3. INDEX TO FORMS

As a filer, you will first need to determine whether you must meet your filing obligation via EDGAR. The SEC Rules, particularly Regulation S-T, General Rules and Regulations for Electronic Filings, outline which filings are mandated as electronic. This means that they must be filed on EDGAR unless there is a case for Temporary or Continuing Hardship. (The rules for each form and hardship exemptions may differ, so please see the regulation for specific information.) Once you determine the form you need to file is electronic, then you need to identify the submission type to use. For each submission type, there are specific tools that you can use.

As the EDGAR system has evolved using new technologies, tools have been added, changed, and sometimes updated. There is no longer a single tool for preparing an EDGAR submission. Your guide to the tools is this index. The first index allows you to lookup EDGAR electronic submission types easily if all you know is the submission form type. Included in the last two columns is detailed information about the tools that are used to create and/or assemble the filing. The second index is easiest to use if you are more comfortable looking up your submission type by Act.

Before using the indexes, it is important to understand the difference between the Code of Federal Regulations (CFR) Form/Schedule/Rule column reference and the EDGAR Submission Type column. The index entries under the CFR Form/Schedule/Rule column refer to the titles of the actual Form, Schedule or Rule named in the CFR. The Submission Type refers to Form variations filers use on the electronic filing system to fulfill their filing obligation. For example, the paper Form 15 is implemented on EDGAR as a number of different submission types including: 15-12G and 15-15D. The last three digits represent the section of the 34 Act under which the filer is obligated to file periodic reports.

Using either Index, find the submission type, check that the description of the form matches your understanding of the purpose of the form, and identify the tool that should be used to create the form. The options in this column are EDGARLink Online, and Online Forms. There is a section in this manual describing in detail each of these tools. Chapter 7, “Preparing and Transmitting EDGARLink Online Submissions,” describes EDGARLink Online. Chapter 8, “Preparing and Transmitting Online Submissions,” describes online submissions using the EDGAR Online Forms Website and EDGAR Filing Website. The column entitled Filer-Constructed Technical Specifications should only be used by filers who want to create their submissions without the use of EDGAR tools. These Technical Specifications are available on the SEC’s Public Website. The Technical Specifications are delivered separately and are not part of the Filer Manual.

Note: In Section 3.1, “Alpha/Numeric” for simplicity we include both the initial form and the associated amendment in the Submission Type column.

