

Navigating the transition to EDGAR Next

A comprehensive guide for asset managers



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Overview

The transition to EDGAR Next marks a pivotal shift in how asset managers and other filers interact with the U.S. Securities and Exchange Commission's electronic filing system. As part of the SEC's ongoing efforts to bolster security and streamline filing processes, EDGAR Next will phase out the traditional password-based access, replacing it with a more secure system that utilizes individualized authentication via Login.gov. This change aims to provide heightened security and enforce greater accountability, ensuring that only authorized individuals can access sensitive filing information.

Impact on asset managers

For asset managers, this transition necessitates careful planning and adjustments in compliance protocols. The new system requires the designation of specific roles, such as account and technical administrators, who will manage access and fulfill filing responsibilities. Additionally, asset managers will need to adjust how they authorize third-party filing agents to file on their behalf, as the new system prohibits the simple sharing of login credentials, requiring instead specific delegation of authority through the EDGAR Next platform. These changes will demand significant revisions to current internal processes and systems to align with the new regulatory expectations.

Enhancing filing integrity and efficiency

The implementation of EDGAR Next is anticipated to significantly enhance the integrity and efficiency of corporate filings. While these measures aim to uphold the SEC's standards for electronic reporting and security, they may also pose initial challenges as asset managers adapt to the updated framework. Overall, EDGAR Next represents a critical evolution in regulatory compliance, offering asset managers an opportunity to align with the enhanced standards set forth by the SEC thus ensuring a more secure and accountable filing environment.

Broadridge's role in assisting asset managers

In anticipation of these significant changes, Broadridge stands ready to support asset managers by offering this comprehensive guide to navigating the EDGAR Next platform. Our guide is designed to equip asset managers with essential information and actionable strategies to prepare for, enroll in, and comply with the new system requirements. By leveraging our expertise and resources, asset managers can confidently transition to EDGAR Next, ensuring they meet all compliance obligations while maintaining efficiency in their filing processes. Broadridge is committed to assisting our clients in adapting smoothly to these regulatory changes, thereby enhancing their ability to manage SEC filings securely and effectively.

Ready for Next

Broadridge is a global technology leader with trusted expertise and transformative technology, helping our clients and the financial services industry operate, innovate, and grow. We power investing, governance, and communications for our clients—driving operational resilience, elevating business performance, and transforming investor experiences.



