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Filer Readiness for EDGAR Next
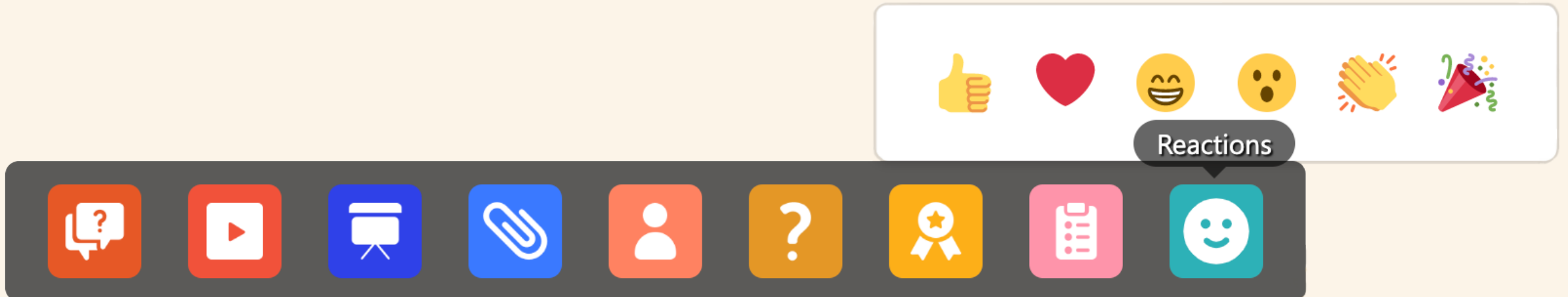
Questions

or Email: **edgarnext@workiva.com**

Engagement

Introductions

Jarrod Byerly
Product Success Manager
Workiva

Jarrod's Bio

- **10+ years** with Workiva
- Product Success Manager, specializing in **Filing**
- Former Workiva Lip Sync battle participant
- Marvel Enthusiast

Agenda

1 Recap of EDGAR® Next

2 Enrollment & Delegation

3 User Tokens

4 Filer Tokens

5 Filing Submission

6 Workiva as Trusted Partner

Recap of EDGAR® Next

EDGAR filer access and account management

- **33-11313** **"EDGAR Next"** finalized on Sep. 27, 2024

- **Scope**: To improve the *security* of EDGAR, enhance filers' ability to manage their EDGAR *accounts,* and modernize *connections* to EDGAR

- **Impacts** (changes for every EDGAR filer):
  - EDGAR login and authentication method for submission
  - Need to identify authorized individuals/service providers (includes involving Workiva in the submission process for Workiva customers)
  - Filing processes inside and outside the Workiva platform

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EDGAR Next key changes

1

EDGAR login

- **Before**: Most never had to log into EDGAR Filer Management —log in with CIK and password if needed
- **After**: Each filing individual must log in on Login.gov with individual email, password, and multi-factor authentication

2

EDGAR account management

- **Before**: No SEC records of individuals accessing EDGAR
- **After**: Explicit identification of individuals accessing EDGAR in a new EDGAR Dashboard, with admin/user/ technical admin roles
  - Minimum of 1 admin for individuals
  - Annual confirmation of EDGAR users' info