3.1 Alpha/Numeric

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
1-A, 1-A/A	Offering statement under Regulation A	EDGAR Filing Website	EDGAR REG A XML Technical Specification
1-A POS	Post-qualification amendment to a 1-A offering statement	EDGAR Filing Website	EDGAR REG A XML Technical Specification
1-A-W, 1-A-W/A	Withdrawal of offering statement under Regulation A	EDGARLink Online	EDGARLink Online XML Technical Specification
1-E, 1-E/A	Notification under Regulation E by small business investment companies and business development companies.	EDGARLink Online	EDGARLink Online XML Technical Specification
1-E AD, 1-E AD/A	Sales material filed pursuant to Rule 607 under Regulation E.	EDGARLink Online	EDGARLink Online XML Technical Specification
1-K, 1-K/A	Annual Report Pursuant to Regulation A	EDGAR Filing Website	EDGAR REG A XML Technical Specification
1-SA, 1-SA/A	Semiannual Report Pursuant to Regulation A	EDGARLink Online	EDGARLink Online XML Technical Specification
1-U, 1-U/A	Current Report pursuant to Regulation A	EDGARLink Online	EDGARLink Online XML Technical Specification
1-Z, 1-Z/A	Exit Report under Regulation A	EDGAR Filing Website	EDGAR REG A XML Technical Specification
1-Z-W, 1-Z-W/A	Withdrawal of Exit Report under Regulation A	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
253G1	Reflects information previously omitted from the offering circular in reliance on Rule 253(b)	EDGARLink Online	EDGARLink Online XML Technical Specification
253G2	Reflects information that constitutes a substantive change from or addition to the information set forth in the last offering circular	EDGARLink Online	EDGARLink Online XML Technical Specification
253G3	Reflects information covered in both 253G1 and 253G2	EDGARLink Online	EDGARLink Online XML Technical Specification
253G4	Reflects information covered in 253G1, 253G2 or 253G3 that is not being timely filed	EDGARLink Online	EDGARLink Online XML Technical Specification
2-E, 2-E/A	Report of sales of securities pursuant to Rule 609 under Regulation E.	EDGARLink Online	EDGARLink Online XML Technical Specification
10-12B, 10-12B/A	Initial general form for registration of a class of securities pursuant to Section 12(b)	EDGARLink Online	EDGARLink Online XML Technical Specification
10-12G, 10-12G/A	Initial general form for registration of a class of securities pursuant to Section 12(g)	EDGARLink Online	EDGARLink Online XML Technical Specification
10-D, 10-D/A	Periodic distribution reports by asset-backed issuers pursuant to Rule 13a-17 or 15d-17	EDGARLink Online	EDGARLink Online XML Technical Specification
10-K, 10-K/A	Annual report pursuant to Section 13 and 15(d)	EDGARLink Online	EDGARLink Online XML Technical Specification
10-KT, 10-KT/A	Transition report pursuant to Rule 13a-10 or 15d-10	EDGARLink Online	EDGARLink Online XML Technical Specification
10-Q, 10-Q/A	Quarterly report pursuant to Section 13 or 15(d)	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
10-QT, 10-QT/A	Transition report pursuant to Rule 13a-10 or 15d-10	EDGARLink Online	EDGARLink Online XML Technical Specification
11-K, 11-K/A	Annual report of employee stock purchase, savings and similar plans	EDGARLink Online	EDGARLink Online XML Technical Specification
11-KT, 11-KT/A	Transition report pursuant to rule 13a-10 or 15d-10	EDGARLink Online	EDGARLink Online XML Technical Specification
13F-CTR, 13F-CTR/A	Form 13F Confidential Treatment Request filed by institutional managers	EDGAR Filing Website Online Forms	EDGAR Form 13F XML Technical Specification
13F-HR, 13F-HR/A	Initial Quarterly Form 13F Holdings Report filed by institutional managers	EDGAR Filing Website Online Forms	EDGAR Form 13F XML Technical Specification
13F-NT, 13F-NT/A	Initial Quarterly Form 13F Notice Report filed by institutional managers	EDGAR Filing Website Online Forms	EDGAR Form 13F XML Technical Specification
13H, 13H-Q, 13H-A, 13H-I, 13H-R, 13H-T	Large Trader Registration Information Required of Large Traders Pursuant to the Securities Exchange Act of 1934 and Rule 13h-1 Thereunder. Initial Filing (13H), Amended Filing (13H-Q), Annual Filing (13H-A), Inactive Status (13H-I), Reactivated Status (13H-R), and Termination Filing (13H-T)	EDGAR Filing Website Online Forms	N/A
144, 144/A	Notice for proposed sale of securities under Rule 144 where the issuing company is subject to the reporting requirements of Section 13 or 15(d) of the Exchange Act	Online Forms	EDGAR Form 144 XML Technical Specification
15-12G, 15-12G/A	Notice of termination of registration of a class of securities under Section 12(b) and 12(g)	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
15-15D, 15-15D/A	Notice of suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act	EDGARLink Online	EDGARLink Online XML Technical Specification
15F-12B, 15F-12B/A	Notice of termination by a Foreign Private Issuer of a class of equity securities under Section 12(b)	EDGARLink Online	EDGARLink Online XML Technical Specification
15F-12G, 15F-12G/A	Notice of termination of a foreign private issuer's registration of a class of securities under Section 12(g).	EDGARLink Online	EDGARLink Online XML Technical Specification
15F-15D, 15F-15D/A	Notice of a foreign private issuer's suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act	EDGARLink Online	EDGARLink Online XML Technical Specification
17HACON, 17HACON/A	Confidential broker dealer annual 17-H report	EDGAR Filing Website Online Forms	EDGAR Form 17-H XML Technical Specification
17HQCON, 17HQCON/A	Confidential broker dealer quarterly 17-H report	EDGAR Filing Website Online Forms	EDGAR Form 17-H XML Technical Specification
18-12B, 18-12B/A	Form for initial registration of securities of foreign governments or political subdivisions pursuant to Section 12(b)	EDGARLink Online	EDGARLink Online XML Technical Specification
18-12G, 18-12G/A	Form for initial registration of securities of foreign governments or political subdivisions thereof pursuant to Section 12(g)	EDGARLink Online	EDGARLink Online XML Technical Specification
18-K, 18-K/A	Annual report for foreign governments and political subdivisions	EDGARLink Online	EDGARLink Online XML Technical Specification
20-F, 20-F/A	Annual and transition report of foreign private issuers pursuant to Section 13 or 15(d)	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
20FR12B, 20FR12B/A	Form for initial registration of a class of securities of foreign private issuers pursuant to Section 12(b)	EDGARLink Online	EDGARLink Online XML Technical Specification
20FR12G, 20FR12G/A	Form for initial registration of a class of securities of foreign private issuers pursuant to Section 12(g)	EDGARLink Online	EDGARLink Online XML Technical Specification
24F-2NT, 24F-2NT/A	Rule 24F-2 notice filed on Form 24F-2	EDGARLink Online EDGAR Filing Website Online Forms (TEST Filings Only Until 2/1/2022)	EDGARLink Online XML Technical Specification EDGAR Form 24F-2 Technical Specification Document (TEST Filings Only Until 2/1/2022)
25, 25/A	Notification filed by issuer to voluntarily withdraw a class of securities from listing and registration on a national securities exchange	EDGARLink Online	EDGARLink Online XML Technical Specification
25-NSE, 25-NSE/A	Notification filed by national security exchange to report the removal from listing and registration of matured, redeemed or retired securities	Distributed to National Securities Exchanges only	Distributed to National Securities Exchanges only
3, 3/A	Initial statement of beneficial ownership of securities	Online Forms	EDGAR Ownership XML Technical Specification
305B2, 305B2/A	Application for designation of a new trustee under the Trust Indenture Act	EDGARLink Online	EDGARLink Online XML Technical Specification
4, 4/A	Statement of changes in beneficial ownership of securities	Online Forms	EDGAR Ownership XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
40-6B, 40-6B/A	Application under the Investment Company Act by and/or Investment Advisers Act an employees' securities company	EDGARLink Online	EDGARLink Online XML Technical Specification
40-17F1, 40-17F1/A	Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-1 of the Investment Company Act of 1940 filed on Form N-17F-1	EDGARLink Online	EDGARLink Online XML Technical Specification
40-17F2, 40-17F2/A	Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-2 of the Investment Company Act of 1940 filed on Form N-17F-2	EDGARLink Online	EDGARLink Online XML Technical Specification
40-17G, 40-17G/A	Fidelity bond filed pursuant to Rule 17g1(g)(1) of the Investment Company Act of 1940	EDGARLink Online	EDGARLink Online XML Technical Specification
40-17GCS, 4017GCS/A	Filings of claim or settlement pursuant to rule 17g-1(g)(1)(2) or (3) of the Investment Company Act of 1940	EDGARLink Online	EDGARLink Online XML Technical Specification
40-24B2, 40-24B2/A	Filing of sales literature pursuant to Rule 24b2 under the Investment Company Act of 1940	EDGARLink Online	EDGARLink Online XML Technical Specification
40-33, 40-33/A	Copies of all stockholder derivative actions filed with a court against an investment company or an affiliate thereof pursuant to Section 33 of the Investment Company Act of 1940	EDGARLink Online	EDGARLink Online XML Technical Specification
40-8B25	Document or report	EDGARLink Online	EDGARLink Online XML Technical Specification
40-8F-2, 40-8F-2/A	Initial application for de-registration pursuant to Investment Company Act Rule 0-2	EDGARLink Online	EDGARLink Online XML Technical Specification
40-APP, 40-APP/A	Applications under the Investment Company Act and/or Investment Advisers Act other than those reviewed by Office of Insurance Products	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
40-F, 40-F/A	Annual reports filed by certain Canadian issuers pursuant to Section 15(d) and Rule 15d-4	EDGARLink Online	EDGARLink Online XML Technical Specification
40FR12B, 40FR12B/A	Registration of a class of securities of certain Canadian issuers pursuant to Section 12(b) of the 1934 Act	EDGARLink Online	EDGARLink Online XML Technical Specification
40FR12G, 40FR12G/A	Registration of a class of securities of certain Canadian issuers pursuant to Section 12(g) of the 1934 Act	EDGARLink Online	EDGARLink Online XML Technical Specification
40-OIP, 40-OIP/A	Applications under the Investment Company Act and/or Investment Advisers Act reviewed by Office of Insurance Products	EDGARLink Online	EDGARLink Online XML Technical Specification
424A	Prospectus filed pursuant to Rule 424(a)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B1	Prospectus filed pursuant to Rule 424(b)(1)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B2	Prospectus filed pursuant to Rule 424(b)(2)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B3	Prospectus filed pursuant to Rule 424(b)(3)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B4	Prospectus filed pursuant to Rule 424(b)(4)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B5	Prospectus filed pursuant to Rule 424(b)(5)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B7	Prospectus filed pursuant to Rule 424(b)(7)	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
424B8	Prospectus filed pursuant to Rule 424(b)(8)	EDGARLink Online	EDGARLink Online XML Technical Specification
424H, 424H/A	Preliminary Prospectus filed pursuant to Rule 424(h)	EDGARLink Online	EDGARLink Online XML Technical Specification
425	Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions	EDGARLink Online	EDGARLink Online XML Technical Specification
424I	Prospectus filed pursuant to Rule 424(i)(1)	EDGARLink Online	EDGARLink Online XML Technical Specification
485APOS	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	EDGARLink Online	EDGARLink Online XML Technical Specification
485BPOS	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	EDGARLink Online	EDGARLink Online XML Technical Specification
485BXT	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	EDGARLink Online	EDGARLink Online XML Technical Specification
486APOS	Post-effective amendment to filing filed pursuant to Securities Act Rule 486(a) (this filing cannot be submitted as a 1940 Act only filing)	EDGARLink Online	EDGARLink Online XML Technical Specification
486BPOS	Post-effective amendment to filing filed pursuant to Securities Act Rule 486(b) (this filing cannot be submitted as a 1940 Act only filing)	EDGARLink Online	EDGARLink Online XML Technical Specification
486BXT	Post-effective amendment filed pursuant to Securities Act Rule 486(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 486(a) (this filing cannot be submitted as a 1940 Act only filing)	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
487	Pre-effective pricing amendment filed pursuant to Securities Act Rule 487	EDGARLink Online	EDGARLink Online XML Technical Specification
497	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	EDGARLink Online	EDGARLink Online XML Technical Specification
497AD	Filing by certain investment companies of Securities Act Rule 482 advertising in accordance with Securities Act Rule 497	EDGARLink Online	EDGARLink Online XML Technical Specification
497H2	Filings made pursuant to Rule 497(h)(2)	EDGARLink Online	EDGARLink Online XML Technical Specification
497J	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	EDGARLink Online	EDGARLink Online XML Technical Specification
497K	Summary Prospectus for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)	EDGARLink Online	EDGARLink Online XML Technical Specification
497VPI	Initial summary prospectus for variable contracts filed pursuant to Securities Act Rule 497(k)	EDGARLink Online	EDGARLink Online XML Technical Specification
497VPSUB	Substitution-related supplement and correspondence for variable contracts filed pursuant to the Commission Statement on Insurance Product Fund Substitution Applications	EDGARLink Online	EDGARLink Online XML Technical Specification
497VPU	Updating summary prospectus for variable contracts filed pursuant to Securities Act Rule 497(k)	EDGARLink Online	EDGARLink Online XML Technical Specification
5, 5/A	Annual statement of changes in beneficial ownership of securities	Online Forms	EDGAR Ownership XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
6-K, 6-K/A	Current report of foreign issuer pursuant to Rules 13a-16 and 15d-16 Amendments	EDGARLink Online	EDGARLink Online XML Technical Specification
8-A12B, 8-A12B/A	Form for the registration / listing of a class of securities on a national securities exchange pursuant to Section 12(b)	EDGARLink Online	EDGARLink Online XML Technical Specification
8-A12G, 8-A12G/A	Form for registration of a class of securities pursuant to Section 12(g)	EDGARLink Online	EDGARLink Online XML Technical Specification
8-K, 8-K/A	Current report filing	EDGARLink Online	EDGARLink Online XML Technical Specification
8-K12B, 8-K12B/A	Notification that a class of securities of successor issuer is deemed to be registered pursuant to Section 12(b)	EDGARLink Online	EDGARLink Online XML Technical Specification
8-K12G3, 8-K12G3/A	Notification that a class of securities of successor issuer is deemed to be registered pursuant to Section 12(g)	EDGARLink Online	EDGARLink Online XML Technical Specification
8-K15D5, 8-K15D5/A	Notification of assumption of duty to report by successor issue under Section 15(d)	EDGARLink Online	EDGARLink Online XML Technical Specification
ABS-15G, ABS-15G/A	Asset-backed securities report pursuant to Section 15G	EDGARLink Online	EDGARLink Online XML Technical Specification
ABS-EE, ABS-EE/A	Form for Submission of Electronic Exhibits in asset-backed securities offerings	EDGARLink Online	EDGARLink Online XML Technical Specification, EDGAR ABS XML Technical Specification
ANNLRPT, ANNLRPT/A	Periodic Development Bank filing, submitted annually	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
APP WD, APP WD/A	Withdrawal of an application for exemptive or other relief from the federal securities laws	EDGARLink Online	EDGARLink Online XML Technical Specification
ARS, ARS/A	Annual report to security holders	EDGARLink Online	EDGARLink Online XML Technical Specification
ATS-N	Initial Form ATS-N (Rule 304(a)(1)(i))	EDGAR Filing Website	EDGAR Form ATS-N XML Technical Specification
ATS-N/CA	Correcting Amendment (Rule 304(a)(2)(i)(C))	EDGAR Filing Website	EDGAR Form ATS-N XML Technical Specification
ATS-N/MA	Material Amendment (Rule 304(a)(2)(i)(A))	EDGAR Filing Website	EDGAR Form ATS-N XML Technical Specification
ATS-N/OFA	Order Display and Fair Access Amendment (Rule 304(a)(2)(i)(D))	EDGAR Filing Website	EDGAR Form ATS-N XML Technical Specification
ATS-N/UA	Updating Amendment (Rule 304(a)(2)(i)(B))	EDGAR Filing Website	EDGAR Form ATS-N XML Technical Specification
ATS-N-C	Notice of Cessation (Rule 304(a)(3))	EDGAR Filing Website	EDGAR Form ATS-N XML Technical Specification
ATS-N-W	Withdrawal of Form ATS-N filing	EDGAR Filing Website	EDGAR Form ATS-N XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
AW	Withdrawal of amendment to a registration statement filed under the Securities Act	EDGARLink Online	EDGARLink Online XML Technical Specification
AW WD	Withdrawal of a request for withdrawal of an amendment to a registration statement	EDGARLink Online	EDGARLink Online XML Technical Specification
BULK	Bulk Submission	EDGARLink Online	
C, C/A	Offering Statement	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C-W	Offering Statement Withdrawal	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C/A-W	Amendment to Offering Statement Withdrawal	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C-U	Progress Update	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C-U-W	Progress Update Withdrawal	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C-AR, C-AR/A	Annual Report	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C-AR-W	Annual Report Withdrawal	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C-AR/A-W	Amendment to Annual Report Withdrawal	EDGAR Filing Website	EDGAR Form C XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
C-TR	Termination of Reporting	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C-TR-W	Termination of Reporting Withdrawal	EDGAR Filing Website	EDGAR Form C XML Technical Specification
CB, CB/A	Notification form filed in connection with certain tender offers, business combinations and rights offerings, in which the subject company is a foreign private issuer of which less than 10% of its securities are held by U.S. persons	EDGARLink Online	EDGARLink Online XML Technical Specification
CERT	Certification by an exchange approving securities for listing	EDGARLink Online	N/A
CFPORTAL, CFPORTAL/A	Application for registration of funding portal	EDGAR Filing Website	EDGAR Form CFPORTAL XML Technical Specification
CFPORTAL-W	Withdrawal of the funding portal's registration	EDGAR Filing Website	EDGAR Form CFPORTAL XML Technical Specification
CORRESP	A correspondence can be sent as a document with another submission type or can be sent as a separate submission.	EDGARLink Online	EDGARLink Online XML Technical Specification
D, D/A	Official notice of an offering of securities that is made without registration under the Securities Act in reliance on an exemption provided by Regulation D and Section 4(a)(5) under the Act.	Online Forms	EDGAR Form D XML Technical Specification
DEF 14A	Definitive proxy statements	EDGARLink Online	EDGARLink Online XML Technical Specification
DEF 14C	Definitive information statements	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
DEFA14A	Definitive additional proxy soliciting materials including Rule 14(a)(12) material. Note: Submission type DEFA14A can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms.	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFA14C	Definitive additional information statement materials including Rule 14(a)(12) material	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFC14A	Definitive proxy statement in connection with contested solicitations	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFC14C	Definitive information statement - contested solicitations	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFM14A	Definitive proxy statement relating to a merger, acquisition, or disposition	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFM14C	Definitive information statement relating to merger or acquisition	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFN14A	Definitive proxy statement filed by non-management	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFR14A	Definitive revised proxy soliciting materials	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFR14C	Definitive revised information statement materials	EDGARLink Online	EDGARLink Online XML Technical Specification
DEL AM	Separately filed delaying amendment under Securities Act Rule 473 to delay effectiveness of a 1933 Act registration statement	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
DFAN14A	Definitive additional proxy soliciting materials filed by non-management including Rule 14(a)(12) material	EDGARLink Online	EDGARLink Online XML Technical Specification
DFRN14A	Revised definitive proxy statement filed by non-management	EDGARLink Online	EDGARLink Online XML Technical Specification
DOS, DOS/A	Non-public draft offering statement under Regulation A	EDGAR Filing Website	N/A
DOSLTR	Draft Offering Statement Letter	EDGARLink Online	N/A
DRS, DRS/A	Draft registration statement submitted by Emerging Growth Company under Securities Act Section 6(e) or by Foreign Private Issuer under Division of Corporation Finance policy	EDGARLink Online	N/A
DRSLTR	Correspondence Related to Draft Registration Statement	EDGARLink Online	N/A
DSTRBRPT, DSTRBRPT/A	Distribution of primary obligations Development Bank report	EDGARLink Online	EDGARLink Online XML Technical Specification
F-1, F-1/A	Registration statement for securities of certain foreign private issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
F-10, F-10/A	Registration statement for securities of certain Canadian issuers under the Securities Act of 1933	EDGARLink Online	EDGARLink Online XML Technical Specification
F-10EF	Auto effective registration statement for securities of certain Canadian issuers under the Securities Act of 1933	EDGARLink Online	EDGARLink Online XML Technical Specification
F-10POS	Post-effective amendment to a F-10EF registration	EDGARLink Online	EDGARLink Online XML Technical Specification
F-1MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-1	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
F-3, F-3/A	Registration statement for specified transactions by certain foreign private issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3ASR	Automatic shelf registration statement of securities of well-known seasoned issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3D	Registration statement for dividend or interest reinvestment plan securities of foreign private issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3DPOS	Post-Effective amendment to a F-3D registration	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F 3	EDGARLink Online	EDGARLink Online XML Technical Specification
F-4 POS	Post-effective amendment to a F-4EF registration	EDGARLink Online	EDGARLink Online XML Technical Specification
F-4, F-4/A	Registration statement for securities issued by foreign private issuers in certain business combination transactions	EDGARLink Online	EDGARLink Online XML Technical Specification
F-4EF	Auto effective registration statement for securities by certain foreign private issuers in connection with certain business combination transactions	EDGARLink Online	EDGARLink Online XML Technical Specification
F-4MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F 4	EDGARLink Online	EDGARLink Online XML Technical Specification
F-6 POS	Post-effective amendment to a F-6EF registration	EDGARLink Online	EDGARLink Online XML Technical Specification
F-6, F-6/A	Registration statement for American Depositary Receipts representing securities of certain foreign private issuers	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
F-6EF	Auto effective registration statement for American Depositary Receipts representing securities of certain foreign private issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
F-7 POS	Post-effective amendment to a F-7 registration	EDGARLink Online	EDGARLink Online XML Technical Specification
F-7, F-7/A	Registration statement for securities of certain Canadian issuers offered for cash upon the exercise of rights granted to existing security holders under the Securities Act of 1933	EDGARLink Online	EDGARLink Online XML Technical Specification
F-8 POS	Post-effective amendment to a F-8 registration	EDGARLink Online	EDGARLink Online XML Technical Specification
F-8, F-8/A	Registration statement for securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933	EDGARLink Online	EDGARLink Online XML Technical Specification
F-80, F-80/A	Registration of securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933	EDGARLink Online	EDGARLink Online XML Technical Specification
