to all the files and then click the **Doc Validation** button.
This will perform the same validation check that the Wdesk filing Wizard normally performs.

- If errors are found for a particular document a red number will appear to the right of the document indicating how many errors were found. Click on the number to pop open a dialog box which will then show you what the error is.
- You will need to fix any errors before moving on with the test/live file.

Note: Images do NOT get validated and a red message will pop up at the bottom of the screen warning you of this. This is normal and the Workiva filing experience does NOT validate images either. This warning can simply be ignored.

Step 7: List People to Notify

In the **Notification** tab, you can choose if you want to notify people about this filing. If listed, they will receive an email notifying them if the filing was accepted or suspended.

Step 8: Module/Segment Tab

Note: This tab is used by registered investment companies (funds) only. If this does not pertain to you, please move onto Step 9.

A module or segment is information that is stored on the non-public data storage area of EDGAR. Information about creating module and segment documents is covered in Section 5.3 of the EDGAR Filing Manual: Preparing or Referencing Module and Segment Documents. EDGAR treats the module/segment as your private information, and stores it on our database according to your CIK.

Registered investment companies whose last effective registration statement or amendment must provide electronically, and keep current, information concerning their existing and new series and/or classes, including series and/or class (contract) name and ticker symbol, if any, and be issued series and/or class (or contract) identification numbers.

Step 9: Saving Your Filing (*if ready to test or live file, skip to* Step 10)

If you would like to save your current filing details that have been filled into EDGAR, select the **Save** button. This will save an .EIS file to your machine that you can use for the live filing or for future reference.

Save/Restore will wipe out some information like items and descriptions so be sure to fill them back in when live filing

Step 10: Submit Live or Test File

Based on whether you have Test or Live file selected (refer to Step 2), submit the filing by clicking the "**submit**" button to transmit the submission to EDGAR for processing.

EDGAR will automatically validate your submission information. If there are errors, EDGAR will provide the list of error messages for this validation. These error messages will be shown in red and display a "**red x**" icon next to the field names to indicate which fields contain invalid information. You must correct the errors on each page.

You will receive an email noting if the filing is accepted or suspended at this point.

Step 11: Save Your Accession Number

After successfully filing, a window will pop up (refer to picture below). It is advised to **screenshot or copy/paste the screen** as a reference and for audit purposes. Click **Exit** to navigate back to the EDGAR home page.

Step 12: Viewing Posted Filing

To view your posted filing:
1. Navigate to the Latest EDGAR Filings website to see the filing listed a minute or two after you successfully live file. There is also an option to review filing status on the main menu of the EDGAR filing page, from the "Retrieve/Edit Data" link.
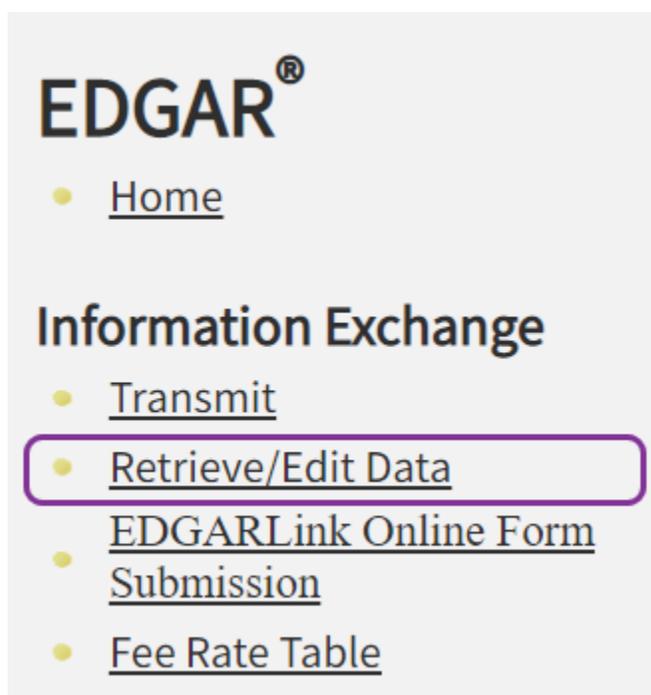
2. Enter your **CIK** and **CCC** to login and click on **Retrieve Submission Information**

Please select one of the following options:

- **Retrieve Submission Information**

- **Retrieve Company Information**

- **Retrieve Module/Segment Information**

- **Enter Series and Classes (Contracts) Information**

- **Request Asset-Backed Securities (ABS) Issuing Entit**

- **Request Return of Unused Funds**

3. Enter the **Accession Number**, and select the **Transmission Mode** (Test or Live), as well as a **Receipt Date Range**.

Retrieve Submission Information

Login and/or Filer CIK:

Accession Number:

Transmission Mode: Test

Receipt Date Range: Today

Please note: Enter either a complete Accession Number (no wildcard characters), to look for one submission only,
or,
A combination of Transmission Mode and/or Receipt Date Range to retrieve one or more submissions.

Get Submission Information

You may use this website to retrieve submission information as follows:

Submission Status	Number of Business Days Available After Transmission
Accepted (Test)	2
Accepted (Live)	30
Suspended (Test or Live)	6

4. View your filing.

Submission Information

Note: Live correspondence (CORRESP) submissions, company updates (COUPDAT), and series and classes (contracts) updates (SCUPDAT) with a status of "ACCEPTED", as well as attached cover letter documents, are considered private. All private submissions and documents are available internally to the SEC only and are not disseminated to the public.

CIK:

Click on an accession number to retrieve notification information for that submission.

Accession Number	Form Type	Receipt Date	Mode	Status
	DRS/A	24-Jan-2023 15:54	Test	Accepted
	DRSLTR	24-Jan-2023 15:53	Test	Accepted

Toolbar Button Index

SAVE

The [SAVE] button saves the current submission to your local drive. This will enable you to save a partially completed submission on your computer. If you click this button, your submission fields and attached documents are saved into one file. EDGARLink Online will add an .eis extension to the file name. You can retrieve this file using the [RESTORE] button.

PRINT

The [PRINT] button prints all the submission tabs, with and without information entered. The visible text contained in the fields will print. Submission documents will not be printed.

SUBMIT

The [SUBMIT] button transmits your submission to EDGAR for processing. When you click the [SUBMIT] button, EDGAR will automatically validate your submission information. If there are errors, EDGAR will provide the list of error messages for this validation. These error messages will be shown in red and display a "red x" icon next to the field names to indicate which fields contain invalid information. You must correct the errors on each page.

RESTORE

The [RESTORE] button allows you to retrieve a previously saved submission. When you click the [RESTORE] button it opens the Restore File window that lets you locate your previously saved submission.

HELP

The [HELP] button opens a window displaying the EDGAR Filer Manual (Volumes I and II)

EXIT

The [EXIT] button exits the current submission and opens the EDGARLink Online Submission Type Selection page. Any data entered will be discarded.

The hours of operation for submitting filings to the EDGAR system are 6:00 am to 10:00 pm ET weekdays (excluding SEC holidays). If a filing is submitted after 5:30 pm ET, it will not be deemed filed with the SEC until the following business day (except for filings made pursuant to Rule 462(b) and Section 16 filings, which will receive the date of the actual filing if filed by 10:00 pm ET.