

# **Electronic Filings in Administrative Proceedings (eFAP)**



## **eFAP User Manual – Registered User**

**Version 2.0**

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# 1 Introduction

The Electronic Filings in Administrative Proceedings (eFAP) application is a system that assists the U.S. Securities and Exchange Commission (SEC) Office of the Secretary (OS) staff to receive, review, and process submitted filings. This document provides instructions and helpful information for the public registered users of the eFAP system.

## 1.1 eFAP Help Desk

If you experience technical difficulties while using eFAP, (e.g., web browser questions, authentication, or timeout issues, etc.), please call the eFAP Help Desk at 202-551-EFAP (3327) for assistance.

# 2 Register as a User with eFAP

In order to use the eFAP application, all users must register with eFAP. The eFAP registration process is completed in two stages: (1) creating an account in login.gov and (2) registering in eFAP. login.gov is a U.S. Government shared service that SEC and other government agencies are using to provide public users with private and secure online access to participating government programs such as eFAP. Each stage of the registration process and how to access eFAP is described below.

## 2.1 Access eFAP

The eFAP application is accessed through an eFAP intermediate page located on SEC.gov website. This section discusses how to access the eFAP intermediate page and the eFAP application.

- 1) Click on the **SEC.gov** link (<https://www.sec.gov>) to open the website. Hover over **Enforcement** in the top navigation menu and select **Administrative Proceedings**.

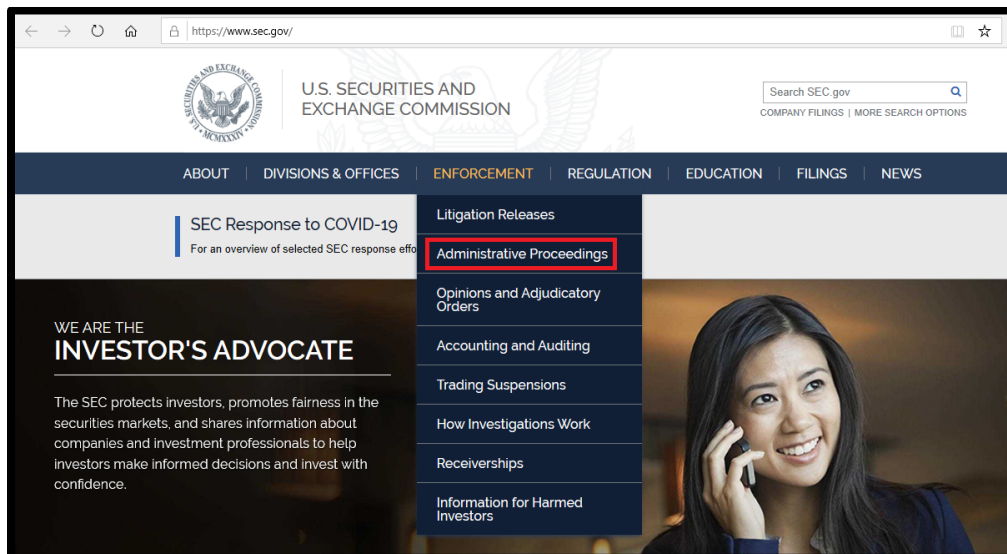


Figure 1: SEC.gov home page – Administrative Proceedings under Enforcement drop-down

- The **Administrative Proceedings** page will appear. Click on the **Electronic Filings in Administrative Proceedings (eFAP)** link located on the right side of the page under **Quick Links**.

**NOTE: The *Electronic Filings in Administrative Proceedings (eFAP)* link is also located under the Quick Links of the following SEC.gov pages: *ALJ Initial Decisions, ALJ Orders, Administrative Proceeding Documents, Opinions and Adjudicatory Orders, and Enforcement.***



Figure 2: Enforcement’s Administrative Proceedings page- eFAP intermediate page link

- The eFAP intermediate page will appear. The page contains links to SEC Rules of Practice, a PDF file on filing electronically, the latest eFAP user manual, and a Frequently Asked Questions (FAQ) document. The page also contains a link that provides access to the eFAP application. Click on the **Submit** link.

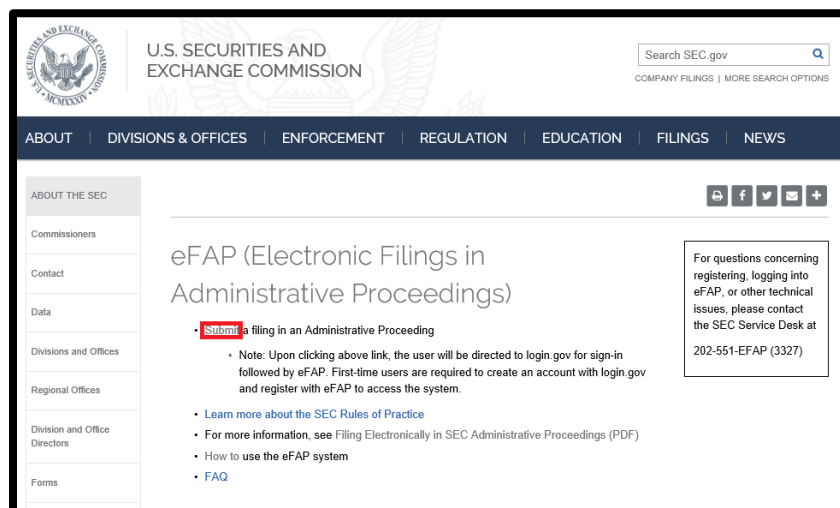


Figure 3: eFAP Intermediate page – Submit link

- The **eFAP Acceptance Disclaimer** page will appear. Click the **Accept** button.



Figure 4: eFAP Acceptance Disclaimer page – Accept button

5) The **login.gov-eFAP Sign-in** page will appear. Proceed to section 2.2.

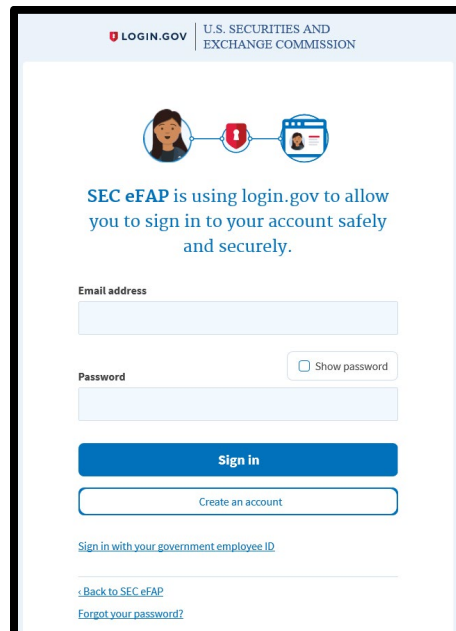


Figure 5: login.gov-eFAP Sign-in page

## 2.2 Creating an account in login.gov

Some users may already have an account within login.gov. This established login.gov account may be used with eFAP if the email address associated with the account is the same email address you provided, or will provide, to the SEC OS. If this is the case, you just need to sign-in and then proceed to section 2.3.

For those that don't have a login.gov account or need to make a new login.gov account with the email that you provided, or will provide, to the SEC OS, you will click the **Create an account** hyperlink, located below the **Sign-in** button, on the login.gov-eFAP **Sign-in** page. The multiple steps in the account creation process are detailed at the following login.gov webpage: <https://www.login.gov/help/creating-an->

[account/how-to-create-an-account/](#). If you successfully complete the steps of the login.gov account creation process, you will be taken to login.gov **you've created an account** page. Click the **Continue** button and proceed to section 2.3.

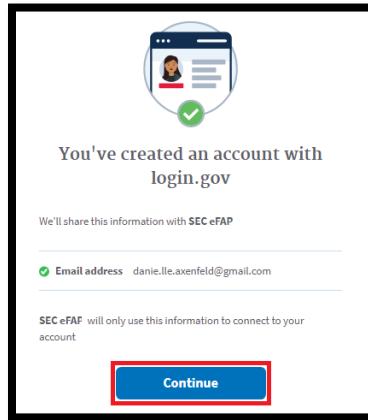


Figure 6: Successful login.gov Account Creation page – Continue button

## 2.3 Register within eFAP

Either through signing in with your existing account, or by creating a login.gov account and clicking the **Continue** button on the **you've created an account** page, you will be taken to the eFAP **Terms and Conditions of Use** page.

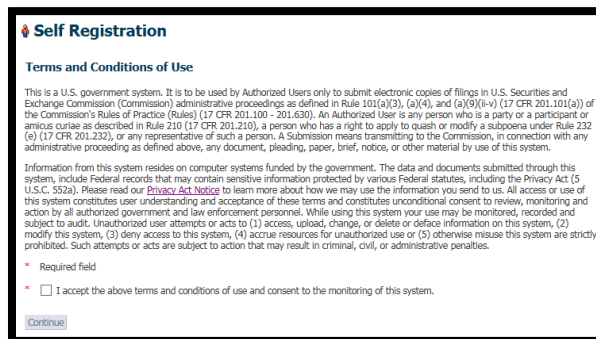


Figure 7: Terms and Conditions of Use page

- 1) Read the Terms and Conditions of Use, click the checkbox, and then click the **Continue** button.

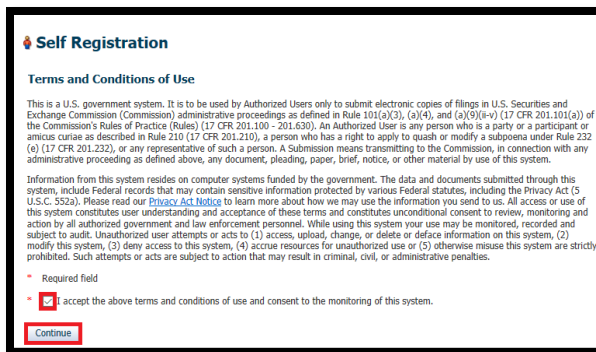


Figure 8: Terms and Conditions of Use page – acceptance checkbox clicked and Continue button enabled

- 2) The **User Registration** page will appear. This page is where you will enter your account information.



*NOTE: To cancel the registration process at any point, click the **Cancel** button on the bottom of the page. If **Cancel** is clicked, you will be sent to the generic **login.gov Sign in** page where you should close your browser.*

3) Enter your information in the following required fields (indicated with a red asterisk [\*]):

- First Name
- Last Name
- Phone Number

*NOTE: Data can be entered into any of the optional fields.*

Figure 9: Self-Registration – User Registration page – required fields

4) After completing all required fields, click the **Register** button, which becomes enabled once text has been entered into all required fields.

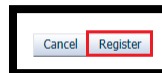


Figure 10: User Registration page – Register button enabled

*NOTE: If you enter any information incorrectly the field box that contains the error will display a red border and a pop-up window will appear that lists the error(s).*

Figure 11: Self Registration – User Registration page – red border around field error and Error pop-up

- 5) If there are no errors in the fields, clicking the **Register** button will take you to the **Self Registration Success** page.
- 6) Click the **Proceed to eFAP** button to be taken to the My eFAP page as shown in Figure 13. Section 4 discusses this page.

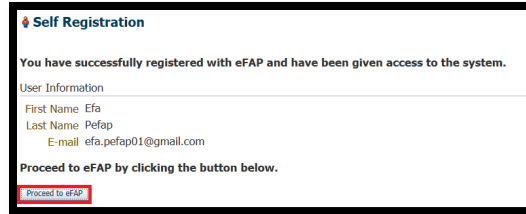


Figure 12: Self Registration - Successfully Registered page - Proceed to eFAP button

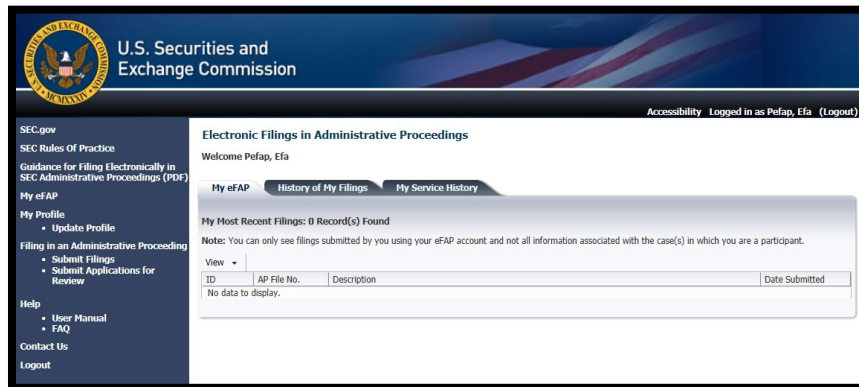


Figure 13: My eFAP page

### 3 Sign in as a Registered User

In order to sign into eFAP, you must enter the email address and password associated with your eFAP account. Your password is the one you used during the registration process or the latest password you updated it to. This section details the specific steps for signing into the eFAP system.

- 1) Upon clicking the the **Submit** link on the eFAP intermediate page (as discussed in Section 2.1) or the eFAP hyperlink (<https://www.sec.gov/eFAP>), your internet browser will take you to the **eFAP Acceptance Disclaimer** page.
- 2) Click the **Accept** button.



Figure 14: eFAP Acceptance Disclaimer page – Accept button

- 3) The login.gov-eFAP **Sign-in** page will appear. [Refer to the following login.gov webpage regarding sign in through login.gov: <https://www.login.gov/help/signing-in/how-to-sign-in/>.] Enter your username and password, and click the **Sign In** button.

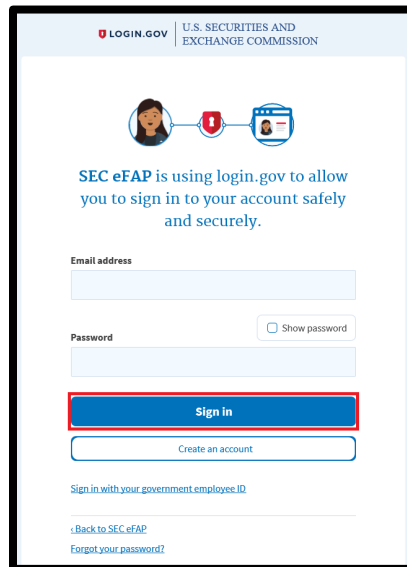


Figure 15: login.gov-eFAP Sign-in page – Sign In button

- 4) The page associated with the authentication method you selected during the login.gov creation process will appear. Shown in Figure 16 is the method where a security code is texted to your cell phone. For this authentication method, enter the code sent to your cell phone and click the **Submit** button.

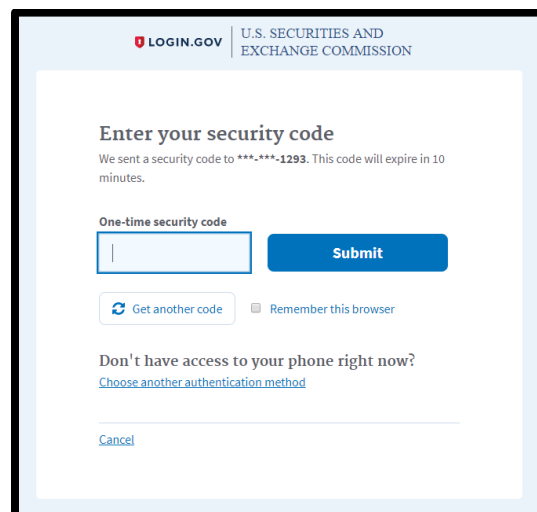


Figure 16: login.gov-eFAP security code page

- 5) If you entered the correct code (or successfully completed the authentication method you selected), the **My eFAP** page (described in the next section) will appear.