F-80POS	Post-effective amendment to a F-80 registration	EDGARLink Online	EDGARLink Online XML Technical Specification
F-N, F-N/A	Notification of the appointment of an agent for service by certain foreign institutions	EDGARLink Online	EDGARLink Online XML Technical Specification
F-SR, F-SR/A	Foreign Private Issuer Share Repurchase Report	EDGARLink Online	EDGARLink Online XML Technical Specification
FWP	Filing under Securities Act Rules 163/433 of free writing prospectuses	EDGARLink Online	EDGARLink Online XML Technical Specification
F-X, F-X/A	For appointment of agent for service of process by issuers registering securities	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
IRANNOTICE	Notice of disclosure filed in Exchange Act quarterly and annual reports pursuant to Section 219 of the Iran Threat Reduction and Syria Human Rights Act of 2012 and Section 13(r) of the Exchange Act	EDGARLink Online	EDGARLink Online XML Technical Specification
MA, MA-A, MA/A	Municipal Advisor registration required pursuant to Section 15B(a)(2) of the Securities Exchange Act of 1934 and the Rules Thereunder. Application for Municipal Advisor Registration (MA), Annual Update of Municipal Advisor Registration (MA-A), and Amendment of a Prior Application for Registration (MA/A)	EDGAR Filing Website Online Forms	EDGAR Form MA XML Technical Specification
MA-I, MA-I/A	Information Regarding Natural Persons Who Engage in Municipal Advisory Activities, and Amendment of a Previously Submitted Form MA-I	EDGAR Filing Website Online Forms	EDGAR Form MA XML Technical Specification
MA-W	Notice of Withdrawal from Registration as a Municipal Advisor	EDGAR Filing Website Online Forms	EDGAR Form MA XML Technical Specification
MODULE	Module Submission	EDGARLINK Online	EDGARLink Online XML Technical Specification
N-14 8C, N-14 8C/A	Initial registration statement filed on Form N14 by closed-end investment company (business combinations)	EDGARLink Online	EDGARLink Online XML Technical Specification
N-14, N-14/A	Initial registration statement filed on Form N14 for open-end investment company, including those filed with automatic effectiveness under Rule 488 (business combinations)	EDGARLink Online	EDGARLink Online XML Technical Specification
N-14MEF	A new registration statement filed on Form N14 by closed end investment companies filed under Securities Act Rule 462(b) of up to an additional 20% of securities for an offering that was registered on Form N-14	EDGARLink Online	EDGARLink Online XML Technical Specification
N-18F1, N-18F1/A	Initial notification of election pursuant to Rule 18f-1 filed on Form N-18F-1	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
N-1A, N-1A/A	Initial registration statement filed on Form N1A for open-end management investment companies	EDGARLink Online	EDGARLink Online XML Technical Specification
N-2, N-2/A	Initial filing of a registration statement on Form N-2 for closed-end investment companies	EDGARLink Online	EDGARLink Online XML Technical Specification
N-2ASR	Automatic shelf registration statement on Form N-2 for well-known seasoned issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
N-2 POSASR	Post-effective amendment to an automatic shelf registration statement on Form N-2 for well-known seasoned issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
N-23C-2, N-23C-2/A	Notice by closed-end investment companies of intention to call or redeem their own securities under Investment Company Act Rule 23c-2	EDGARLink Online	EDGARLink Online XML Technical Specification
N-23C3A, N23C3A/A	Notification of periodic repurchase offer Filed pursuant to Rule 23c-3(b) only	EDGARLink Online	EDGARLink Online XML Technical Specification
N-23C3B, N23C3B/A	Filing pursuant to Rule 23c-3(c) only on Form N-23C-3	EDGARLink Online	EDGARLink Online XML Technical Specification
N-23C3C, N23C3C/A	Filing pursuant to Rule 23c-3(b) and (c) on Form N-23C-3	EDGARLink Online	EDGARLink Online XML Technical Specification
N-27D-1, N-27D-1/A	Accounting for segregated trust accounts on Form N-27D-1	EDGARLink Online	EDGARLink Online XML Technical Specification
N-2MEF	A new registration statement on Form N-2 filed under Securities Act Rule 462(b) by closed-end investment companies of up to an additional 20% of securities for an offering that was registered on Form N-2	EDGARLink Online	EDGARLink Online XML Technical Specification
N-3, N-3/A	Initial registration statement on Form N-3 for separate accounts (management investment companies)	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
N-30B-2	Periodic and interim reports mailed to investment company shareholders (other than annual and semi-annual reports mailed to shareholders pursuant to Rule 30e-1)	EDGARLink Online	EDGARLink Online XML Technical Specification
N-30D, N-30D/A	Initial annual and semi-annual reports mailed to investment company shareholders pursuant to Rule 30e-1 (other than those required to be submitted as part of Form NCSR.)	EDGARLink Online	EDGARLink Online XML Technical Specification
N-4, N-4/A	Initial registration statement on Form N-4 for separate accounts (unit investment trusts)	EDGARLink Online	EDGARLink Online XML Technical Specification
N-5, N-5/A	Registration statement for small business investment companies	EDGARLink Online	EDGARLink Online XML Technical Specification
N-54A, N-54A/A	Notification of election by business development companies filed on Form N-54A	EDGARLink Online	EDGARLink Online XML Technical Specification
N-54C, N-54C/A	Notification of withdrawal by business development companies filed on Form N-54C	EDGARLink Online	EDGARLink Online XML Technical Specification
N-6, N-6/A	Registration statement for separate accounts (unit investment trusts)	EDGARLink Online	EDGARLink Online XML Technical Specification
N-6F, N-6F/A	Notice of intent by business development companies to elect to be subject to Sections 55 through 65 of the 1940 Act filed on Form N-6F	EDGARLink Online	EDGARLink Online XML Technical Specification
N-8A, N-8A/A	Initial notification of registration under Section 8(a) filed on Form N-8A	EDGARLink Online	EDGARLink Online XML Technical Specification
N-8B-2, N-8B-2/A	Initial registration statement for unit investment trusts filed on Form N-8B-2	EDGARLink Online	EDGARLink Online XML Technical Specification
N-8B-3, N-8B-3/A	Initial registration statement for periodic payment plans filed on Form N-8B-3	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
N-8B-4, N-8B-4/A	Initial registration statement for face-amount certificate companies filed on Form N-8B-4	EDGARLink Online	EDGARLink Online XML Technical Specification
N-8F, N-8F/A	Application for deregistration made on Form N-8F	EDGARLink Online	EDGARLink Online XML Technical Specification
N-CEN, N-CEN/A	Annual Report for Registered Investment Companies	EDGAR Filing Website Online Forms	EDGAR Form N-CEN XML Technical Specification
N-CR, N-CR/A	Current Report of Money Market Fund Material Events	EDGAR Filing Website Online Forms	EDGAR Form N-CR XML Technical Specification
N-CSR, N-CSR/A	Certified annual shareholder report of registered management investment companies filed on Form N-CSR	EDGARLink Online	EDGARLink Online XML Technical Specification
N-CSRS, N-CSRS/A	Certified semi-annual shareholder report of registered management investment companies filed on Form N-CSR	EDGARLink Online	EDGARLink Online XML Technical Specification
N-LIQUID, N-LIQUID/A	Current Report Open-End Management Investment Company Liquidity	EDGARLink Online	EDGARLink Online XML Technical Specification
N-MFP2/A	Monthly Schedule of Portfolio Holdings of Money Market Funds on Form N-MFP	N/A	EDGAR Form N-MFP2 XML Technical Specification
N-MFP3, N-MFP3/A	Monthly Schedule of Portfolio Holdings of Money Market Funds on Form N-MFP (Effective June 11, 2024)	N/A	EDGAR Form N-MFP3 XML Technical Specification
NPORT-EX, NPORT-EX/A	Portfolio Holdings Exhibit to Form N-PORT	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
NPORT-NP, NPORT-NP/A	Monthly Portfolio Investments Report on Form N-PORT (Non-Public)	N/A	EDGAR Form N-PORT XML Technical Specification
NPORT-P, NPORT-P/A	Monthly Portfolio Investments Report on Form N-PORT (Public)	N/A	EDGAR Form N-PORT XML Technical Specification
N-PX, N-PX/A	Annual Report of Proxy Voting Record filed on Form N-PX	EDGARLink Online EDGAR Filing Website Online Forms (TEST Filings Only Until July 1, 2024)	EDGARLink Online XML Technical Specification EDGAR Filing Website Online Forms (TEST Filings Only Until July 1, 2024)
N-PX CTR, N-PX CTR/A	Form N-PX Confidential Treatment Request	EDGAR Filing Website Online Forms (TEST Filings Only Until July 1, 2024)	EDGAR Form N-PX Technical Specification Document (TEST Filings Only Until July 1, 2024)
N-RN, N-RN/A	Current Report for Registered Management Investment Companies and Business Development Companies	EDGARLink Online	EDGARLink Online XML Technical Specification
NRSRO-UPD	Form NRSRO – Update of Registration for Nationally Recognized Statistical Rating Organizations	EDGARLink Online	EDGARLink Online XML Technical Specification
NRSRO-CE, NRSRO-CE/A	Form NRSRO – Annual Certification for Nationally Recognized Statistical Rating Organizations	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
NRSRO-FR, NRSRO-FR/A	Annual Financial/Other Reports for Nationally Recognized Statistical Rating Organizations, as required by Rule 17g-3 (Non-Public)	EDGARLink Online	EDGARLink Online XML Technical Specification
NRSRO-WCLS	Form NRSRO – Withdrawal from Credit Rating Class for Nationally Recognized Statistical Rating Organizations	EDGARLink Online	EDGARLink Online XML Technical Specification
NRSRO-WREG	Form NRSRO – Withdrawal from Registration as Nationally Recognized Statistical Rating Organization	EDGARLink Online	EDGARLink Online XML Technical Specification
NT 10-K, NT 10-K/A	Notice under Rule 12b25 of inability to timely file all or part of a Form 10-K, 10-KSB, or 10-KT	EDGARLink Online	EDGARLink Online XML Technical Specification
NT 10-D, NT 10-D/A	Notice under Rule 12b25 of inability to timely file all or part of a Form 10-D	EDGARLink Online	EDGARLink Online XML Technical Specification
NT 10-Q, NT 10-Q/A	Notice under Rule 12b25 of inability to timely file all or part of a form 10-Q or 10-QSB	EDGARLink Online	EDGARLink Online XML Technical Specification
NT 11-K, NT 11-K/A	Notice under Rule 12b25 of inability to timely file all or part of a form 11-K	EDGARLink Online	EDGARLink Online XML Technical Specification
NT 15D2, NT 15D2/A	Notice under Rule 12b25 of inability to timely file a special report pursuant to Section 15d-2	EDGARLink Online	EDGARLink Online XML Technical Specification
NT 20-F, NT 20-F/A	Notice under Rule 12b25 of inability to timely file all or part of an annual report of form 20-F	EDGARLink Online	EDGARLink Online XML Technical Specification
NT-NCEN, NT-NCEN/A	Notice under Exchange Act Rule 12b-25 of inability to timely file Form N-CEN	EDGARLink Online	EDGARLink Online XML Technical Specification
NT-NCSR, NTNCSR/A	Notice under Exchange Act Rule 12b-25 of inability to timely file Form N-CSR (annual or semi-annual report)	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
N-VP, N-VP/A	Notice Document for Certain Variable Contracts	EDGARLink Online	EDGARLink Online XML Technical Specification
N-VPFS, N-VPFS/A	Financial Statements for Certain Variable Contracts	EDGARLink Online	EDGARLink Online XML Technical Specification
POS 8C	Post-effective amendment filed under the 1933 Act only or under both the 1933 and 1940 Acts pursuant to Section 8(c) of the 1933 Act by closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)	EDGARLink Online	EDGARLink Online XML Technical Specification
POS AM	Post-effective amendment to a registration statement that is not immediately effective upon filing	EDGARLink Online	EDGARLink Online XML Technical Specification
POS AMI	Post-effective amendment (for filings made under the 1940 Act only)	EDGARLink Online	EDGARLink Online XML Technical Specification
POSASR	Post-effective Amendment to an automatic shelf registration statement on Form S-3ASR or Form F-3ASR	EDGARLink Online	EDGARLink Online XML Technical Specification
POS EX	Post-effective amendment filed solely to add exhibits to a registration statement	EDGARLink Online	EDGARLink Online XML Technical Specification
POS462B	Post-effective amendment to Securities Act Rule 462(b) registration statement	EDGARLink Online	EDGARLink Online XML Technical Specification
POS462C	Post-effective amendment to a registration statement filed under Rule 462(c)	EDGARLink Online	EDGARLink Online XML Technical Specification
PRE 14A	Preliminary proxy statement not related to a contested matter or merger/acquisition	EDGARLink Online	EDGARLink Online XML Technical Specification
PRE 14C	Preliminary information statement not related to a contested matter or merger/acquisition	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
PREC14A	Preliminary proxy statement in connection with contested solicitations	EDGARLink Online	EDGARLink Online XML Technical Specification
PREC14C	Preliminary information statements - contested solicitations	EDGARLink Online	EDGARLink Online XML Technical Specification
PREM14A	Preliminary proxy statement relating to a merger, acquisition, or disposition	EDGARLink Online	EDGARLink Online XML Technical Specification
PREM14C	Preliminary information statements relating to merger or acquisition	EDGARLink Online	EDGARLink Online XML Technical Specification
PREN14A	Preliminary proxy statement filed by non-management	EDGARLink Online	EDGARLink Online XML Technical Specification
PRER14A	Preliminary revised proxy soliciting materials	EDGARLink Online	EDGARLink Online XML Technical Specification
PRER14C	Preliminary revised information statements	EDGARLink Online	EDGARLink Online XML Technical Specification
PRRN14A	Revised preliminary proxy statement filed by non-management	EDGARLink Online	EDGARLink Online XML Technical Specification
PX14A6G	Notice of exempt solicitation	EDGARLink Online	EDGARLink Online XML Technical Specification
PX14A6N	Notice of exempt solicitation for the purpose of determining whether to solicit proxies, consents, or authorizations in opposition to a proposed roll-up transaction filed pursuant to Rule 14a6(g) of the Securities Exchange Act of 1934	EDGARLink Online	EDGARLink Online XML Technical Specification
QRTLYRPT, QRTLYRPT/A	Periodic Development Bank filing, submitted quarterly	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
RW	Registration Withdrawal Request	EDGARLink Online	EDGARLink Online XML Technical Specification
RW WD	Withdrawal of a Registration Withdrawal Request	EDGARLink Online	EDGARLink Online XML Technical Specification
S-1, S-1/A	General form of registration statement for all companies including face-amount certificate companies	EDGARLink Online	EDGARLink Online XML Technical Specification
S-11, S-11/A	Registration statement for securities to be issued by real estate companies	EDGARLink Online	EDGARLink Online XML Technical Specification
S-11MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-11	EDGARLink Online	EDGARLink Online XML Technical Specification
S-1MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-1	EDGARLink Online	EDGARLink Online XML Technical Specification
S-20, S-20/A	Registration statement for standardized options	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3, S-3/A	Registration statement for specified transactions by certain issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3ASR	Automatic shelf registration statement of securities of well-known seasoned issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3D	Automatically effective registration statement for securities issued pursuant to dividend or interest reinvestment plans	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3DPOS	Post-effective amendment to a S-3D registration statement	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
S-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-3	EDGARLink Online	EDGARLink Online XML Technical Specification
S-4 POS	Post-effective amendment to a S-4EF registration statement	EDGARLink Online	EDGARLink Online XML Technical Specification
S-4, S-4/A	Registration of securities issued in business combination transactions	EDGARLink Online	EDGARLink Online XML Technical Specification
S-4EF	Auto effective registration statement for securities issued in connection with the formation of a bank or savings and loan holding company in compliance with General Instruction G	EDGARLink Online	EDGARLink Online XML Technical Specification
S-4MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-4	EDGARLink Online	EDGARLink Online XML Technical Specification
S-6, S-6/A	Initial registration statement filed on Form S-6 for unit investment trusts	EDGARLink Online	EDGARLink Online XML Technical Specification
S-8	Initial registration statement for securities to be offered to employees pursuant to employee benefit plans	EDGARLink Online	EDGARLink Online XML Technical Specification
S-8 POS	Post-effective amendment to a S-8 registration statement	EDGARLink Online	EDGARLink Online XML Technical Specification
S-B, S-B/A	Registration statement for securities of foreign governments and subdivisions thereof under the Securities Act of 1933 (Schedule B)	EDGARLink Online	EDGARLink Online XML Technical Specification
S-BMEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-B	EDGARLink Online	EDGARLink Online XML Technical Specification
SBSE, SBSE/A	Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
SBSE-A, SBSE-A/A	Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered or Registering with the Commodity Futures Trading Commission as a Swap Dealer or Major Swap Participant	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
SBSE-BD, SBSE-BD/A	Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered Broker-dealers	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
SBSE-C	Certifications for Registration of Security-based Swap Dealers and Major Security-based Swap Participants	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
SBSE-W	Request for Withdrawal from Registration as a Security-based Swap Dealer or Major Security-based Swap Participant	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
SBSE-DISPUTE NOTICE, SBS DISPUTE NOTICE/A	Security-Based Swap Entity Valuation Dispute Notice	EDGARLink Online	EDGARLink Online XML Technical Specification
SBSE-CCO-RPT, SBSE-CCO-RPT/A	Chief Compliance Officer's Annual Compliance Report of Security-Based Swap Dealer or Major Security-Based Swap Participant pursuant to Rule 15Fk-1	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
SC 13D, SC 13D/A	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities	EDGARLink Online	EDGARLink Online XML Technical Specification
SC 13E1, SC 13E1/A	Schedule 13-E1 statement of issuer required by Rule 13e-1	EDGARLink Online	EDGARLink Online XML Technical Specification
SC 13E3, SC 13E3/A	Schedule filed to report going private transactions	EDGARLink Online	EDGARLink Online XML Technical Specification
SC 13G, SC 13G/A	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities by passive investors and certain institutions	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
SC 14D9, SC 14D9/A	Tender offer solicitation/recommendation statements filed under Rule 14d-9	EDGARLink Online	EDGARLink Online XML Technical Specification
SC 14F1, SC 14F1/A	Statement regarding change in majority of directors pursuant to Rule 14f-1	EDGARLink Online	EDGARLink Online XML Technical Specification
SC 14N, SC 14N/A	Information filed by certain nominating shareholders (pursuant to Section 240 14n-1)	EDGARLink Online	EDGARLink Online XML Technical Specification
SC 14N-S, SC 14N-S/A	Solicitation in connection with the formation or attempted formation of a Rule 14a-11 nominating shareholder group or solicitation in connection with a Rule 14a-11 nomination	EDGARLink Online	EDGARLink Online XML Technical Specification
SC TO-C	Written communication relating to an issuer or third party tender offer	EDGARLink Online	EDGARLink Online XML Technical Specification
SC TO-I, SC TO-I/A	Issuer tender offer statement	EDGARLink Online	EDGARLink Online XML Technical Specification
SC TO-T, SC TO-T/A	Third party tender offer statement	EDGARLink Online	EDGARLink Online XML Technical Specification
SC13E4F, SC13E4F/A	Issuer tender offer statement filed pursuant to Rule 13(e)(4) by foreign issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
SC14D1F, SC14D1F/A	Third party tender offer statement filed pursuant to Rule 14d-1(b) by foreign issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
SC14D9C	Written communication by the subject company relating to a third party tender offer	EDGARLink Online	EDGARLink Online XML Technical Specification
SC14D9F, SC14D9F/A	Solicitation/recommendation statement pursuant to Section 14(d)(4) of the Securities Exchange Act of 1934 and Rules 14d-1(b) and 14e-2(c) by foreign issuers	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
SD, SD/A	Specialized Disclosure Report filed pursuant to Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act relating to the use of conflict minerals (Rule 13p-1); or to provide an annual report of payments to foreign governments for resource extraction activities (Rule 13q-1)	EDGARLink Online	EDGARLink Online XML Technical Specification
SDR, SDR/A, SDR-A	Security-based swap data repository registration pursuant to the Securities Exchange Act of 1934. Application for Registration as Security-based Swap Data Repository (SDR), Interim Amendment to Application for Registration as Security-based Swap Data Repository (SDR/A), and Annual Amendment to Application for Registration as Security-based Swap Data Repository (SDR-A)	EDGAR Filing Website Online Forms	EDGAR SDR XML Technical Specification
SDR-CCO, SDR-CCO/A	Annual Compliance Report and Financial Report for a Security-based Swap Data Repository	EDGARLink Online	EDGARLink Online XML Technical Specification
SDR-W	Application for Withdrawal from Registration as Security-based Swap Data Repository	EDGAR Filing Website Online Forms	EDGAR SDR XML Technical Specification
SF-1, SF-1/A	General form of registration statement for all issuers of asset-backed securities	EDGARLink Online	EDGARLink Online XML Technical Specification
SF-1MEF	A new registration statement filed under Securities Act Rule 462(b) to add securities to a prior related effective registration statement filed on Form SF-1	EDGARLink Online	EDGARLink Online XML Technical Specification
SF-3, SF-3/A	Shelf registration statement for qualified offerings of asset-backed securities	EDGARLink Online	EDGARLink Online XML Technical Specification
SF-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form SF-3	EDGARLink Online	EDGARLink Online XML Technical Specification
SH-ER, SH-ER/A	Weekly Form SH Entries Report Filed by Institutional Investment Managers	EDGARLink Online	SH-ER Information Table XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
SH-NT, SH-NT/A	Weekly Form SH Notice Report Filed by Institutional Investment Managers	EDGARLink Online	EDGARLink Online XML Technical Specification
SP 15D2, SP 15D2/A	Special Financial Report filed under Rule 15d-2	EDGARLink Online	EDGARLink Online XML Technical Specification
SPDSCL	Specialized Disclosure	EDGARLink Online	EDGARLink Online XML Technical Specification
SUPPL	Voluntary supplemental material filed pursuant to Section 11(a) of the Securities Act of 1933 by foreign issuers	EDGARLink Online	EDGARLink Online XML Technical Specification
T-1, T-2	Note - Forms T-1 and T-2 are not filed as stand-alone submission types on the EDGAR system. They are filed as EX-25 (or EX-25/A when amended) to registration statements.		
T-3, T-3/A	Initial application for qualification of trust indentures	EDGARLink Online	EDGARLink Online XML Technical Specification
T-6, T-6/A	Application for determination of eligibility of a foreign person to act as institutional trustee filed pursuant to Section 310(a)(1) of the Trust Indenture Act of 1939	EDGARLink Online	EDGARLink Online XML Technical Specification
TA-1, TA-1/A	Application for registration as a transfer agent filed pursuant to the Securities Exchange Act of 1934	EDGAR Filing Website Online Forms	EDGAR Form TA XML Technical Specification
TA-2, TA-2/A	Annual report of transfer agent activities filed pursuant to the Securities Exchange Act of 1934	EDGAR Filing Website Online Forms	EDGAR Form TA XML Technical Specification
TA-W	Notice of withdrawal from registration as transfer agent filed pursuant to the Securities Exchange Act of 1934	EDGAR Filing Website Online Forms	EDGAR Form TA XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
UNDER, UNDER/A	Initial undertaking to file reports	EDGARLink Template 3	XFDL Technical Specification
X-17A-5, X-17A-5/A	Information Required of Brokers and Dealers Pursuant to Section 17 of the Securities Exchange Act of 1934 and Rules 17a-5 and 17a-12 thereunder	EDGAR Filing Website Online Forms	EDGAR Form X-17A-5 XML Technical Specification

