



EDGAR – Submission and Document Headers

EDGAR submission and document header information is sometimes overlooked or given little attention by filers. The fact is they are critical and contain legal requirements of the filing. EDGAR submission headers should be carefully reviewed by the registrant and the lawyers working on the job. Below are details of the submission and document header in a Merrill EDGAR proof. Understanding these headers can help make the EDGAR experience successful for filers, law firms, and investors.

Registrant Transmission Authorization

One of the benefits of a Merrill submission header includes a transmission authorization, which the registrant or lawyer will sign and fax to Merrill. This authorization confirms that the entire submission is complete, final, and ready to be transmitted to the SEC. See the example below.

```
*****
* IMPORTANT: Please note the information in the submission header MUST match the information *
* on the cover page of your filing. The SEC accepts or suspends filings based upon the *
* information in the submission header. Please carefully check all tags and values, *
* as well as the content of your EDGAR proof. *
* *
* REGISTRANT TRANSMISSION AUTHORIZATION *
* *
* [ ] I have reviewed the submission header and find it to be correct. *
* [ ] I have reviewed the submission file and find it to be correct and complete. *
* [ ] I have reviewed the electronic HTML proof and find all content including graphics and *
* links to be correct. *
* [ ] I authorize Merrill Corporation to transmit this filing to the SEC. *
* *
* Printed Name: _____ Date: _____ Time: _____ *
* *
* Signature: _____ *
* *
*****
```

Before sending the transmission authorization to Merrill, please carefully check the document content and each field in the submission header for accuracy. If you are unfamiliar with some of the fields or don't know why they are being used, consult with your project manager for the details or call our EDGAR Services Team at (800) 688-1933.

The submission header information is the technical equivalence of the filing cover, including the following key elements:

C Form	EDGAR Submission
Form type	Submission type
Registrant name	CIK, CCC, SROS
Quarter or year end	Period
Fees	Fee paid, Security Name, Payor, etc.



Service agents like Merrill Corporation do not provide the fee data and company names on the cover of the filing, and do not provide the details of the submission header either. We can offer a suggestion as to the correct information, which should always be confirmed by the registrant and lawyer. Below is an example of a Merrill submission header for a typeset/EDGAR filing.

```
<SUBMISSION>
<TYPE> 10-K
<TEST>
<DOCUMENT-COUNT> 7 (4 Edgar Docs, 3 Graphic Docs)
<FILER>
<CIK> 0000990333
<CCC> XXXXXXXXX
</FILER>
<SROS> AMEX
<PERIOD> 09/30/2000
<SUBMISSION-CONTACT>
<NAME> EDGAR Advantage Service Team
<PHONE> (800) 688 - 1933
</SUBMISSION-CONTACT>
<DOCUMENT>
<TYPE> 10-K
<DESCRIPTION> 10-K
<FILENAME> a2002149z10-k.htm
<TEXT>
```

The screenshot shows an EDGAR submission header with three annotations: A (beginning of header), B (document count), and C (end of header/start of document).

- A. This marks the beginning of all submission header information. It includes the EDGAR submission type. In this case, the submission type (or form type) is a 10-K. If the cover says 10-K but the EDGAR submission header says 10-K/A, the document will get filed wrong (as a 10-K/A).
- B. This is the document count. At Merrill, we include additional details in the document count (in parentheses) for proof clarification, which is not sent to the SEC.
 - **Document count 7** – total number of public documents as defined by the SEC.
 - **4 Edgar Docs** – total number of EDGAR documents (HTML, ASCII, PDF). This includes the main submission type, each exhibit, non-public documents (cover letter and correspondence), AND each unofficial PDF copy.
 - **3 Graphic Docs** – total number of HTML graphics in the filing. This number will represent each graphic once, even if it is used in the filing multiple times.
- C. This is the end of the submission header information and the start of the first document header. It indicates that the first document included is the 10-K. The SEC does not care what order the documents are in, except that the unofficial PDF copy must always follow its official (HTML or ASCII) counterpart.