## 4 My eFAP

After successfully signing in through login.gov-eFAP, you will be taken to the **My eFAP** page. This is the main “landing page” for eFAP registered users, and consists of three (3) tabs: **My eFAP**, **History of My Filings** and **My Service History**.

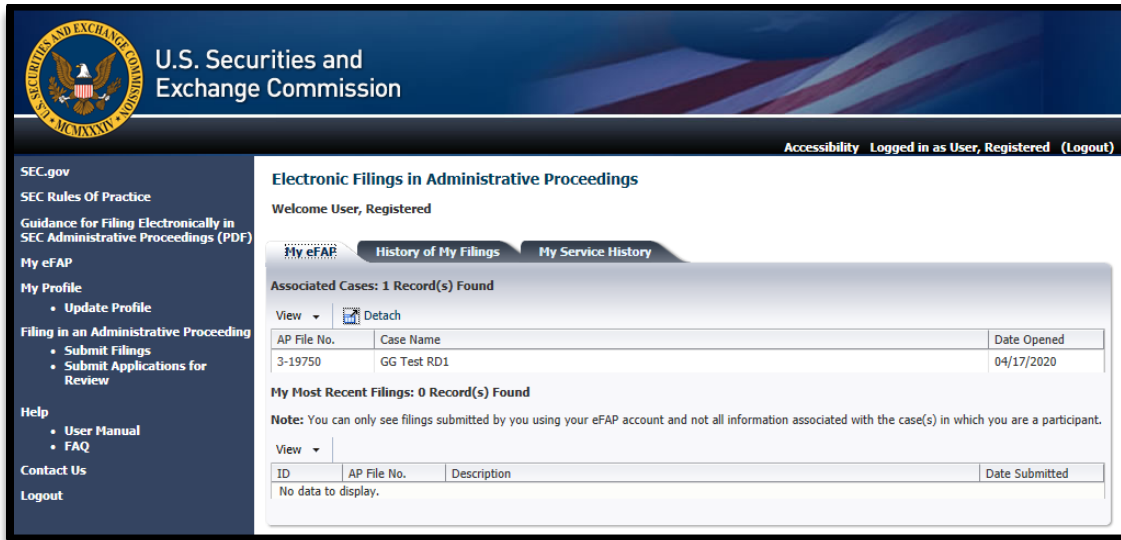


Figure 17: My eFAP page

- a) The **My eFAP** tab contains two tables:
  - i. **Associated Cases** table – shows Administrative Proceedings (AP) cases that you are affiliated with. If you are not a participant in any AP cases, this table will not appear.

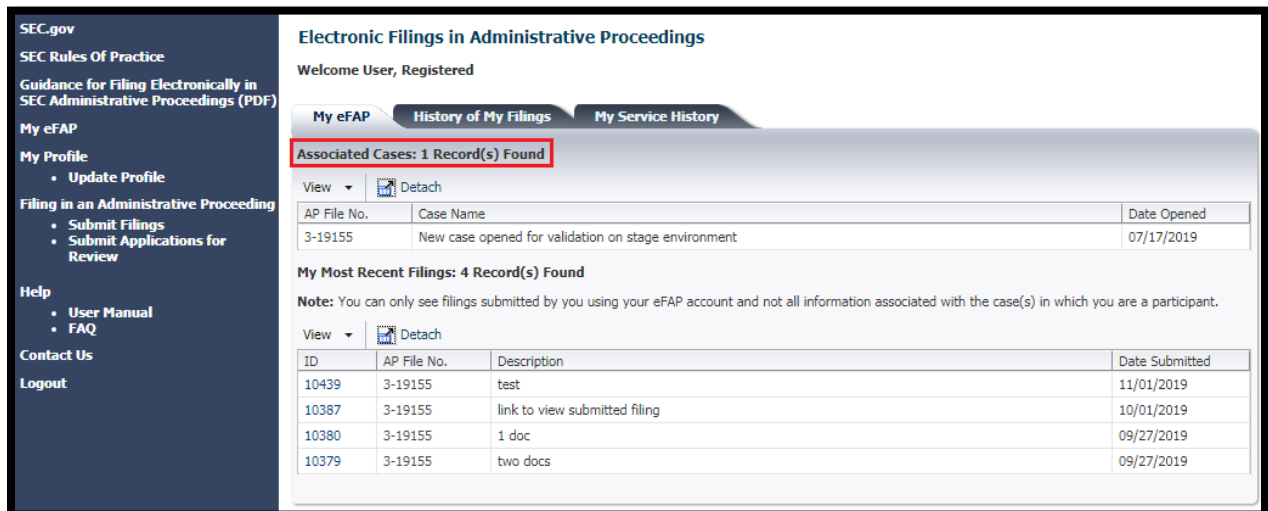


Figure 18: My eFAP page – Associated Cases table

- ii. **My Most Recent Filings** table – shows the list of filings that you have most recently submitted to eFAP.

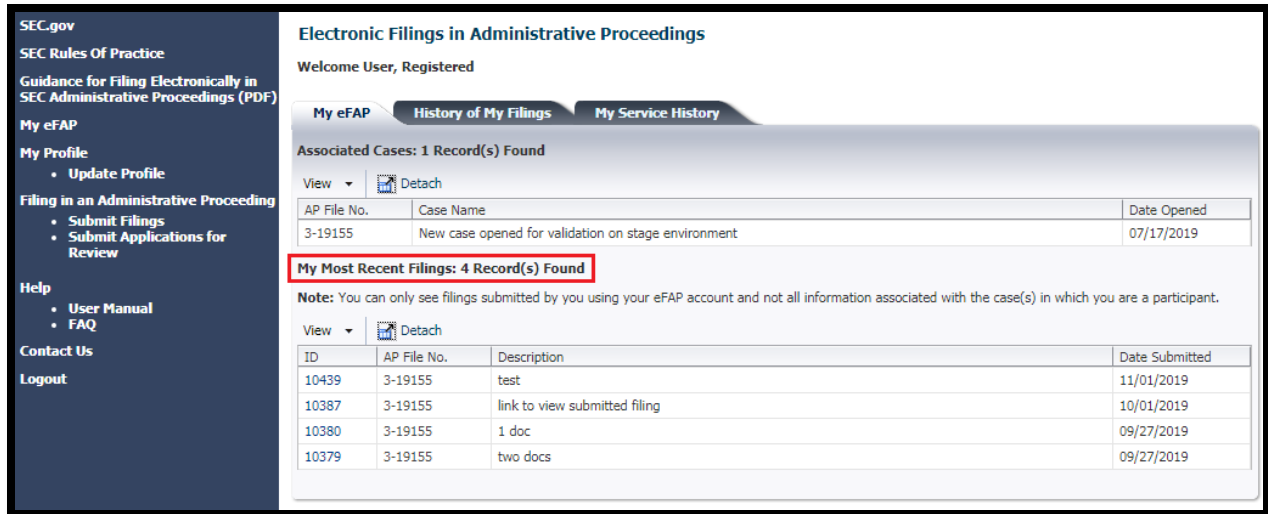


Figure 19: My eFAP page – My Most Recent Filings table

b) **History of My Filings** tab – the complete history of filings that have been submitted by you.

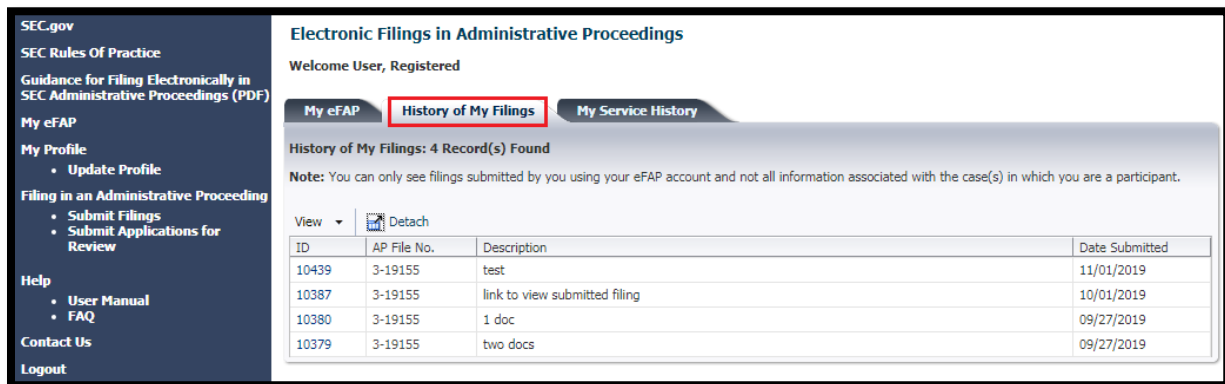


Figure 20: My eFAP page – History of My Filings tab

c) **My Service History** tab – the complete list of electronic services received by you.

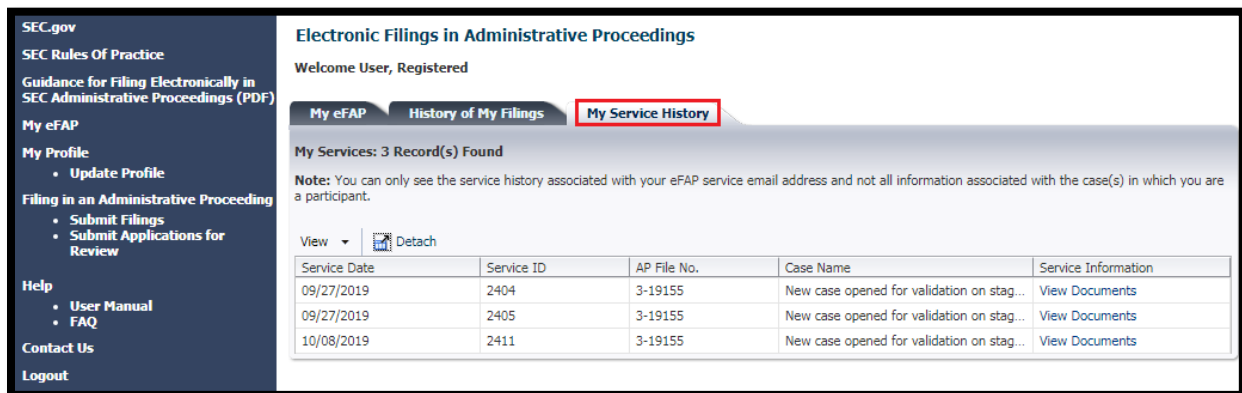


Figure 21: My eFAP page – My Service History tab

*NOTE: Refer to Section 9 for additional information on the **My Service History** tab and **Service** functionality.*

*NOTE: For questions regarding the **Detach** button, refer to Section 10.*

## 5 Left Navigation Toolbar

The left navigation toolbar provides the ability to quickly and easily navigate through the eFAP system. It contains hyperlinks and functions, which are explored in greater detail throughout this document. At a minimum, the navigation toolbar will always display a hyperlink for the **My eFAP** page and a hyperlink to **Logout** of the application. Except when updating your profile, the toolbar will include a hyperlink back to the **SEC.gov** website and a **Contact Us** hyperlink. Clicking the later provides additional information on how to contact the SEC’s technical support resources.

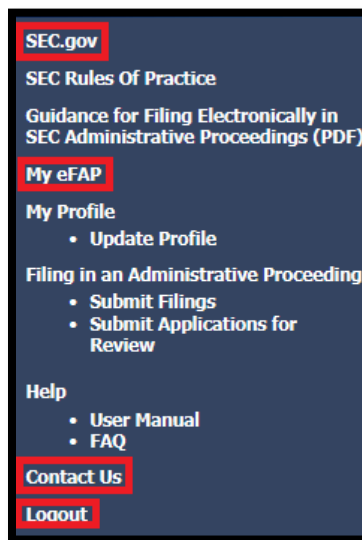


Figure 22: Left Navigation Toolbar – key links

## 6 Update User Profile

If the personal information you submitted during the registration process has changed, it can be updated in the eFAP system. This section details how to change personal information associated with your user profile and account.

- 1) After signing into eFAP, click the **Update Profile** hyperlink in the left navigation toolbar under **My Profile**.

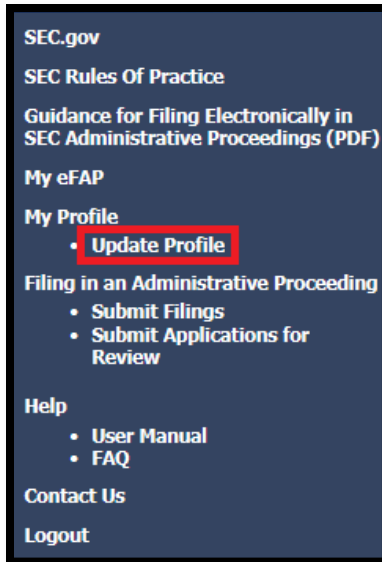


Figure 23: Update Profile link

- 2) The **Update User Profile** page with an associated left navigation toolbar will appear.

The screenshot shows the 'Update User Profile' page. On the left is a dark blue navigation toolbar with 'My eFAP', 'My Profile' (with 'Update My Information' selected), and 'Logout'. The main content area has a title 'Update User Profile' and a notice about Rule 102(d). Below the notice is a 'User Information' section with a 'Required field' asterisk. The form contains the following fields: Title, Prefix, First Name (with 'Registered' entered), MI, Last Name (with 'User' entered), Suffix, Organization, Phone Number (with '202-555-1234' entered), and E-mail (with 'registeredReader555@gmail.com' entered and greyed out). 'Apply' and 'Reset' buttons are at the bottom.

Figure 24: Update User Profile page and associated left navigation toolbar

## 6.1 Update User Information

- 1) On the **Update User Profile** page, user information associated with your eFAP account is shown. First Name, Last Name, and Phone Number, marked with a red asterisk (\*), are required fields and therefore, cannot be blank.

*NOTE: The email address, used as the username for the account, is greyed out and cannot be changed.*

- 2) After you update any user information field, the **Apply** and **Reset** buttons will be enabled. Click the **Apply** button to save your changes.

*NOTE: To undo all changes, press the **Reset** button.*



The screenshot shows a form titled "User Information" with a red asterisk indicating required fields. The fields and their values are: Title (empty), Prefix (empty), \* First Name (Registered), MI (empty), \* Last Name (User), Suffix (II), Organization (empty), \* Phone Number (202-555-1234), and E-mail (registereduser555@gmail.com). At the bottom right, there are two buttons: "Apply" and "Reset". The "Apply" button is highlighted with a red rectangular box.

Figure 25: Update User Profile page – Apply button to save changes

- 3) After clicking the **Apply** button, a confirmation pop-up message will appear at the top of the page confirming that your changes were saved. Click the **OK** button.

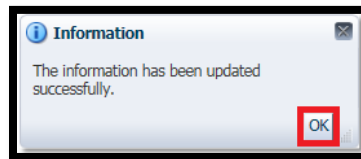


Figure 26: Update User Profile page – Information successfully updated pop-up

## 7 Forgot Password

If you forget your password, you can reference the following login.gov site for Forgot My Password functionality (<https://www.login.gov/help/signing-in/forgot-my-password/>).

## 8 Filing in an Administrative Proceeding

The eFAP application provides users the ability to submit filings electronically instead of sending hard copies to SEC Headquarters. This section details the steps for submitting electronic filings and applications for review to the eFAP system.

### 8.1 Submit Filings

If you know the associated AP file number, against which you want to submit a filing, the filing can be uploaded via the **Submit Filings** function.



- 1) From the left navigation toolbar, under the **Filing in an Administrative Proceeding** section, click on the **Submit Filings** hyperlink.



Figure 27: Submit Filings link

- 2) The **NOTICE OF REDACTION RESPONSIBILITY** and **NOTICE OF RESPONSIBILITY TO SERVE FILINGS** page will appear. Confirm that you understand the rules regarding the redaction of Sensitive Personal Information (SPI) from documents and the serving of filings by clicking both checkboxes.