3

Arrangement with providers

- **Before**: Private arrangement with providers—giving access to CIK/CCC is authorization
- **After**: Explicit delegation to provider(s) in the new EDGAR Dashboard, subject to provider(s) acceptance
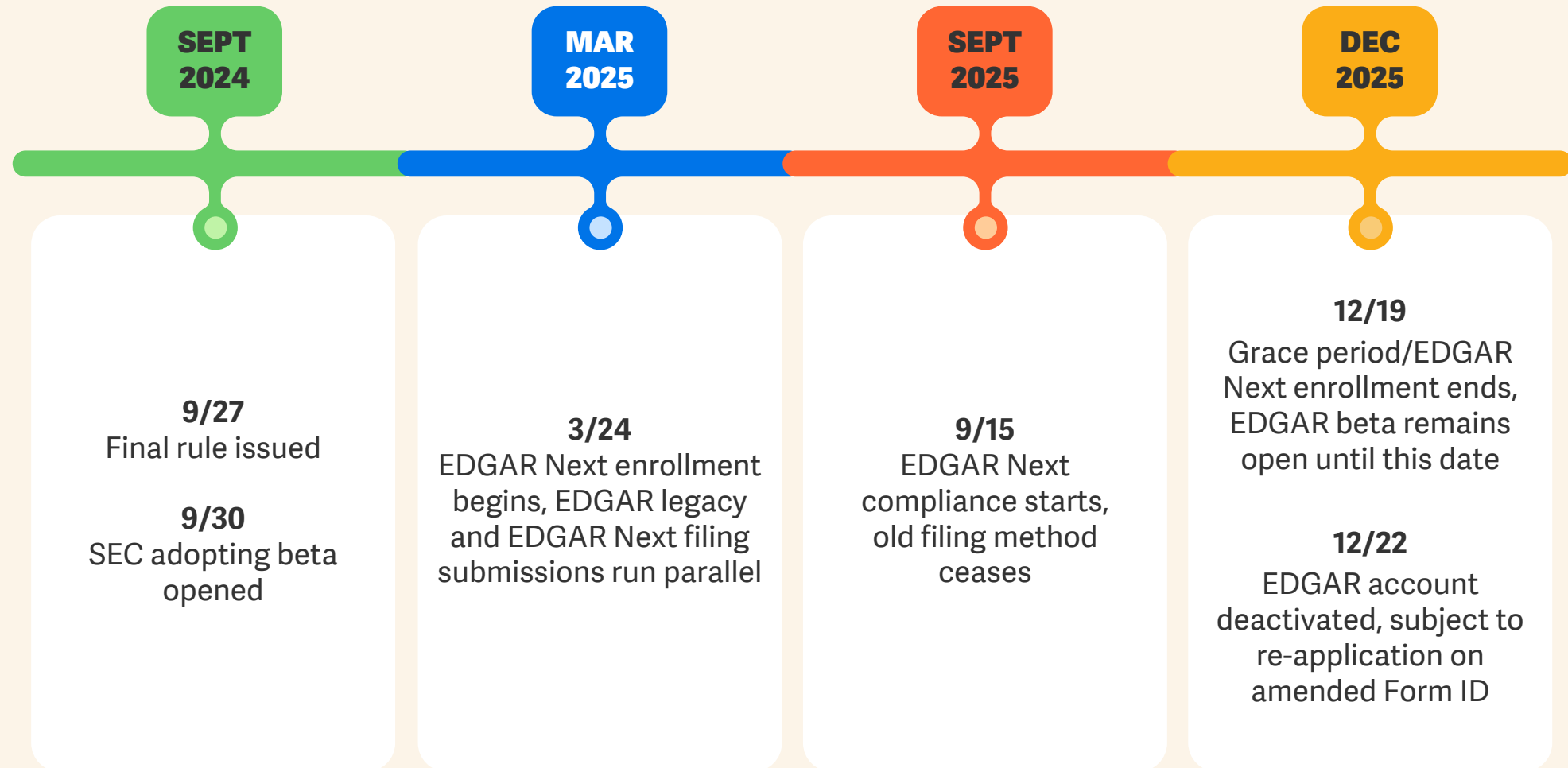
4

Filing process

- **Before**: Provide the issuer's CIK and the individual's CIK/ CCC for ownership filings
- **After**: CIKs/CCC continues, plus 2 new tokens to authenticate API access
  - User token—individual ID
  - Filer token—entity ID

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EDGAR user roles

	Account administrators	Users	Tech admins	Delegated administrators/users
Add/remove others	Can only add/remove in their own account			Delegated entity can only add/remove their own
Manage delegations	✓			
Submit filings	✓	✓		✓
Change CCC	✓			
Manage own user token	✓	✓		✓
Manage entity filer token			✓	
Annual confirmation	✓			

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EDGAR Next timeline

SEPT 2024

MAR 2025

SEPT 2025

DEC 2025

9/27
Final rule issued

9/30
SEC adopting beta opened

3/24
EDGAR Next enrollment begins, EDGAR legacy and EDGAR Next filing submissions run parallel

9/15
EDGAR Next compliance starts, old filing method ceases

12/19
Grace period/EDGAR Next enrollment ends, EDGAR beta remains open until this date

12/22
EDGAR account deactivated, subject to re-application on amended Form ID

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Enrollment & Delegation

Enrollment & Delegation

- **Register at login.gov** as a prerequisite to enrollment

- Complete enrollment on sec.gov OR in **Workiva enrollment app**

- Each EDGAR account **(CIK) must provide**:
  - CIK
  - CCC
  - Passphrase (note the passphrase is not the same as the SEC password)
  - **Filers who have not reset their passphrase or CCC since September 2019 must obtain a new passphrase and new CCC to enroll**

- Once enrolled and filer token has been generated, you have the option to **delegate to Workiva's Filer Token**

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Demonstration

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User Tokens

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User API Tokens

- Identifies the **individual user** submitting filings to EDGAR

- User Token management will be available in **User Profile settings**

- **Expires every 30 days**

Demonstration

Filer Tokens

Filer API Tokens

- Identifies the **entity** submitting filings via the EDGAR API

- Filer Token management will be available in **Workspace Settings**

- **Store multiple tokens**

- **View expiration date**

- **Expires annually**

Demonstration

Filing Submission

Filing Submission

- Test and Live file remain **relatively unchanged**

- Options to **upload tokens** or use **stored tokens**

- **Save uploaded tokens**

- **File using either method** (legacy CIK/CCC or EDGAR Next tokens) **until September 2025**

