

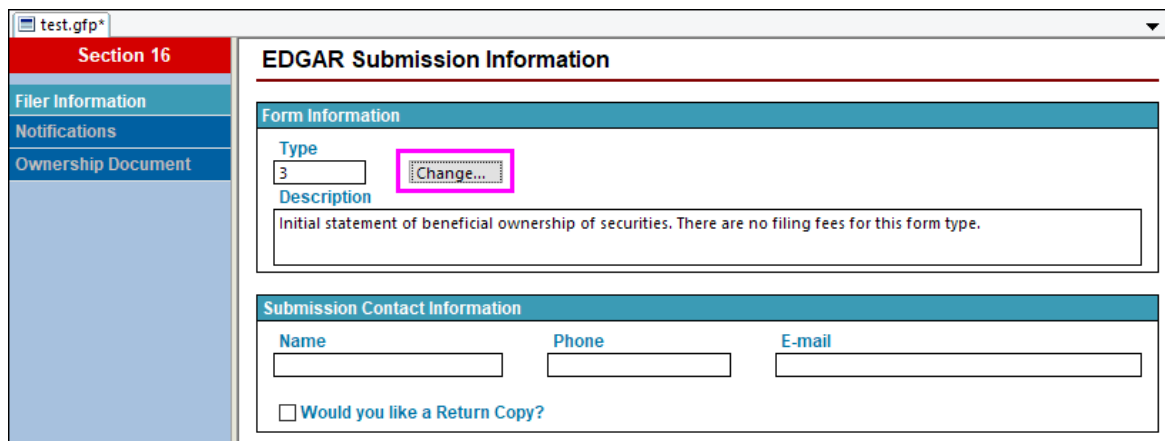
Changing a Submission's EDGAR Form Type

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For EDGAR forms that belong to the same technical specification or family, you can change between EDGAR form types without creating a new submission. For example, you can change a Form 4 submission to a Form 5 submission (both being Section 16 forms) or a Form 1-A submission to a Form 1-K submission (both being forms created using the Regulation A XML specification).

To change a form type from one form to another:

1. Open the submission or project in the software. You can do this within the software using the **Open** command or by using the **Open** tool in the Virtual File Cloud portion of the GoFiler Online portal.
2. In the *Form Information* section of the *Filer Information* page, click the **Change** button next to the *Form Type* field.



The screenshot shows a web interface for "test.gfp". On the left is a navigation menu with "Section 16" highlighted in red, and other options: "Filer Information", "Notifications", and "Ownership Document". The main content area is titled "EDGAR Submission Information" and contains two sections: "Form Information" and "Submission Contact Information". In the "Form Information" section, the "Type" field is a dropdown menu currently showing "3", with a "Change..." button to its right. Below it is a "Description" field containing the text: "Initial statement of beneficial ownership of securities. There are no filing fees for this form type." The "Submission Contact Information" section has three input fields for "Name", "Phone", and "E-mail", and a checkbox labeled "Would you like a Return Copy?".

3. Select the desired form type from the Form list dialog.
4. Use the **Save** or **Save As** function to save your filing.

There are certain limitations and factors to consider when changing a form from one type of form to another.

- As stated earlier, forms must belong to the same technical specification (as released by the SEC) in order to change between them. Even forms that are filed under the same regulation may not fall under the same technical specification. For example, the Regulation A Forms 1-A and 1-K used in our earlier example fall under the Reg A XML specification. However, other forms filed under Regulation A, such as Form 1-A-W or Form 1-U, fall under the EDGARLink Online XML specification. In this case, you cannot change the form type on a Form 1-A to a Form 1-A-W or vice versa.
- Data will be retained when changing a form for all fields that pertain to the new form. Any data inside fields that do not pertain to the new form will be discarded. This data will not be completely lost until the submission is saved with the new form type. If you accidentally change to the wrong form, you can use the change form button before saving your filing to retrieve your data.
- The different software launchers available on GoFiler Online also determine which forms you can change between. You cannot change a submission to a form type that is not supported by the software you currently have open.