*NOTE: The **OK** button will not be enabled until you click both checkboxes.*

*NOTE: It is very important you verify that any SPI has been redacted from the documents intended to be uploaded.*

 A screenshot of a web page titled 'NOTICE OF REDACTION RESPONSIBILITY' and 'NOTICE OF RESPONSIBILITY TO SERVE FILINGS'. The page contains two sections of text, each with a checked checkbox. The first section is titled 'NOTICE OF REDACTION RESPONSIBILITY' and includes a URL: <http://www.sec.gov/efapdocs/spi-cert.html>. The second section is titled 'NOTICE OF RESPONSIBILITY TO SERVE FILINGS'. At the bottom left, there is an 'OK' button that is highlighted with a red border, indicating it is enabled.

Figure 28: Notices of Responsibility with checkboxes clicked and OK button enabled

- 3) After the **OK** button is clicked, the **Submit Filings** page will appear.
- 4) Enter data into the following required fields:
  - a) **Administrative Proceeding File Number**
  - b) **On Behalf of** (who the filing is being uploaded on behalf of)

c) **Filing Description** (short description of what the filing is)

*NOTE: Instructions for completing these fields and all other actions on this page can be found on the right side of the page under the heading Instructions. Required fields are marked with a red asterisk (\*).*

**Submit Filings** (\*) Required Field

**Notice:**  
This system accepts only files in PDF format (.pdf extension). The total file size of uploaded documents is limited. Please see [Instructions for Filing Electronically in SEC Administrative Proceedings \(PDF\)](#) for details.

**\* Administrative Proceeding File Number (3-####)**  
3-

**\* On Behalf of**

**\* Filing Description**

**Instructions:**

- 1) Enter the Administrative Proceeding File Number (3-####) of the matter in which you are submitting documents.
- 2) In the "On Behalf of" field, enter the name of each party for whom the filing is being made.
- 3) In the "Filing Description" field, enter a brief description of document(s) being uploaded (e.g. Motion for [Name of Motion], Brief in Support and Attachments).
- 4) Use the "Upload Files" button and click "Choose Files" in the pop-up box to select files from your local drive. Click "OK" once your files have been selected.  
Note: Attachments to filings and hearing exhibits must be uploaded as separate files.
- 5) Once selected, files will display at the bottom of the page. Verify that the file name format is in accordance with SEC Instructions for Filing Electronically in SEC Administrative Proceedings (link above).
- 6) For each file:
  - a. Select the "Title" of the document from the drop-down list. If the applicable "Title" is not in the list, choose "Other" and enter the title.
  - b. Select the "Document Type" from the drop-down list.
  - c. Check the "Under Seal" box, if applicable.
- 7) Verify that your selections are correct. To remove a file, click on the "X" under the "Remove" column.
- 8) Once all information is complete, click the "Submit" button. You will be asked to certify that your documents comply with the Rules concerning sensitive personal information before you can complete the transmission.

File size entered so far: 0.0 MB  
The user can still upload up to: 2048.0 MB

**Figure 29: Submit Filings page – required fields and Instructions**

- 5) The next step would be to upload documents, which must be in PDF format, since the system only accepts files in this format. There are two methods to upload documents for the filing:
  - a) Method 1: Click the **Upload Files** (or **Browse** for Internet Explorer or **Choose Files** in Chrome) button, which opens a navigation window where you can browse for the documents located on your hard drive.

**Submit Filings** (\*) Required Field

**Notice:**  
This system accepts only files in PDF format (.pdf extension). The total file size of uploaded documents is limited. Please see [Instructions for Filing Electronically in SEC Administrative Proceedings \(PDF\)](#) for details.

\* Administrative Proceeding File Number (3-####)  
3-

\* On Behalf of

\* Filing Description

File size entered so far: 0.0 MB  
The user can still upload up to: 2048.0 MB

**Upload Files** Submit Cancel

**Instructions:**

- 1) Enter the Administrative Proceeding File Number (3-####) of the matter in which you are submitting documents.
- 2) In the "On Behalf of" field, enter the name of each party for whom the filing is being made.
- 3) In the "Filing Description" field, enter a brief description of document(s) being uploaded (e.g. Motion for [Name of Motion], Brief in Support and Attachments).
- 4) Use the "Upload Files" button and click "Choose Files" in the pop-up box to select files from your local drive. Click "OK" once your files have been selected.  
Note: Attachments to filings and hearing exhibits must be uploaded as separate files.
- 5) Once selected, files will display at the bottom of the page. Verify that the file name format is in accordance with SEC Instructions for Filing Electronically in SEC Administrative Proceedings (link above).
- 6) For each file:
  - a. Select the "Title" of the document from the drop-down list. If the applicable "Title" is not in the list, choose "Other" and enter the title.
  - b. Select the "Document Type" from the drop-down list.
  - c. Check the "Under Seal" box, if applicable.
- 7) Verify that your selections are correct. To remove a file, click on the "X" under the "Remove" column.
- 8) Once all information is complete, click the "Submit" button. You will be asked to certify that your documents comply with the Rules concerning sensitive personal information before you can complete the transmission.

**Figure 30: Submit Filings page – Upload Files button**

- b) Method 2: Drag and drop the files from your hard drive into the drop box which will turn blue once the file or set of files is dragged over it. Release the file(s) into the drop box.

**Upload Files**

\* Select one or more documents to file.  
You may drag and drop the files into the box below.

Choose Files No file chosen

OK Cancel

**Figure 31: Upload Filings page – drag and drop box**

*NOTE: The box will turn blue once you have dragged the document(s) over the drop box as shown in Figure 32.*

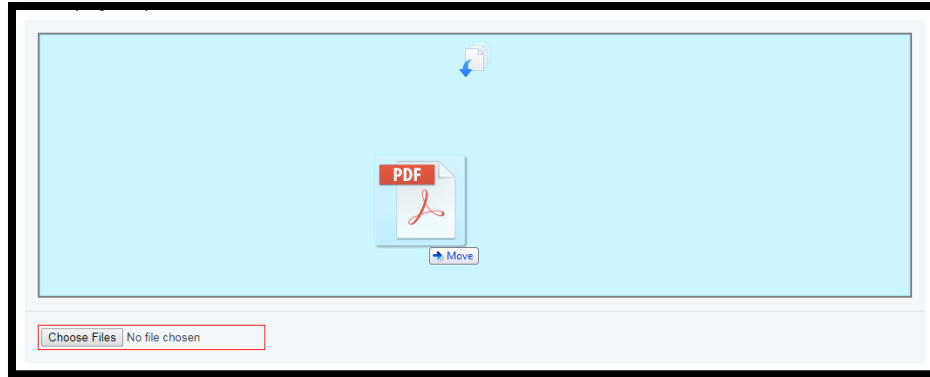


Figure 32: Upload Filings page – drop box turns blue when documents dragged over it

- 6) With either method, information about the uploaded document(s) will then appear in a new table near the bottom of the page after clicking **OK**.

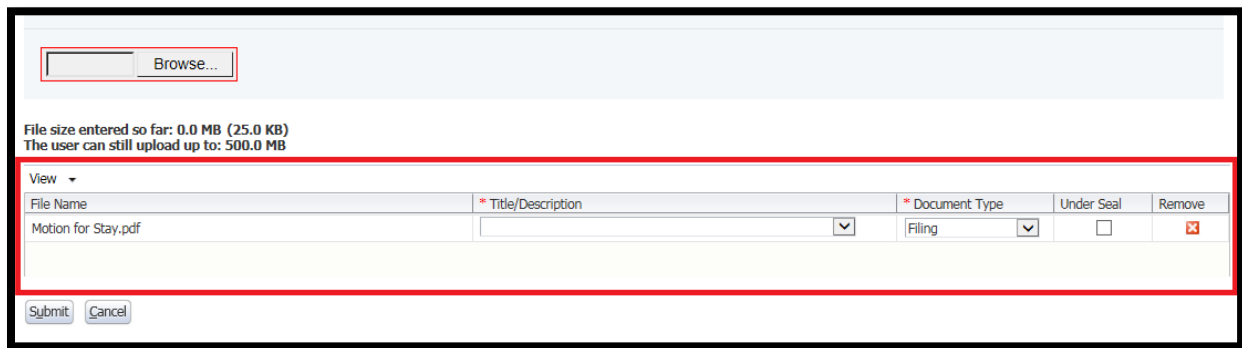


Figure 33: Submit Filings page – information on uploaded document(s) appear in a new table

- 7) The **File Name** column contains the file name(s) of the document(s) that you uploaded.



Figure 34: Submit Filings page – File Name column

- 8) The second column contains the required field **Title/Description**. For each uploaded and listed document, select an applicable title/description from the **Title/Description** drop-down list. There are almost sixty choices in the list including Other. If you select Other, a text box will appear to allow you to enter your own title/description. If you leave the Other text box blank, eFAP will add into this field the text “Other – “ followed by the file name of the document once you click the **Submit** button.

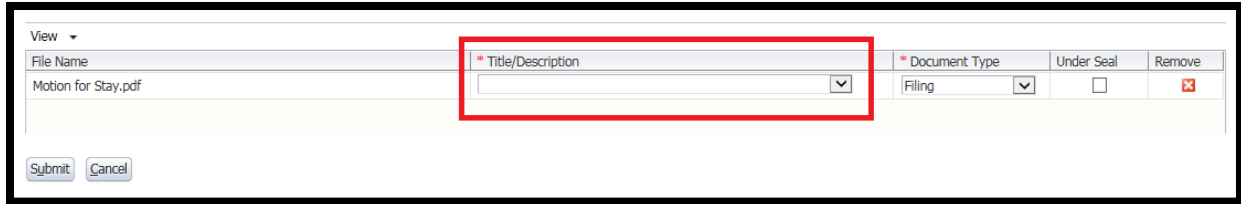


Figure 35: Submit Filings page – Title/Description drop-down list

9) The third column contains the required field **Document Type**. This field has a drop-down list. The default document type is Filing. For each uploaded and listed document, you can keep the default or select another. The options for **Document Type** are:

- Filing
- Attachment
- Hearing Exhibit/Admitted
- Hearing Exhibit/Offered Not Admitted
- Certified Record



Figure 36: Submit Filings page – Document Type drop-down list

10) The fourth column contains an **Under Seal** check box for each uploaded and listed document. For each document, select the check box under the **Under Seal** column if the document is to be filed under seal. If the document is not to be filed under seal, leave the check box unchecked.

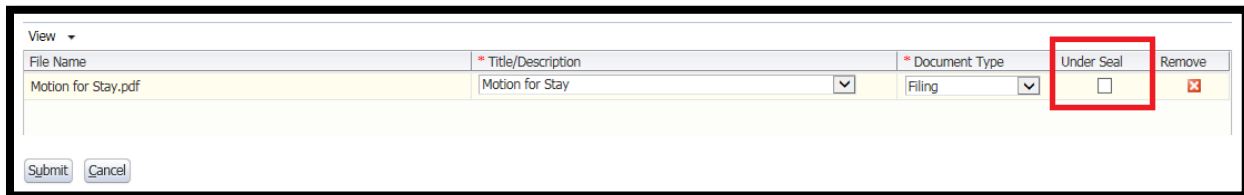


Figure 37: Submit Filings page – Under Seal check box

11) The final column, named **Remove**, contains a red box with an “X” for each uploaded and listed document. To remove a document for any reason, click the corresponding red box under the **Remove** column.

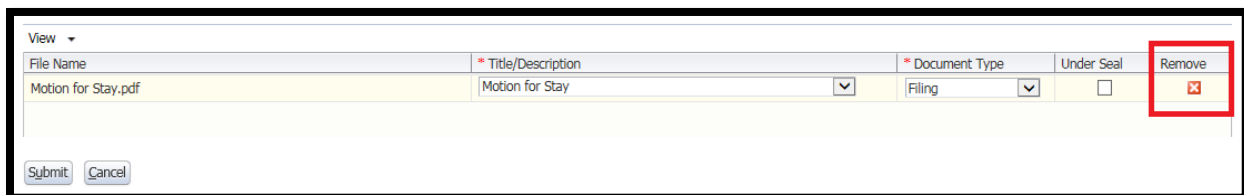


Figure 38: Submit Filings page – Remove document red box

- a) A **Confirm Removal** pop-up window will appear confirming that you want to remove the specified document.
- b) Click the **Yes** button to remove the document from the filing or **No** to cancel the removal.

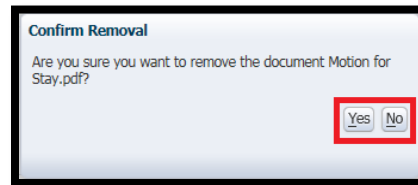


Figure 39: Submit Filings page – Confirm Removal pop-up

- 12) To add additional documents to the same filing, repeat the steps 5 to 10 above.
- 13) Once the filing-related documents have been uploaded and all required fields have been completed, continue the filing submission process by clicking the **Submit** button.



Figure 40: Submit Filings page – Submit button

- 14) A pop-up window requesting that you certify that all SPI has been redacted will appear.

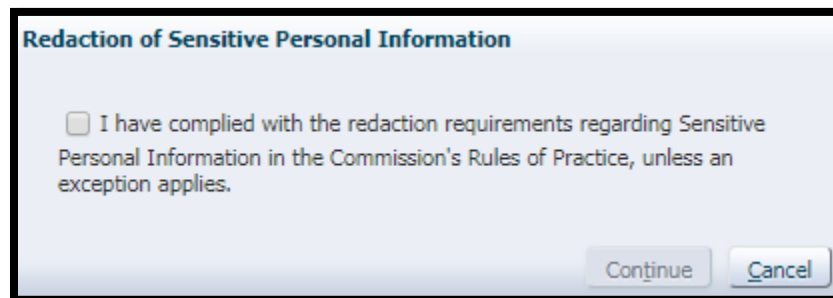


Figure 41: Submit Filings page – Redaction of SPI pop-up

- 15) If you are in compliance with redaction requirements, click the checkbox to add a check mark, which will enable the **Continue** button. Then click the **Continue** button.

*NOTE: After clicking the **Continue** button, the filing will be received and processed by members of the OS Staff.*

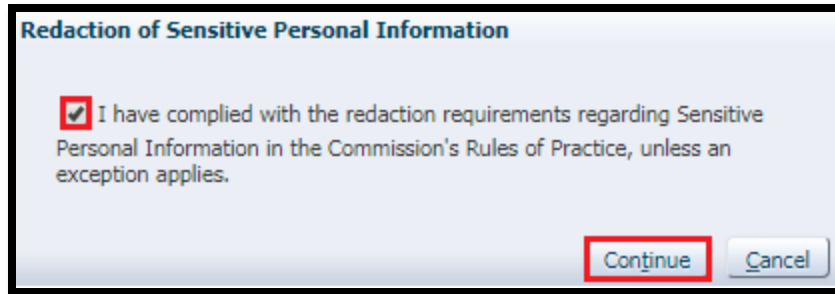


Figure 42: Submit Filings page – Redaction of SPI pop-up with Continue button enabled

16) Upon submission of your filing package, the **Filing Confirmation** page will display.