3.2 Electronic Form Types by Act

This index will allow you to use the filing type to identify the EDGAR submission type and finally the tool or template you can use to either create or assemble the filing. Each of the tools and templates are covered in detail in separate sections of this document. The final column should only be used by filers or software developers who construct filings outside of the SEC supplied tools. Filer-Constructed Technical Specifications are available on the SEC's Public Website. Please refer to these sites to determine if your version of the tool, template, or document is correct.

Note: Tools, templates, and documents will no longer be marked with a version number relating to a software release. Some tools may be specific to submission types that remain the same through several releases, instead of being updated with each new release. Therefore each tool, template and manual will now be marked with its own version number, specific to that particular item. You can find the most current versions on the website from which the tools, templates, and manuals are downloaded. Be sure to verify that you have the current version before filing.

Issuers are advised that filings with the submission types listed below will receive a "Filing Date" identical to the EDGAR "Received Date" even if received after 5:30 P.M. Eastern time, which is different than normal filings. In addition these filings will be disseminated until 10:00 P.M. Eastern time. Normally filings received after 5:30 P.M. Eastern time will receive a filing date of the next business day and will not be disseminated until the next business day.

The following submission types will receive a filing date identical to the EDGAR "Received Date" and will be disseminated until 10:00 P.M. Eastern time: 3, 3/A, 4, 4/A, 5, 5/A, 144, 144/A, F-1MEF, F-3MEF, F-4MEF, N-14MEF, N-2MEF, POS 462B, S-11MEF, S-1MEF, S-3MEF, S-4MEF, S-BMEF.

You should submit any fee payment certification that you are making for the above-listed submission types, pursuant to Rule 3a(c), using the "CORRESP" submission type.

Electronic Form Types by Act

List of Tables

Table 3-1: Securities Act Submission Types Accepted by EDGAR 3-35
Table 3-2: Securities Exchange Act - Proxy Materials and Information Statements Filed Pursuant to Section 14 Submission Types Accepted by EDGAR 3-54
Table 3-3: Securities Exchange Act – Registration and Report Submission Types Accepted by EDGAR 3-59
Table 3-4: Williams Act Filing Submission Types Accepted by EDGAR 3-80
Table 3-5: Investment Company Submission Types Accepted by EDGAR 3-84
Table 3-6: Development Bank Submission Types Accepted by EDGAR 3-108
Table 3-7: Correspondence Submission Types 3-109

Table 3-1: Securities Act Submission Types Accepted by EDGAR

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
1-A	Offering Statement under Regulation A	1-A	EDGAR Filing Website	EDGAR REG A XML Technical Specification
1-A	Pre-qualification amendment for offering statement under Regulation A	1-A/A	EDGAR Filing Website	EDGAR REG A XML Technical Specification
1-A POS	Post-qualification amendment to a 1-A offering statement	1-A POS	EDGAR Filing Website	EDGAR REG A XML Technical Specification
1-A-W	Withdrawal of offering statement under Regulation A	1-A-W	EDGARLink Online	EDGARLink Online XML Technical Specification
1-A-W	Amendment to a withdrawal of offering statement under Regulation A	1-A-W/A	EDGARLink Online	EDGARLink Online XML Technical Specification
1-K	Annual Report Pursuant to Regulation A	1-K	EDGAR Filing Website	EDGAR REG A XML Technical Specification
1-K	Amendment to Annual Report Pursuant to Regulation A	1-K/A	EDGAR Filing Website	EDGAR REG A XML Technical Specification
1-SA	Semiannual Report Pursuant to Regulation A	1-SA	EDGARLink Online	EDGARLink Online XML Technical Specification
1-SA	Amendment to Semiannual Report Pursuant to Regulation A	1-SA/A	EDGARLink Online	EDGARLink Online XML Technical Specification
1-U	Current Report pursuant to Regulation A	1-U	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
1-U	Amendment to Current Report pursuant to Regulation A	1-U/A	EDGARLink Online	EDGARLink Online XML Technical Specification
1-Z	Exit Report under Regulation A	1-Z	EDGAR Filing Website	EDGAR REG A XML Technical Specification
1-Z	Amendment to Exit Report under Regulation A	1-Z/A	EDGAR Filing Website	EDGAR REG A XML Technical Specification
1-Z-W	Withdrawal of Exit Report under Regulation A	1-Z-W	EDGARLink Online	EDGARLink Online XML Technical Specification
1-Z-W	Amendment to a withdrawal of Exit Report under Regulation A	1-Z-W/A	EDGARLink Online	EDGARLink Online XML Technical Specification
253G1	Reflects information previously omitted from the offering circular in reliance on Rule 253(b)	253G1	EDGARLink Online	EDGARLink Online XML Technical Specification
253G2	Reflects information that constitutes a substantive change from or addition to the information set forth in the last offering circular	253G2	EDGARLink Online	EDGARLink Online XML Technical Specification
253G3	Reflects information covered in both 253G1 and 253G2	253G3	EDGARLink Online	EDGARLink Online XML Technical Specification
253G4	Reflects information covered in 253G1, 253G2, or 253G3 that is not being timely filed	253G4	EDGARLink Online	EDGARLink Online XML Technical Specification
C	Offering Statement	C	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C	Offering Statement Withdrawal	C-W	EDGAR Filing Website	EDGAR Form C XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
C	Amendment to Offering Statement	C/A	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C	Amendment to Offering Statement Withdrawal	C/A-W	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C	Progress Update	C-U	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C	Progress Update Withdrawal	C-U-W	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C	Annual Report	C-AR	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C	Amendment to Annual Report	C-AR/A	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C	Annual Report Withdrawal	C-AR-W	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C	Amendment to Annual Report Withdrawal	C-AR/A-W	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C	Termination of Reporting	C-TR	EDGAR Filing Website	EDGAR Form C XML Technical Specification
C	Termination of Reporting Withdrawal	C-TR-W	EDGAR Filing Website	EDGAR Form C XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
CFPORTAL	Initial application of funding portal	CFPORTAL	EDGAR Filing Website	EDGAR Form CFPORTAL XML Technical Specification
CFPORTAL	Amendment to registration, including a successor registration	CFPORTAL/A	EDGAR Filing Website	EDGAR Form CFPORTAL XML Technical Specification
CFPORTAL	Withdrawal of the funding portal's registration	CFPORTAL-W	EDGAR Filing Website	EDGAR Form CFPORTAL XML Technical Specification
D	Official notice of an offering of securities that is made without registration under the Securities Act in reliance on an exemption provided by Regulation D and Section 4a(5) under the Act	D	Online Forms	N/A
D	Amendment	D/A	Online Forms	N/A
DOS	Non-public draft offering statement under Regulation A	DOS	EDGAR Filing Website	N/A
DOS	Non-public draft pre-qualification amendment for offering statement under Regulation A	DOS/A	EDGAR Filing Website	N/A
DOS	Draft Offering Statement Letter	DOSLTR	EDGARLink Online	N/A
DRS	Draft registration statement submitted by Emerging Growth Company under Securities Act Section 6(e) or by Foreign Private Issuer under Division of Corporation Finance policy	DRS	EDGARLink Online	N/A
DRS	Amended Draft Registration Statement	DRS/A	EDGARLink Online	N/A
DRS	Correspondence Related to Draft Registration Statement	DRSLTR	EDGARLink Online	N/A

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
F-1	Registration statement for securities of certain foreign private issuers	F-1	EDGARLink Online	EDGARLink Online XML Technical Specification
F-1	Pre-effective amendment	F-1/A	EDGARLink Online	EDGARLink Online XML Technical Specification
F-1	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
F-1MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-1	F-1MEF	EDGARLink Online	EDGARLink Online XML Technical Specification
F-1MEF	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3	Registration statement for specified transactions by certain foreign private issuers	F-3	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3	Pre-Effective amendment	F-3/A	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3	Automatic shelf registration statement of securities of well-known seasoned issuers	F-3ASR	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3	Post-effective Amendment to an automatic shelf registration statement on Form S-3ASR or Form F-3ASR	POSASR	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3	Registration statement for dividend or interest reinvestment plan securities of foreign private issuers	F-3D	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
F-3	Post-Effective amendment to a F-3D registration	F-3DPOS	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-3	F-3MEF	EDGARLink Online	EDGARLink Online XML Technical Specification
F-3MEF	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Online	EDGARLink Online XML Technical Specification
F-4	Registration statement for securities issued by foreign private issuers in certain business combination transactions	F-4	EDGARLink Online	EDGARLink Online XML Technical Specification
F-4	Pre-effective amendment	F-4/A	EDGARLink Online	EDGARLink Online XML Technical Specification
F-4	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
F-4	Auto effective registration statement for securities by certain foreign private issuers in connection with certain business combination transactions	F-4EF	EDGARLink Online	EDGARLink Online XML Technical Specification
F-4	Post-effective amendment to a F-4EF registration	F-4 POS	EDGARLink Online	EDGARLink Online XML Technical Specification
F-4MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-4	F-4MEF	EDGARLink Online	EDGARLink Online XML Technical Specification
F-4MEF	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Online	EDGARLink Online XML Technical Specification
F-6	Registration statement for American Depositary Receipts representing securities of certain foreign private issuers	F-6	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
F-6	Pre-effective amendment	F-6/A	EDGARLink Online	EDGARLink Online XML Technical Specification
F-6	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
F-6	Auto effective registration statement for American Depositary Receipts representing securities of certain foreign private issuers	F 6EF	EDGARLink Online	EDGARLink Online XML Technical Specification
F-6	Post-effective amendment to a F-6EF registration	F-6 POS	EDGARLink Online	EDGARLink Online XML Technical Specification
F-7	Registration statement for securities of certain Canadian issuers offered for cash upon the exercise of rights granted to existing security holders under the Securities Act of 1933	F-7	EDGARLink Online	EDGARLink Online XML Technical Specification
F-7	Pre-effective amendment	F-7/A	EDGARLink Online	EDGARLink Online XML Technical Specification
F-7	Post-effective amendment to a F-7 registration	F-7 POS	EDGARLink Online	EDGARLink Online XML Technical Specification
F-8	Registration statement for securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933	F-8	EDGARLink Online	EDGARLink Online XML Technical Specification
F-8	Pre-effective amendment	F-8/A	EDGARLink Online	EDGARLink Online XML Technical Specification
F-8	Post-effective amendment to a F-8 registration	F-8 POS	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
F-10	Registration statement for securities of certain Canadian issuers under the Securities Act of 1933	F-10	EDGARLink Online	EDGARLink Online XML Technical Specification
F-10	Pre-effective amendment	F-10/A	EDGARLink Online	EDGARLink Online XML Technical Specification
F-10	Auto effective registration statement for securities of certain Canadian issuers under the Securities Act of 1933	F-10EF	EDGARLink Online	EDGARLink Online XML Technical Specification
F-10	Post-effective amendment to a F10EF registration	F-10POS	EDGARLink Online	EDGARLink Online XML Technical Specification
F-80	Registration of securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933	F-80	EDGARLink Online	EDGARLink Online XML Technical Specification
F-80	Pre-effective amendment	F-80/A	EDGARLink Online	EDGARLink Online XML Technical Specification
S-1	General form of registration statement for all companies including face-amount certificate companies	S-1	EDGARLink Online	EDGARLink Online XML Technical Specification
S-1	Pre-effective amendment	S-1/A	EDGARLink Online	EDGARLink Online XML Technical Specification
S-1	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
S-1MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-1	S-1MEF	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
S-1MEF	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3	Registration statement for specified transactions by certain issuers	S-3	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3	Pre-effective amendment	S-3/A	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3	Automatic shelf registration statement of securities of well-known seasoned issuers	S-3ASR	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3	Post-effective Amendment to an automatic shelf registration statement on Form S-3ASR or Form F-3ASR	POSASR	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3	Automatically effective registration statement for securities issued pursuant to dividend or interest reinvestment plans	S-3D	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3	Post-effective amendment to a S-3D registration statement	S-3DPOS	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-3	S-3MEF	EDGARLink Online	EDGARLink Online XML Technical Specification
S-3MEF	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Online	EDGARLink Online XML Technical Specification
S-4	Registration of securities issued in business combination transactions	S-4	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
S-4	Pre-effective amendment	S-4/A	EDGARLink Online	EDGARLink Online XML Technical Specification
S-4	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
S-4	Auto effective registration statement for securities issued in connection with the formation of a bank or savings and loan holding company in compliance with General Instruction G	S-4EF	EDGARLink Online	EDGARLink Online XML Technical Specification
S-4	Post-effective amendment to a S-4EF registration statement	S-4 POS	EDGARLink Online	EDGARLink Online XML Technical Specification
S-4MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-4	S-4MEF	EDGARLink Online	EDGARLink Online XML Technical Specification
S-4MEF	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Online	EDGARLink Online XML Technical Specification
S-8	Initial registration statement for securities to be offered to employees pursuant to employee benefit plans	S-8	EDGARLink Online	EDGARLink Online XML Technical Specification
S-8	Post-effective amendment to a S-8 registration statement	S-8 POS	EDGARLink Online	EDGARLink Online XML Technical Specification
S-11	Registration statement for securities to be issued by real estate companies	S-11	EDGARLink Online	EDGARLink Online XML Technical Specification
S-11	Pre-effective amendment	S-11/A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
S-11	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
S-11MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-11	S-11MEF	EDGARLink Online	EDGARLink Online XML Technical Specification
S-11MEF	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Online	EDGARLink Online XML Technical Specification
S-20	Registration statement for standardized options	S-20	EDGARLink Online	EDGARLink Online XML Technical Specification
S-20	Pre-effective amendment	S-20/A	EDGARLink Online	EDGARLink Online XML Technical Specification
S-20	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
S-B	Registration statement for securities of foreign governments and subdivisions thereof under the Securities Act of 1933 (Schedule B)	S-B	EDGARLink Online	EDGARLink Online XML Technical Specification
S-B	Pre-effective amendment	S-B/A	EDGARLink Online	EDGARLink Online XML Technical Specification
S-B	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
S-BMEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-B	S-BMEF	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
S-BMEF	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Online	EDGARLink Online XML Technical Specification
POS462B	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Online	EDGARLink Online XML Technical Specification
POS462C	Post-effective amendment to a registration statement filed under Rule 462(c)	POS462C	EDGARLink Online	EDGARLink Online XML Technical Specification
POS AM	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
POS EX	Post-effective amendment filed solely to add exhibits to a registration statement	POS EX	EDGARLink Online	EDGARLink Online XML Technical Specification
SF-1	General form of registration statement for all issuers of asset-backed securities	SF-1	EDGARLink Online	EDGARLink Online XML Technical Specification
SF-1	Pre-effective amendment to an SF-1 registration statement	SF-1/A	EDGARLink Online	EDGARLink Online XML Technical Specification
SF-1	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
SF-1MEF	A new registration statement filed under Securities Act Rule 462(b) to add securities to a prior related effective registration statement filed on Form SF-1	SF-1MEF	EDGARLink Online	EDGARLink Online XML Technical Specification
SF-3	Shelf registration statement for qualified offerings of asset-backed securities	SF-3	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
SF-3	Pre-effective amendment to an SF-3 registration statement	SF-3/A	EDGARLink Online	EDGARLink Online XML Technical Specification
SF-3	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
SF-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form SF-3	SF-3MEF	EDGARLink Online	EDGARLink Online XML Technical Specification