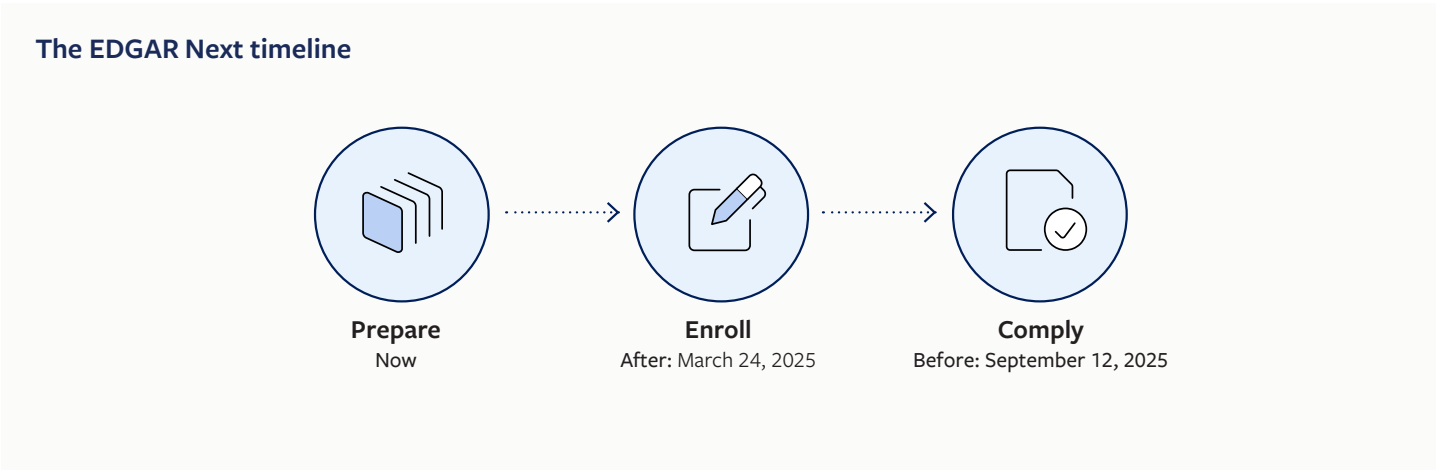
Important dates

Dates	Enrollment Open/ Closed	Benefits of enrolling	Consequences of not enrolling
March 24, 2025 – September 12, 2025	Open	Enrolled filers may use APIs and will be able to continue filing uninterrupted as of September 15, 2025 (the Compliance Date for EDGAR Next).	Unenrolled filers cannot use APIs and may experience interruptions in filing as of September 15, 2025.
September 15, 2025 – December 19, 2025	Open	As soon as filers enroll, they may file, access their EDGAR accounts, and use APIs.	Cannot file or access EDGAR accounts until enrolled.
December 22, 2025 – forward	Closed	N/A	Cannot file or access EDGAR accounts. Filers must apply for access on Form ID and await outcome of SEC staff review. If SEC staff grants the Form ID, filers will be able to file, access their EDGAR accounts, and use APIs.

Preparing for the transition

Preparation is key for a successful transition to the EDGAR Next platform. Asset managers should begin by familiarizing themselves with the new requirements and timelines to ensure a seamless shift from the existing system. Assessing current compliance protocols and identifying necessary adjustments will be imperative, such as designating account and technical administrators to manage access and filings under the new framework.

Companies should also focus on training relevant personnel to understand and navigate the features of EDGAR Next, thereby minimizing disruptions. By proactively evaluating their current processes and leveraging available resources, asset managers can effectively prepare for this evolutionary change in SEC filing procedures.





Gather your existing credentials

An essential first step in transitioning to the EDGAR Next platform is to gather and verify all existing EDGAR credentials. This includes collecting the Central Index Key (CIK), CIK Confirmation Code (CCC), and Passphrase, along with the Point of Contact (POC) email address associated with your current EDGAR account.

Ensuring that these credentials are up-to-date and functional will facilitate a smoother enrollment process into the new system. It is advisable to test these codes ahead of the transition to confirm their validity and address any issues, such as expired codes or incorrect POC emails, which could impede access.

By organizing and validating your existing credentials, your company sets a solid foundation for navigating the next steps in the EDGAR Next integration smoothly and effectively.

CIK: A Central Index Key is a unique identification number assigned by the SEC to each entity or individual filing electronically on EDGAR, which helps track and index submissions in the system.

CCC: The CIK Confirmation Code is a secure, unique access code for your EDGAR account that, along with your CIK and passphrase, is used to authenticate and authorize filings.

Passphrase: Is a confidential code used in the EDGAR system to verify a filer's identity during the enrollment and authentication process, and in combination with the CIK and CCC, helps secure access to the filer's account.

 **Important:** If the CCC and/or Passphrase has not been updated since September 20, 2019, both must be updated prior to enrolling on the Compliance Date. Failure to update your credentials by then, will require the Amended Form ID to be completed.

I don't know my EDGAR credentials

I don't know my Central Index Key

If you don't know your CIK, you can look it up using this [link](#). Enter as much of the filer name as you know in the search box and select from the results. If you remain unsure, you can contact the SEC at EDGAR Filer Support by calling (202) 551-8900.

I don't know my CIK Confirmation Code

If you do not have or do not know your current CCC, you can reset or obtain a new one by following the instructions in this [link](#).

I don't know my Passphrase

If you are unsure of your current EDGAR Passphrase but have an up-to-date EDGAR POC email address on file with EDGAR (the email where you receive EDGAR communications), you can reset or obtain a new Passphrase by following the instructions in this [link](#).

I don't know my point of contact

If you cannot access your current EDGAR point of contact (POC) email address, you can update it to one you can access by following the instructions in this [link](#).

More information

For additional details on your EDGAR credentials, please visit this [link](#).

Choose your EDGAR administrators

Account administrator

An account administrator is the key individual designated by a filer to manage its EDGAR account. This role involves overseeing and updating account information, adding or removing users, and managing delegations to ensure that filing permissions are accurate and secure.

The Account Administrator is also responsible for initiating the annual confirmation process, which verifies that only authorized individuals have access to the account, thereby reinforcing regulatory compliance and system integrity. This role acts as the primary point of contact for both internal management and external communications with the SEC, ensuring that the account remains current and secure throughout its use.