*NOTE: This page contains the unique filing ID for your submission.*

*NOTE: For a printer-friendly version of the confirmation page, click the **Show Printable Page** button at the top left of the page.*

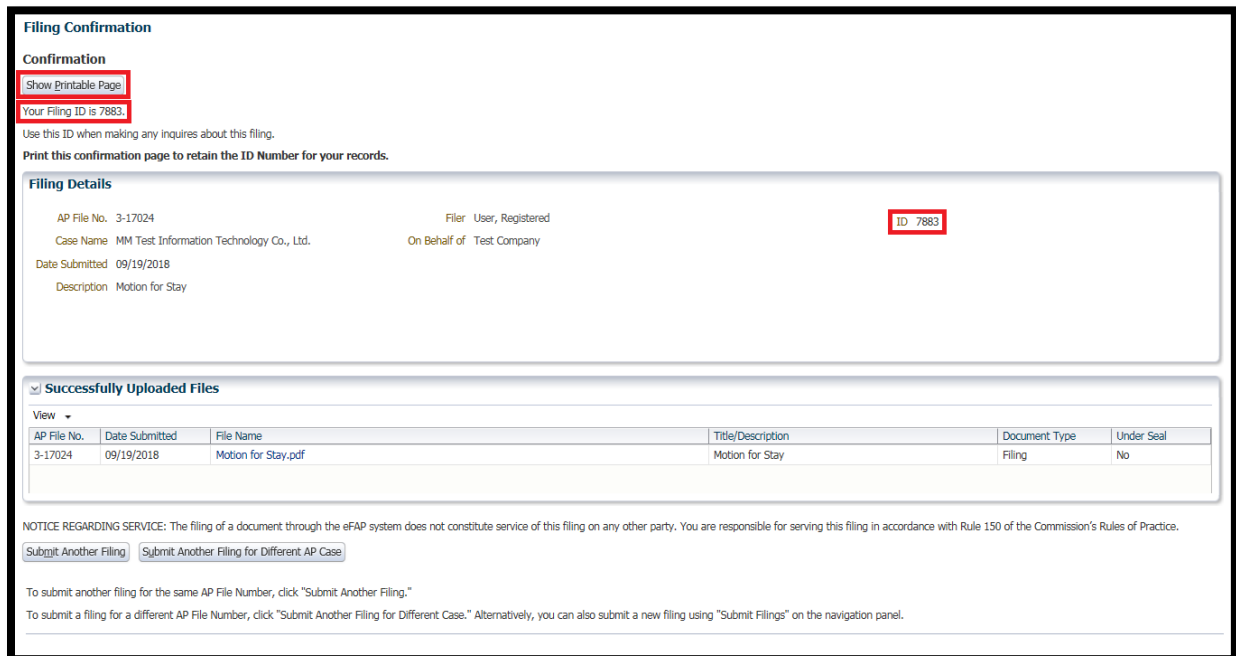


Figure 43: Filing Confirmation page – Filing ID and Show Printable Page button

17) To submit another filing against the same case, click the **Submit Another Filing** button. To submit another filing for a different AP case, click the **Submit Another Filing for Different AP Case** button.

**Filing Confirmation**

**Confirmation**

[Show Printable Page](#)

Your Filing ID is 7883.  
Use this ID when making any inquires about this filing.

Print this confirmation page to retain the ID Number for your records.

**Filing Details**

AP File No.	3-17024	Filer	User, Registered	ID	7883
Case Name	MM Test Information Technology Co., Ltd.	On Behalf of	Test Company		
Date Submitted	09/19/2018				
Description	Motion for Stay				

**Successfully Uploaded Files**

View -

AP File No.	Date Submitted	File Name	Title/Description	Document Type	Under Seal
3-17024	09/19/2018	Motion for Stay.pdf	Motion for Stay	Filing	No

NOTICE REGARDING SERVICE: The filing of a document through the eFAP system does not constitute service of this filing on any other party. You are responsible for serving this filing in accordance with Rule 150 of the Commission's Rules of Practice.

[Submit Another Filing](#) [Submit Another Filing for Different AP Case](#)

To submit another filing for the same AP File Number, click "Submit Another Filing."  
To submit a filing for a different AP File Number, click "Submit Another Filing for Different Case." Alternatively, you can also submit a new filing using "Submit Filings" on the navigation panel.

**Figure 44: Filing Confirmation page – Submit Another Filing buttons**

- 18) After submitting the filing package, a system-generated email from [no-reply@sec.gov](mailto:no-reply@sec.gov) will be sent to the email you registered with.
- 19) Clicking on either the **here** hyperlink or the URL link in the email body shown in Figure 45 will bring you to the **Filing Information as Submitted** page as shown in Figure 46.
- NOTE: If you are not already signed into the eFAP application, the login.gov page will appear after you click the **here** hyperlink or URL link in the email. Sign into eFAP as described in Section 3.*



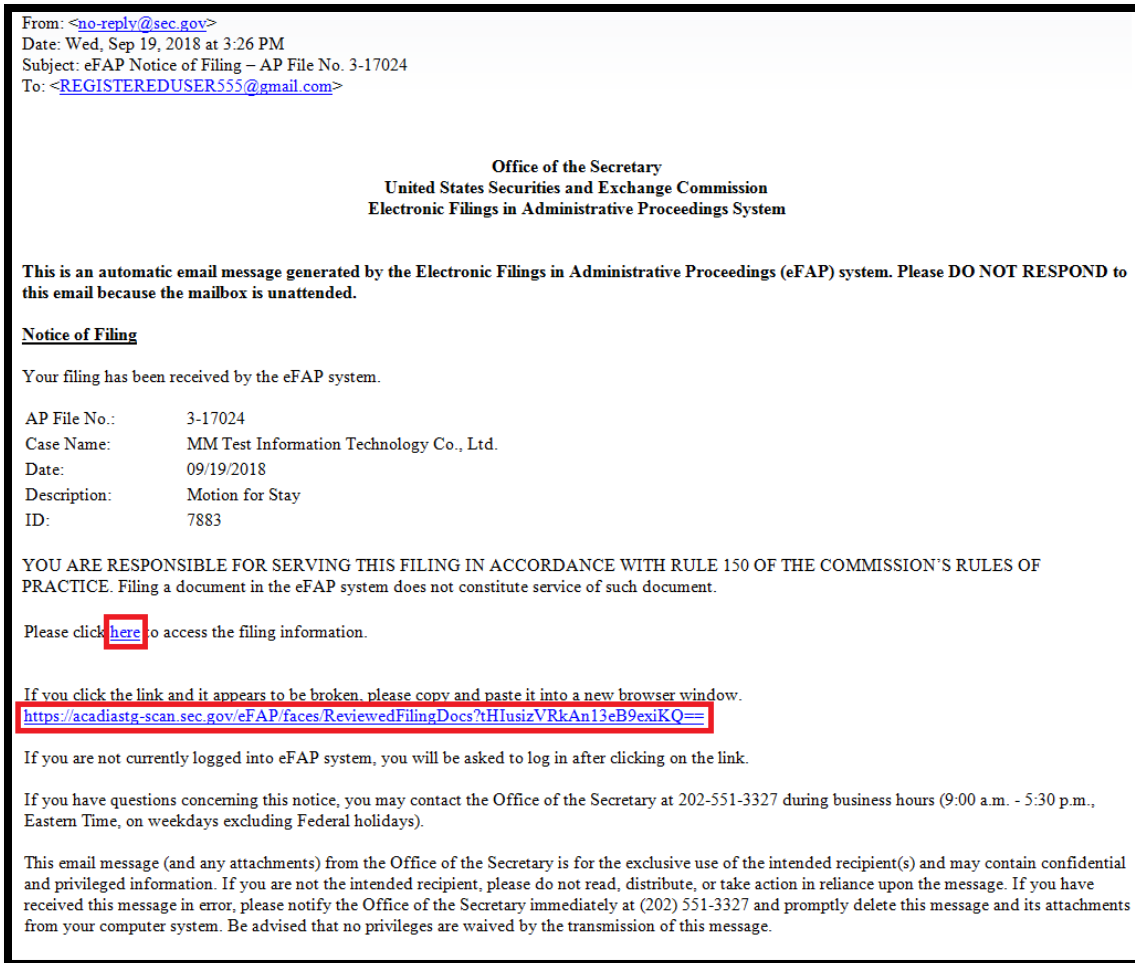


Figure 45: Notice of Filing email – links to access Filing Information page

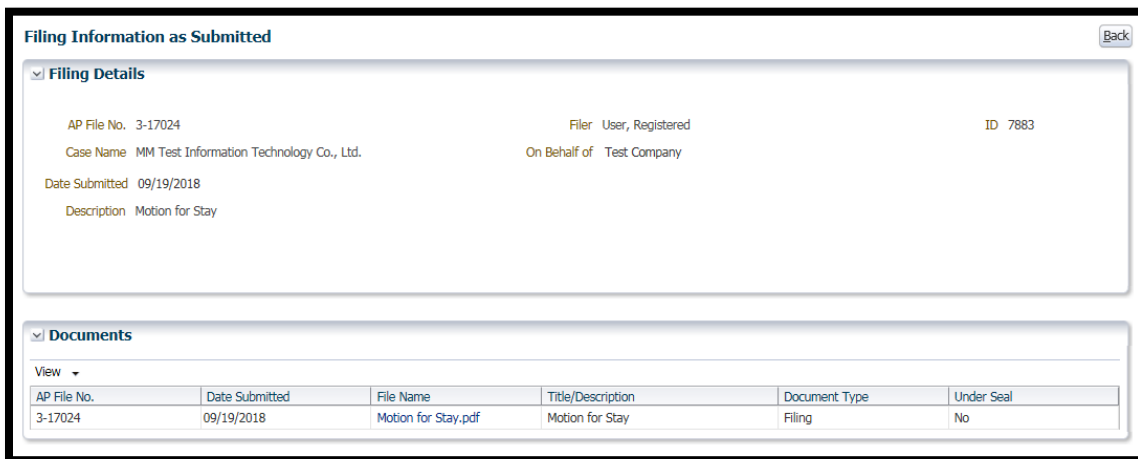


Figure 46: Filing Information as Submitted page

## 8.2 Submit Applications for Review

This section details how to submit applications for review to eFAP. When submitting applications for review, there will not be an associated case number.

- 1) On the left navigation toolbar, under the **Filing in an Administrative Proceeding** section, click the **Submit Applications for Review** hyperlink.

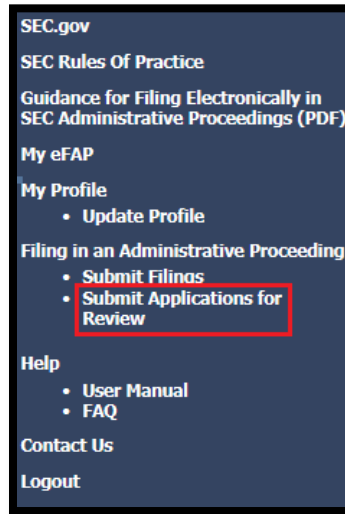


Figure 47: Submit Applications for Review link

- 2) The **NOTICE OF REDACTION RESPONSIBILITY** and **NOTICE OF RESPONSIBILITY TO SERVE FILINGS** page will appear. Confirm that you understand the rules regarding the redaction of SPI from documents and the serving of filings by clicking both check boxes.

*NOTE: The **OK** button will not be enabled until you click both check boxes.*

*NOTE: It is very important you verify that any SPI has been redacted from the documents intended to be uploaded.*

 A screenshot of a web page titled 'NOTICE OF REDACTION RESPONSIBILITY' and 'NOTICE OF RESPONSIBILITY TO SERVE FILINGS'. The page contains two sections of text with checkboxes. The first section, 'NOTICE OF REDACTION RESPONSIBILITY', explains that filers must redact or omit Sensitive Personal Information (SPI) and provides a URL: http://www.sec.gov/efapdocs/spi-cert.html. A checkbox is checked. The second section, 'NOTICE OF RESPONSIBILITY TO SERVE FILINGS', explains that filing a document through the eFAP system does not constitute service on other parties and that the filer is responsible for serving the filing in accordance with Rule 150. A checkbox is checked. At the bottom left, there is an 'OK' button, which is highlighted with a red box, indicating it is enabled.

Figure 48: Notices of Responsibility with checkboxes clicked and OK button enabled

- 3) After the **OK** button is clicked, the **Submit Applications for Review** page appears.
- 4) Enter data into the following required fields:
  - a) **On Behalf of** (who the filing is being uploaded on behalf of)
  - b) **Filing Description** (short description of what the filing is).

*NOTE: Instructions for completing these fields and all other actions on this page can be found on the right side of the page under the heading Instructions. Required fields are marked with a red asterisk (\*).*

Figure 49: Submit Applications for Review page – required fields and Instructions

- 5) The next step is to upload documents in PDF format, since the system only accepts files in this format. There are two methods to upload documents to your filing:
  - a) Method 1: Click the **Upload Files** button, which opens a pop-up where you can browse for the files located on your hard drive and select the file(s) you want to upload.

Figure 50: Submit Applications for Review page – Upload Files button

- b) Method 2: Drag and drop the files from your hard drive into the drop box which will turn blue once the file or set of files is dragged over it. Release the file(s) into the drop box.

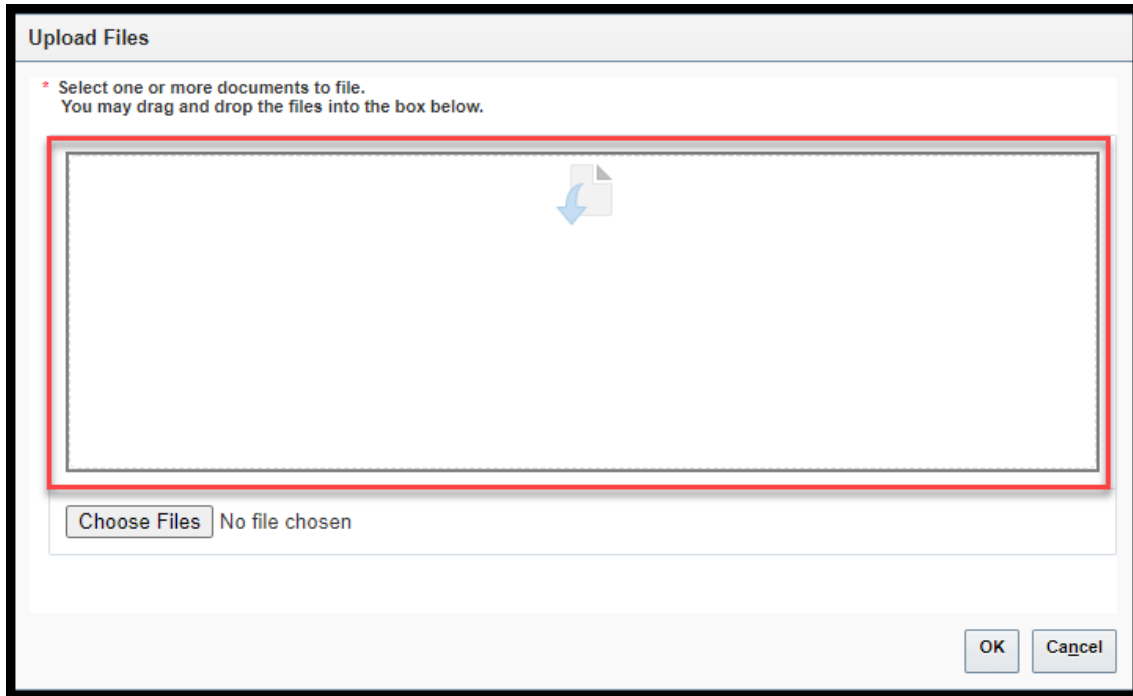


Figure 51: Upload Filings page – drag and drop box

*NOTE: The box will turn blue once you have dragged the document(s) over the drop box as shown below.*

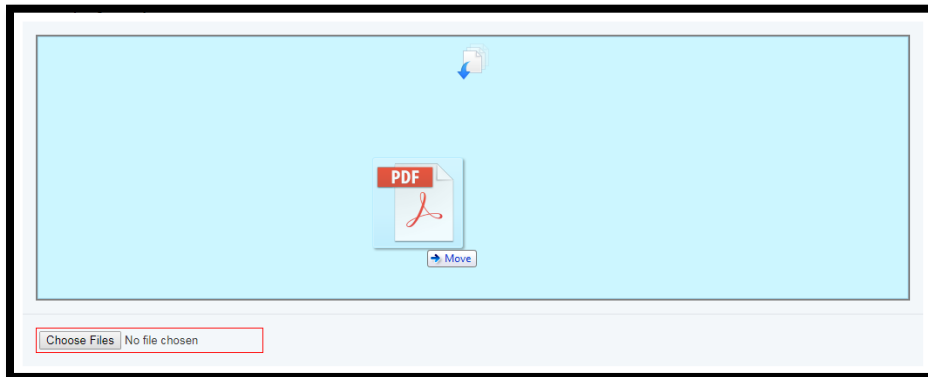


Figure 52: Upload Filings page – drop box turns blue when documents dragged over it

- 6) With either method, information about the uploaded document(s) will then appear near the bottom of the page after clicking **OK**.