Prospectus Filed Pursuant to Rule 424

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
424A	Prospectus filed pursuant to Rule 424(a)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B1	Prospectus filed pursuant to Rule 424(b)(1)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B2	Prospectus filed pursuant to Rule 424(b)(2)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B3	Prospectus filed pursuant to Rule 424(b)(3)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B4	Prospectus filed pursuant to Rule 424(b)(4)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B5	Prospectus filed pursuant to Rule 424(b)(5)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B7	Prospectus filed pursuant to Rule 424(b)(7)	EDGARLink Online	EDGARLink Online XML Technical Specification
424B8	Prospectus filed pursuant to Rule 424(b)(8)	EDGARLink Online	EDGARLink Online XML Technical Specification
424H	Preliminary Prospectus filed pursuant to Rule 424(h)	EDGARLink Online	EDGARLink Online XML Technical Specification
424H/A	Amendment to Preliminary Prospectus filed pursuant to Rule 424(h)	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
424I	Prospectus filed pursuant to Rule 424(i)(1)	EDGARLink Online	EDGARLink Online XML Technical Specification

Free Writing Prospectus

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
FWP	Filing under Securities Act Rules 163/433 of free writing prospectuses	EDGARLink Online	EDGARLink Online XML Technical Specification

Certification by an exchange approving securities for listing

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
CERT	Certification by an exchange approving securities for listing	CERT	EDGARLink Online	N/A

Filings Pursuant to the Trust Indenture Act

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
305B2	Application for designation of a new trustee under the Trust Indenture Act	305B2	EDGARLink Online	EDGARLink Online XML Technical Specification
305B2	Amendment	305B2/A	EDGARLink Online	EDGARLink Online XML Technical Specification
T-3	Initial application for qualification of trust indentures	T-3	EDGARLink Online	EDGARLink Online XML Technical Specification
T-3	Pre-effective amendment	T-3/A	EDGARLink Online	EDGARLink Online XML Technical Specification
T-6	Application for determination of eligibility of a foreign person to act as institutional trustee filed pursuant to Section 310(a)(1) of the Trust Indenture Act of 1939	T-6	EDGARLink Online	EDGARLink Online XML Technical Specification
T-6	Pre-effective amendment	T-6/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Note: Forms T-1 and T-2 are not filed as stand-alone submission types on the EDGAR system. They are filed as EX-25 (or EX-25/A when amended) to registration statements.

Filings Pursuant to Rule 144

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
144	Notice for proposed sale of securities under Rule 144 where the issuing company is subject to the reporting requirements of Section 13 or 15(d) of the Exchange Act	144	Online Forms	EDGAR Form 144 XML Technical Specification
144	Amendment to Form 144	144/A	Online Forms	EDGAR Form 144 XML Technical Specification

Miscellaneous Filings

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
APP WD	Withdrawal of an application for exemptive or other relief from the federal securities laws	APP WD	EDGARLink Online	EDGARLink Online XML Technical Specification
APP WD	Amendment to Form APP WD	APP WD/A	EDGARLink Online	EDGARLink Online XML Technical Specification
DEL AM	Separately filed delaying amendment under Securities Act Rule 473 to delay effectiveness of a 1933 Act registration statement	DEL AM	EDGARLink Online	EDGARLink Online XML Technical Specification
UNDER	Initial undertaking to file reports	UNDER	EDGARLink Online	EDGARLink Online XML Technical Specification
UNDER	Amendment	UNDER/A	EDGARLink Online	EDGARLink Online XML Technical Specification
SUPPL	Voluntary supplemental material filed pursuant to Section 11(a) of the Securities Act of 1933 by foreign issuers	SUPPL	EDGARLink Online	EDGARLink Online XML Technical Specification
RW	Registration Withdrawal Request	RW	EDGARLink Online	EDGARLink Online XML Technical Specification
RW WD	Withdrawal of a Registration Withdrawal Request	RW WD	EDGARLink Online	EDGARLink Online XML Technical Specification
AW	Withdrawal of amendment to a registration statement filed under the Securities Act	AW	EDGARLink Online	Specification EDGARLink Online XML Technical Specification
AW WD	Withdrawal of a request for withdrawal of an amendment to a registration statement	AW WD	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
425	Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions **Note:** Form 425 can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms	425	EDGARLink Online	EDGARLink Online XML Technical Specification
F-X	For appointment of agent for service of process by issuers registering securities (if filed on Form F-8, F-9, F-10 or F-80, or registering securities or filing periodic reports on Form 40-F, or by any person filing certain tender offer documents, or by any person acting as trustee with respect to securities registered on form F-7, F-8, F-9 or F-10	F-X	EDGARLink Online	EDGARLink Online XML Technical Specification
F-X	Amendment	F-X/A	EDGARLink Online	EDGARLink Online XML Technical Specification
F-N	Notification of the appointment of an agent for service by certain foreign institutions	F-N	EDGARLink Online	EDGARLink Online XML Technical Specification
F-N	Amendment	F-N/A	EDGARLink Online	EDGARLink Online XML Technical Specification
SPDSCL	Specialized Disclosure	SPDSCL	EDGARLink Online	EDGARLink Online XML Technical Specification

Table 3-2: Securities Exchange Act - Proxy Materials and Information Statements Filed Pursuant to Section 14 Submission Types Accepted by EDGAR

Preliminary Proxy Soliciting Materials

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
PREM14A	Preliminary proxy statement relating to a merger, acquisition, or disposition	EDGARLink Online	EDGARLink Online XML Technical Specification
PREC14A	Preliminary proxy statement in connection with contested solicitations	EDGARLink Online	EDGARLink Online XML Technical Specification
PREN14A	Preliminary proxy statement filed by non-management	EDGARLink Online	EDGARLink Online XML Technical Specification
PRE 14A	Preliminary proxy statement not related to a contested matter or merger/acquisition	EDGARLink Online	EDGARLink Online XML Technical Specification

Preliminary Information Statements

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
PREM14C	Preliminary information statements relating to merger or acquisition	EDGARLink Online	EDGARLink Online XML Technical Specification
PREC14C	Preliminary information statements – contested solicitations	EDGARLink Online	EDGARLink Online XML Technical Specification
PRE 14C	Preliminary information statement not related to a contested matter or merger/acquisition	EDGARLink Online	EDGARLink Online XML Technical Specification

Revised Preliminary Materials

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
PRER14A	Preliminary revised proxy soliciting materials	EDGARLink Online	EDGARLink Online XML Technical Specification
PRRN14A	Revised preliminary proxy statement filed by non-management	EDGARLink Online	EDGARLink Online XML Technical Specification
PRER14C	Preliminary revised information statements	EDGARLink Online	EDGARLink Online XML Technical Specification

Definitive Materials (Proxy Materials)

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
DEFM14A	Definitive proxy statement relating to a merger, acquisition, or disposition	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFC14A	Definitive proxy statement in connection with contested solicitations	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFN14A	Definitive proxy statement filed by non-management	EDGARLink Online	EDGARLink Online XML Technical Specification
DFRN14A	Revised definitive proxy statement filed by non-management	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFR14A	Definitive revised proxy soliciting materials	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFA14A	Definitive additional proxy soliciting materials including Rule 14(a)(12) material **Note:** Submission type DEFA14A can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms	EDGARLink Online	EDGARLink Online XML Technical Specification
DFAN14A	Definitive additional proxy soliciting materials filed by non-management including Rule 14(a)(12) material **Note:** Submission type DFAN14A can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms	EDGARLink Online	EDGARLink Online XML Technical Specification
DEF 14A	Definitive proxy statements	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
PX14A6G	Notice of exempt solicitation	EDGARLink Online	EDGARLink Online XML Technical Specification
PX14A6N	Notice of exempt solicitation for the purpose of determining whether to solicit proxies, consents, or authorizations in opposition to a proposed roll-up transaction filed pursuant to Rule 14a6(g) of the Securities Exchange Act of 1934	EDGARLink Online	EDGARLink Online XML Technical Specification

Definitive Materials (Information Statements)

Submission Type	Description	Tool/ Template Number	Filer-Constructed Form Spec.
DEFM14C	Definitive information statement relating to merger or acquisition	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFC14C	Definitive information statement – contested solicitations	EDGARLink Online	EDGARLink Online XML Technical Specification
DEF 14C	Definitive information statements	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFA14C	Definitive additional information statement materials including Rule 14(a)(12) material	EDGARLink Online	EDGARLink Online XML Technical Specification
DEFR14C	Definitive revised information statement materials	EDGARLink Online	EDGARLink Online XML Technical Specification

Table 3-3: Securities Exchange Act – Registration and Report Submission Types Accepted by EDGAR

Registration Statements

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
8-A	Form for the registration / listing of a class of securities on a national securities exchange pursuant to Section 12(b)	8-A12B	EDGARLink Online	EDGARLink Online XML Technical Specification
8-A	Amendment	8-A12B/A	EDGARLink Online	EDGARLink Online XML Technical Specification
8-A	Form for registration of a class of securities pursuant to Section 12(g)	8-A12G	EDGARLink Online	EDGARLink Online XML Technical Specification
8-A	Amendment	8-A12G/A	EDGARLink Online	EDGARLink Online XML Technical Specification
10	Initial general form for registration of a class of securities pursuant to Section 12(b)	10-12B	EDGARLink Online	EDGARLink Online XML Technical Specification
10	Amendment	10-12B/A	EDGARLink Online	EDGARLink Online XML Technical Specification
10	Initial general form for registration of a class of securities pursuant to Section 12(g)	10-12G	EDGARLink Online	EDGARLink Online XML Technical Specification
10	Amendment	10-12G/A	EDGARLink Online	EDGARLink Online XML Technical Specification
13H	Large Trader Registration Information Required of Large Traders Pursuant to the Securities Exchange Act of 1934 and Rule 13h-1 Thereunder	13H	EDGAR Filing Website Online Forms	N/A

