Instructions for submitting UFT filings and related payments through EFD

To make a filing and pay related fees

1) On the File Home Screen, select UFT – Create New UFT Offering.
2) Provide an Offering Name, then select Offering Type from drop-down menu. Select Other if form is not listed. Optionally provide a brief description of your offering.
3) Select which of your EFD User Groups will file this offering.
4) Complete the Create New UFT Offering or Other Filing screen by clicking "Next".
5) Complete Issuer/Franchise/Applicant Information screen and click "Next".
6) Complete Contact Person Information screen.
a) Upon completion a summary screen displaying the previous entries will appear. If changes are necessary, click "Edit Header" to make changes.
7) Click the "Add" button next to Drafts to select your Submission Type
    a) Filing Submission - Select the jurisdiction(s) to which you wish to submit filings and/or make a payment.
    b) Ad-Hoc Payment – Only available to make additional payments towards offerings and filing submissions previously digitized within EFD.
8) Use the State selector to indicate each jurisdiction where you wish to submit documents or payment and click "Next".
9) File List: Use this screen to add files regarding your submission. Click the "Add File" button to open the file upload and state selector screen.
    a) Provide a file description
    b) Select which jurisdiction(s) to send this file using the list on the left. You may select more than one jurisdiction from this list by following the onscreen instructions.
    c) Click the "Browse" button to select a file from your computer.
    d) Click the "Upload Files" button to upload this file.
        i. When upload is complete, you will see "100% [Jurisdiction Name]" listed next to each file name. Larger files will take longer to upload, please be patient.
    e) Click "Next" to see the file verification screen. Using this screen, verify that file names, descriptions, and destinations (jurisdictions) are correct. If you need to make an adjustment, use the "Edit Details" button. If you need to remove a file, use the "Del" button in the provided table.
    f) You must provide a description for each file uploaded.
    g) Once confirmed, click "Next".
10) Fee Payment Screen:
    a) Provide a description for this specific Submission. This submission may be an initial filing, or to satisfy a regulator request for additional information, or to provide additional files or payment.

b) For each state in the table, provide a State File Number (if available), Fee Type (reason for payment such as initial filing or late fee), and the amount you wish to submit to the jurisdiction.

11) Click “Next” to view the Submission Confirmation Page.
    a) Confirm your submission details.
12) Click “Next” to proceed to the Offering Management page.
    a) This page shows all drafts and previous submissions associated with this offering.
    b) Use the Draft selection table to select which Draft you wish to complete and continue to payment collection.
13) After selecting a draft submission using the checkbox, click “Add to Cart”.
14) Payment Cart details and confirmation:
    a) On the Payment Cart Details screen you may add additional email addresses to receive receipts and review the fees (including the system use fee) that will be paid.
    b) On the Payments Carts Confirmation screen, confirm all the details of the submission and click “Next.”
15) On the Payment Collections screen, enter the bank routing number and account number that will be used to pay the fees, confirm your agreement, and click “Make Payment”.
    a) You will receive an email receipt when the payment has been prepared. Your receipt will also be available in the Filer's Receipt Center.
    b) A submission can be created in draft form and completed or paid later. To complete a draft submission, select UFT on the File Home Screen, select Search and enter the EFDID or name of the offering and click “Search”.

<u>To make an Ad Hoc Payment for a previous UFT filing</u>

1) Use the Search tool to locate your previous filing.
2) Select “Add” near the drafts line.
3) Select “Ad-Hoc Payment”.
4) Select the jurisdiction(s) where the payment will be submitted and click “Next”.
5) Provide a description (optional), state file number (if available), and a reason for payment along with the amount of the ad hoc payment and click “Next”.
6) Review information for this submission in the summary screen and click “Next
7) Select the Ad Hoc Payment and click “Add to your cart”.
8) On the Payment Cart Details screen you may add additional email addresses to receive receipts and review the fees (including the system use fee) that will be paid.
9) On the Payments Carts Confirmation screen, confirm all the details of the submission and click “Next.”
10) On the Payment Collections screen, enter the bank routing number and account number that will be used to pay the fees, confirm your agreement, and click “Make Payment”. You will receive an email receipt when the payment has been prepared. Your receipt will also be available in the Filer's Receipt Center.