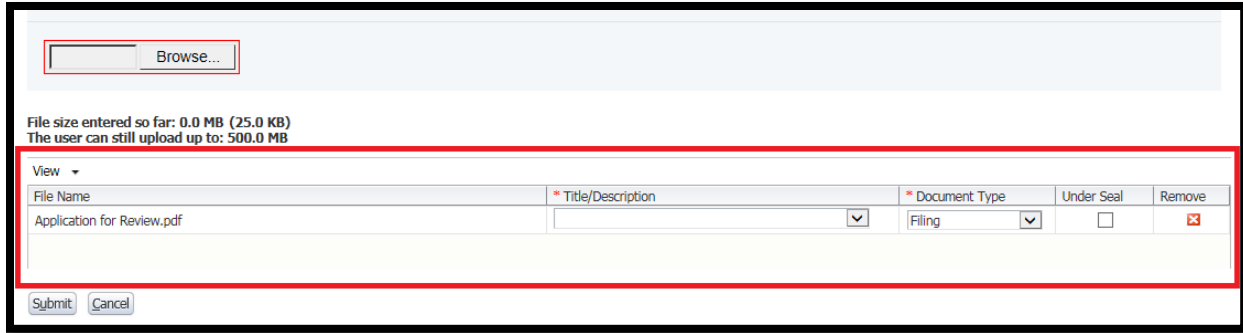


Figure 53: Submit Applications for Review page – information on uploaded document(s) appears in new table

7) The **File Name** column contains the file name of the document(s) that you uploaded.

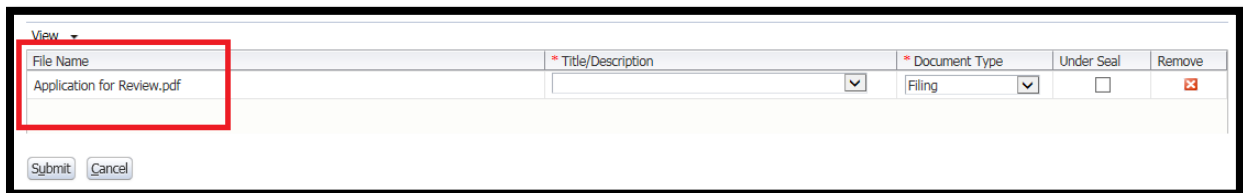


Figure 54: Submit Applications for Review page – File Name column

8) The second column contains the required field **Title/Description**. For each uploaded and listed document, select an applicable title/description from the **Title/Description** drop-down list. The options for **Title/Description** are: Application for Review, Application for an Order Setting Aside Rule Change, and Other. If you select Other, a text box will appear to allow you to enter your own title/description. If you leave the Other text box blank, eFAP will add into this field the text “Other – ” followed by the file name of the document once you click the **Submit** button.

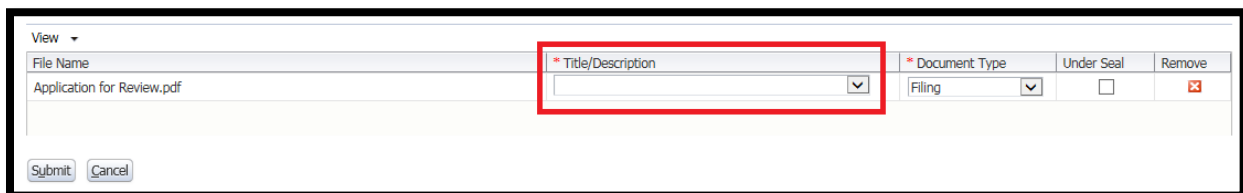


Figure 55: Submit Applications for Review page – Title/Description drop-down list

9) The third column contains the required field **Document Type**. This field has a drop-down list. The default document type is Filing. For each uploaded and listed document, you can keep the default or select another. The options for **Document Type** are:

- Filing
- Attachment
- Hearing Exhibit/Admitted
- Hearing Exhibit/Offered Not Admitted
- Certified Record

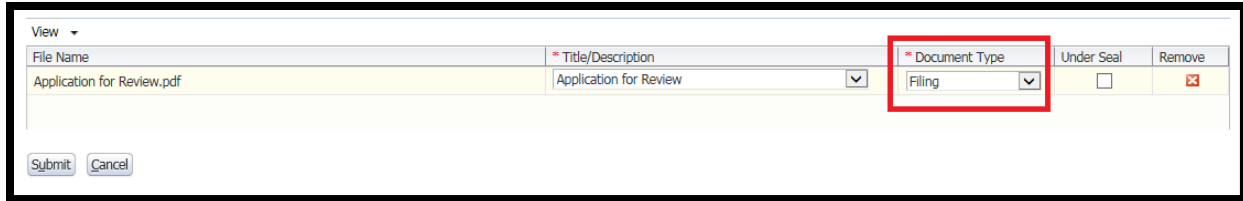


Figure 56: Submit Applications for Review page – Document Type drop-down list

10) The fourth column contains an **Under Seal** check box for each uploaded and listed document. For each document, select the check box under the **Under Seal** column if the document is to be filed under seal. If the document is not to be filed under seal, leave its check box unchecked.

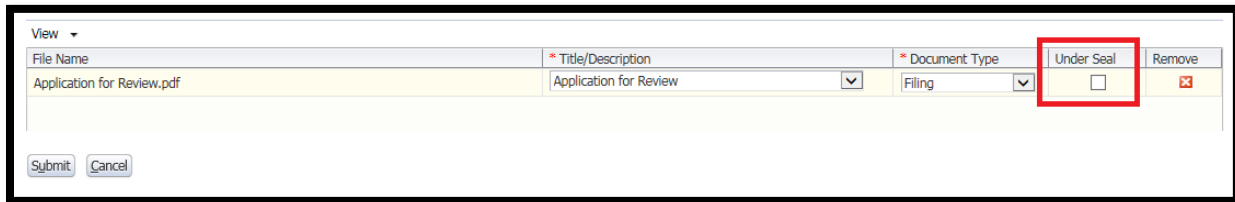


Figure 57: Submit Applications for Review page – Under Seal check box

11) The final column, named **Remove**, contains a red box with an “X” for each uploaded and listed document. To remove a document for any reason, click the corresponding red box under the **Remove** column.

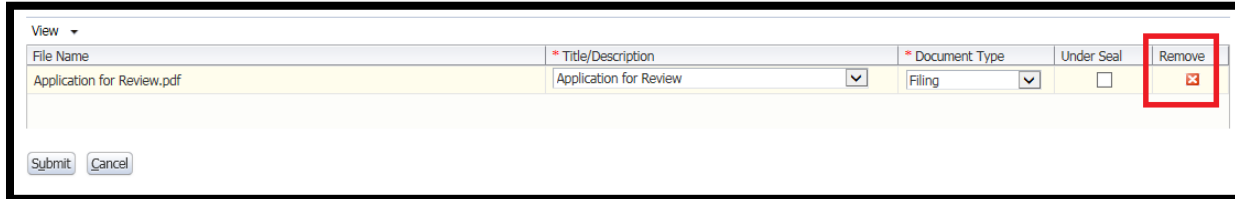


Figure 58: Submit Applications for Review – Remove document red box

- a) A **Confirm Removal** pop-up window will appear confirming that you want to remove the specified document.
- b) Click the **Yes** button to remove the document from the filing or **No** to cancel the removal.

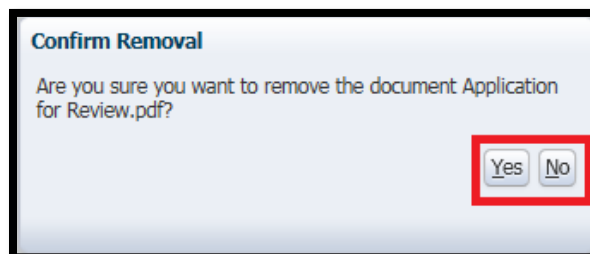


Figure 59: Submit Applications for Review – Document Removal Confirmation

- 12) To upload additional documents to the same filing, repeat steps 5 to 10 above.
- 13) Once the filing-related documents have been uploaded and all required fields have been completed, continue the filing submission process by clicking the **Submit** button.

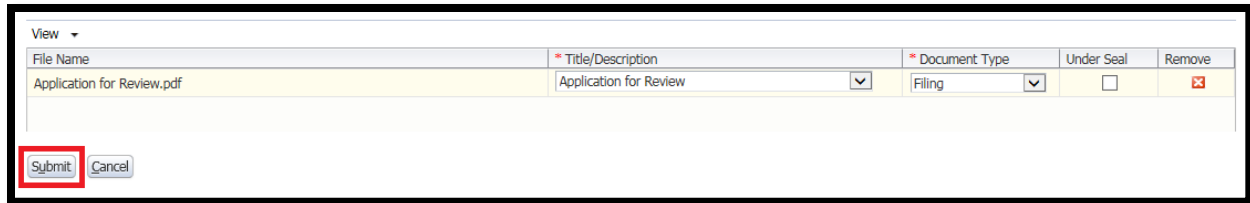


Figure 60: Submit Applications for Review page – Submit button

- 14) A pop-up window requesting that you certify that all SPI has been redacted will appear.

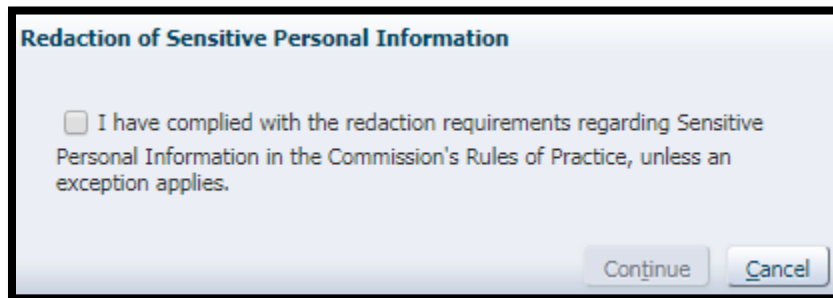


Figure 61: Submit Applications for Review page – Redaction of SPI pop-up

- 15) If you are in compliance with redaction requirements, click the checkbox to add a check mark, which will enable the **Continue** button. Then click the **Continue** button.

*NOTE: After clicking the **Continue** button, the filing will be received and processed by members of the OS Staff.*

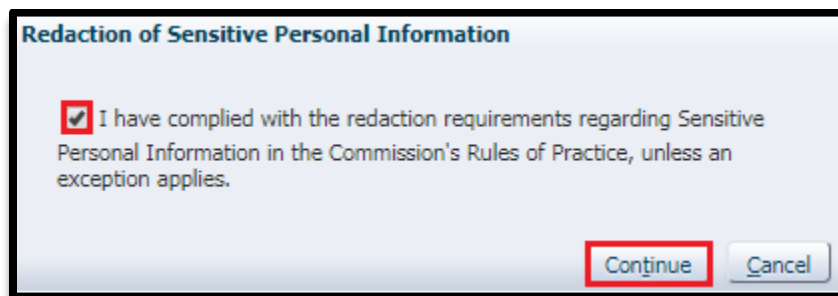


Figure 62: Submit Applications for Review page – Redaction of SPI pop-up with Continue button enabled

- 16) Upon submission of your filing package, the **Filing Confirmation** page will display.

*NOTE: This page contains the unique filing ID for your submission.*

*NOTE: For a printer-friendly version of the confirmation page, click the **Show Printable Page** button at the top left of the page.*

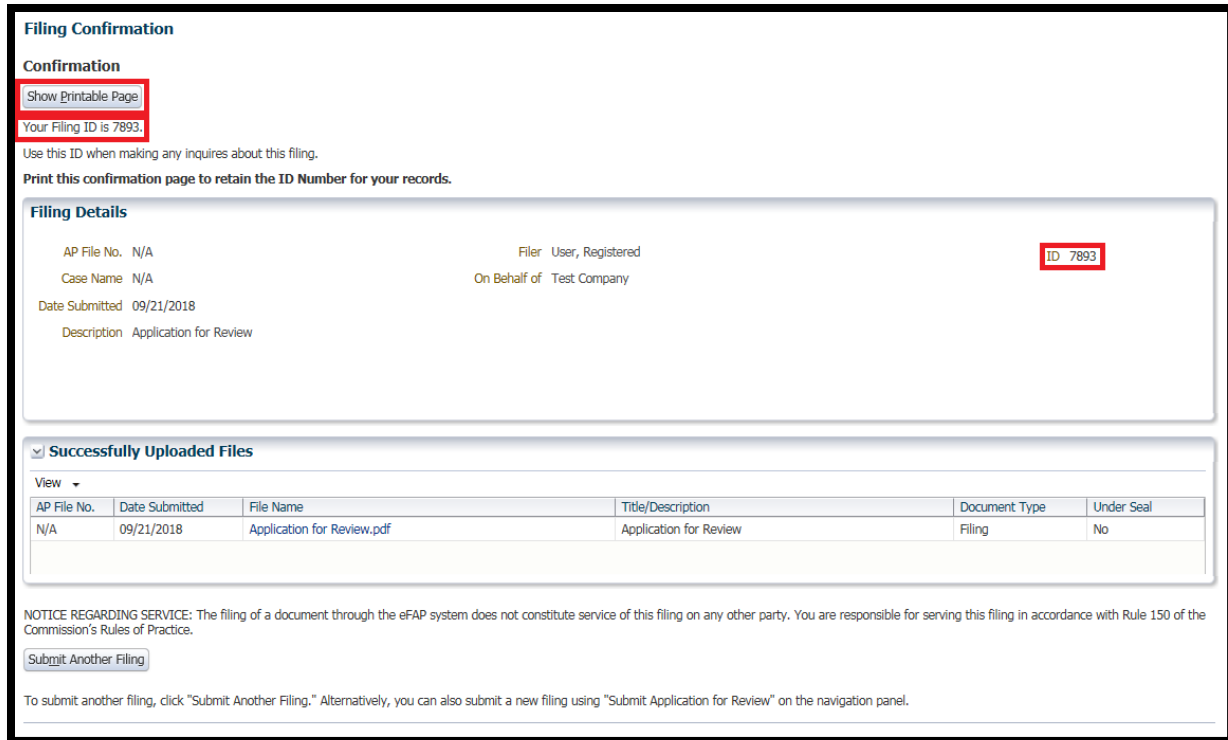


Figure 63: Filing Confirmation page – Filing ID and Show Printable Page button

17) To submit another application for review, click the **Submit Another Filing** button at the bottom of the page.

