

Overview of EDGAR Application Programming Interfaces (APIs)

EDGAR BUSINESS OFFICE
U.S. SECURITIES AND EXCHANGE COMMISSION

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I. Introduction to EDGAR APIs

As part of EDGAR Next, EDGAR is offering filers certain application programming interfaces (“APIs”), software interfaces that allow machine-to-machine communications with EDGAR. Connection to APIs is optional. A filer must comply with the requirements of Rule 10 of Regulation S-T and the EDGAR Filer Manual if the filer chooses to connect to APIs, including authorization of at least two technical administrators and presentation of a filer API token, unless the filer uses the API connections of its delegated entity that is in compliance with the requirement to authorize at least two technical administrators. For all APIs other than the submission status and EDGAR operational status APIs, the individual at the filer using or connecting to the API must present a user API token generated by the individual on his dashboard. In addition, certain APIs, as indicated below, require the individual presenting the user API token to be an account administrator for the relevant filer.

The EDGAR APIs provide the ability for a filing application to interact with EDGAR via secure API connections. Commission staff is providing filers with open-source code for a sample filing application that will facilitate filers’ connections to the APIs. Please consult the EDGAR API Development Toolkit (“API Toolkit”), available on SEC.gov.

The list of technical standards for the APIs, the expected inputs and outputs, and information regarding whether only a filer API token or both a filer API token and a user API token are required for a particular API are set forth below.

A. List of EDGAR APIs

The following APIs are available for connection:

1. Submission

2. Submission status
3. EDGAR operational status
4. Add individuals
5. Remove individuals
6. View individuals
7. Change roles
8. Send delegation invitations
9. Request delegation invitations
10. View delegations
11. View filer account information
12. Generate CCC
13. Create custom CCC
14. Verify filing credentials
15. Enrollment

B. General Workflow

While there will be different inputs and outputs for each of the APIs, all APIs follow the same general workflow process:

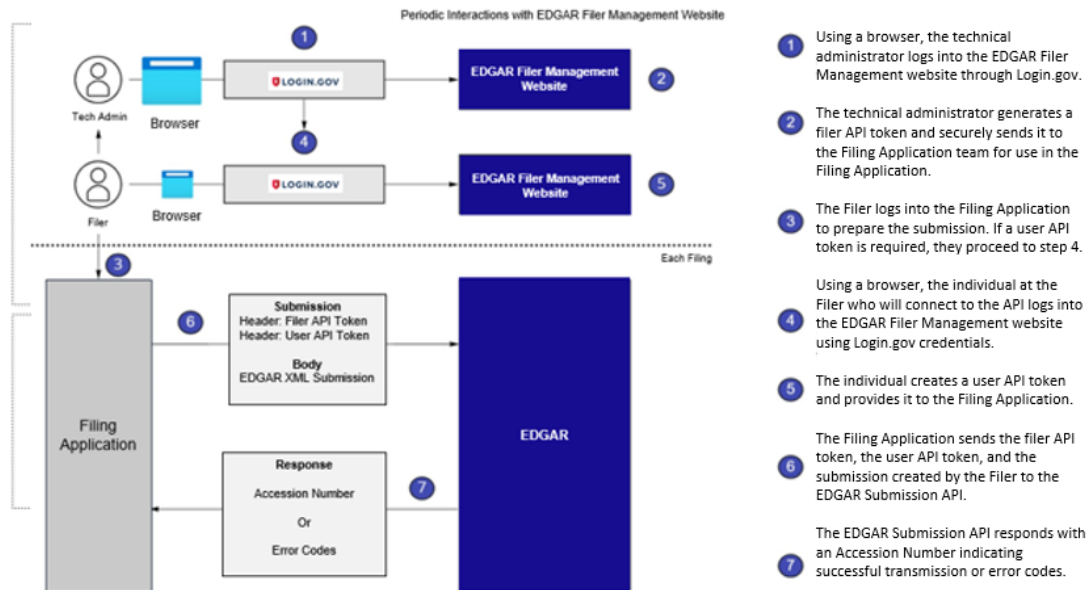
1. Using a browser, a technical administrator will log in to the EDGAR Filer Management website by entering her individual account credentials and completing multi-factor authentication.
 - If a valid filer API token has already been generated and provided to the custom filing application, skip to step 3 below.

2. The technical administrator will generate a filer API token from the dashboard and securely provide the filer API token to the filer's custom filing application. The filer API token must either be issued by the EDGAR account/CIK for which action is being taken, or else must be issued by an EDGAR account/CIK that is a delegated entity for the EDGAR account/CIK for which action is being taken.
3. The individual account administrator or user will log into the filer's custom filing application.
4. Using a browser, the individual account administrator or user will log into the EDGAR dashboard by entering her individual account credentials and completing multi-factor authentication.
5. If necessary, the individual account administrator or user will generate a user API token from the dashboard and securely provide the user API token to the filer's custom filing application. The user API token will be required for all EDGAR APIs aside from the submission status API and the EDGAR operational status API. The user API token must be generated on the dashboard by the individual account administrator or user who will use the API.
6. The custom filing application that is connecting with the API will send the filer API token, the user API token (if necessary), and the required input(s).
7. The API will indicate to the custom filing application whether the API request was successful, or, if not, what error may have occurred.
8. The custom filing application will inform the filer whether the API request was successful, or, if not, whether an error occurred.

Only steps 3, 6, 7, and 8 will be required in most cases where valid API tokens for the filer and the individual have already been generated and are active. Step 3 is the only step that is manual. Steps 6 and 7 will be performed via machine-to-machine communication.

The general workflow is illustrated in Figure A in the context of the EDGAR submission API workflow.

FIGURE A: SUBMISSION API WORKFLOW



II. Submission API

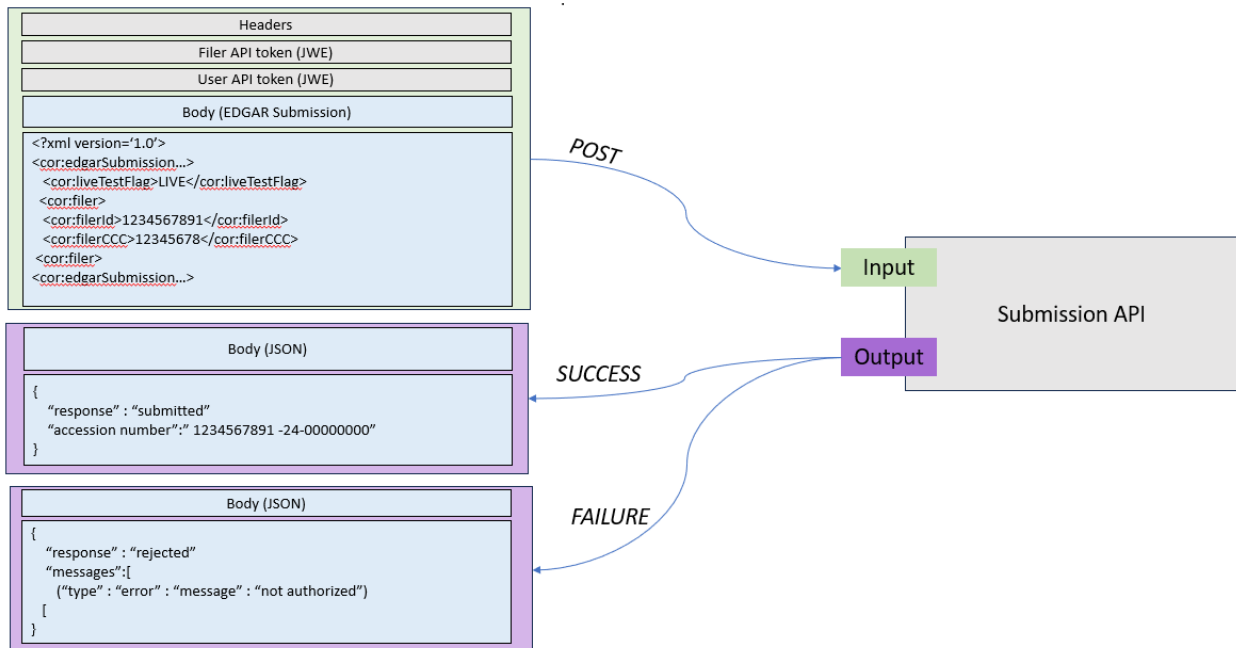
The submission API will allow a filing to be submitted to EDGAR through the API. The filer API token, user API token, and the filing submission will be required inputs. Optionally, filers could also specify a login CIK if there is a delegation from the EDGAR account¹ corresponding to the login CIK to the filer API token EDGAR account/CIK. The submission API

