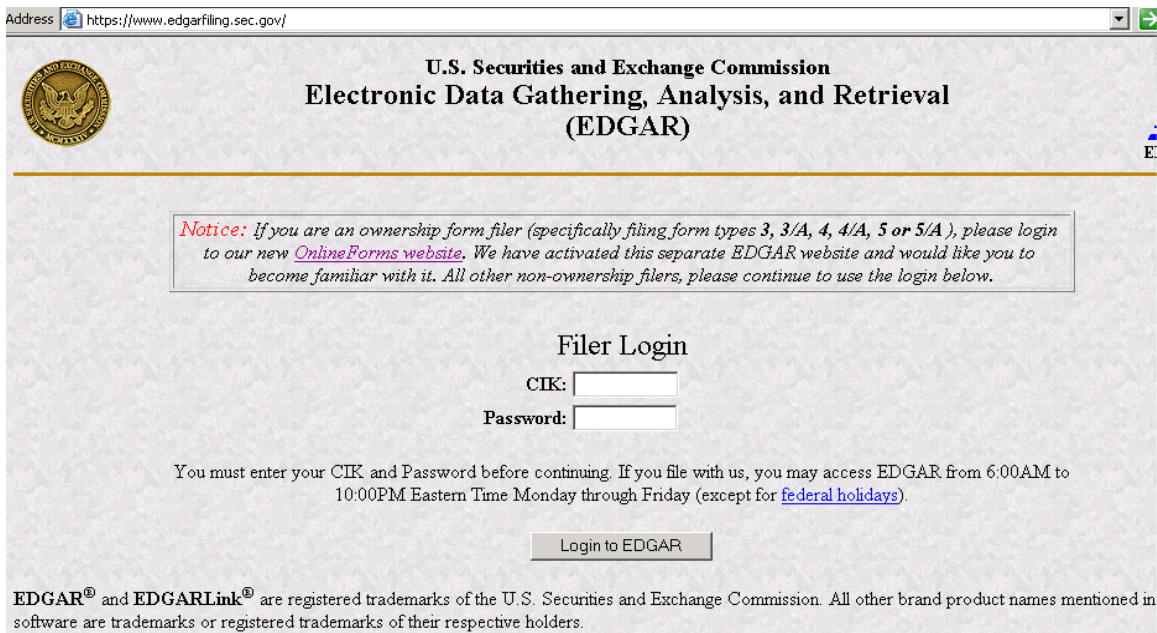


Company Data Changes on the SEC Database: Enter Series and Classes (Contracts) Information

1. Launch the EDGAR Filing Website <https://www.edgarfiling.sec.gov> and enter any valid CIK and Password Combination (This code combination does not have to be associated with the company/individual you are updating information for.) Then click on the **Login to EDGAR** button.



The screenshot shows the EDGAR Filing Website login page. The address bar displays <https://www.edgarfiling.sec.gov>. The page header includes the U.S. Securities and Exchange Commission logo and the text "U.S. Securities and Exchange Commission Electronic Data Gathering, Analysis, and Retrieval (EDGAR)". A notice box contains the following text: "Notice: If you are an ownership form filer (specifically filing form types 3, 3/A, 4, 4/A, 5 or 5/A), please login to our new [OnlineForms website](#). We have activated this separate EDGAR website and would like you to become familiar with it. All other non-ownership filers, please continue to use the login below." Below the notice is the "Filer Login" section, which includes input fields for "CIK:" and "Password:". A message states: "You must enter your CIK and Password before continuing. If you file with us, you may access EDGAR from 6:00AM to 10:00PM Eastern Time Monday through Friday (except for [federal holidays](#))." A "Login to EDGAR" button is located below the message. At the bottom, a disclaimer reads: "EDGAR® and EDGARLink® are registered trademarks of the U.S. Securities and Exchange Commission. All other brand product names mentioned in software are trademarks or registered trademarks of their respective holders."

2. Click on the **Retrieve/Edit Data** link in the left hand navigation area



The screenshot shows the EDGAR Filing Website navigation menu. The address bar displays <https://www.edgarfiling.sec.gov/servlet/Multi>. The menu is divided into three sections: "EDGAR®" with a "Home" link; "Information Exchange" with "Transmit" and "Retrieve/Edit Data" links; and "Downloads" with "EDGARLink Software" and "Submission Templates" links. The U.S. Securities and Exchange Commission logo is visible on the right side of the menu.

3. Enter the CIK and CCC of the company or individual that needs updating. Then click the **Continue** button.

Retrieve/Edit Data

CIK and CCC Request

Enter a Company CIK and CCC

CIK:

CCC:

You must enter a valid CIK and CIK Confirmation Code (CCC) before continuing. The following screens will allow you to retrieve, view and update information related to the CIK value entered.

4. Click on the **Enter Series and Classes (Contracts) Information** link

Retrieve/Edit Company and Submission Data

Please select one of the following options:

- [Retrieve Submission Information](#) *See Note #1 *
- [Retrieve Company Information](#) *See Note #2 *
- [Retrieve Module/Segment Information](#)
- [Retrieve Return Copies](#)
- [Enter Series and Classes \(Contracts\) Information](#)
- [Request Asset-Backed Securities \(ABS\) Issuing Entities Creation](#)
- [Change Company Password or CCC](#)
- [Enter Another CIK/CCC](#)

5. Verify the CIK, Company Name and Criteria. Click the **Continue if CIK Meets Above Criteria** button at the bottom of the *Enter Series and Classes (Contracts) Information* page

Enter Series and Classes (Contracts) Information

The following screens are used to maintain series and classes (contracts) information such as name, status, and ticker symbol. Use the off-line EDGAR software (1) to identify or change investment company type (ICT) when appropriate as part of the submission process for the relevant substantive filing and (2) to obtain identifiers for new series and/or classes (contracts) as part of the submission process for the substantive filing by which they are added.

CIK:

Company Name:

Series and Classes (Contracts) information is only applicable if the CIK is assigned to a primary registrant that last filed on one of the following forms:

- N-1A
- N-3
- N-4
- N-6

Note: The SEC has required that series and class (contract) identifiers be used in designated filings.

6. Scroll to the bottom of the *Enter Series and Classes (Contracts) Information* page and click the **Modify** button.
7. After making your edits you will need to click the **Verify / Submit Changes** button at the bottom of the *Enter Series and Classes (Contracts) Information* page.