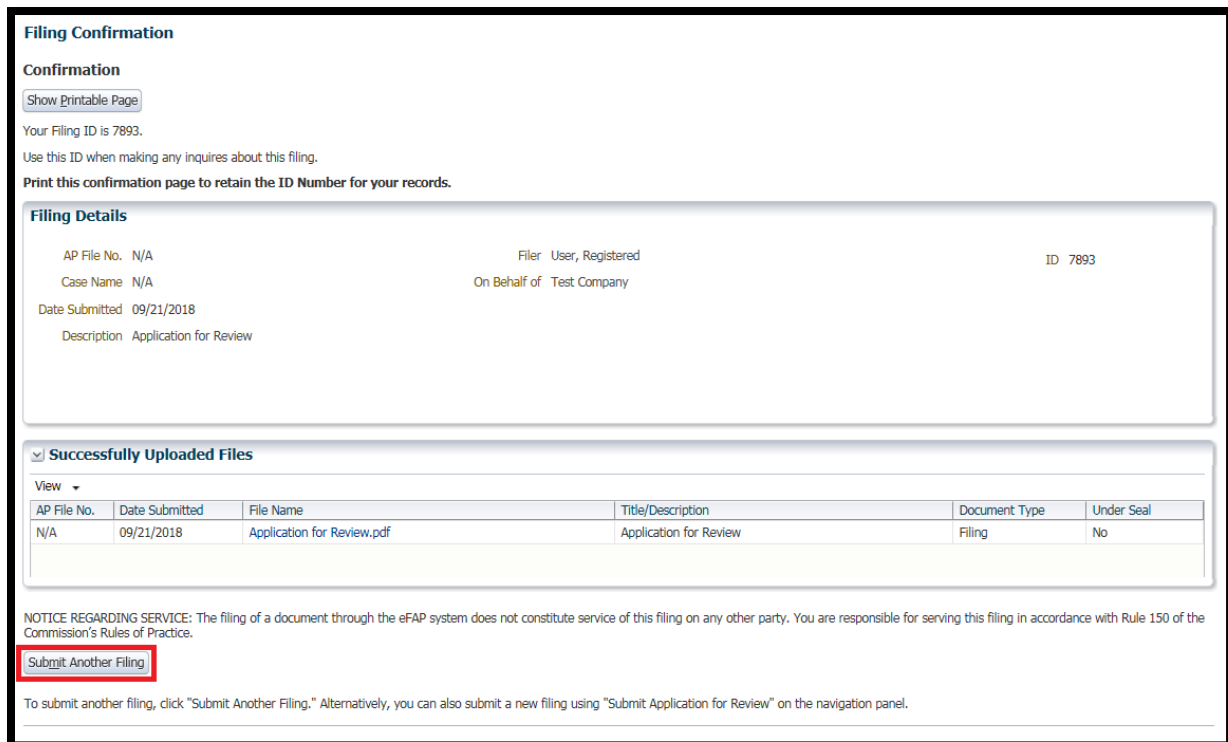


Figure 64: Filing Confirmation page – Submit Another Filing button



- 18) After submitting the filing package, a system-generated email from [no-reply@sec.gov](mailto:no-reply@sec.gov) will be sent to the email, with which you registered.
- 19) Clicking on either the **here** hyperlink or the URL link in the email body shown in Figure 65 will bring you to the **Filing Information as Submitted** page, as shown in Figure 66.
- NOTE: If you are not already signed into the eFAP application, the login.gov page will appear after you click the **here** hyperlink or URL link in the email. Sign into eFAP as described in Section 3.*

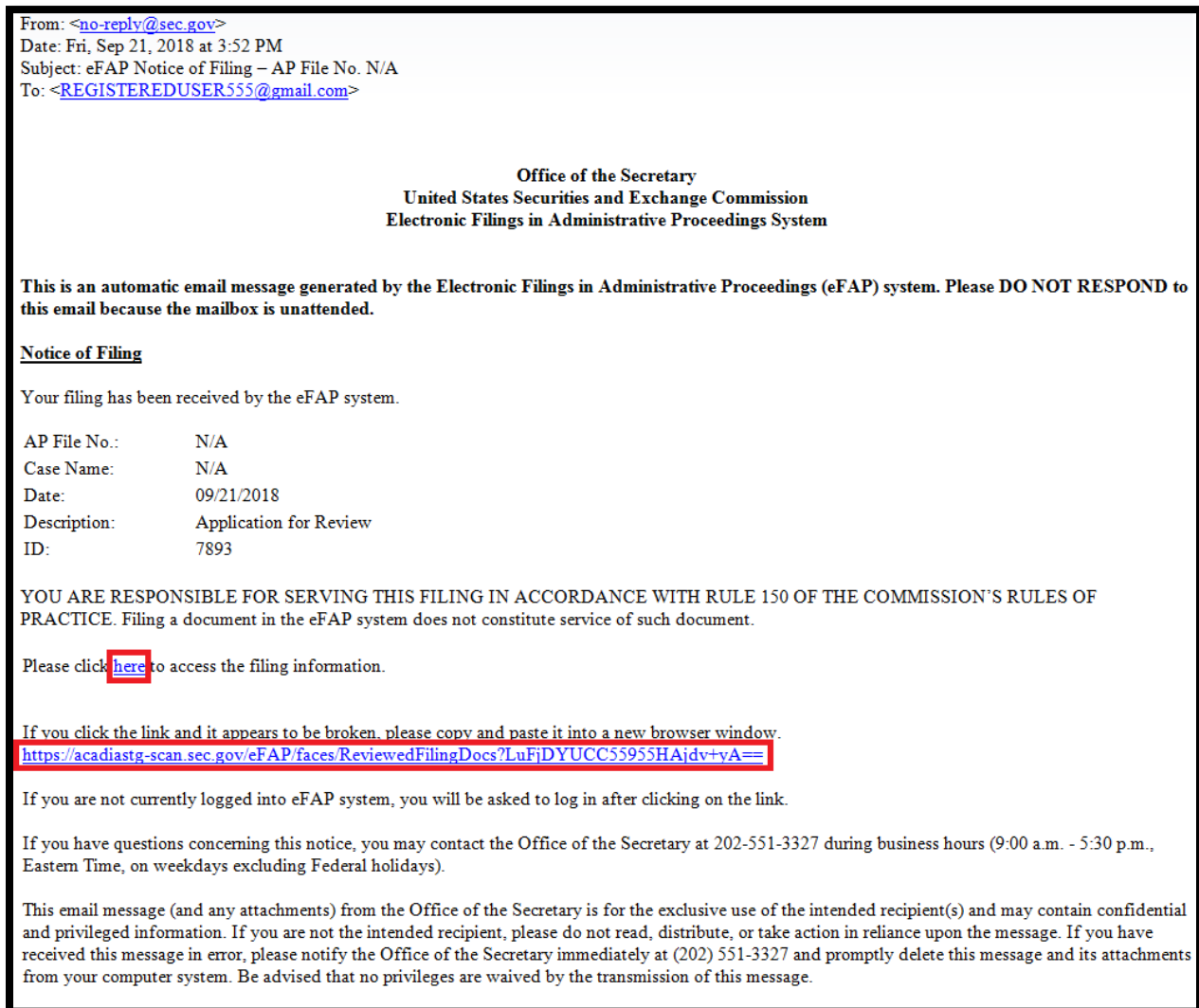


Figure 65: Notice of Filing email – links to access Filing Information as Submitted page

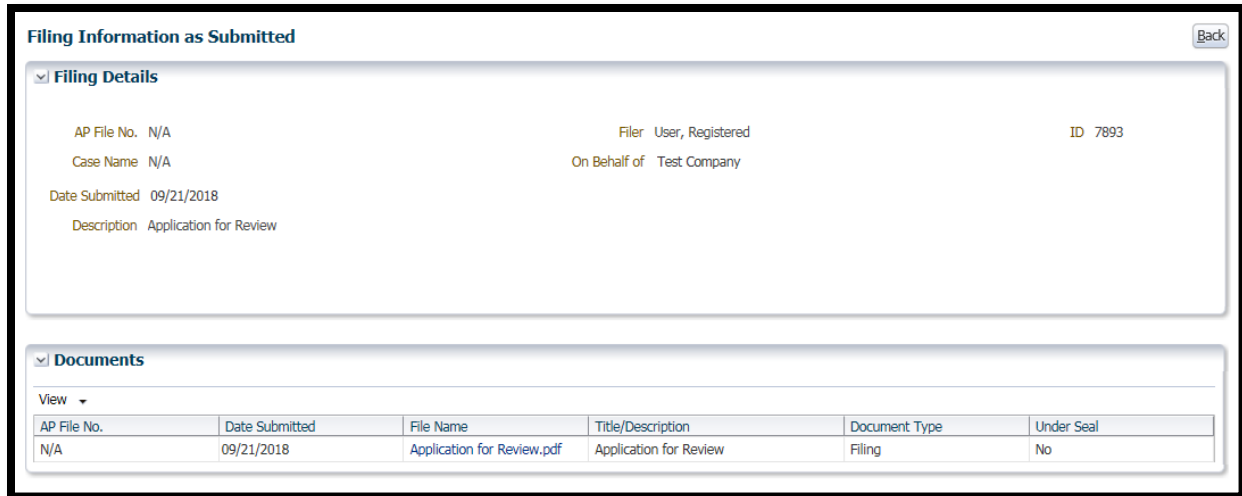


Figure 66: Filing Information as Submitted page

### 8.3 View a Filing or an Application for Review

This section details how to view a filing or an application for review that you submitted within the eFAP system.

- 1) To view any filing or application for review, first click the **My eFAP** link on the left navigation toolbar. Then click the **ID** number of the filing or application for review, which you want to view, in the **My Most Recent Filings** table or the table contained in the **History of My Filings** tab, if your filing or application for review does not appear on the most recent filings table.

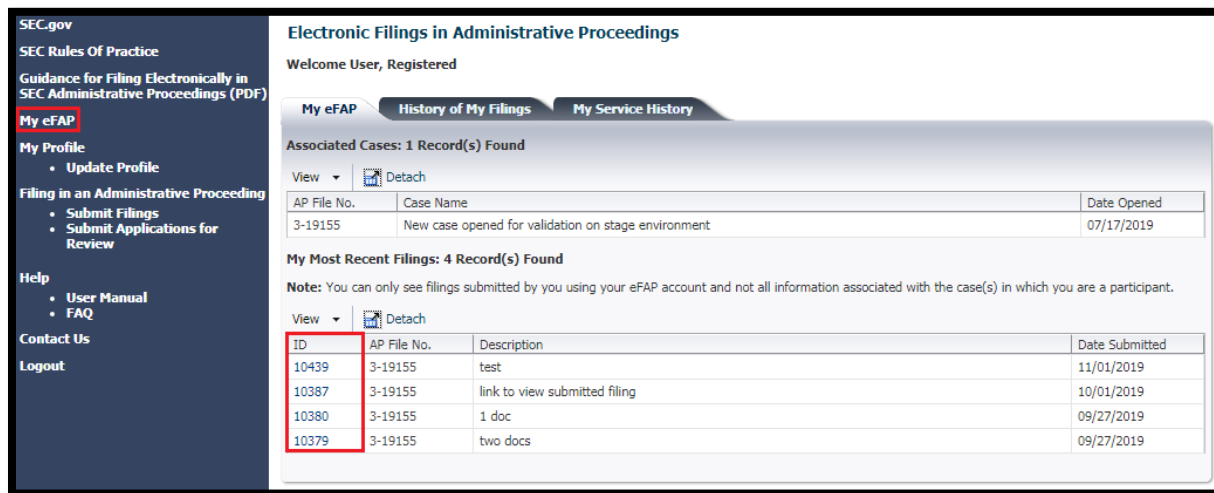


Figure 67: My eFAP page – ID number column with hyperlinked IDs

- 2) The **Filing Information as Submitted** page for the clicked ID will appear. Click the **Back** button to return to the **My eFAP** page.

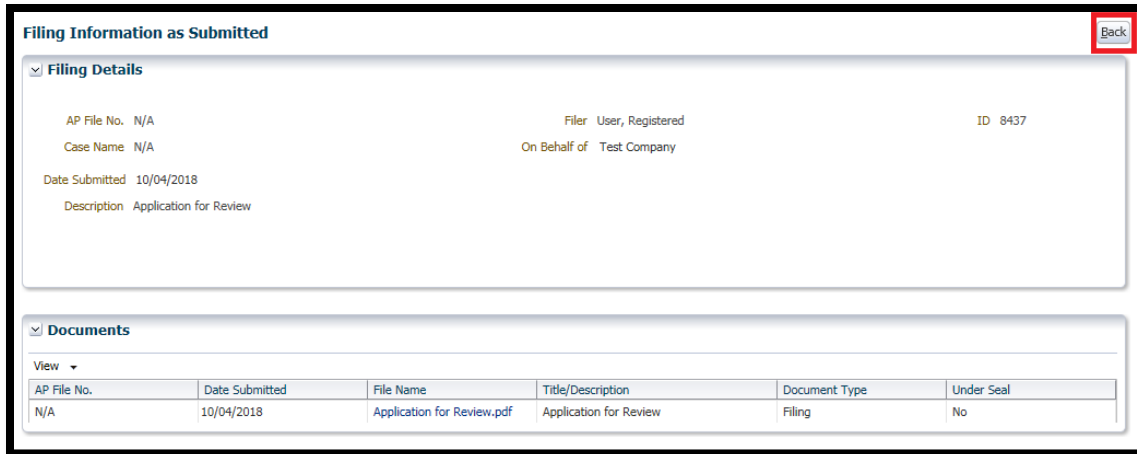


Figure 68: Filing Information as Submitted page – Back button

### 8.4 Deficient Filing

After reviewing a filing that you submitted, OS may decide to reject document(s) within that filing for reasons, which they will provide.

- 1) If OS rejects your filing document(s), you will receive an email with a subject line that includes the phrase “eFAP – Notice of Deficient Filing” from [no-reply@sec.gov](mailto:no-reply@sec.gov).
- 2) Along with the filing information, the email will contain OS comments as to why the filing was rejected.
- 3) Click either the **here** hyperlink or the URL link in the email.

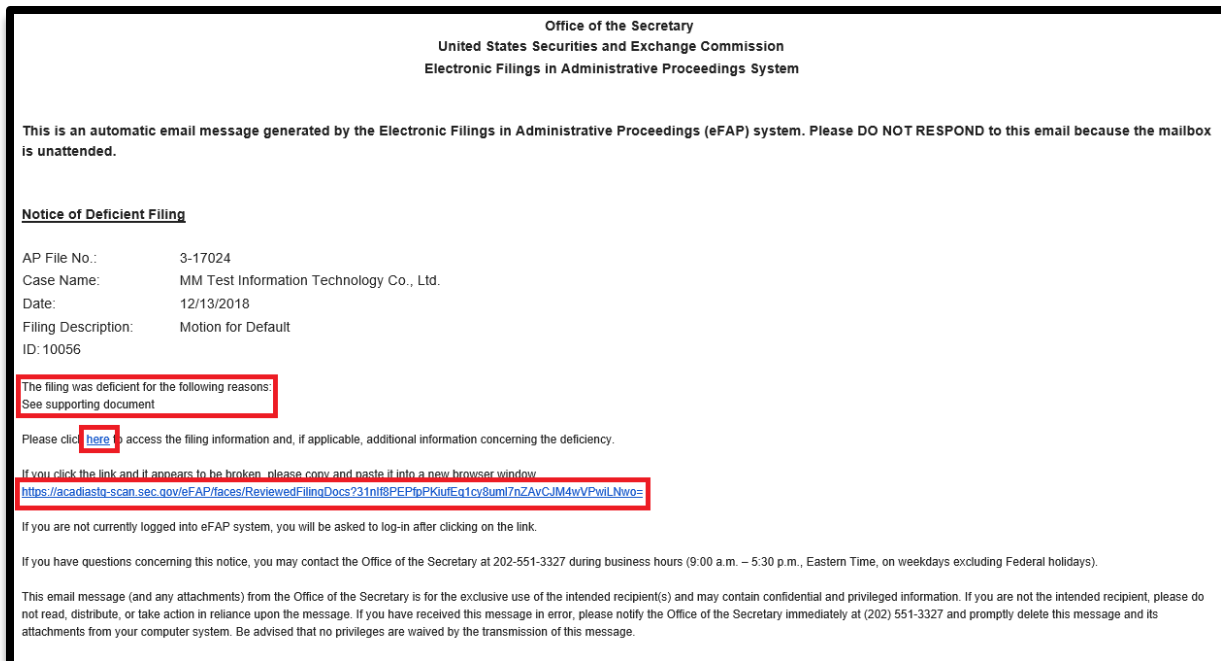


Figure 69: Notice of Deficient Filing email – reasons for deficient filing and links to filing

- 4) After signing in, the **Filing Information: Notice of Deficient Filing** page will appear. The rejection comments will display along with any additional information from OS.