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
13H	Amended Filing	13H-Q	EDGAR Filing Website Online Forms	N/A
13H	Annual Filing	13H-A	EDGAR Filing Website Online Forms	N/A
13H	Inactive Status	13H-I	EDGAR Filing Website Online Forms	N/A
13H	Reactivated Status	13H-R	EDGAR Filing Website Online Forms	N/A
13H	Termination Filing	13H-T	EDGAR Filing Website Online Forms	N/A
20-F	Form for initial registration of a class of securities of foreign private issuers pursuant to Section 12(b)	20FR12B	EDGARLink Online	EDGARLink Online XML Technical Specification
20-F	Amendment	20FR12B/A	EDGARLink Online	EDGARLink Online XML Technical Specification
20-F	Form for initial registration of a class of securities of foreign private issuers pursuant to Section 12(g)	20FR12G	EDGARLink Online	EDGARLink Online XML Technical Specification
20-F	Amendment	20FR12G/A	EDGARLink Online	EDGARLink Online XML Technical Specification
40-F	Registration of a class of securities of certain Canadian issuers pursuant to Section 12(b) of the 1934 Act	40FR12B	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
40-F	Amendment	40FR12B/A	EDGARLink Online	EDGARLink Online XML Technical Specification
40-F	Registration of a class of securities of certain Canadian issuers pursuant to Section 12(g) of the 1934 Act	40FR12G	EDGARLink Online	EDGARLink Online XML Technical Specification
40-F	Amendment	40FR12G/A	EDGARLink Online	EDGARLink Online XML Technical Specification
18	Form for initial registration of securities of foreign governments or political subdivisions pursuant to Section 12(b)	18-12B	EDGARLink Online	EDGARLink Online XML Technical Specification
18	Amendment	18-12B/A	EDGARLink Online	EDGARLink Online XML Technical Specification
18	Form for initial registration of securities of foreign governments or political subdivisions thereof pursuant to Section 12(g)	18-12G	EDGARLink Online	EDGARLink Online XML Technical Specification
18	Amendment	18- 12G/A	EDGARLink Online	EDGARLink Online XML Technical Specification
MA	Application for Municipal Advisor Registration	MA	EDGAR Filing Website Online Forms	EDGAR Form MA XML Technical Specification
MA	Annual Update of Municipal Advisor Registration	MA-A	EDGAR Filing Website Online Forms	EDGAR Form MA XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
MA	Amendment of a Prior Application for Registration	MA/A	EDGAR Filing Website Online Forms	EDGAR Form MA XML Technical Specification
MA-I	Information Regarding Natural Persons Who Engage in Municipal Advisory Activities	MA-I	EDGAR Filing Website Online Forms	EDGAR Form MA XML Technical Specification
MA-I	Amendment of a previously submitted Form MA-I	MA-I/A	EDGAR Filing Website Online Forms	EDGAR Form MA XML Technical Specification
MA-W	Notice of Withdrawal from Registration as a Municipal Advisor	MA-W	EDGAR Filing Website Online Forms	EDGAR Form MA XML Technical Specification
See Rules 15Fb1-1 through 15Fb6-2	Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants	SBSE	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
See Rules 15Fb1-1 through 15Fb6-2	Amendment to an Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants	SBSE/A	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
See Rules 15Fb1-1 through 15Fb6-2	Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered or Registering with the Commodity Futures Trading Commission as a Swap Dealer or Major Swap Participant	SBSE-A	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
See Rules 15Fb1-1 through 15Fb6-2	Amendment to an Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered or Registering with the Commodity Futures Trading Commission as a Swap Dealer or Major Swap Participant	SBSE-A/A	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
See Rules 15Fb1-1 through 15Fb6-2	Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered Broker-dealers	SBSE-BD	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
See Rules 15Fb1-1 through 15Fb6-2	Amendment to an Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered Broker-dealers	SBSE-BD/A	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
See Rules 15Fb1-1 through 15Fb6-2	Certifications for Registration of Security-based Swap Dealers and Major Security-based Swap Participants	SBSE-C	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
See Rules 15Fb1-1 through 15Fb6-2	Request for Withdrawal from Registration as a Security-based Swap Dealer or Major Security-based Swap Participant	SBSE-W	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
Exchange Act Rule 15Fi-3(c)	Security-Based Swap Entity Valuation Dispute Notice	SBS DISPUTE NOTICE	EDGARLink Online	EDGARLink Online XML Technical Specification
Exchange Act Rule 15Fi-3(c)	Amendment to a Security-Based Swap Entity Valuation Dispute Notice	SBS DISPUTE NOTICE/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Exchange Act Rule 15Fk-1	Chief Compliance Officer's Annual Compliance Report of Security-Based Swap Dealer or Major Security-Based Swap Participant pursuant to Rule 15Fk-1	SBSE-CCO-RPT	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
Exchange Act Rule 15Fk-1	Amendment to Chief Compliance Officer's Annual Compliance Report of Security-Based Swap Dealer or Major Security-Based Swap Participant pursuant to Rule 15Fk-1	SBSE-CCO-RPT/A	EDGAR Filing Website Online Forms	EDGAR SBS Entity Forms XML Technical Specification
SDR	Application for Registration as Security-based Swap Data Repository	SDR	EDGAR Filing Website Online Forms	EDGAR SDR XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
SDR	Interim Amendment to Application for Registration as Security-based Swap Data Repository	SDR/A	EDGAR Filing Website Online Forms	EDGAR SDR XML Technical Specification
SDR	Annual Amendment to Application for Registration as Security-based Swap Data Repository	SDR-A	EDGAR Filing Website Online Forms	EDGAR SDR XML Technical Specification
SDR-W	Application for Withdrawal from Registration as Security-based Swap Data Repository	SDR-W	EDGAR Filing Website Online Forms	EDGAR SDR XML Technical Specification

Annual, Quarterly, and Periodic Reports

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
ABS-EE	Form for Submission of Electronic Exhibits in asset-backed securities offerings	ABS-EE	EDGARLink Online	EDGARLink Online XML Technical Specification, EDGAR ABS XML Technical Specification
ABS-EE	Amendment to Form for Submission of Electronic Exhibits in asset-backed securities offerings	ABS-EE/A	EDGARLink Online	EDGARLink Online XML Technical Specification, EDGAR ABS XML Technical Specification
ARS	Annual report to security holders	ARS	EDGARLink Online	EDGARLink Online XML Technical Specification
ARS	Amendment **Note**: Use this submission type when furnishing the annual report to security holders for the information of the Commission pursuant to Rule 14a-3(c) or Rule 14c-3(b). Portions of the annual report to security holders filed with the Commission as part of a registration statement or periodic report should be filed as Exhibit 13, as provided by Item 601 of Regulation S-K and S-B.	ARS/A	EDGARLink Online	EDGARLink Online XML Technical Specification
IRANNOTICE	Notice of disclosure filed in Exchange Act quarterly and annual reports pursuant to Section 219 of the Iran Threat Reduction and Syria Human Rights Act of 2012 and Section 13(r) of the Exchange Act	IRANNOTICE	EDGARLink Online	EDGARLink Online XML Technical Specification
SD	Specialized Disclosure Report filed pursuant to Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act relating to the use of conflict minerals (Rule 13p-1)	SD	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
SD	Amendment	SD/A	EDGARLink Online	EDGARLink Online XML Technical Specification
SDR-CCO	Annual Compliance Report and Financial Report for a Security-based Swap Data Repository	SDR-CCO	EDGARLink Online	EDGARLink Online XML Technical Specification
SDR-CCO	Amendment to Annual Compliance Report and Financial Report for a Security-based Swap Data Repository	SDR-CCO/A	EDGARLink Online	EDGARLink Online XML Technical Specification
X-17A-5	Annual Reports for a Broker-dealer pursuant to Section 17 of the Securities Exchange Act of 1934 and Rules 17a-5 and 17a-12 thereunder	X-17A-5	EDGAR Filing Website Online Forms	EDGAR Form X-17A-5 XML Technical Specification
X-17A-5	Amendment to Annual Reports for a Broker-dealer pursuant to Section 17 of the Securities Exchange Act of 1934 and Rules 17a-5 and 17a-12 thereunder	X-17A-5/A	EDGAR Filing Website Online Forms	EDGAR Form X-17A-5 XML Technical Specification
6-K	Current report of foreign issuer pursuant to Rules 13a-16 and 15d-16	6-K	EDGARLink Online	EDGARLink Online XML Technical Specification
6-K	Amendments	6-K/A	EDGARLink Online	EDGARLink Online XML Technical Specification
10-Q	Quarterly report pursuant to Sections 13 or 15(d)	10-Q	EDGARLink Online	EDGARLink Online XML Technical Specification
10-Q	Amendment	10-Q/A	EDGARLink Online	EDGARLink Online XML Technical Specification
10-Q	Transition report pursuant to Rule 13a-10 or 15d-10	10-QT	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
10-K	Annual report pursuant to Section 13 and 15(d)	10-K	EDGARLink Online	EDGARLink Online XML Technical Specification
10-K	Amendment	10-K/A	EDGARLink Online	EDGARLink Online XML Technical Specification
10-K	Transition report pursuant to Rule 13a-10 or 15d-10	10-KT	EDGARLink Online	EDGARLink Online XML Technical Specification
10-K	Amendment	10-KT/A	EDGARLink Online	EDGARLink Online XML Technical Specification
10-D	Periodic distribution reports by asset-backed issuers pursuant to Rule 13a-17 or 15d-17	10-D	EDGARLink Online	EDGARLink Online XML Technical Specification
10-D	Amendment	10-D/A	EDGARLink Online	EDGARLink Online XML Technical Specification
8-K	Current report filing	8-K	EDGARLink Online	EDGARLink Online XML Technical Specification
8-K	Amendment	8-K/A	EDGARLink Online	EDGARLink Online XML Technical Specification
8-K	Notification that a class of securities of successor issuer is deemed to be registered pursuant to Section 12(b)	8-K12B	EDGARLink Online	EDGARLink Online XML Technical Specification
8-K	Amendment	8-K12B/A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
8-K	Notification that a class of securities of successor issuer is deemed to be registered pursuant to Section 12(g)	8-K12G3	EDGARLink Online	EDGARLink Online XML Technical Specification
8-K	Amendment	8-K12G3/A	EDGARLink Online	EDGARLink Online XML Technical Specification
8-K	Notification of assumption of duty to report by successor issue under Section 15(d)	8-K15D5	EDGARLink Online	EDGARLink Online XML Technical Specification
8-K	Amendment	8-K15D5/A	EDGARLink Online	EDGARLink Online XML Technical Specification
11-K	Annual report of employee stock purchase, savings and similar plans	11-K	EDGARLink Online	EDGARLink Online XML Technical Specification
11-K	Amendment	11-K/A	EDGARLink Online	EDGARLink Online XML Technical Specification
11-K	Transition report pursuant to rule 13a-10 or 15d-10	11-KT	EDGARLink Online	EDGARLink Online XML Technical Specification
11-K	Amendment	11-KT/A	EDGARLink Online	EDGARLink Online XML Technical Specification
18-K	Annual report for foreign governments and political subdivisions	18-K	EDGARLink Online	EDGARLink Online XML Technical Specification
18-K	Amendment	18-K/A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
20-F	Annual and transition report of foreign private issuers pursuant to Section 13 or 15(d)	20-F	EDGARLink Online	EDGARLink Online XML Technical Specification
20-F	Amendment	20-F/A	EDGARLink Online	EDGARLink Online XML Technical Specification
40-F	Annual report filed by certain Canadian issuers pursuant to Section 15(d) and Rule 15d-4	40-F	EDGARLink Online	EDGARLink Online XML Technical Specification
40-F	Amendment	40-F/A	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Notice under Rule 12b25 of inability to timely file all or part of a form 10-Q or 10-QSB	NT 10-Q	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Amendment	NT 10-Q/A	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Notice under Rule 12b25 of inability to timely file all or part of a form 10-K, 10-KSB, or 10-KT	NT 10-K	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Amendment	NT 10-K/A	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Notice under Rule 12b25 of inability to timely file all or part of a Form 10-D	NT 10-D	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Amendment	NT 10-D/A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
12b-25	Notice under Rule 12b25 of inability to timely file all or part of a form 11-K	NT 11-K	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Amendment	NT 11-K/A	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Notice under Rule 12b25 of inability to timely file a special report pursuant to Section 15d-2	NT 15D2	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Amendment	NT 15D2/A	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Notice under Rule 12b25 of inability to timely file all or part of an annual report of form 20-F	NT 20-F	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Amendment	NT 20-F/A	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Notice under Exchange Act Rule 12b-25 of inability to timely file Form N-CEN	NT-NCEN	EDGARLink Online	EDGARLink Online XML Technical Specification
12b-25	Amendment	NT-NCEN/A	EDGARLink Online	EDGARLink Online XML Technical Specification
15	Notice of termination of registration of a class of securities under Section 12(b) and 12(g)	15-12G	EDGARLink Online	EDGARLink Online XML Technical Specification
15	Amendment	15-15G/A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
15	Notice of suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act	15-15D	EDGARLink Online	EDGARLink Online XML Technical Specification
15	Amendment	15-15D/A	EDGARLink Online	EDGARLink Online XML Technical Specification
See Rule 15d-2	Special Financial Report filed under Rule 15d-2	SP 15D2	EDGARLink Online	EDGARLink Online XML Technical Specification
See Rule 15d-2	Amendment	SP 15D2/A	EDGARLink Online	EDGARLink Online XML Technical Specification
15F	Notice of termination of a foreign private issuer's registration of a class of securities under Section 12(b)	15F-12B	EDGARLink Online	EDGARLink Online XML Technical Specification
15F	Amendment	15F-12B/A	EDGARLink Online	EDGARLink Online XML Technical Specification
15F	Notice of termination of a foreign private issuer's registration of a class of securities under Section 12(g)	15F-12G	EDGARLink Online	EDGARLink Online XML Technical Specification
15F	Amendment	15F-12G/A	EDGARLink Online	EDGARLink Online XML Technical Specification
15F	Notice of a foreign private issuer's suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act	15F-15D	EDGARLink Online	EDGARLink Online XML Technical Specification
15F	Amendment	15-15D/A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
See Rules 17h-1T and 17h-2T	Confidential broker dealer annual 17-H report	17HACON	EDGAR Filing Website Online Forms	EDGAR Form 17-H XML Technical Specification
See Rules 17h-1T and 17h-2T	Amendment for confidential broker dealer annual 17-H report	17HACON/A	EDGAR Filing Website Online Forms	EDGAR Form 17-H XML Technical Specification
See Rules 17h-1T and 17h-2T	Confidential broker dealer quarterly 17-H report	17HQCON	EDGAR Filing Website Online Forms	EDGAR Form 17-H XML Technical Specification
See Rules 17h-1T and 17h-2T	Amendment for confidential broker dealer quarterly 17-H report	17HQCON/A	EDGAR Filing Website Online Forms	EDGAR Form 17-H XML Technical Specification

Dodd-Frank Submission Types/Filings

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
ABS-15G	Asset-backed securities report pursuant to Section 15G	ABS-15G	EDGARLink Online	EDGARLink Online XML Technical Specification
ABS-15G	Amendment	ABS-15G/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Nationally Recognized Statistical Rating Organization Submission Types/Filings

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
NRSRO	Update of Registration for Nationally Recognized Statistical Rating Organizations	NRSRO-UPD	EDGARLink Online	EDGARLink Online XML Technical Specification
NRSRO	Annual Certification for Nationally Recognized Statistical Rating Organizations	NRSRO-CE	EDGARLink Online	EDGARLink Online XML Technical Specification
NRSRO	Amendment to Annual Certification for Nationally Recognized Statistical Rating Organizations	NRSRO-CE/A	EDGARLink Online	EDGARLink Online XML Technical Specification
NRSRO	Withdrawal from Credit Rating Class for Nationally Recognized Statistical Rating Organizations	NRSRO-WCLS	EDGARLink Online	EDGARLink Online XML Technical Specification
NRSRO	Withdrawal from Registration as Nationally Recognized Statistical Rating Organization	NRSRO-WREG	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 17g-3	Annual Financial/Other Reports for Nationally Recognized Statistical Rating Organizations, as required by Rule 17g-3 (Non-Public)	NRSRO-FR	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 17g-3	Amendment to Annual Financial/Other Reports for Nationally Recognized Statistical Rating Organizations, as required by Rule 17g-3 (Non-Public)	NRSRO-FR/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Miscellaneous Submission Types/Filings

