Validating Your Filing

Before you submit a filing to EDGAR, it is recommended that the Validate function is used to check the filing for errors. The SEC has specific guidelines for how documents should be formed and what sort of information they must include. LIVE filings that fail to meet these requirements can be suspended by EDGAR. To avoid a suspended filing, use the Validate function.

To Validate a Filing:

1. Open your submission file. For some form types, this will be your project file. For other form types that cannot have exhibit documents attached to them, this will be your form (XML) file.

2. Click **Submission** > **Validate** or **Home** > **Validate**.
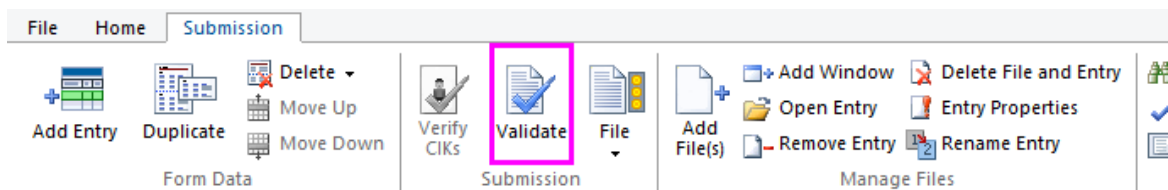
> **NOTE:** Which ribbon is available is dependent on the software being used. For example, the Section 16 software uses the Submission Ribbon for EDGAR functions like Validate and File. The 13F software uses the Home Ribbon.

3. The Validate function will run. A message box will appear to report if any errors were found. Click **OK**.

4. A Validate Filing log appears in the Information View window with a report of any errors. Click an error to locate it in the submission.

The Validate Filing log displays errors, warnings, and advisories as follows:

Error: An error listed in red, bold text will cause EDGAR to suspend your filing.
Error: An error listed in red text means that you did not follow the SEC's requirements as stated in the EDGAR Filer Manual but EDGAR will not necessarily suspend your filing.
Warning: A warning means that there may be a problem with your filing, but the validation process could not determine if the issue constitutes an error. For example, inputting a future date into a field that does not allow a future date will appear as a warning because the software does not know the date the filing will happen.
Advisory: An advisory means that something happened during the validation process that might signal a problem.

Using the Validate function does not guarantee that your filing will be accepted by EDGAR but it will greatly minimize the risk that it will be suspended.

> **Helpful Hints:**
>
> - You can validate single documents by using the Validate function on the edit window containing the document.

- Using the Validate function on a submission or project file validates all of the data in the project, including attached exhibits.