✓ **Action Item:** Select at least two account administrators from your organization. Each filer CIK may have up to 20 account administrators.

The first Account Administrator you designate will have the additional responsibility of becoming the EDGAR Point of Contact (POC). The POC is the primary account liaison designated from among your account administrators.

By default, the first listed account administrator will become the default POC, and this person is responsible for receiving important notifications regarding your account (for example, updates related to enrollment or changes in submission credentials) and serves as the central contact for communications from the SEC about your EDGAR access.



Technical administrator

A technical administrator is necessary only if you use Broadridge self-service software for self-filing with EDGAR. Their responsibilities include generating and deactivating your filer API tokens, which are stored in the Broadridge software, to ensure secure and reliable machine-to-machine communication. Additionally, they serve as the POC for any technical issues related to your API connections.

✓ **Action Item:** If you license self-filing software, such as Broadridge's PROfile™, Transform™, or Insider Pro™ (Section 16), select at least two technical administrators. Note that each filer CIK can have up to twenty technical administrators.

Authorized Users

In EDGAR Next a "User" is an individual that the filer explicitly authorizes—via the dashboard—to make filings on the filer's behalf. This role is distinct from account administrators who manage the overall account and technical administrators who handle API connectivity, ensuring that all submissions made through EDGAR Next can be directly attributed to a uniquely authenticated person who has obtained individual account credentials (with multifactor authentication via Login.gov). The "User" role is intended for self-filers—these are individuals the filer authorizes on the dashboard to submit filings on its own behalf. For filers that engage Broadridge as a filing agent (or use a delegated entity), the filing agent's own structures (such as its account administrators) handle submissions, so additional User roles for that filer are not necessary.

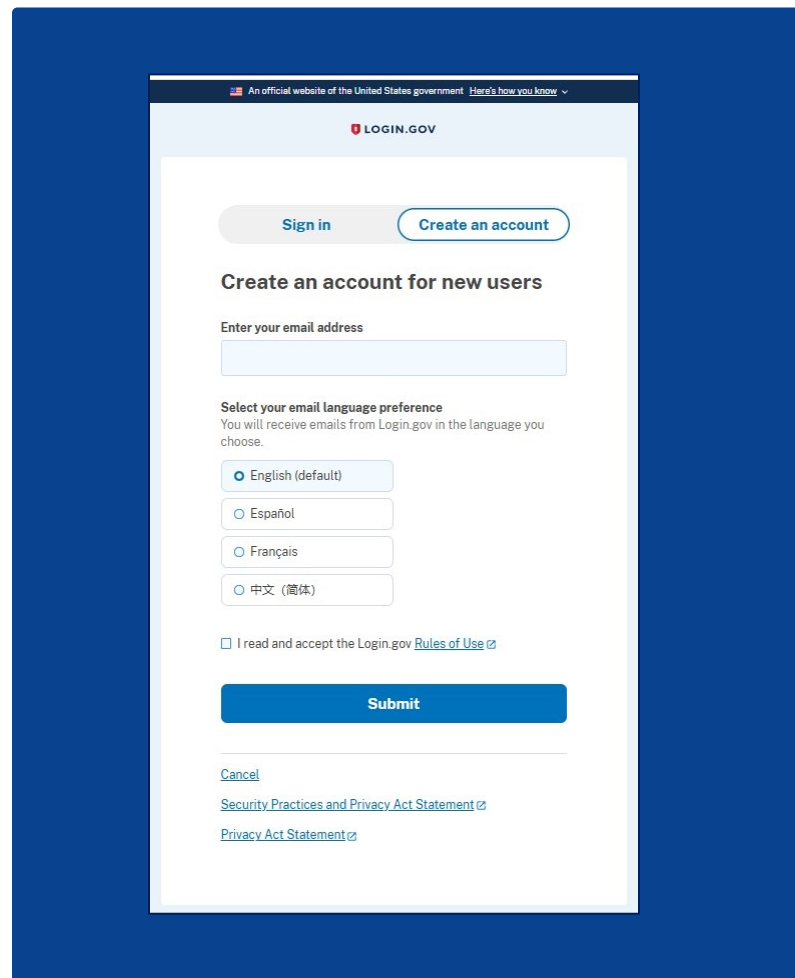
✓ **Action Item:** If you are self-filing with Broadridge software, be sure to create user accounts on your EDGAR dashboard to manage your filings.