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form 13F	Form 13F Confidential Treatment Request filed by institutional managers	13F-CTR	EDGAR Filing Website Online Forms	EDGAR Form 13F XML Technical Specification
Form 13F	Amendment	13F-CTR/A	EDGAR Filing Website Online Forms	EDGAR Form 13F XML Technical Specification
Form 13F	Initial Quarterly Form 13F Holdings Report filed by institutional managers Initial Quarterly Form 13F Combination Report filed by institutional managers	13F-HR	EDGAR Filing Website Online Forms	EDGAR Form 13F XML Technical Specification
Form 13F	Amendment	13F-HR/A	EDGAR Filing Website Online Forms	EDGAR Form 13F XML Technical Specification
Form 13F	Initial Quarterly Form 13F Notice Report filed by institutional managers	13F-NT	EDGAR Filing Website Online Forms	EDGAR Form 13F XML Technical Specification
Form 13F	Amendment	13F-NT/A	EDGAR Filing Website Online Forms	EDGAR Form 13F XML Technical Specification
Form APP WD	Withdrawal of an application for exemptive or other relief from the federal securities laws	APP WD APP WD/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form SH	Weekly Form SH Entries Report Filed by Institutional Investment Managers	SH-ER	EDGARLink Online	SH-ER Information table only: SH-ER Information Table XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form SH	Amendment	SH-ER/A	EDGARLink Online	SH-ER/A Information table only: SH-ER Information Table XML Technical Specification
Form SH	Weekly Form SH Notice Report Filed by Institutional Investment Managers	SH-NT	EDGARLink Online	EDGARLink Online XML Technical Specification
Form SH	Amendment	SH-NT/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form RW	Registration Withdrawal Request	RW	EDGARLink Online	EDGARLink Online XML Technical Specification
Form RW	Withdrawal of a registration withdrawal statement	RW WD	EDGARLink Online	EDGARLink Online XML Technical Specification
Form AW	Withdrawal of an amendment to a registration statement filed under the Securities Act	AW	EDGARLink Online	EDGARLink Online XML Technical Specification
Form AW	Withdrawal of an amendment registration withdrawal statement	AW WD	EDGARLink Online	EDGARLink Online XML Technical Specification
Form 425	Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions **Note**: Form 425 can be filed as part of Form 8-K. For filers subject to 8K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms.	425	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form 25	Notification filed by issuer to voluntarily withdraw a class of securities from listing and registration on a national securities exchange	25	EDGARLink Online	EDGARLink Online XML Technical Specification
Form 25	Amendment	25/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form 25	Notification filed by national security exchange to report the removal from listing and registration of matured, redeemed or retired securities	25-NSE	Distributed to National Securities Exchanges only	Distributed to National Securities Exchanges only
Form 25	Amendment	25-NSE/A	Distributed to National Securities Exchanges only	Distributed to National Securities Exchanges only

Section 16 Ownership Forms/Filings

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form 3	Initial statement of beneficial ownership of securities	3	Online Forms	EDGAR Ownership XML Technical Specification
Form 3	Amendment	3/A	Online Forms	EDGAR Ownership XML Technical Specification
Form 4	Statement of changes in beneficial ownership of securities	4	Online Forms	EDGAR Ownership XML Technical Specification
Form 4	Amendment	4/A	Online Forms	EDGAR Ownership XML Technical Specification
Form 5	Annual statement of changes in beneficial ownership of securities	5	Online Forms	EDGAR Ownership XML Technical Specification
Form 5	Amendment	5/A	Online Forms	EDGAR Ownership XML Technical Specification

Section 17A Transfer Agent Forms/Filings

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
TA-1	Application for registration as a transfer agent filed pursuant to the Securities Exchange Act of 1934	TA-1	EDGAR Filing Website Online Forms	EDGAR TA XML Technical Specification
TA-1	Amendment	TA-1/A	EDGAR Filing Website Online Forms	EDGAR TA XML Technical Specification
TA-2	Annual report of transfer agent activities filed pursuant to the Securities Exchange Act of 1934	TA-2	EDGAR Filing Website Online Forms	EDGAR TA XML Technical Specification
TA-2	Amendment	TA-2/A	EDGAR Filing Website Online Forms	EDGAR TA XML Technical Specification
TA-W	Notice of withdrawal from registration as transfer agent filed pursuant to the Securities Exchange Act of 1934	TA-W	EDGAR Filing Website Online Forms	EDGAR TA XML Technical Specification

NMS Stock ATSs

CFR Form/ Schedule/Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form ATS-N	Initial Form ATS-N Rule (304(a)(1)(i))	ATS-N	EDGAR Filing Website Online Forms	EDGAR Form ATS-N XML Technical Specification
Form ATS-N	Material Amendment Rule (304(a)(2)(i)(A))	ATS-N/MA	EDGAR Filing Website Online Forms	EDGAR Form ATS-N XML Technical Specification
Form ATS-N	Updating Amendment Rule (304(a)(2)(i)(B))	ATS-N/UA	EDGAR Filing Website Online Forms	EDGAR Form ATS-N XML Technical Specification
Form ATS-N	Correcting Amendment Rule (304(a)(2)(i)(C))	ATS-N/CA	EDGAR Filing Website Online Forms	EDGAR Form ATS-N XML Technical Specification
Form ATS-N	Order Display and Fair Access Amendment (Rule 304(a)(2)(i)(D))	ATS-N/OFA	EDGAR Filing Website Online Forms	EDGAR Form ATS-N XML Technical Specification
Form ATS-N	Notice of Cessation (Rule 304(a)(3))	ATS-N-C	EDGAR Filing Website Online Forms	EDGAR Form ATS-N XML Technical Specification
Form ATS-N	Withdrawal of Form ATS-N filing	ATS-N-W	EDGAR Filing Website Online Forms	EDGAR Form ATS-N XML Technical Specification

Table 3-4: Williams Act Filing Submission Types Accepted by EDGAR

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Schedule 13D	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities	SC 13D	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 13D	Amendment	SC 13D/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 13-E1	Schedule 13-E1 statement of issuer required by Rule 13e-1	SC 13E1	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 13-E1	Amendment	SC 13E1/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 13E-3	Schedule filed to report going private transactions	SC 13E3	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 13E-3	Amendment	SC 13E3/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 13E4F	Issuer tender offer statement filed pursuant to Rule 13(e)(4) by foreign issuers	SC13E4F	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 13E4F	Amendment	SC13E4F/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 13G	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities by passive investors and certain institutions	SC 13G	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Schedule 13G	Amendment	SC 13G/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 14A-11	Information filed by certain nominating shareholders (pursuant to Section 240 14n-1)	SC 14N	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 14A-11	Amendment	SC 14N/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule TO-I	Issuer tender offer statement	SC TO-I	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule TO-I	Amendment	SC TO-I/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule TO-T	Third party tender offer statement	SC TO-T	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule TO-T	Amendment	SC TO-T/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule TO-C	Written communication relating to an issuer or third party tender offer Note: Form Schedule TO-C can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms	SC TO-C	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Schedule 14D1F	Third party tender offer statement filed pursuant to Rule 14d-1(b) by foreign issuers	SC14D1F	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 14D1F	Amendment	SC14D1F/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 14D9-C	Written communication by the subject company relating to a third party tender offer	SC14D9C	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 14D9	Tender offer solicitation / recommendation statements filed under Rule 14-d9	SC 14D9	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 14D9	Amendment	SC 14D9/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 14D9F	Solicitation/recommendation statement pursuant to Section 14(d)(4) of the Securities Exchange Act of 1934 and Rules 14d-1(b) and 14e-2(c) by foreign issuers	SC14D9F	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 14D9F	Amendment	SC14D9F/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 14F-1	Statement regarding change in majority of directors pursuant to Rule 14f-1	SC 14F1	EDGARLink Online	EDGARLink Online XML Technical Specification
Schedule 14F-1	Amendment	SC 14F1/A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
CB	Notification form filed in connection with certain tender offers, business combinations and rights offerings, in which the subject company is a foreign private issuer of which less than 10% of its securities are held by U.S. persons	CB	EDGARLink Online	EDGARLink Online XML Technical Specification
CB	Amendment	CB/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Table 3-5: Investment Company Submission Types Accepted by EDGAR

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Forms S-1 & S-3	Registration statement for face-amount certificate companies			
Forms S-1 & S-3	General form of registration statement for all companies including face-amount certificate companies	S-1	EDGARLink Online	EDGARLink Online XML Technical Specification
Forms S-1 & S-3	Pre-effective amendment	S-1/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Forms S-1 & S-3	Registration statement for specified transactions by certain issuers including face-amount certificate companies	S-3	EDGARLink Online	EDGARLink Online XML Technical Specification
Forms S-1 & S-3	Pre-effective amendment	S-3/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Forms S-1 & S-3	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Online	EDGARLink Online XML Technical Specification
Forms S-1 & S-3	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Online	EDGARLink Online XML Technical Specification
Forms S-1 & S-3	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-1A	Registration statement for open-end management investment companies			
Form N-1A	Initial registration statement filed on Form N-1A for open-end management investment companies	N-1A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-1A	Pre-effective amendment to a registration statement filed on Form N-1A for open-end management investment companies (this filing cannot be submitted as a 1940 Act only filing)	N-1A/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-1A	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-1A	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-1A	Post-effective amendment (for filings made under the 1940 Act only)	POS AMI	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-1A	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-1A	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-1A	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 498	Summary Prospectus for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)	497K	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Rule 498A	Initial summary prospectus for variable contracts filed pursuant to Securities Act Rule 497(k)	497VPI	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 498A	Updating summary prospectus for variable contracts filed pursuant to Securities Act Rule 497(k)	497VPU	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Initial filing of a registration statement on Form N-2 for closed-end investment companies	N-2	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Pre-effective amendment to a registration statement on Form N-2 for closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)	N-2/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Automatic shelf registration statement on Form N-2 for well-known seasoned issuers	N-2ASR	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Post-effective amendment to an automatic shelf registration statement on Form N-2 for well-known seasoned issuers	N-2 POSASR	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Post-effective amendment (for filings made under the 1940 Act only)	POS AMI	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Post-effective amendment filed under the 1933 Act only or under both the 1933 and 1940 Acts pursuant to Section 8(c) of the 1933 Act by closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)	POS 8C	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-2	Filing of a Form N-2 registration statement by closed-end investment companies pursuant to Securities Act Rule 486(a) for the purpose of registering additional shares of common stock	N-2	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Post-effective amendment to filing filed pursuant to Securities Act Rule 486(a) (this filing cannot be submitted as a 1940 Act only filing)	486APOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Filing of a Form N-2 registration statement by closed-end investment companies pursuant to Securities Act Rule 486(b) for the purpose of registering additional shares of common stock	N-2	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Post-effective amendment to filing filed pursuant to Securities Act Rule 486(b) (this filing cannot be submitted as a 1940 Act only filing)	486BPOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Post-effective amendment filed pursuant to Securities Act Rule 486(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 486(a) (this filing cannot be submitted as a 1940 Act only filing)	486BXT	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	A new registration statement on Form N-2 filed under Securities Act Rule 462(b) by closed-end investment companies of up to an additional 20% of securities for an offering that was registered on Form N-2	N-2MEF	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-2	Post-effective amendment to a registration statement filed under Securities Act Rule 462(c)	POS462C	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-2	Post-effective amendment filed solely to add exhibits to a registration statement	POS EX	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-3	Initial registration statement on Form N-3 for separate accounts (management investment companies)	N-3	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-3	Pre-effective amendment to a registration statement on Form N-3 for separate accounts (management investment companies) (this filing cannot be submitted as a 1940 Act only filing)	N-3/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-3	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-3	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-3	Post-effective amendment (for filings made under the 1940 Act only)	POS AMI	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-3	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-3	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-3	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-4	Initial registration statement on Form N-4 for separate accounts (unit investment trusts)	N-4	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-4	Pre-effective amendment to a registration statement on Form N-4 for separate accounts (unit investment trusts) (this filing cannot be submitted as a 1940 Act only filing)	N-4/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-4	Pre-effective pricing amendment filed pursuant to Securities Act Rule 487	487	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-4	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-4	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-4	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-4	Post-effective amendment (for filings made under the 1940 Act only)	POS AMI	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-4	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-4	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-4	Substitution-related supplement and correspondence for variable contracts filed pursuant to the Commission Statement on Insurance Product Fund Substitution Applications	497VPSUB	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-5	Registration statement for small business investment companies	N-5	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-5	Pre-effective amendment to a registration statement on Form N-5 for small business investment companies (this filing cannot be submitted as a 1940 Act only filing)	N-5/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-5	Post-effective amendment (for filings made under the 1940 Act only)	POS AMI	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-5	Post-effective amendment filed under the 1933 Act only or under both the 1933 and 1940 Acts pursuant to Section 8(c) of the 1933 Act by closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)	POS 8C	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-5	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-5	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-6	Registration statement for separate accounts (unit investment trusts)	N-6	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-6	Pre-effective amendment to a registration statement filed on Form N-6 for separate accounts (unit investment trusts)	N-6/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-6	Pre-effective pricing amendment filed pursuant to Securities Act Rule 487	487	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-6	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-6	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-6	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-6	Post-effective amendment (for filings made under the 1940 Act only)	POS AMI	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-6	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-6	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-6	Substitution-related supplement and correspondence for variable contracts filed pursuant to the Commission Statement on Insurance Product Fund Substitution Applications	497VPSUB	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form S-6	Initial registration statement filed on Form S-6 for unit investment trusts	S-6	EDGARLink Online	EDGARLink Online XML Technical Specification
Form S-6	Pre-effective amendment	S-6/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form S-6	Pre-effective pricing amendment filed pursuant to Securities Act Rule 487	487	EDGARLink Online	EDGARLink Online XML Technical Specification
Form S-6	Initial undertaking to file reports	UNDER	EDGARLink Online	EDGARLink Online XML Technical Specification
Form S-6	Amendment	UNDER/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form S-6	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form S-6	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form S-6	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	EDGARLink Online	EDGARLink Online XML Technical Specification
Form S-6	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form S-6	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	Initial registration statement filed on Form N-14 for open-end investment company, including those filed with automatic effectiveness under Rule 488 (business combinations)	N-14	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	Pre-effective amendment	N-14/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	Initial registration statement filed on Form N-14 by closed-end investment company (business combinations)	N-14 8C	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	Pre-effective amendment	N-14 8C/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	Post-effective amendment filed under the 1933 Act only or under both the 1933 and 1940 Acts pursuant to Section 8(c) of the 1933 Act by closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)	POS 8C	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-14	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	A new registration statement filed on Form N-14 by closed end investment companies filed under Securities Act Rule 462(b) of up to an additional 20% of securities for an offering that was registered on Form N-14	N-14MEF	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	Post-effective amendment to Securities Act Rule 462(c) registration statement	POS462C	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-14	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Online	EDGARLink Online XML Technical Specification