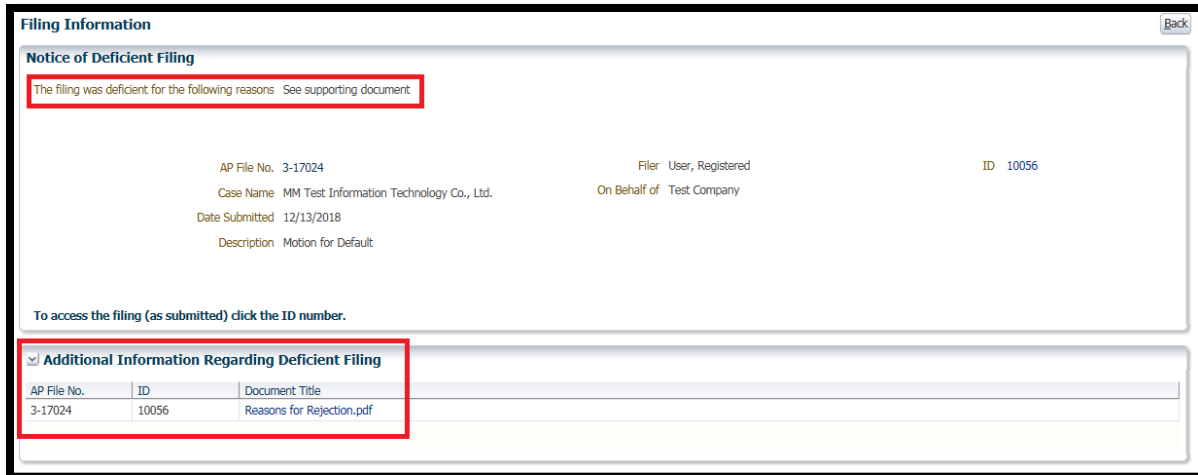


Figure 70: Filing Information: Notice of Deficient Filing page – rejection comments & additional information

- Submit a new filing per OS’s guidance.

## 9 Service

If you are associated to an AP case, OS may serve you certain documents based on case developments.

- If you are served, you will receive a system-generated email with a subject line that includes the phrase “Notice of Service” from [no-reply@sec.gov](mailto:no-reply@sec.gov).

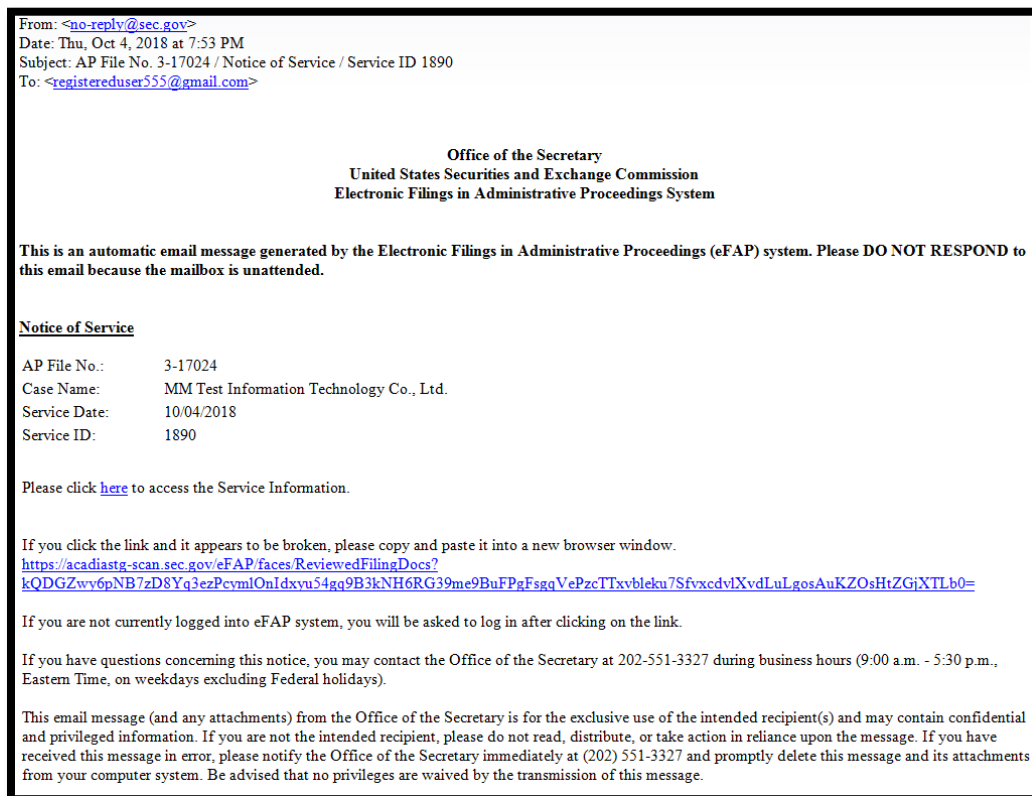


Figure 71: Notice of Service email

- The email will provide details of the service including the AP file number, case name, service date, and service ID. Click either the **here** hyperlink or the URL link in the email to navigate to the **Service Information** page.

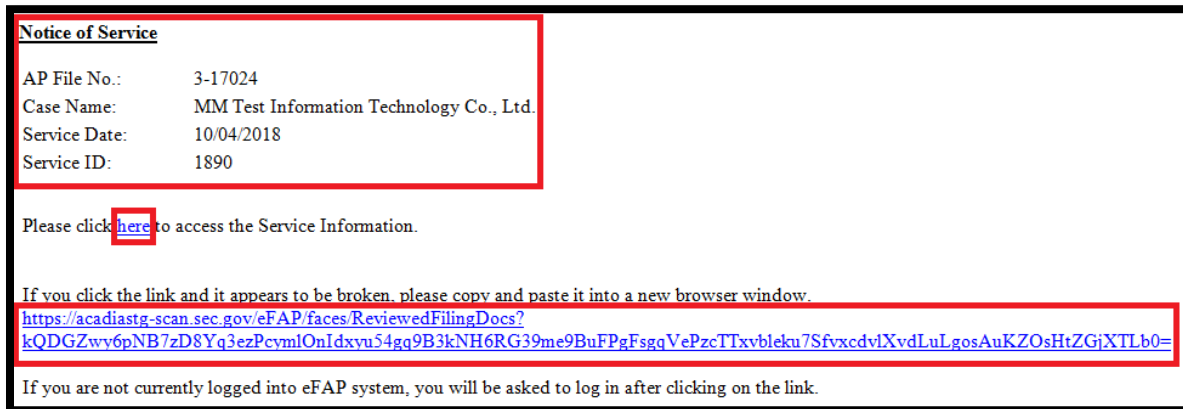


Figure 72: Notice of Service email – service information and links to Service Information page

- The **Service Information** page will appear if you are already signed into the eFAP system. If not already signed in, the eFAP **Acceptance Disclaimer** page will appear. You will follow the Sign-in process to open the **Service Information** page. (See section 3.) On the **Service Information** page you will see the details of the service at the top of the page with a table at the bottom listing one or more documents. You can view any listed document by clicking the hyperlinked document title.

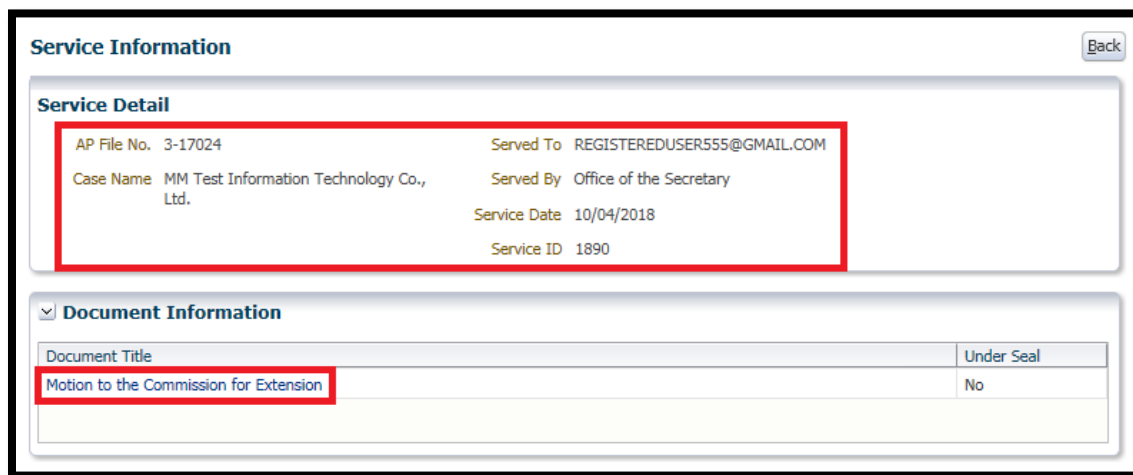


Figure 73: Service Information page – details of service and document title link

*NOTE: Depending on the browser that you are using (e.g., Internet Explorer, Chrome), the system will open the document within your browser window, or the file will automatically start downloading to your hard drive.*

You can also access the same information from the **My Service History** tab on the **My eFAP** landing page.

- Click the **My eFAP** link on the left navigation toolbar.

- 2) Click the **My Service History** tab.

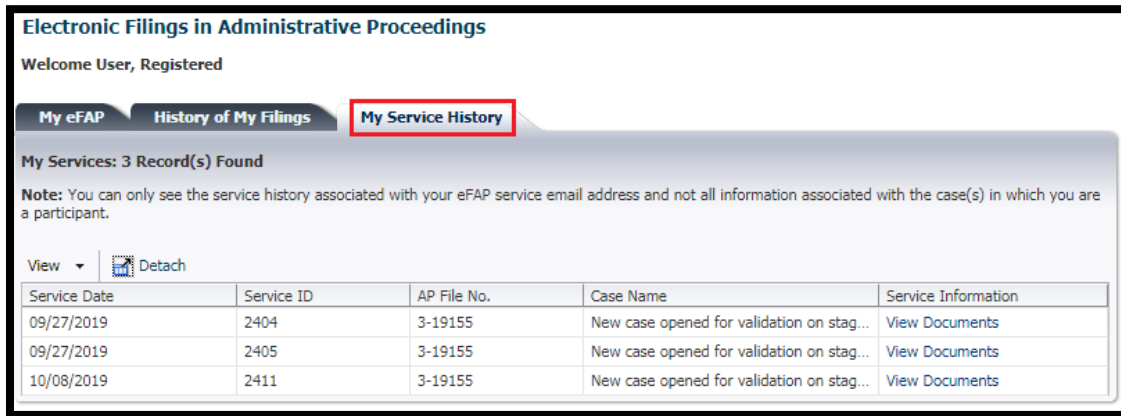


Figure 74: My eFAP page – My Service History tab

- 3) Depending on the number of orders you have been served, the **My Service History** tab will display one or more rows of services. In the **Service ID** column, locate the service ID whose service details and corresponding documents you would like to view.

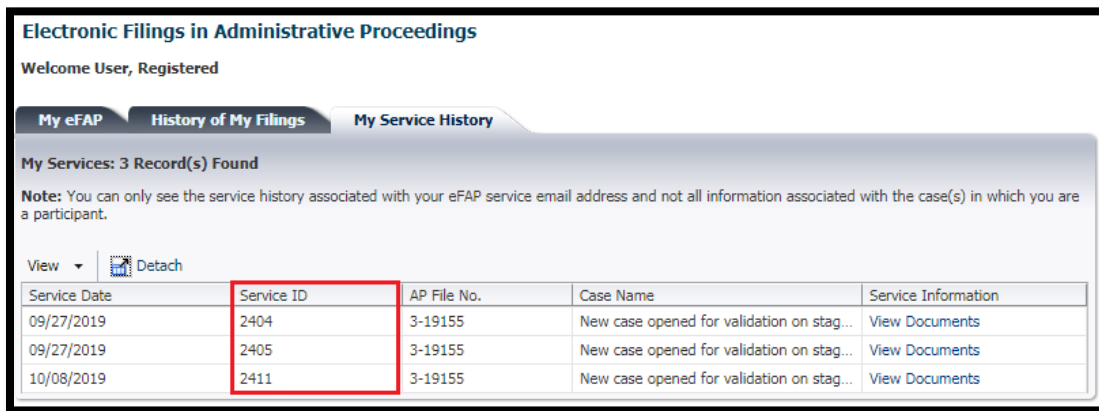


Figure 75: My Service History tab – Service ID column

- 4) Click the **View Documents** hyperlink in the far right **Service Information** column to view the documents associated with that service.

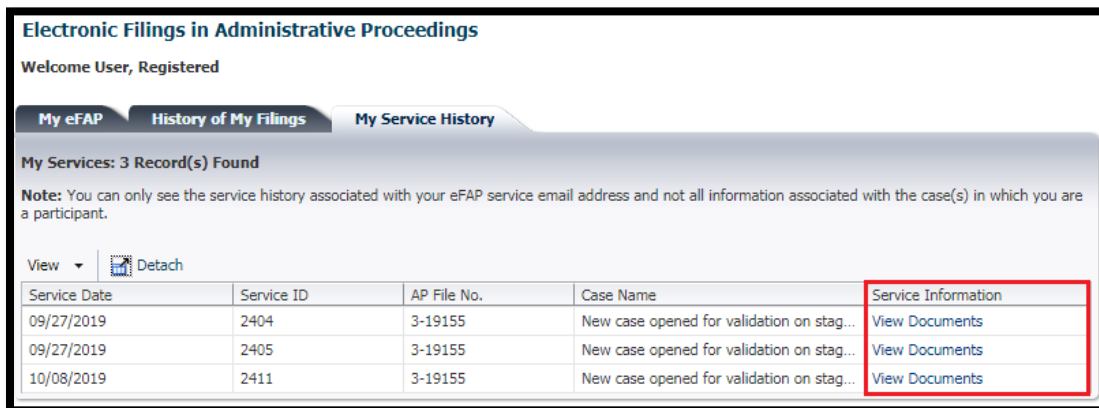


Figure 76: My Service History tab – View Documents link under Service Information column

- The **Service Information** page will appear. Within the **Service Information** page, you will see the details of the service at the top of the page with a table at the bottom listing one or more documents. You can view any listed document by clicking the hyperlinked document title.