Getting your Login.gov credentials

Now that you have selected your administrators and users, each designated individual must obtain their own Login.gov credentials through a secure multifactor authentication process to ensure individual accountability and secure access to your EDGAR account.

Create your secure Login.gov account

1. To create an account, go to the following [link](#).
2. Click on [Create an account](#).
3. You will be prompted to enter your email address.
 - Since you will be using Login.gov for business purposes, we strongly recommend using a work email address instead of a personal one.
 - If you use an email address already associated with a Login.gov account, you will receive instructions on how to reset your password and regain access to your account.
4. Set up a secure password.
 - Passwords must be at least 12 characters and should not include commonly used words or phrases.
5. Choose Your Multifactor Authentication (MFA) Method.
 - Login.gov supports various MFA options such as authentication apps (e.g., Google Authenticator), security keys, or text message verification.
 - Follow the prompts to configure your chosen authentication method.
6. Confirm your email address.
 - After submitting your email and password, you will receive a confirmation link via your email.
 - Click the link in your email to verify your account.
7. Complete your credential setup.
 - After submitting your email and password, you will receive a confirmation link via your email.
 - Click the link in your email to verify your account.

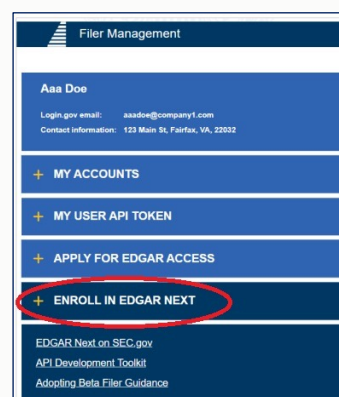
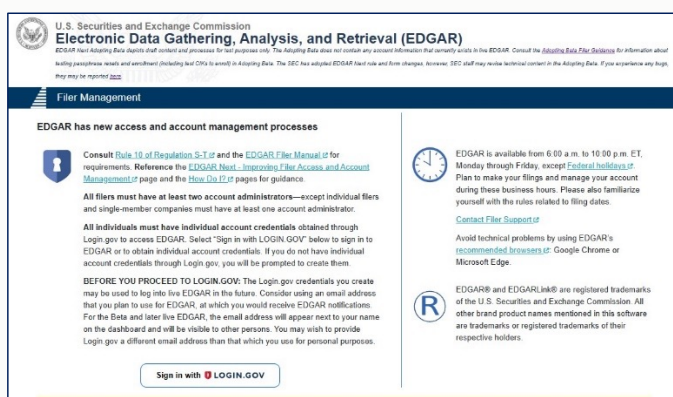


The filer management dashboard

Enrolling in EDGAR Next

1. Go to : <https://www.filermanagement.edgarfiling.sec.gov/filermgmt/Welcome/EDGARFilerMgmtMain.htm> with your Login.gov credentials on or after March 24, 2025 to enroll.
2. Select Enroll in EDGAR Next.
3. Select Manual Enrollment.
4. Enter the filer's CIK and current CCC and Passphrase.
5. Select **Verify Entity**. Ensure the information displayed matches the filer you are enrolling.
6. Next, select **Yes** or **No** to indicate whether the filer is a single-member company.
 - Each filer must authorize two account administrators during enrollment, unless the filer is an individual or a single-member company, in which case only one account administrator is required.
 - We recommend that individual and single-member company filers authorize two account administrators during enrollment to avoid access and account management problems that may arise if the single account administrator is unavailable.
 - More account administrators can be added on the dashboard after enrollment.
7. Next, enter the name, email address, business address and business telephone number for each account administrator.
8. Each account administrator's email address must match the email address that individual used to create its Login.gov credentials for EDGAR.
9. Next, you must select an annual confirmation date from the four options in the drop-down.
10. Select Enroll now.
11. If all information is entered correctly, a notification will appear confirming that the filer has been successfully enrolled.
12. The account administrators named during enrollment will receive both an email from EDGAR and a notification on the dashboard.

✓ **Action Item:** If you are self-filing with Broadridge software, be sure to create user accounts on your EDGAR dashboard to manage your filings.