¹ We refer to EDGAR account, filer and CIK interchangeably in this document. (Each EDGAR account has a unique CIK number.)

will process, validate, and issue an accession number for each request. The filer’s custom filing application should send the filer API token, user API token, and optional login CIK in the header of the request and the EDGAR submission data in the body of the request as required inputs to the submission API. The submission API will provide a success or failure message.

Additional information is provided in Figure B.

FIGURE B: SUBMISSION API INPUTS AND OUTPUTS

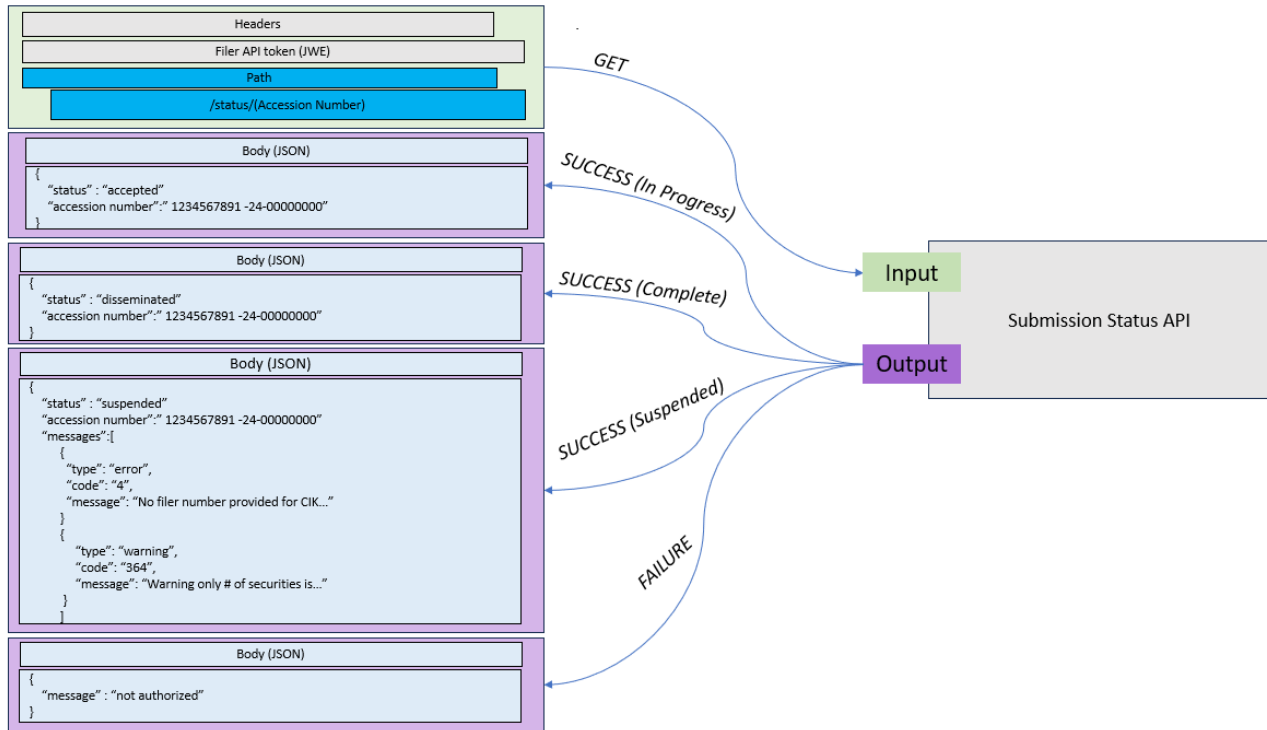


III. Submission Status API

The submission status API will provide the status of one or more EDGAR submissions. The filer API token and accession number(s) will be required inputs. Submission status will be provided for each accession number if valid (meaning the accession number exists and the filer API token is from the submitting entity or the EDGAR account/CIK that was the “filer” for the submission).

Additional information is provided in Figure C.

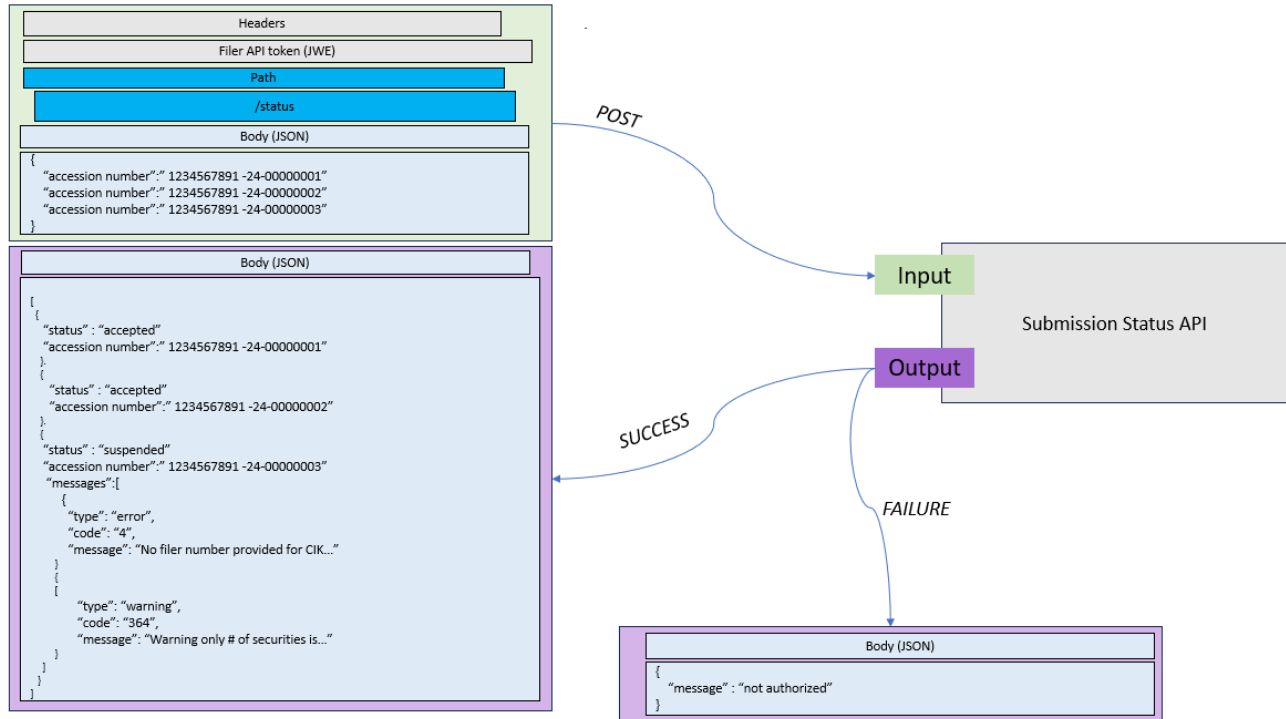
**FIGURE C: SUBMISSION STATUS API INPUTS AND OUTPUTS
FOR A SINGLE SUBMISSION**



To request multiple accession number statuses, each accession number will need to be provided in a list.

