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Filer Readiness for EDGAR Next

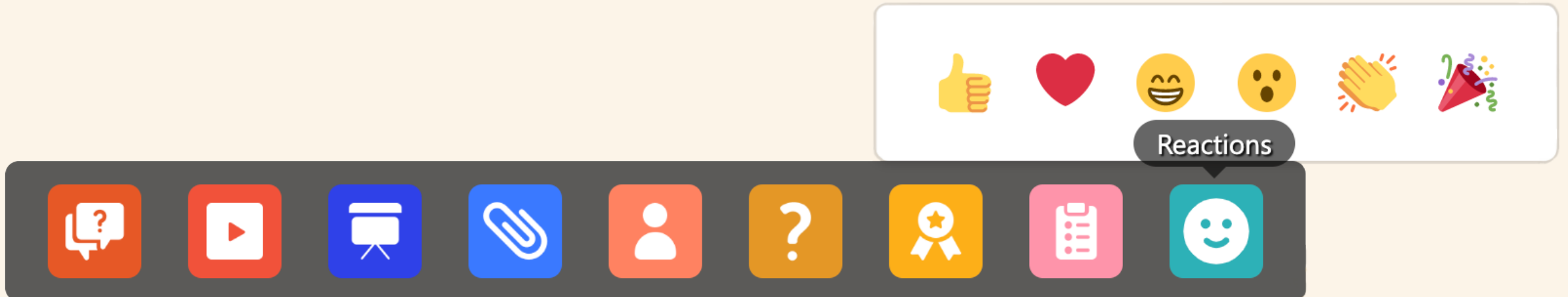
Questions



or Email: edgarnext@workiva.com

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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