Delegating filing authority to Broadridge

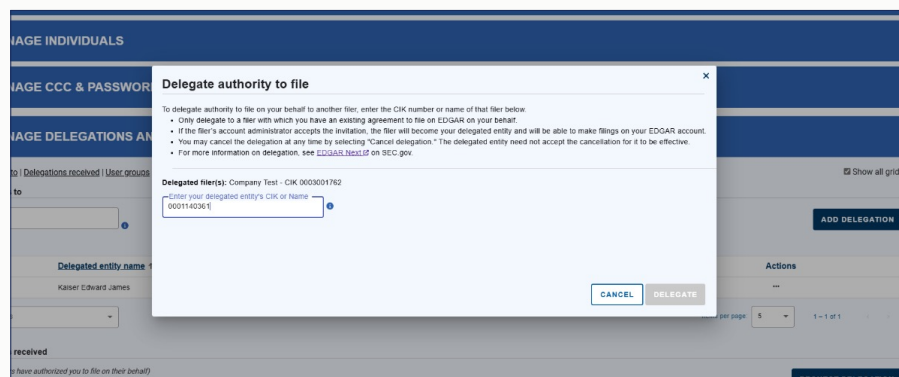
Delegated entity

A delegated entity is an electronic filer authorized by another filer via the EDGAR dashboard to submit filings on its behalf. For example, an asset manager aiming to streamline its filing process may choose to delegate filing authority to a filing agent such as Broadridge.

In this setup, the CIK's authorized account administrators issue a delegation invitation to Broadridge's registered EDGAR account through the EDGAR dashboard. Upon acceptance of this invitation, Broadridge takes on the responsibility of making filings for the asset manager while ensuring compliance with all EDGAR filing and security requirements.

This delegation centralizes the oversight of the filing process under the CIK's account administrators and does not allow Broadridge to further delegate its authority. For instance, if a law firm is involved, the asset manager must directly delegate to Broadridge, rather than allowing a law firm to further delegate the authority.

When an asset manager delegates filing authority to an agent like Broadridge via the EDGAR dashboard, this delegation solely permits Broadridge to file on the CIK's behalf. The asset manager is not required to manage individual user accounts within Broadridge's system, as that responsibility lies with the filing agent.



The screenshot shows the EDGAR dashboard's 'MANAGE DELEGATIONS' section. A modal window titled 'Delegate authority to file' is open. The modal contains instructions: 'To delegate authority to file on your behalf to another filer, enter the CIK number or name of that filer below.' It lists three bullet points: 'Only delegate to a filer with which you have an existing agreement to file on EDGAR on your behalf.', 'If the filer's account administrator accepts the invitation, the filer will become your delegated entity and will be able to make filings on your EDGAR account.', and 'You may cancel the delegation at any time by selecting "Cancel delegation." The delegated entity need not accept the cancellation for it to be effective.' It also provides a link: 'For more information on delegation, see EDGAR.SECURITY on SEC.gov.' Below the instructions, there is a text input field labeled 'Enter your delegated entity's CIK or Name' with the value '0001140361' entered. To the right of the input field is a blue circular icon with a white 'i'. At the bottom of the modal are two buttons: 'CANCEL' and 'DELEGATE'. The background of the dashboard shows a table with columns for 'Delegations received', 'User group', and 'Delegated entity name'. The 'Delegated entity name' column shows 'Kaiser Edward James'. There is also an 'ADD DELEGATION' button and a 'REQUEST DELEGATION' button at the bottom right of the dashboard.

1. When prompted for the target EDGAR account, input the CIK for Broadridge Financial Solutions, Inc. (0001140361).
2. Complete any required fields (for example, providing Broadridge's contact information or an authorization message) to formalize the delegation.
3. Submit your delegation request. At that point, EDGAR will send both an email and a dashboard invitation to the authorized account administrators at Broadridge.
4. Once one of Broadridge's account administrators accepts the invitation via email or on the dashboard, the delegation becomes effective, allowing them to act on your behalf as specified.

 **Important:** Broadridge maintains multiple CIKs. Please verify with your filing team to ensure you are using the correct CIK for your filing. Repeat the steps above for all three Broadridge CIKs.

0001140361: Broadridge Financial Solutions Inc.