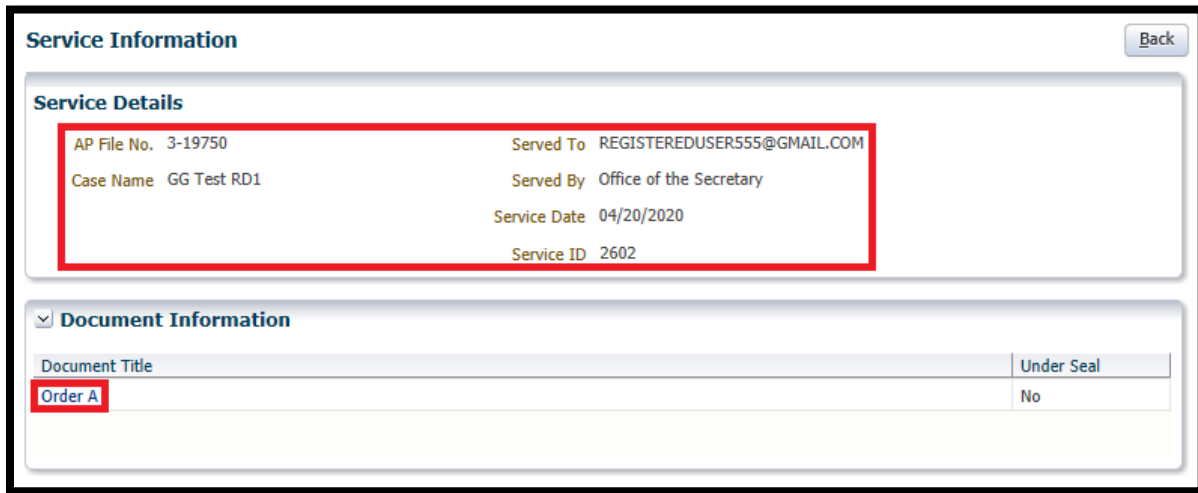


Figure 77: Service Information page – Service Details and Document Title link

*NOTE: Depending on the browser that you are using (e.g., Internet Explorer, Chrome), the system will open the document within your browser window, or the file will automatically start downloading to your hard drive.*

## 10 Detach Functionality

The **Detach** button for each table is seen throughout the eFAP application. One such **Detach** button is shown in Figure 75. Clicking on this button will open a separate window with the corresponding table displaying more than ten rows at a time, as shown in Figure 76. This functionality is helpful if the table contains a large number of AP cases, filings, orders, etc.

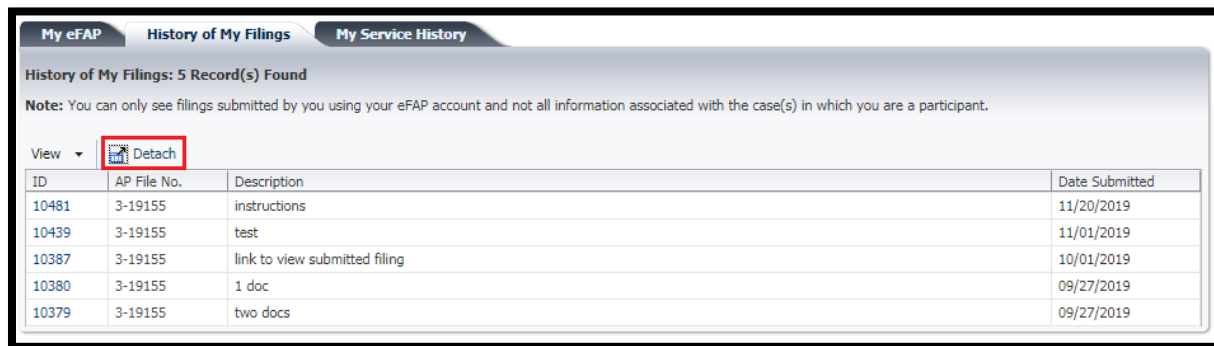
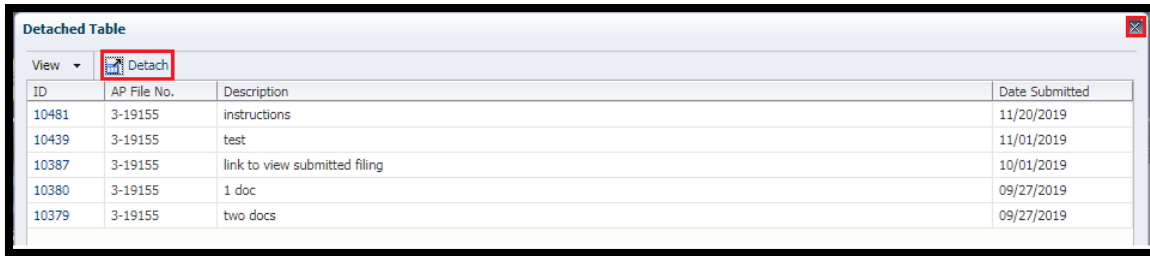


Figure 78: My eFAP page – History of My Filings tab & table – Detach button

To close the **Detached Table** window, click the **Detach** button or the **X** box in the top right corner.



ID	AP File No.	Description	Date Submitted
10481	3-19155	instructions	11/20/2019
10439	3-19155	test	11/01/2019
10387	3-19155	link to view submitted filing	10/01/2019
10380	3-19155	1 doc	09/27/2019
10379	3-19155	two docs	09/27/2019

Figure 79: Detached Table window – Detach button and X box

## 11 Clear Browser Cache

If you are having issues successfully signing into/accessing eFAP, try clearing your web-browser cache. The sections below detail the steps for clearing your browser cache for two browser types.

### 11.1 Internet Explorer (IE)

To clear the Internet Explorer (IE) browser cache, complete the following steps.

*NOTE: As stated previously, IE 11 works best for the eFAP application. Depending on the version of IE that you have, the screenshots and steps below may differ slightly.*

- 1) Click the **Settings** icon near the top-right corner of the page.



Figure 80: Settings icon at top right section of IOE browser page

- 2) The IE settings drop-down list will appear. Click **Internet options**.

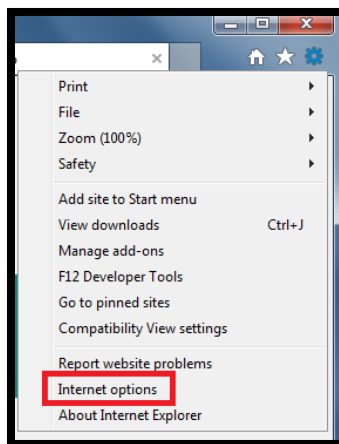


Figure 81: IE Settings drop-down list – Internet options

- 3) The **Internet Options** window will appear. Click the **Delete ...** button in the **Browsing history** section.



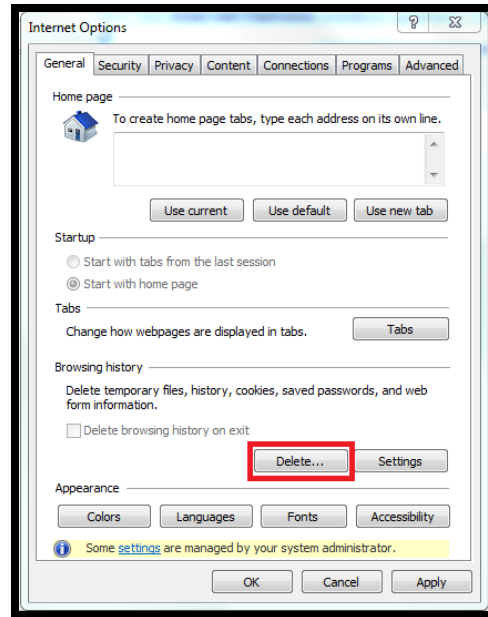


Figure 82: Delete... button

- 4) The **Delete Browsing History** pop-up window appears. Click the appropriate check boxes to add checkmarks to the listed items in your pop-up window to match the same items checked in Figure 83 and then click the **Delete** button.

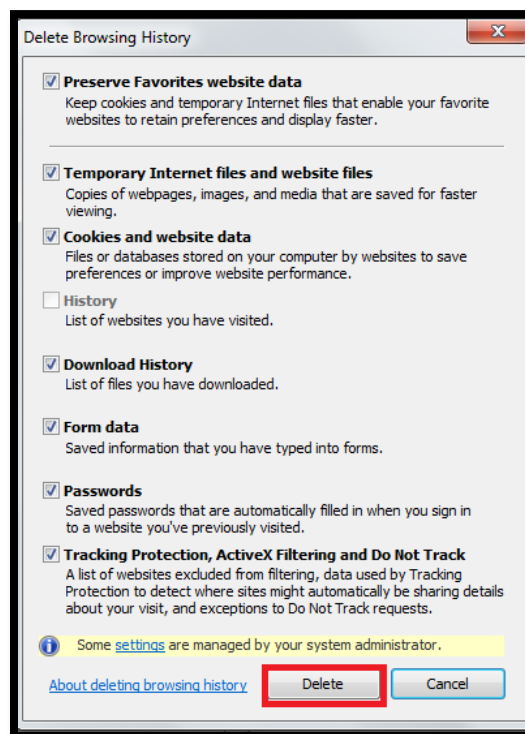


Figure 83: Delete Browser History pop-up – checked items and Delete button

- 5) After a few seconds, the browser cache will be cleared.
- 6) Close the browser window, restart IE, and try accessing the application again.

## 11.2 Google Chrome

To clear Google Chrome web-browser cache, complete the following steps.

*NOTE: eFAP has been tested with Google Chrome 70. Depending on the Google Chrome version and downloaded add-ins, the screenshots and steps below may differ slightly from what you see.*

- 1) Click the **Customize** icon near the top-right corner of the page.

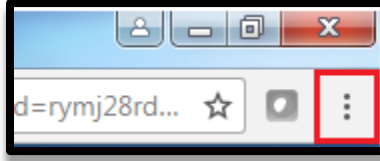


Figure 84: Top right section of Google Chrome browser page – Customize icon

- 2) The **Customize** drop-down list will appear. Click **Settings**.

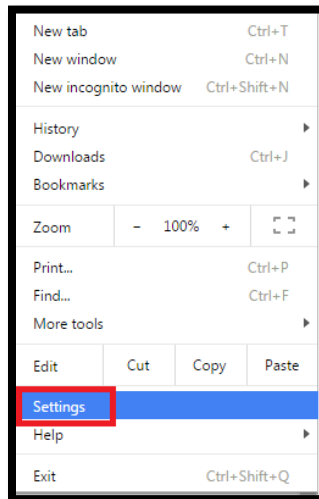


Figure 85: Customize drop-down list – Settings

- 3) The **Settings** page appears. Scroll down to the bottom of the page and click the **Advanced** button to view the **Privacy and security** section as shown in Figure 86. Click the **Clear browsing data** button.

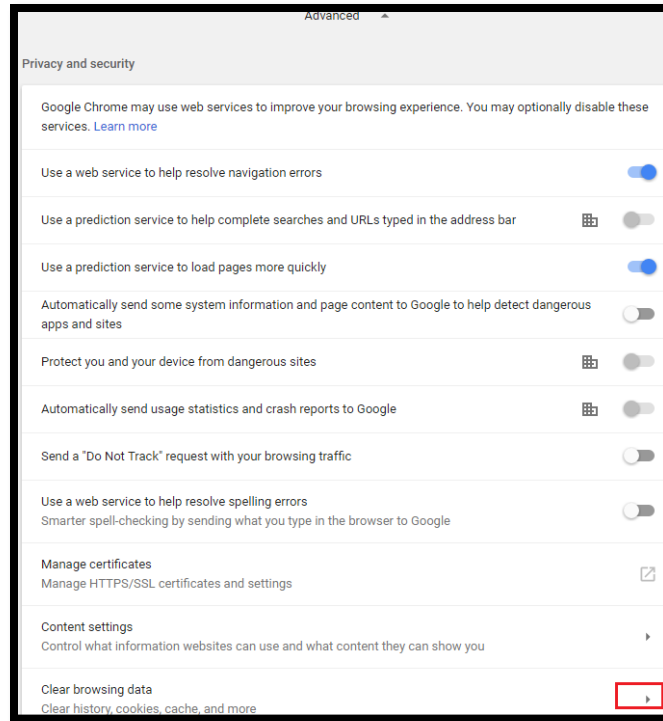


Figure 86: Chrome Settings page – Privacy and security section – Clear browsing data button

- 4) The **Clear browsing data** pop-up window appears. Click the appropriate check boxes to add checkmarks to the listed items in your pop-up window to match the same items checked in Figure 87 and then click the **CLEAR BROWSING DATA** button.

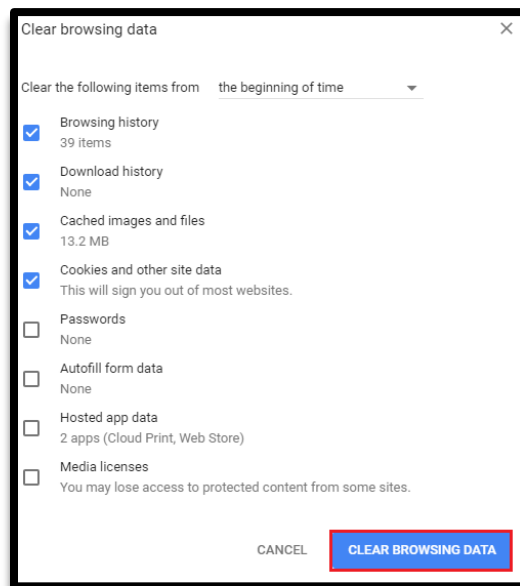


Figure 87: Clear browsing data pop-up – checked items and CLEAR BROWSING DATA button

- 5) After a few moments, you will be brought back to the **Settings** page.  
6) Close the browser, restart Google Chrome, and try accessing the application again.

## 12 Logout

To logout from the eFAP application, click **Logout** from the left navigation toolbar or the top right-hand corner of the page.

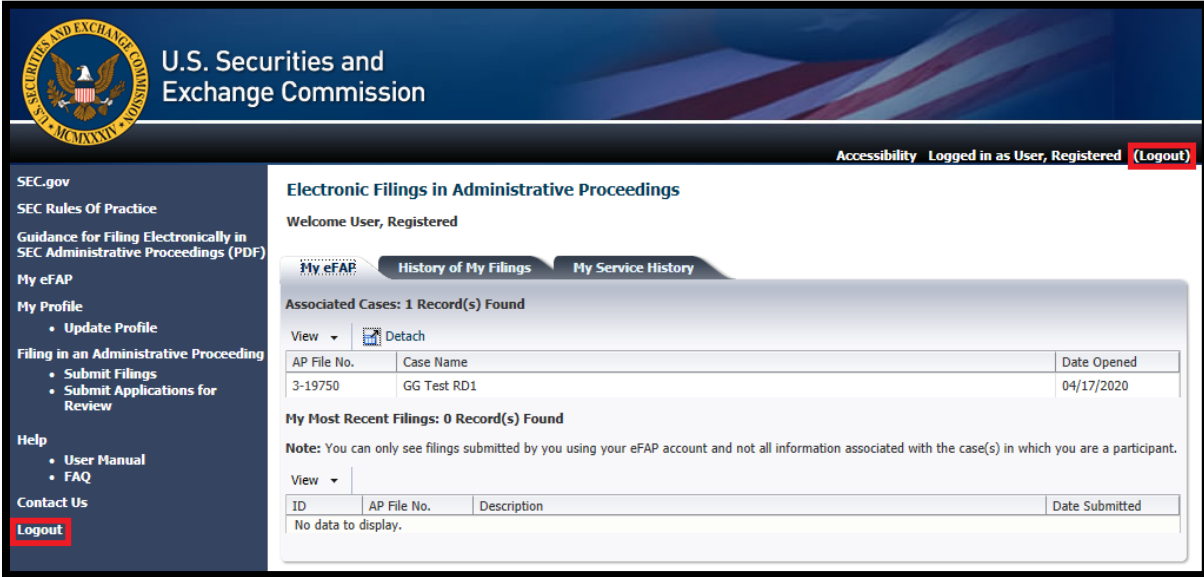


Figure 88: Logout links