Additional information is provided in Figure D.

**FIGURE D: SUBMISSION STATUS API INPUTS AND OUTPUTS
 FOR MULTIPLE SUBMISSIONS**



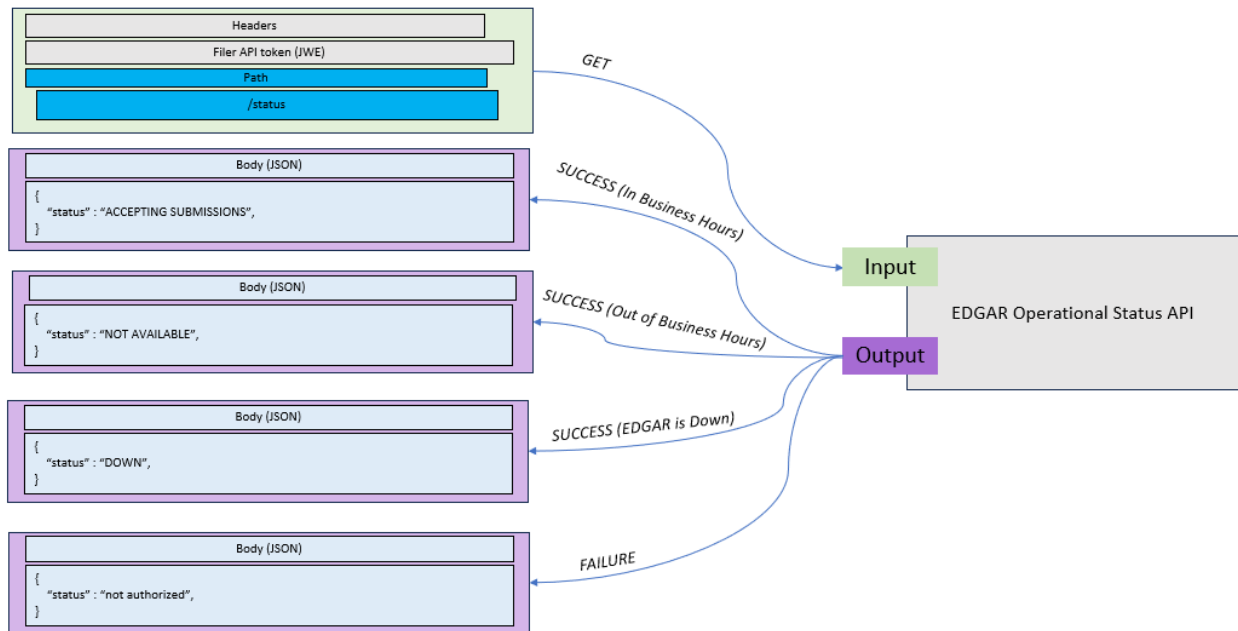
IV. EDGAR Operational Status API

The EDGAR operational status API will provide the EDGAR operational status. The filer API token will be a required input. In return, the EDGAR operational status API will return one of the following statuses:

- “Accepting submissions”
 - EDGAR is available because EDGAR is reporting that it is operational and within operating hours.
- “Accepting submissions after hours”

- EDGAR is operating normally. Only Forms 3, 4, 5, Schedule 14N, and Form 144 submission made at this time will receive today’s filing date (other submissions will be treated as filed the following business day).
- “Outside hours of operation”
 - EDGAR is not available because EDGAR is reporting that it is not within operating hours.
- “No communication”
 - EDGAR is not available for API communication due to technical difficulties or other connection issues.
- Additional information is provided in Figure E.

FIGURE E: EDGAR OPERATIONAL STATUS API INPUTS AND OUTPUTS



V. Filer Management APIs

The EDGAR Next API design includes an additional 12 Filer Management APIs with the following functions:

1. Add individuals
2. Remove individuals
3. View individuals
4. Change roles
5. Send delegation invitations
6. Request delegation invitations
7. View delegations
8. View filer account information
9. Generate CCC
10. Create custom CCC
11. Verify filing credentials
12. Enrollment

While there will be different inputs and outputs for each of the APIs, as discussed below, each of the 12 additional Filer Management APIs will follow the same general workflow process.

A. Add Individuals API

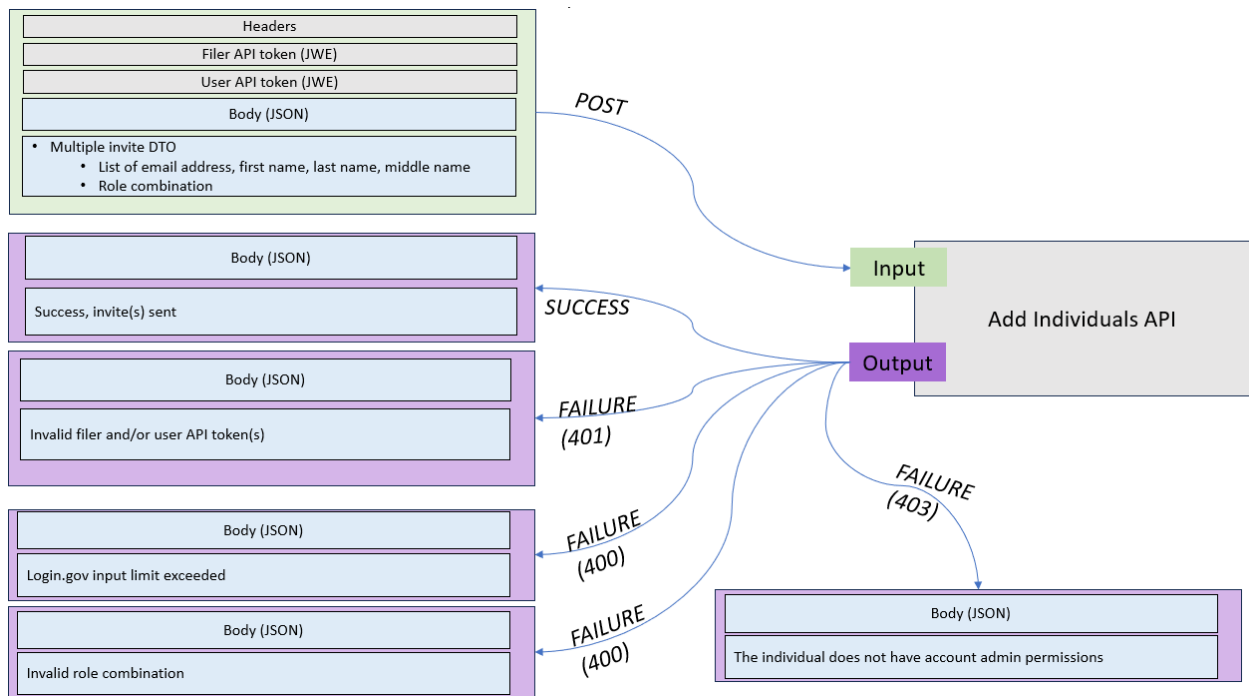
The add individuals API allows for one or more individuals to be added in specific role(s) for a filer. This API will require the following inputs: the filer API token, the user API token, the EDGAR account CIK for which individuals are to be added, a list of individuals (identified by their names and Login.gov email addresses), and their new roles. Token requirements are as

follows:

- The individual associated with the user API token must be an account administrator of the CIK for which individuals are to be added.
- The filer API token supplied for the request must either match the CIK for which individuals are to be added or the CIK of the filer API token must have delegation from that CIK.

If successful, the add individuals API will return a success message and the role invitations will be sent to the individuals identified. Additional information is provided in Figure F.

FIGURE F: ADD INDIVIDUALS API DIAGRAM



B. Remove Individuals API

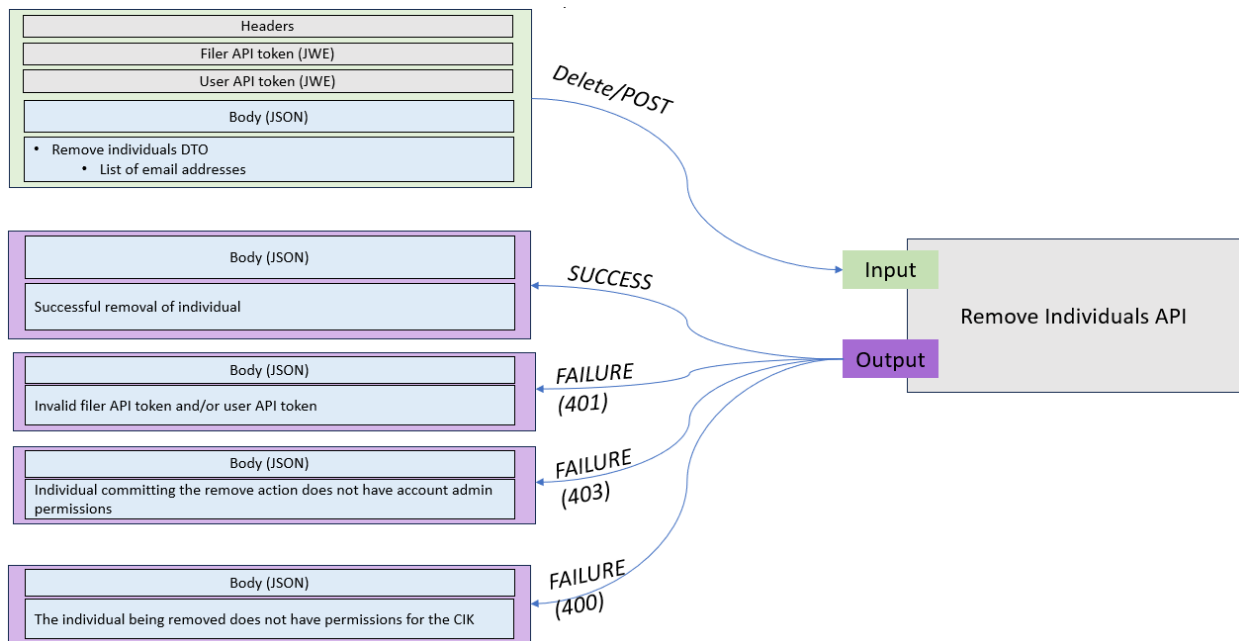
The remove individuals API provides the ability to remove one or more individuals. This API will require the following inputs: the filer API token, the user API token, the EDGAR

account CIK for which individuals are to be removed, a list of individuals (identified by their Login.gov email addresses), and their roles to be removed. Token requirements are as follows:

- The individual associated with the user API token must be an account administrator of the CIK for which individuals are to be removed.
- The filer API token supplied for the request must either match the CIK for which individuals are to be removed or the CIK of the filer API token must have delegation from that CIK.

If successful, the remove individuals API will return a success message. Additional information is provided in Figure G.

FIGURE G: REMOVE INDIVIDUALS API DIAGRAM



C. View Individuals API

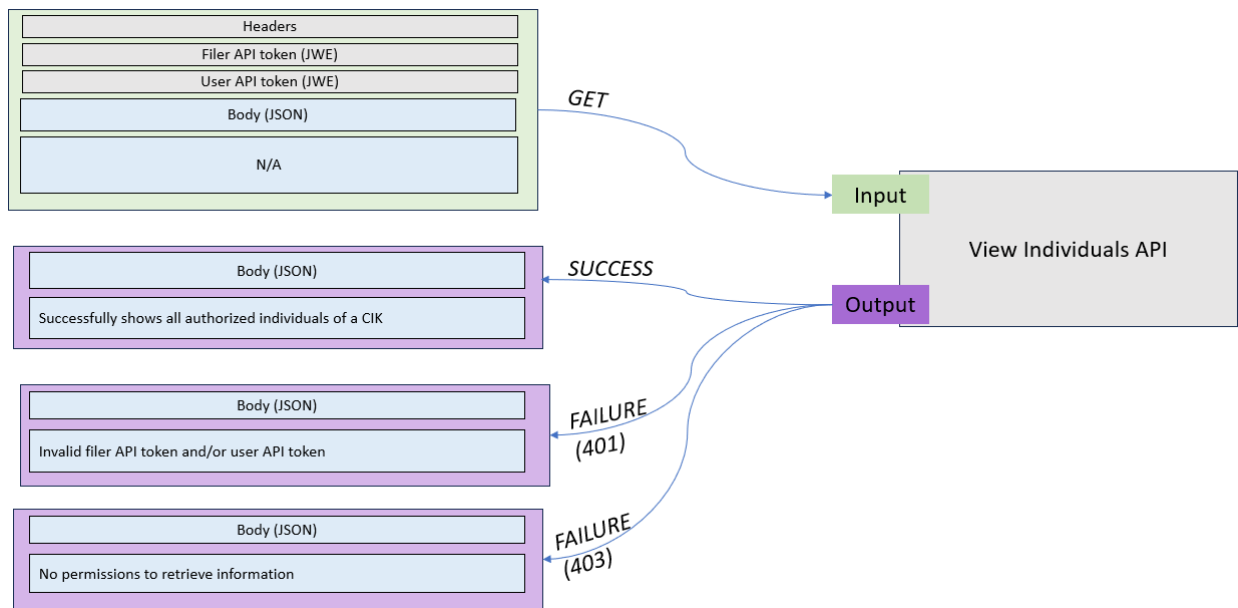
The view individuals API provides the ability to view all individuals with a role for an EDGAR account/CIK. This API will require the following inputs: the filer API token, the user

API token, and the CIK for which individuals are to be viewed. Token requirements are as follows:

- The individual associated with the user API token must be an account administrator of the CIK for which individuals are to be viewed.
- The filer API token supplied for the request must either match the CIK for which individuals are to be viewed or the CIK of the filer API token must have delegation from that CIK.