0001133228: Broadridge Asset Management Solutions

0001438934: Broadridge Investor Communication Solutions, Inc.

Steps to enroll Section 16 filers

Section 16 insiders are not required to obtain individual Login.gov credentials if they choose to have an Filing agent or other representative enroll them in EDGAR Next. By using a Filing Agent or other representative, Section 16 filers can avoid the burden of creating Login.gov credentials and the need to maintain their filings codes in EDGAR Next. Delegating to a Filing Agent or other representative streamlines the enrollment process and ensures the security and accountability required by EDGAR Next. Allowing the Filing Agent or other representative to the authority to submit filings on their behalf. *(Note: A power of attorney is not needed for a Filing Agent or other representative to complete the enrollment process if the CIK, CCC and Passphrase are current.)*



Decide on enrollment method

Determine whether the Section 16 filer will self-enroll or delegate enrollment to an authorized representative.



Submit required documents

Notification of successful enrollment will display once the “Submit” button is selected. The Account Administrators will be emailed notices that the CIK was enrolled.



Authorized representative login

The authorized representative logs into the new EDGAR Filer Management dashboard using their Login.gov credentials.



Complete the enrollment process

On the dashboard, the representative enters the filer’s required information including the CIK, CCC, Passphrase, and the contact details of prospective account administrators (which may include the insider’s details if desired). For delegated Section 16 filers, no individual Login.gov credentials are required for the insider.



Finalize enrollment

Once the representative successfully submits the enrollment application, the filer’s account will be set up in EDGAR Next. The dashboard will display the new CCC and allow for subsequent management of filing roles and annual confirmation procedures. It is not a formal requirement of EDGAR Next to directly reach out to the other companies your insiders file with. However, best practices do encourage maintaining clear and consistent communication and coordination—something that can be facilitated through the system’s delegation, notifications, and user group features—so that everyone’s filing authority and account information is aligned.



Further assistance

Congratulations!

You are enrolled and have successfully delegated to Broadridge. We hope this User Guide has provided you with the necessary information to navigate these processes effectively. If you have any questions or require further assistance, please do not hesitate to contact us at EdgarNext@broadridge.com.

Additional services available

Enrollment services

Broadridge offers an enrollment service designed to simplify the process for you if you find the document or its requirements overwhelming. By scheduling a personalized screenshare session, our experts will guide you step by step through the enrollment process, answering your questions in real time and ensuring you fully understand each stage. This service is intended to provide ease and confidence in managing your enrollment, ensuring that even those unfamiliar with the detailed procedure can quickly and securely complete the necessary steps.

Annual Administration Services

Broadridge's Annual EDGAR Administration Service takes over the day-to-day management of your EDGAR account, so you don't have to worry about the continual administrative tasks required for maintaining compliance with the SEC's EDGAR Next standards. Our dedicated team acts as your personal EDGAR Administrator, handling everything from setting up and securing individual account credentials via Login.gov (with multifactor authentication) to ensuring that all required annual confirmations and updates—such as account administrator authorizations and contact details—are performed on schedule. In addition, our service monitors your account activity, manages notifications and alerts on the EDGAR dashboard, and assists with processing any necessary updates or notarized documentation. This comprehensive annual service is designed to reduce your administrative burden, safeguard your filing history, and keep you continuously compliant, allowing you to focus on your core business while we manage the complexities of EDGAR account management.

Software Technical Support

Additionally, if you are using our software and need to learn how to create filer tokens, please reach out to TechSupport@Broadridge.com or call 713-621-1897, Option 3. Our team is ready to support you with any inquiries you may have. For any additional inquiries or to receive pricing details on our additional service, please contact your dedicated Broadridge sales associate or email us at EdgarNext@Broadridge.com.

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Broadridge Financial Solutions (NYSE: BR) is a global technology leader with the trusted expertise and transformative technology to help clients and the financial services industry operate, innovate, and grow. We power investing, governance, and communications for our clients – driving operational resiliency, elevating business performance, and transforming investor experiences.

Our technology and operations platforms process and generate over 7 billion communications per year and underpin the daily trading of more than \$10 trillion of securities globally. A certified Great Place to Work®, Broadridge is part of the S&P 500® Index, employing over 14,000 associates in 21 countries. For more information, please visit www.broadridge.com.

Broadridge.com