Miscellaneous Filings Under the Securities Act

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Rule 425	Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions **Note:** Form 425 can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms	425	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 473	Separately filed delaying amendment under Securities Act Rule 473 to delay effectiveness of a 1933 Act registration statement	DEL AM	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 477	Withdrawal of an application for exemptive or other relief from the federal securities laws	APP WD	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 477	Withdrawal of an amendment to an application for exemptive or other relief from the federal securities laws	APP WD/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 477	Registration Withdrawal Request	RW	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 477	Withdrawal of a request for withdrawal of a registration statement	RW WD	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 477	Withdrawal of amendment to a registration statement filed under the Securities Act	AW	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 477	Withdrawal of a request for withdrawal of an amendment to a registration statement	AW WD	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Rule 482	Filing by certain investment companies of Securities Act Rule 482 advertising in accordance with Securities Act Rule 497	497AD	EDGARLink Online	EDGARLink Online XML Technical Specification

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

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Rule 24F-2	Rule 24f-2 notice filed on Form 24F-2	24F-2NT	EDGARLink Online EDGAR Filing Website Online Forms (TEST Filings Only Until 2/1/2022)	EDGARLink Online XML Technical Specification Form 24F-2 XML Technical Specification (TEST Filings Only Until 2/1/2022)
Rule 24F-2	Amendment	24F-2NT/A	EDGARLink Online EDGAR Filing Website Online Forms (TEST Filings Only Until 2/1/2022)	EDGARLink Online XML Technical Specification Form 24F-2 XML Technical Specification (TEST Filings Only Until 2/1/2022)

Other Company Act Registration Statements

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-8A	Initial notification of registration under Section 8(a) filed on Form N-8A	N-8A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-8A	Amendment	N-8A/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-8B-2	Initial registration statement for unit investment trusts filed on Form N-8B-2	N-8B-2	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-8B-2	Amendment	N-8B-2/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-8B-3	Initial registration statement for periodic payment plans filed on Form N-8B-3	N-8B-3	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-8B-3	Amendment	N-8B-3/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-8B-4	Initial registration statement for face-amount certificate companies filed on Form N-8B-4	N-8B-4	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-8B-4	Amendment	N-8B-4/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Submission Types for Business Development Companies

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-6F	Notice of intent by business development companies to elect to be subject to Sections 55 through 65 of the 1940 Act filed on Form N-6F	N-6F	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-6F	Amendment	N-6F/A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-54A	Notification of election by business development companies filed on Form N-54A	N-54A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-54A	Amendment	N-54A/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-54C	Notification of withdrawal by business development companies filed on Form N-54C	N-54C	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-54C	Amendment	N-54C/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Other Investment Company Submission Types

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Rule 8b-25(a)	Filing by investment company of application under Investment Company Act Rule 8b-25(a) requesting extension of time for filing certain information, document or report	40-8B25	EDGARLink Online	EDGARLink Online XML Technical Specification
Form 17F-1	Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-1 of the Investment Company Act of 1940 filed on Form N-17F-1	40-17F1	EDGARLink Online	EDGARLink Online XML Technical Specification
Form 17F-1	Amendment	40-17F1/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form 17F-2	Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-2 of the Investment Company Act of 1940 filed on Form N-17F-2	40-17F2	EDGARLink Online	EDGARLink Online XML Technical Specification
Form 17F-2	Amendment	40-17F2/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 17g-1(g)(1)	Fidelity bond filed pursuant to Rule 17g-1(g)(1) of the Investment Company Act of 1940	40-17G	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 17g-1(g)(1)	Amendment	40-17G/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 17g-1(g)(2) or (3)	Filings of claim or settlement pursuant to rule 17g-1(g)(1)(2) or (3) of the Investment Company Act of 1940	40-17GCS	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Rule 17g-1(g)(2) or (3)	Amendment	40-17GCS/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 24b-2	Filing of sales literature pursuant to Rule 24b-2 under the Investment Company Act of 1940	40-24B2	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 24b-2	Amendment	40-24B2/A	EDGARLink Online	EDGARLink Online XML Technical Specification
ICA Section 33	Copies of all stockholder derivative actions filed with a court against an investment company or an affiliate thereof pursuant to Section 33 of the Investment Company Act of 1940	40-33	EDGARLink Online	EDGARLink Online XML Technical Specification
ICA Section 33	Amendment **Note:** May be filed electronically on a voluntary basis.	40-33/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-18F-1	Initial notification of election pursuant to Rule 18f-1 filed on Form N-18F-1	N-18F1	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-18F-1	Amendment	N-18F1/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 23c-2(b)	Notice by closed-end investment companies of intention to call or redeem their own securities under Investment Company Act Rule 23c-2	N-23C-2	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 23c-2(b)	Amendment	N-23C-2/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-23C-3	Notification of periodic repurchase offer Filed pursuant to Rule 23c-3(b) only	N-23C-3A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-23C-3	Amendment	N-23C-3A/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-23C-3	Filing pursuant to Rule 23c-3(c) only on Form N-23C-3	N-23C-3B	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-23C-3	Amendment	N-23C-3B/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-23C-3	Filing pursuant to Rule 23c-3(b) and (c) on Form N-23C-3	N-23C-3C	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-23C-3	Amendment	N-23C3-C/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-27D-1	Accounting for segregated trust accounts on Form N-27D-1	N-27D-1	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-27D-1	Amendment	N-27D-1/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Adopting Release 33-10765	Notice Document for Certain Variable Contracts	N-VP	EDGARLink Online	EDGARLink Online XML Technical Specification
Adopting Release 33-10765	Amendment to Notice Document for Certain Variable Contracts	N-VP/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Adopting Release 33-10765	Financial Statements for Certain Variable Contracts	N-VPFS	EDGARLink Online	EDGARLink Online XML Technical Specification
Adopting Release 33-10765	Amendment to Financial Statements for Certain Variable Contracts	N-VPFS/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Periodic Reports for Registered Investment Companies

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-CEN	Annual Report for Registered Investment Companies	N-CEN	EDGAR Filing Website Online Forms	EDGAR Form N-CEN Technical Specification
Form N-CEN	Amendment	N-CEN/A	EDGAR Filing Website Online Forms	EDGAR Form N-CEN Technical Specification
Form N-CSR	Certified annual shareholder report of registered management investment companies filed on Form N-CSR	N-CSR	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-CSR	Amendment	N-CSR/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-CSR	Certified semi-annual shareholder report of registered management investment companies filed on Form NCSR	N-CSRS	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-CSR	Amendment	N-CSRS/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-MFP	Monthly Schedule of Portfolio Holdings of Money Market Funds on Form N-MFP (Effective June 11, 2024)	N-MFP3	NA	EDGAR Form N-MFP3 XML Technical Specification
Form N-MFP	Amendment to a Form N-MFP3 submitted on or after June 11, 2024	N-MFP3/A	NA	EDGAR Form N-MFP3 XML Technical Specification
Form N-MFP	Amendment to a Form N-MFP2 submitted prior to June 11, 2024	N-MFP2/A	NA	EDGAR Form N-MFP2 XML Technical Specification
Form N-PORT	Portfolio Holdings Exhibit to Form N-PORT	NPORT-EX	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-PORT	Amendment	NPORT-EX/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-PORT	Monthly Portfolio Investments Report on Form N-PORT (Non-Public)	NPORT-NP	N/A	EDGAR Form N-PORT XML Technical Specification
Form N-PORT	Amendment	NPORT-NP/A	N/A	EDGAR Form N-PORT XML Technical Specification
Form N-PORT	Monthly Portfolio Investments Report on Form N-PORT (Public)	NPORT-P	N/A	EDGAR Form N-PORT XML Technical Specification
Form N-PORT	Amendment	NPORT-P/A	N/A	EDGAR Form N-PORT XML Technical Specification
Form N-PX	Annual Report of Proxy Voting Record filed on Form N-PX	N-PX	EDGARLink Online EDGAR Filing Website Online Forms (TEST Filings Only Until July 1, 2024)	EDGARLink Online XML Technical Specification EDGAR Filing Website Online Forms (TEST Filings Only Until July 1, 2024)
Form N-PX	Amendment	N-PX/A	EDGARLink Online EDGAR Filing Website Online Forms (TEST Filings Only Until July 1, 2024)	EDGARLink Online XML Technical Specification EDGAR Filing Website Online Forms (TEST Filings Only Until July 1, 2024)

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-PX	Form N-PX Confidential Treatment Request	N-PX CTR	EDGAR Filing Website Online Forms (TEST Filings Only Until July 1, 2024)	EDGAR Filing Website Online Forms (TEST Filings Only Until July 1, 2024)
Form N-PX	Amendment	N-PX CTR/A	EDGAR Filing Website Online Forms (TEST Filings Only Until July 1, 2024)	EDGAR Filing Website Online Forms (TEST Filings Only Until July 1, 2024)
Rule 12b-25	Notice under Exchange Act Rule 12b25 of inability to timely file Form NCSR (annual or semi-annual report)	NT-NCSR	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 12b-25	Amendment	NT-NCSR/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 30b2-1	Initial annual and semi-annual reports mailed to investment company shareholders pursuant to Rule 30e-1 (other than those required to be submitted as part of Form N-CSR)	N-30D	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 30b2-1	Amendment	N-30D/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 30b2-1	Periodic and interim reports mailed to investment company shareholders (other than annual and semi-annual reports mailed to shareholders pursuant to Rule 30e-1)	N-30B-2	EDGARLink Online	EDGARLink Online XML Technical Specification

Regulation E Filings

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Regulation E	Notification under Regulation E by small business investment companies and business development companies filed on Form 1-E.	1-E	EDGARLink Online	EDGARLink Online XML Technical Specification
Regulation E	Amendment to a notification under Regulation E by small business investment companies and business development companies filed on Form 1-E	1-E/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Regulation E	Sales material filed pursuant to Rule 607 under Regulation E	1-E AD	EDGARLink Online	EDGARLink Online XML Technical Specification
Regulation E	Amendment to sales material filed pursuant to Rule 607 under Regulation E	1-E AD/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Regulation E	Report of sales of securities pursuant to Rule 609 under Regulation E filed on Form 2-E	2-E	EDGARLink Online	EDGARLink Online XML Technical Specification
Regulation E	Amendment of a report of sales of securities pursuant to Rule 609 under Regulation E filed on Form 2-E	2-E/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Miscellaneous Investment Company Reports

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-CR	Current Report of Money Market Fund Material Events	N-CR	EDGAR Filing Website Online Forms	EDGAR Form N-CR XML Technical Specification
Form N-CR	Amendment	N-CR/A	EDGAR Filing Website Online Forms	EDGAR Form N-CR XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-LIQUID	Current Report Open-End Management Investment Company Liquidity	N-LIQUID	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-LIQUID	Amendment	N-LIQUID/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-RN	Current Report for Registered Management Investment Companies and Business Development Companies	N-RN	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-RN	Amendment	N-RN/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Application for an Order under the Investment Company Act

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Rule 0-2 and Rule 0-4	Application under the Investment Company Act submitted pursuant to Investment Company Act Rule 0-2 and/or the Investment Advisers Act of 1940 pursuant to Investment Advisers Act Rule 0-4 reviewed by the Office of Insurance Products	40-OIP	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 0-2 and Rule 0-4	Amendment to an application under the Investment Company Act submitted pursuant to Investment Company Act Rule 0-2 and/or the Investment Advisers Act of 1940 pursuant to Investment Advisers Act Rule 0-4 reviewed by the Office of Insurance Products	40-OIP/A	EDGARLink Online	EDGARLink Online XML Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Rule 0-2 and Rule 0-4	Application under the Investment Company Act and/or the Investment Advisers Act of 1940 pursuant to Investment Advisers Act Rule 0-4 by an employees' securities company submitted pursuant to Investment Company Act Rule 0-2	40-6B	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 0-2 and Rule 0-4	Amendment to an application under the Investment Company Act and/or the Investment Advisers Act of 1940 pursuant to Investment Advisers Act Rule 0-4 by an employees' securities company submitted pursuant to Investment Company Act Rule 0-2	40-6B/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 0-2 and Rule 0-4	Application under the Investment Company Act submitted pursuant to Investment Company Act Rule 0-2 and/or the Investment Advisers Act of 1940 pursuant to Investment Advisers Act Rule 0-4 other than those reviewed by Office of Insurance Products	40-APP	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 0-2 and Rule 0-4	Amendment to an application under the Investment Company Act submitted pursuant to Investment Company Act Rule 0-2 and/or the Investment Advisers Act of 1940 pursuant to Investment Advisers Act Rule 0-4 other than those reviewed by Office of Insurance Products	40-APP/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Application for Deregistration of Investment Companies

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Form N-8F	Application for deregistration made on Form N-8F	N-8F	EDGARLink Online	EDGARLink Online XML Technical Specification
Form N-8F	Amendment	N-8F/A	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 0-2	Initial application for deregistration pursuant to Investment Company Act Rule 0-2	40-8F-2	EDGARLink Online	EDGARLink Online XML Technical Specification
Rule 0-2	Amendment	40-8F-2/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Table 3-6: Development Bank Submission Types Accepted by EDGAR

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
QRTLYRPT	Periodic Development Bank filing, submitted quarterly	QRTLYRPT	EDGARLink Online	EDGARLink Online XML Technical Specification
QRTLYRPT	Amendment	QRTLYRPT/ A	EDGARLink Online	EDGARLink Online XML Technical Specification
ANNLRPT	Periodic Development Bank filing, submitted annually	ANNLRPT	EDGARLink Online	EDGARLink Online XML Technical Specification
ANNLRPT	Amendment	ANNLRPT/A	EDGARLink Online	EDGARLink Online XML Technical Specification
DSTRBRPT	Distribution of primary obligations Development Bank report	DSTRBRPT	EDGARLink Online	EDGARLink Online XML Technical Specification
DSTRBRPT	Amendment	DSTRBRPT/A	EDGARLink Online	EDGARLink Online XML Technical Specification

Note: (1) These submission types are to be filed ONLY by the Development Banks. BW-2 and BW-3 submission types have been rescinded; please use QRTLYRPT, ANNLRPT, and DSTRBRPT Form Types.

Table 3-7: Correspondence Submission Types

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
Correspondence	A correspondence can be sent as a document with another submission type or can be sent as a separate submission. Correspondence is not publicly disseminated immediately. The SEC staff may release all or portions of these documents electronically if they relate to the staff's review process. See SEC Press Release 2004-89, "SEC Staff to Publicly Release Comment Letters and Responses."	CORRESP	EDGARLink Online	EDGARLink Online XML Technical Specification
Correspondence Related to Draft Registration Statement	Letters to SEC staff regarding draft registration statements can either be included in the DRS submission as a COVER document or must be submitted as a separate DRSLTR submission. Filers should not submit correspondence to the staff using the CORRESP form type until they begin making public filings to complete their offerings. This allows the SEC staff to easily associate correspondence during the draft review with the draft registration statement.	DRSLTR	EDGARLink Online	N/A
Draft Offering Statement Letter	Letters to SEC staff regarding draft offering statements can either be included in the DOS submission as a COVER document or must be submitted as a separate DOSLTR submission. Filers should not submit correspondence to the staff using the CORRESP form type until they begin making public filings to complete their offerings. This allows the SEC staff to easily associate correspondence during the draft review with the draft offering statement.	DOSLTR	EDGARLink Online	N/A