If successful, the API will return all individuals with roles for the CIK including role title, name, and email address. Additional information is provided in Figure H.

FIGURE H: VIEW INDIVIDUALS API DIAGRAM



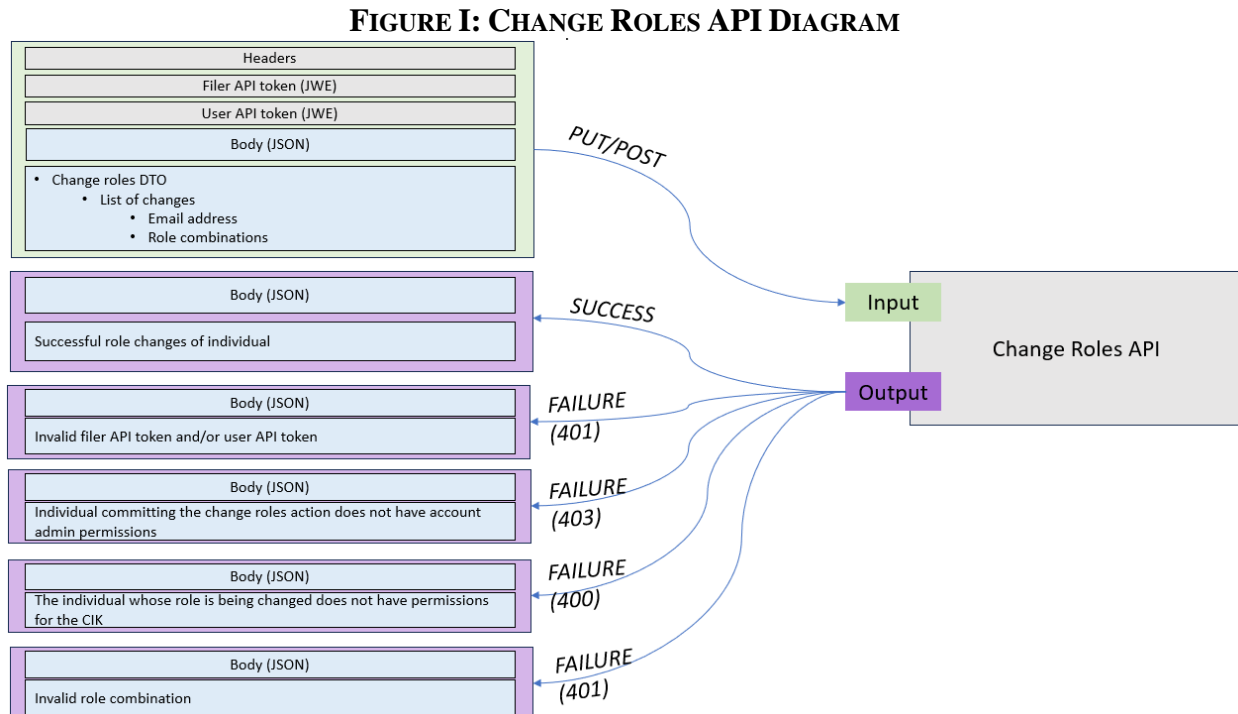
D. Change Roles API

The change roles API provides the ability to update roles for individuals for an EDGAR account. This API will require the following inputs: the filer API token, the user API token, the

EDGAR account CIK for which roles are to be changed, a list of the individuals (identified by their Login.gov email addresses), and their new roles (updated roles). Token requirements are as follows:

- The individual associated with the user API token must be an account administrator of the CIK for which roles are to be changed.
- The filer API token supplied for the request must either match the CIK for which roles are to be changed or the CIK of the filer API token must have delegation from that CIK.

If successful, the change roles API will return a success message. Additional information is provided in Figure I.



E. Send Delegation Invitations API

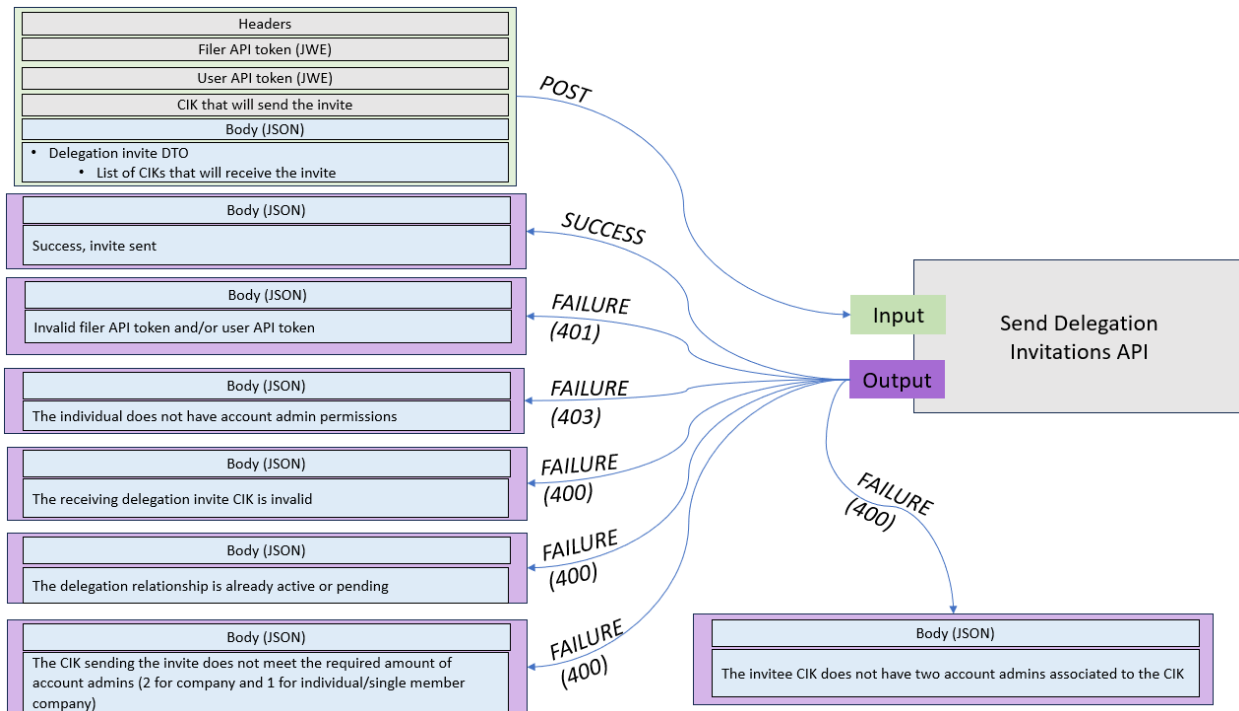
The send delegation invitations API provides the ability for a filer to delegate to one or more

EDGAR accounts. If those EDGAR accounts accept the delegation invitation, those EDGAR accounts will become the filer’s delegated entities who can submit filings on behalf of the filer. This API will require the following inputs: the filer API token, the user API token, the delegating filer’s CIK, and a list of one or more delegated entity CIKs that will receive the delegation invitation. Token requirements are as follows:

- The individual associated with the user API token must be an account administrator of the CIK from which delegation invitations are to be sent.
- The filer API token supplied for the request must match that CIK.