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

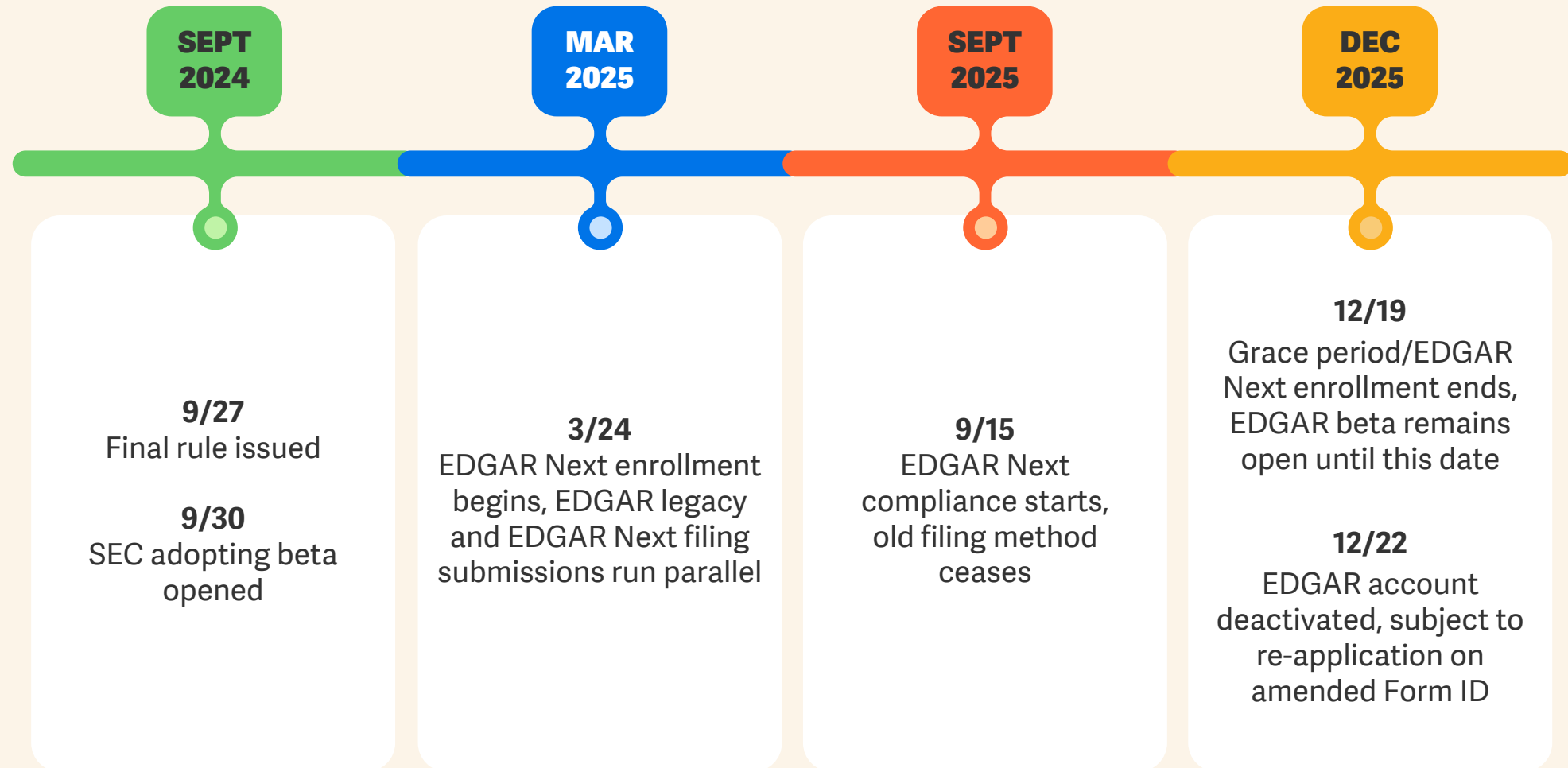
Filing process

- **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

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	✓			

EDGAR Next timeline



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**


Demonstration




User Tokens



User API Tokens

 **My Profile**

[Profile](#) [Generative AI](#) [Preferences](#) [Security](#)



Upload Image

Image Size: 128 x 128px
File type: JPG, GIF, PNG
Images are kept in the US.

First name

Maria

Last name

Rodriguez

Username

maria.rodriguez@acme.com

Email

maria.rodriguez@acme.com

Change Email

Company

Title

Department

Home Phone

Cell Phone

Office Phone

Add User Token

User Token*

Login.gov username

maria.rodriguez@acme.com

EDGAR Next User Token ?

+ Add User Token

- 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

Workspace Settings

GeneralMembersGroupsRolesPermissionsContentConfigurationSecurityFilingActivitiesSection 16

Filing Defaults

Co-Reg Library

File with Workiva

Filing Description Library

Stock Exchange *
Not Listed

Ticker Symbol

Central Index Key *
0000350673

CIK Confirmation Code

Accelerated Filer Status *
Not Applicable

Additional Settings

☐ Smaller reporting company

☐ Shell company

☐ Voluntary filer

☐ Well-known seasoned issuer

Default SEC Contact Emails

RECIPIENT

Email Address

+ Add

EDGAR Next Filer Tokens

Registrant	CIK	Description	Token Expiration Status	Last Updated
Acme Supplies, LLC	0000350673	Acme Supplies, LLC Filer Token 1	Up to date	11/01/23
Acme Supplies, LLC	0000350673	Acme Supplies, LLC Filer Token 2	Up to date	11/01/23
Acme Funds, Ltd.	0000699999	-	Expired 08/24/23	07/24/23

+ Add another Filer Token

Cancel

Save Changes

- 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

Filing Experience

CORRESP ▾

Filing Type

1/21/2025

Target Filing Date



Rename Filing



Download ▾



Repackage



Permissions

✓ Collect ✓ Label ✓ Form Information ✓ Notify ✓ Review ☒ Test File ☐ Live File

Test File ?

Fill in the fields below to test file. You can submit multiple test filings, and you can review past test filings for errors.

