



EDGAR Filing Check-List

- Obtain your EDGAR access codes early in the process.**

We need your CIK and CCC codes issued to you by EDGAR in order to file your documents on EDGAR. If you do not already have these codes, we will need to fill-out a Form ID online, have it notarized by you, and then faxed to (202) 504-2474 to request EDGAR access codes from the Securities and Exchange Commission in advance of filing. Usually the SEC is very good about fulfilling these requests within the same day, but it can take as long as three days to receive these numbers.

If you already have these access codes, you will want to provide them to us as soon as possible so that we can confirm we have the correct CIK and CCC numbers or that the numbers have not been misplaced. We will assist you with the Form ID creation, coordinate the submission and process your EDGAR access codes if you don't already have them. Before you can electronically file with the SEC on EDGAR, you must become an EDGAR filer with authorized access codes.

- Prepare your SEC filing using the latest form required.**

Confirm that the SEC form you are working with and planning to file is the latest version that's required to be filed by the Securities and Exchange Commission. For confirmation, you may want to check with the SEC or with your attorney.

- Organize and have the main SEC form and any key documents to be attached as exhibits to the filing put into electronic format well in advance of your filing date.**

If these are not available in electronic format, make sure to leave sufficient time to scan or copy-type your articles of incorporation, bylaws, merger documents, licensing agreements, material leases, employment contracts etc. into your word-processing program if they are in paper form only. We also recommend you proof and if necessary clean up any documents scanned or copy-typed documents. Mistakes happen and you wouldn't want to have to unnecessarily re-file an exhibit. We can copy-type these documents for you as an added service. We also recommend you send your exhibits early and if possible in advance of your main filing. This will speed up the filing process for your document.

- **Confirm all your exhibits are properly labeled to ensure proper coding and set-up for your filing.**

The Securities and Exchange Commission has its own numbering system that it requires filers to use when attaching or including exhibits to an EDGAR filing. Exhibits need to conform to this numbering system or they may not be accepted by EDGAR or have to be re-filed using the correct numbering system. You may want to check this list to confirm what exhibits you are required to file with a particular SEC filing document.

- **Contact our office early to review the EDGAR filing process.**

By contacting us in advance we can properly set-up our resources to handle your EDGAR filing in the time frame you require.

- **Determine what, if any, documents to your EDGAR filing will also be filed as a PDF document.**

A PDF (Adobe Acrobat) version of your main SEC filing form or exhibits are considered unofficial filings by the Securities and Exchange Commission. In other words, they are not required to be filed. You may, however, want a PDF version filed if your typeset document is style intensive or you want to provide a printer friendly version of your EDGAR filing documents.

- **Pay any required filing fee to the Securities and Exchange Commission at least 24 hours in advance of filing.**

Send your payment for filing fees in advance of the date you want or need to file on EDGAR. If you are sending a wire we strongly recommend you wire funds a day ahead of the filing. At a minimum allow a few hours for Fedwire processing. (The Securities and Exchange Commission checks for wires received generally every 2 hours). You may contact us for wiring instructions.

Your filing will be suspended if the Securities and Exchange Commission has not received the required fees prior to filing.

- **Send your filing to us to be EDGARized as soon as possible.**

Don't wait until the last possible minute to send in your documents to be converted and filed on EDGAR. You want to give yourself time to proof the EDGARized document(s) we prepare. Although we will review the document, we are ultimately not the ones responsible for its accuracy, you are. We want you to be comfortable with the document we are filing on your behalf. If there are lots of exhibits send in the exhibits early while you are working on the main filing. This alone will eliminate some of the rush and pressure on you associated with making a regulatory filing.

- **Determine your red-lining requirements, if any, for amendment filings.**

Red-lining a document is a different process under the EDGAR filing system than that recognized under the paper system. When converted properly, code tags are entered into the document filed that only the Securities and Exchange Commission can see outlining the changed text. Other parties viewing the document only see the corrected version of the filing. In order to properly place these tags you will need to provide us with a copy of the red-lined amended document. A PDF version of the red-lined document is never filed. Changes to financial statements and corresponding notes are not required to be red-lined.

- **Proof all documents EDGARized prior to filing.**

Although we proof all documents we convert we may miss something and ultimately it is you and not us who are responsible for the accuracy and content of your EDGAR filings. We strongly encourage you to proof read the documents we or any other filing service EDGARizes on your behalf. The formatting may look slightly different given the nature of HTML but the content should remain the same as in your original paper document.

- **Keep a signed paper copy of all of your filings.**

You are required to keep a signed paper copy of all of your EDGAR filings for a five year period. We suggest you obtain a copy of all required signatures prior to filing and store this copy in a safe place.

- **Confirmation and filing submission approval to Empire Stock Transfer, Inc.**

We require signed and/or e-mail confirmation that you are happy with the EDGARized version of your filing and are ready to have us submit this document on your behalf. This approval form may be signed and faxed, or e-mailed to us by your CEO, CFO, attorney or another party having the requisite authority to make this decision on behalf of you and/or your company.