If successful, the send delegation invitations API will return a success message. Additional information is provided in Figure J.

FIGURE J: SEND DELEGATION INVITATIONS API DIAGRAM



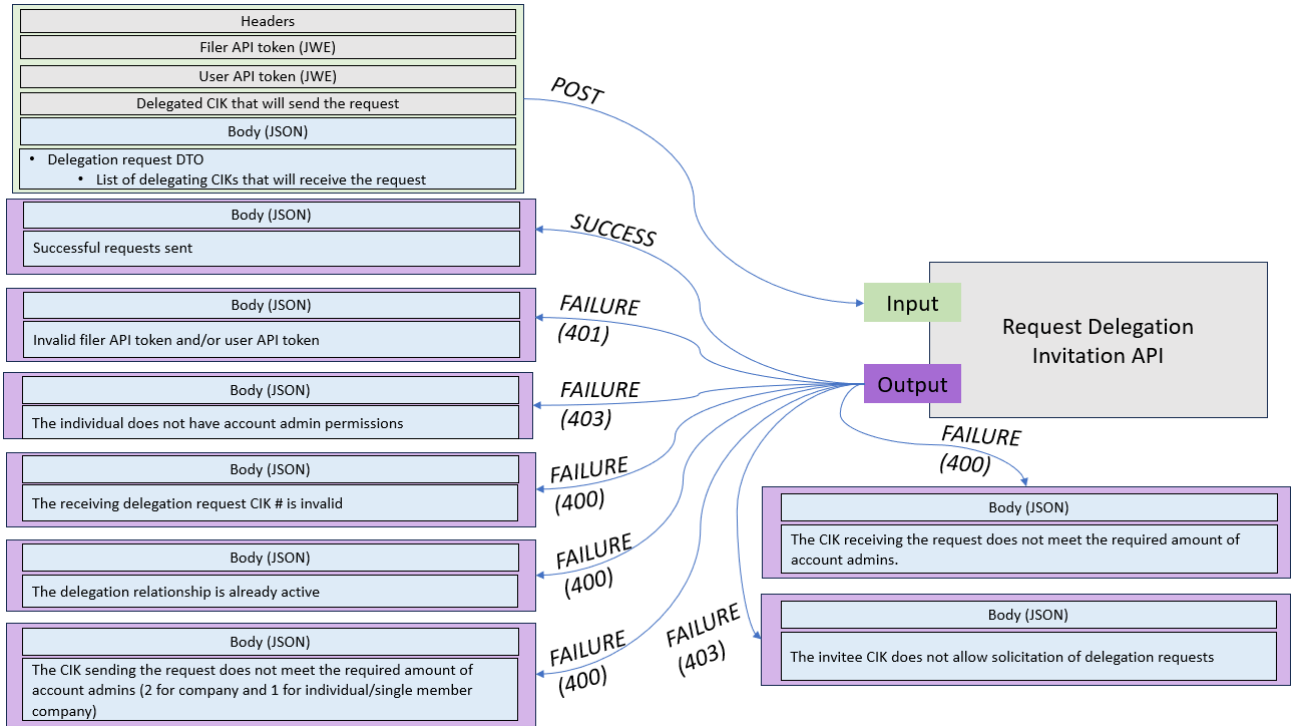
F. Request Delegation Invitations API

The request delegation invitations API provides the ability for an EDGAR account (for example, a filing agent) to request delegation from one or more filers. If a filer accepts the delegation request, a delegation invitation will be sent from the filer to the EDGAR account requesting delegation. If the delegation invitation is accepted by the EDGAR account requesting delegation, that EDGAR account will become a delegated entity that can submit filings on behalf of the filer. This API will require the following inputs: the filer API token, the user API token, the CIK belonging to the requesting EDGAR account that would like to become a delegated entity, and CIK(s) that will receive the delegation request. Token requirements are as follows:

- The individual associated with the user API token must be an account administrator of the CIK requesting a delegation invitation.
- The filer API token supplied for the request must match the CIK requesting a delegation invitation.

If successful, the request delegation invitations API will return a message that the request was successfully sent. Additional information is provided in Figure K.

FIGURE K1: REQUEST DELEGATION INVITATION API DIAGRAM



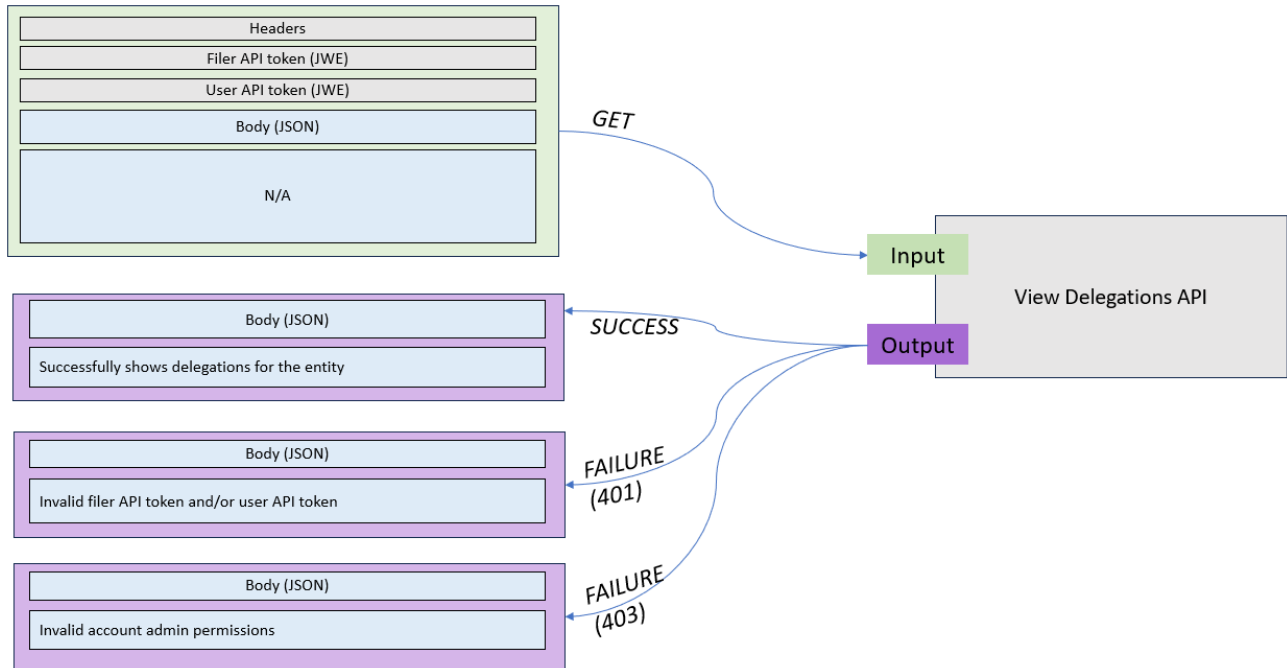
G. View Delegations API

The view delegations API provides the ability for a filer/EDGAR account to retrieve a list of all its delegations to and from other EDGAR accounts/CIKs. This API will require the following inputs: the filer API token, the user API token, and the EDGAR account/CIK for which delegation information is to be retrieved. Token requirements are as follows:

- The individual associated with the user API token must be a user or an account administrator of the CIK for which delegation information is to be retrieved.
- The filer API token supplied for the request must match that CIK.