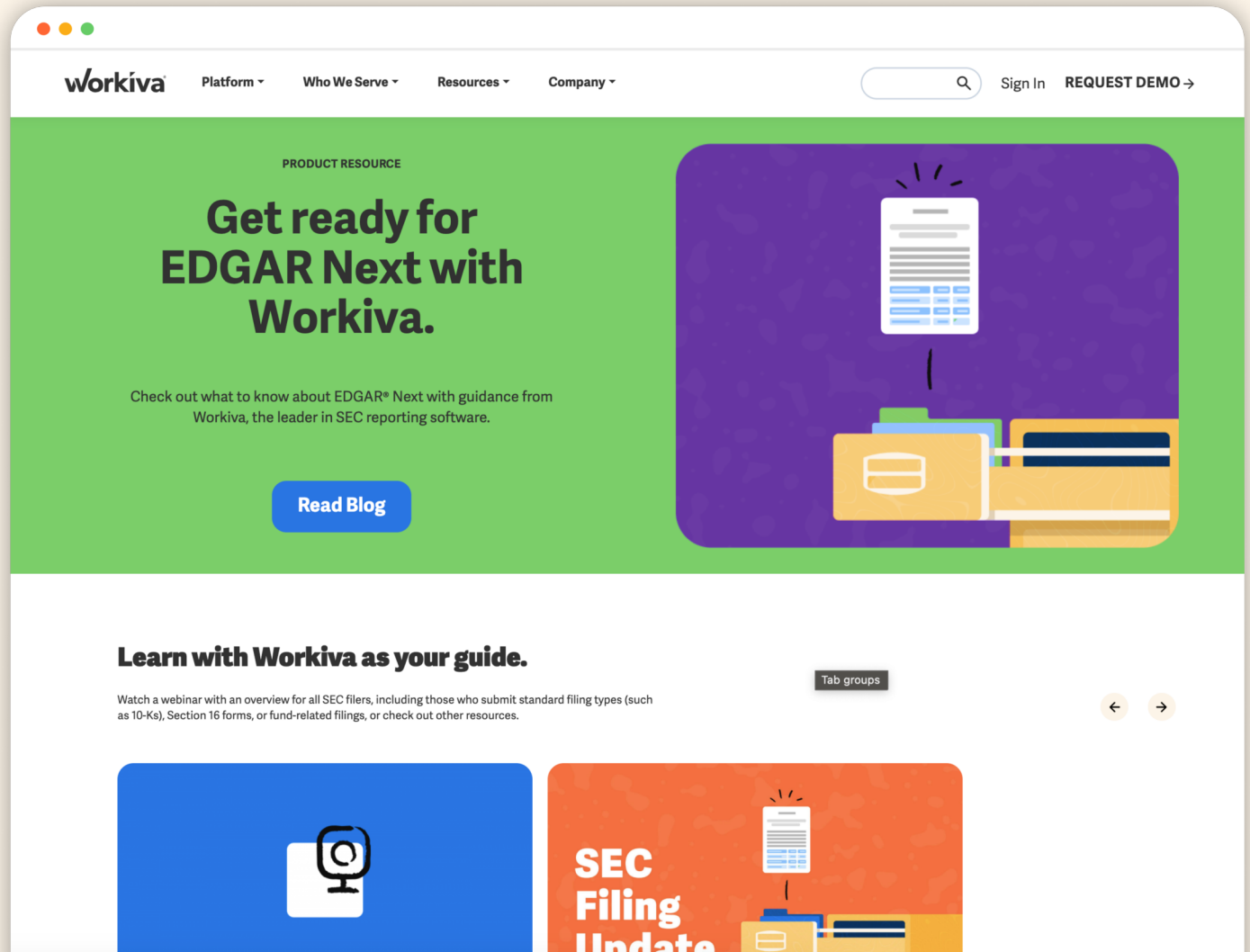- **File with Workiva** will remain an option

Demonstration

Workiva as Your Trusted Partner

Workiva as your **trusted partner**

EDGAR Next Resource
Hub: One-Stop Shop

**workiva.com/resources/
edgar-next-with-workiva**

Workiva as your **trusted partner**

- Webinar Series
  - [Introduction to EDGAR Next] ⊘
  - [EDGAR® Next for Section 16 and Form 144 Filers] ⊘
  - Filer Readiness for EDGAR Next, **March 13** ⊘

  ⊖ Recordings available on the Workiva Community!

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Questions?

Email **edgarnext@workiva.com**

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Thank you!

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