Credentials*

EDGAR Next

New ▲

EDGAR Next

New

CIK, CCC and password (Legacy)

File with Workiva

Test Filings

There are no previous test filings

- 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

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Demonstration



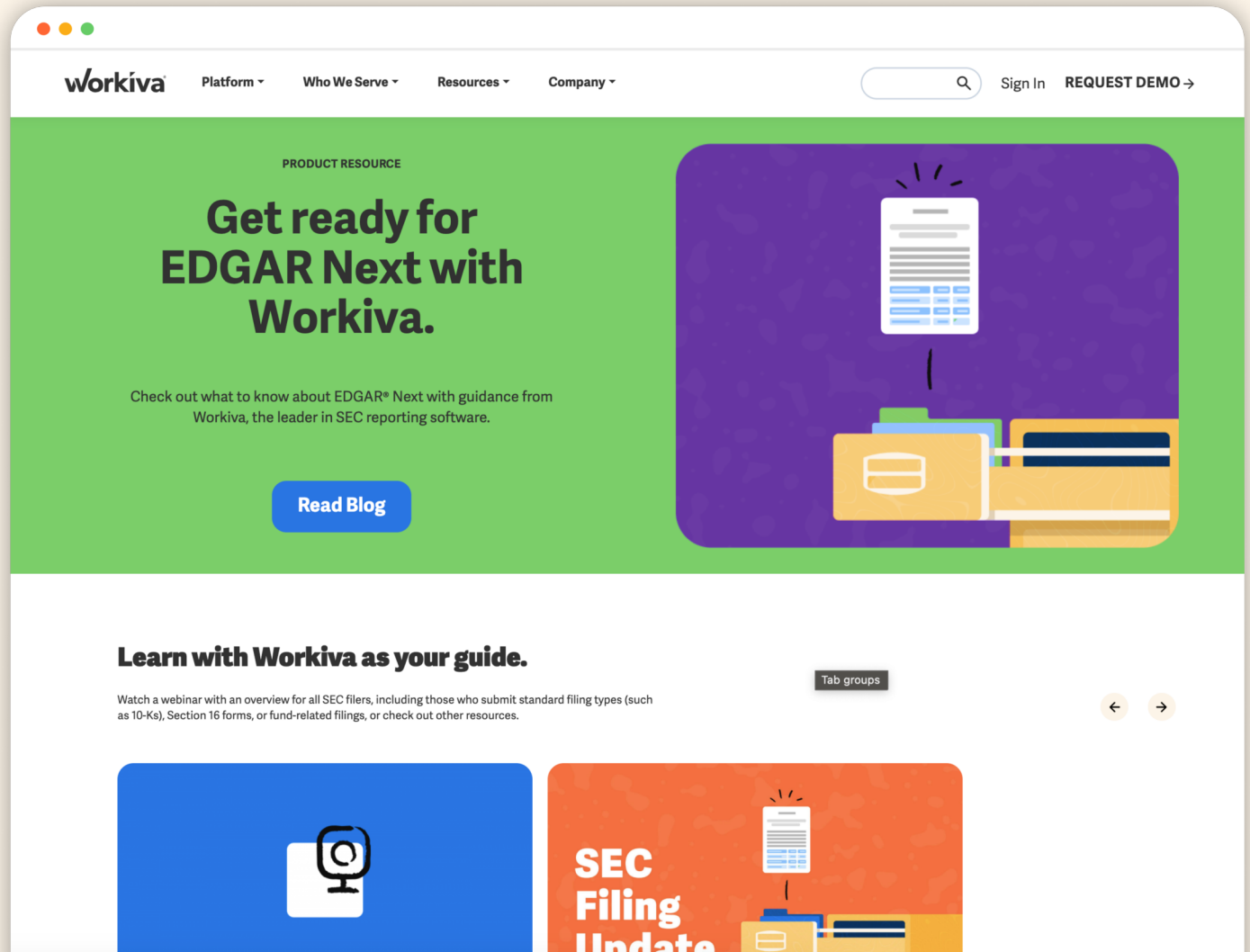
Workiva as Your Trusted Partner



Workiva as your trusted partner

EDGAR Next Resource
Hub: One-Stop Shop

[workiva.com/resources/
edgar-next-with-workiva](https://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!



Questions?

Email edgarnext@workiva.com



Thank you!