If successful, the view delegations API will return a message with delegation information regarding the relevant EDGAR account’s delegating filers and delegated entities (Active, Pending, Requested, Deactivated). Additional information is provided in Figure L.

FIGURE L: VIEW DELEGATIONS API DIAGRAM



H. View Filer Account Information API

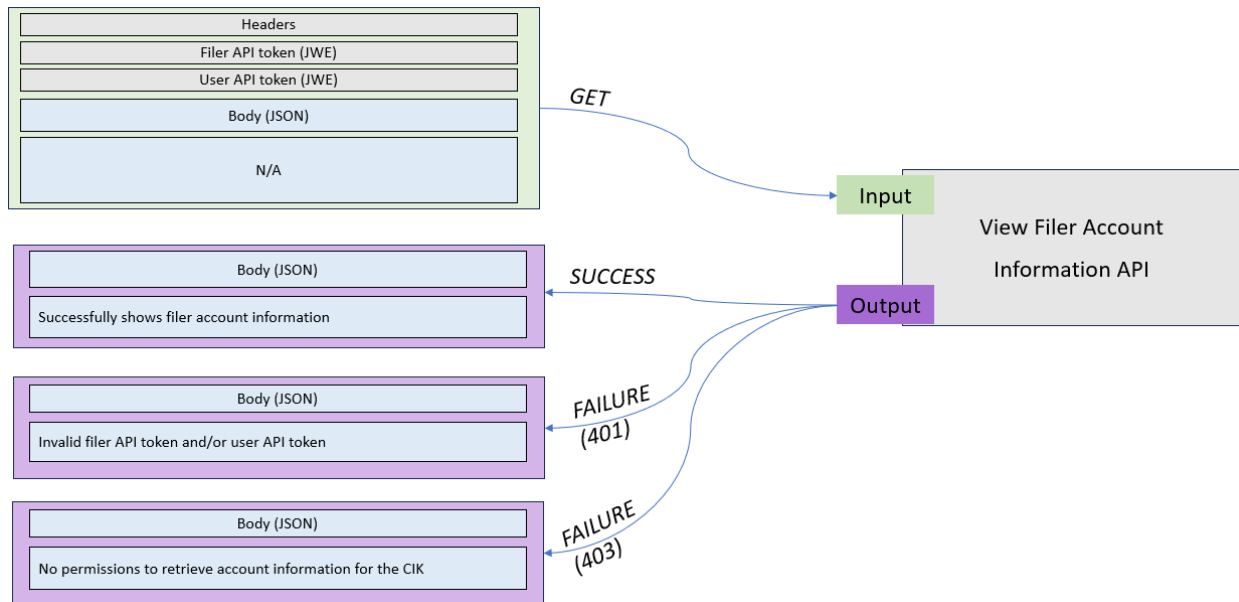
The view filer account information API provides the ability to view filer information for an EDGAR account/CIK. This API will require the following inputs: the filer API token, the user API token, and the EDGAR account/CIK for which information is being retrieved. Token requirements are as follows:

- The individual associated with the user API token must be a user, account administrator, delegated user, or delegated account administrator of the CIK for which account information is to be viewed.
- The filer API token supplied for the request must either match that CIK or the CIK of the filer API token must have delegation from that CIK.

If successful, the view filer account information API will return a message with the filer

account information for the entity (such as company name, address, upcoming annual confirmation date, CIK type, CCC, etc.). Additional information is provided in Figure M.

FIGURE M: VIEW FILER ACCOUNT INFORMATION API DIAGRAM



I. Generate CCC API

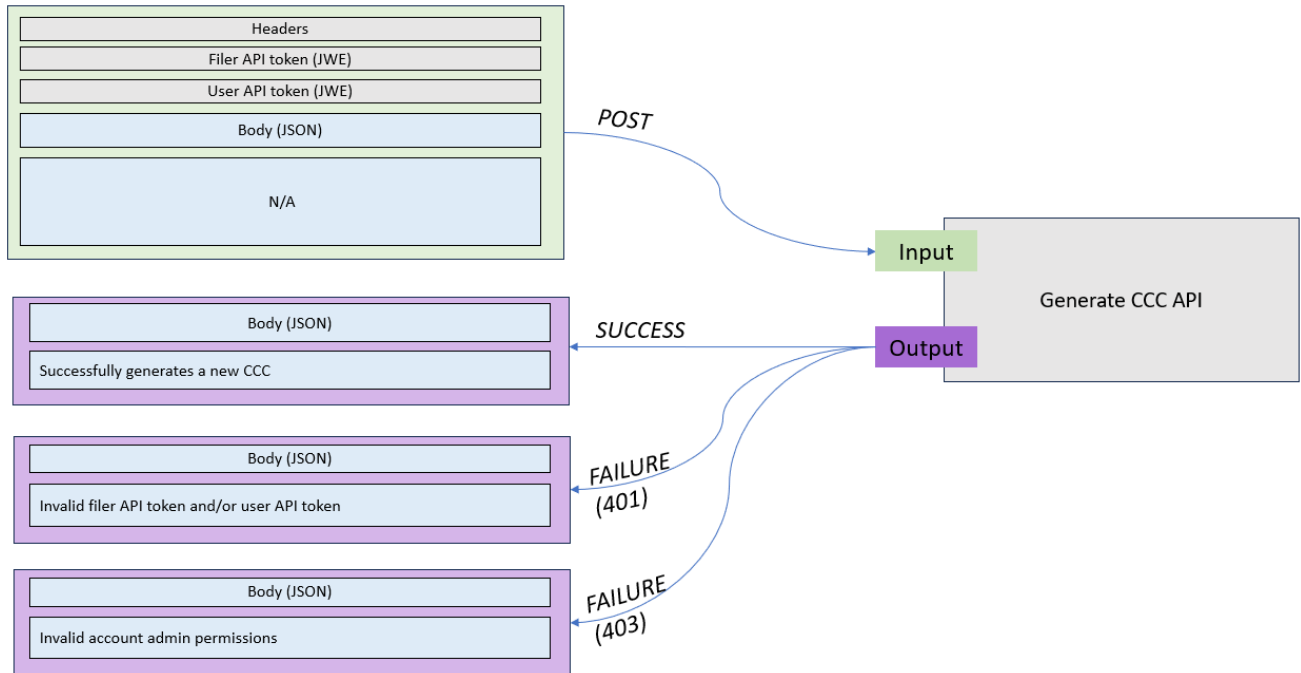
The generate CCC API allows a filer to randomly generate a new CCC. This API will require the filer API token, the user API token, and the CIK of the EDGAR account for which the CCC will be generated. Token requirements are as follows:

- The individual associated with the user API token must be an account administrator of the EDGAR account/CIK for which the CCC is to be generated.
- The filer API token supplied for the request must either match the CIK of the EDGAR account for which the CCC is to be generated or the CIK of the filer API token must have delegation from that CIK.

If successful, the generate CCC API will return a message with the new randomly generated

CCC. Additional information is provided in Figure N.

FIGURE N: GENERATE CCC API DIAGRAM



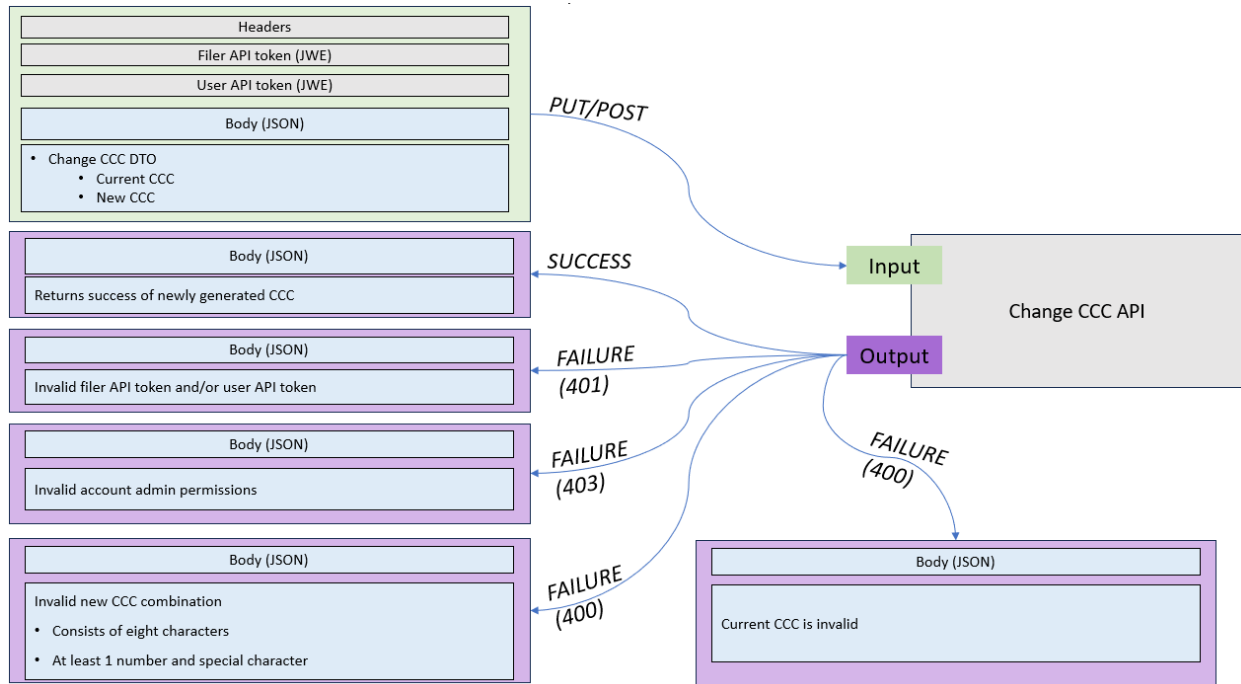
J. Create Custom CCC API

The create custom CCC API allows a filer to specify a new CCC. The API will require the following inputs: the filer API token, the user API token, the CIK of the EDGAR account for which the custom CCC will be created, the current CCC, and the new CCC. Token requirements are as follows:

- The individual associated with the user API token must be an account administrator of the EDGAR account/CIK for which the CCC is to be changed.
- The filer API token supplied for the request must either match the CIK for which the CCC is to be changed or the CIK of the filer API token must have delegation from that CIK.

If successful, the create custom CCC API will return a success message. Additional information is provided in Figure O.

FIGURE O: CREATE CUSTOM CCC API DIAGRAM



K. Filing Credentials Verification API

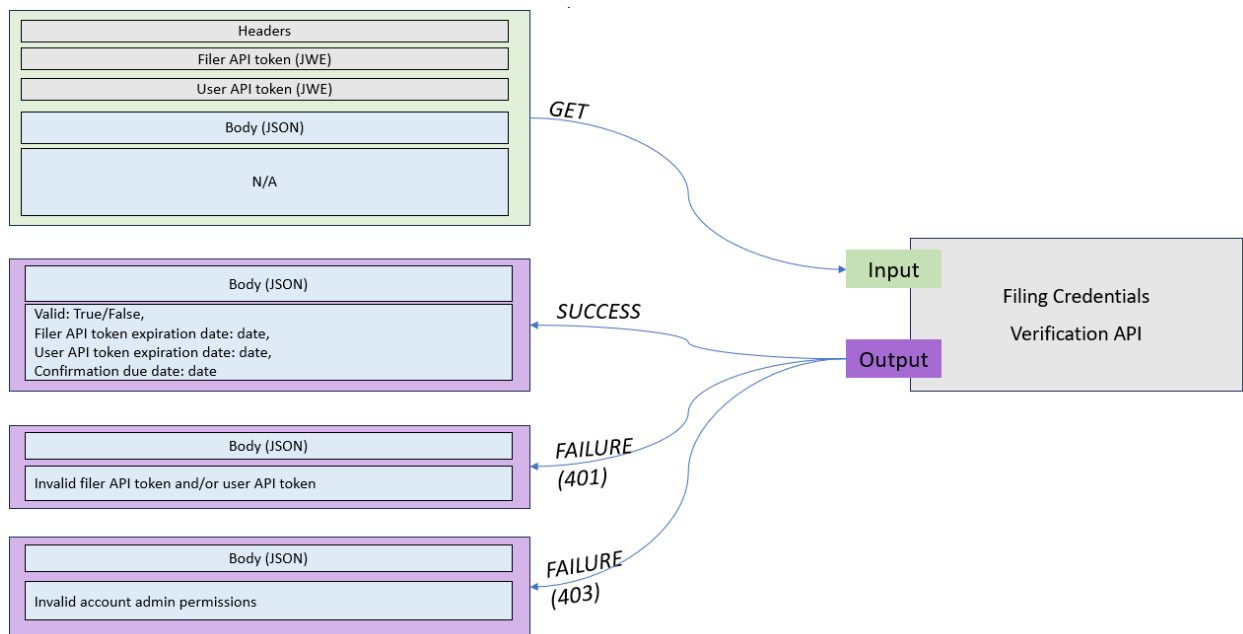
The filing credentials verification API provides the ability to view filing credentials for an EDGAR account/CIK. The API GET method requires the filer API token and the user API token in the header along with the relevant CIK in the path of the URL. Token requirements for a response of valid = true (yes, you can file using these tokens) are as follows:

- The individual associated with the user API token must be a user, account administrator, delegated user, or delegated account administrator of the CIK for which the filing credentials are to be verified.
- The filer API token supplied for the request must either match the CIK for which

filing credentials are to be verified or the CIK of the filer API token must have delegation from that CIK.

If successful, the filing credentials verification API will return a message with the filer API token expiration date, user API token expiration date, and upcoming annual confirmation date for the EDGAR account/CIK. Additional information is provided in Figure P.

FIGURE P: FILING CREDENTIALS VERIFICATION API DIAGRAM



L. Enrollment API

The enrollment API enables filers to enroll existing filers in EDGAR Next and designate account administrators. This API requires the filer API token, the user API token, the CIK, current CCC, and passphrase for each filer being enrolled, and information about account administrators for each filer being enrolled (including first name, middle name, last name, and email address). The filer API token in the enrollment API does not need to be associated with

any of the EDGAR accounts/CIKs that are being enrolled because those EDGAR accounts will not yet have access to the dashboard to create a filer API token.

If successful, the enrollment API will return a success message. Additional information is provided in Figure Q.

FIGURE Q: ENROLLMENT API DIAGRAM

