

EFD UFT Walkthrough

Navigate to the website <https://www.nasaaefd.org> to begin.

This document shows filers how to create a UFT Offering and submit a UFT submission/payment.

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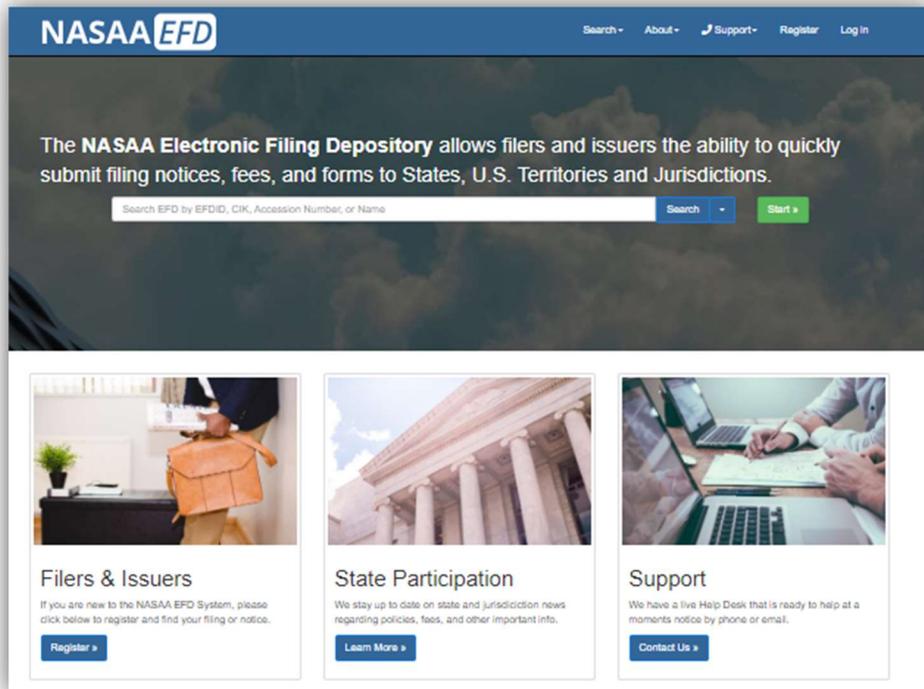
North American Securities Administrators Association, Inc.

Electronic Filing Depository (EFD – www.nasaaefd.org)

EFD UFT Walkthrough

Screen: Home Page

This is the home page for the Electronic Filing Depository, which is available at <https://www.nasaaefd.org>.



Filers must complete the registration process in order to create a new account (see the Filer Registration document).

If a Filer already has an account with EFD, then the Filer clicks **Log In** at the top of the screen.

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Screen: Login Screen

The screenshot shows a login form with the following elements:

- Login Name:** A text input field containing the placeholder text "Login Name".
- Password:** A text input field containing the placeholder text "Password" and a small eye icon for toggling visibility.
- reCAPTCHA:** A checkbox labeled "I'm not a robot" next to the reCAPTCHA logo and "reCAPTCHA Privacy - Terms" link.
- Log in:** A blue button.
- Forgot My Login:** A button at the bottom left.
- Forgot My Password:** A button at the bottom center.
- Register A New Account:** A button at the bottom right.

- The Filer must enter their Login Name and Password.
- The Filer must select the 'I'm not a robot' option, and pass any reCAPTCHA authentication.
- The Login Name IS NOT case sensitive.
- The Password IS case sensitive.

*Use the option buttons at the bottom of this screen to retrieve lost Login Names or reset your Password.

This close-up view shows the bottom section of the login form, including:

- The reCAPTCHA "I'm not a robot" checkbox and logo.
- The blue "Log in" button.
- The "Forgot My Login" and "Forgot My Password" buttons.
- A mouse cursor pointing at the "Forgot My Password" button.

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Screen: Accept Terms and Conditions

Filers must click the **Accept the Terms and Conditions** button upon logging into the EFD website.

Terms & Conditions

Accept the Terms and Conditions

Reject the Terms and Conditions

NASAA ELECTRONIC FILING DEPOSITORY

FILER TERMS OF USE

These Terms of Use were last updated on November 25, 2014.

By clicking **“Accept,”** You certify that You have read and understand all of the NASAA Electronic Filing Depository System Filer Terms of Use and intend to form a binding agreement with NASAA on those terms without modification or amendment.

These Filer Terms of Use constitute an agreement between the North American Securities Administrators Association, Inc. (“**NASAA**”) and each individual (each, a **“Filer User”** or **“You”** and variations thereof such as **“Your”**) who is issued an EFD Filer user account or who otherwise accesses the applications, content, data, or services available to those with EFD Filer user accounts, in each case on or through the website operated by NASAA and accessible at <https://www.efdnasaa.org> (the **“Website”**).

Filers will not be allowed to proceed until the Terms and Conditions on this screen are accepted.

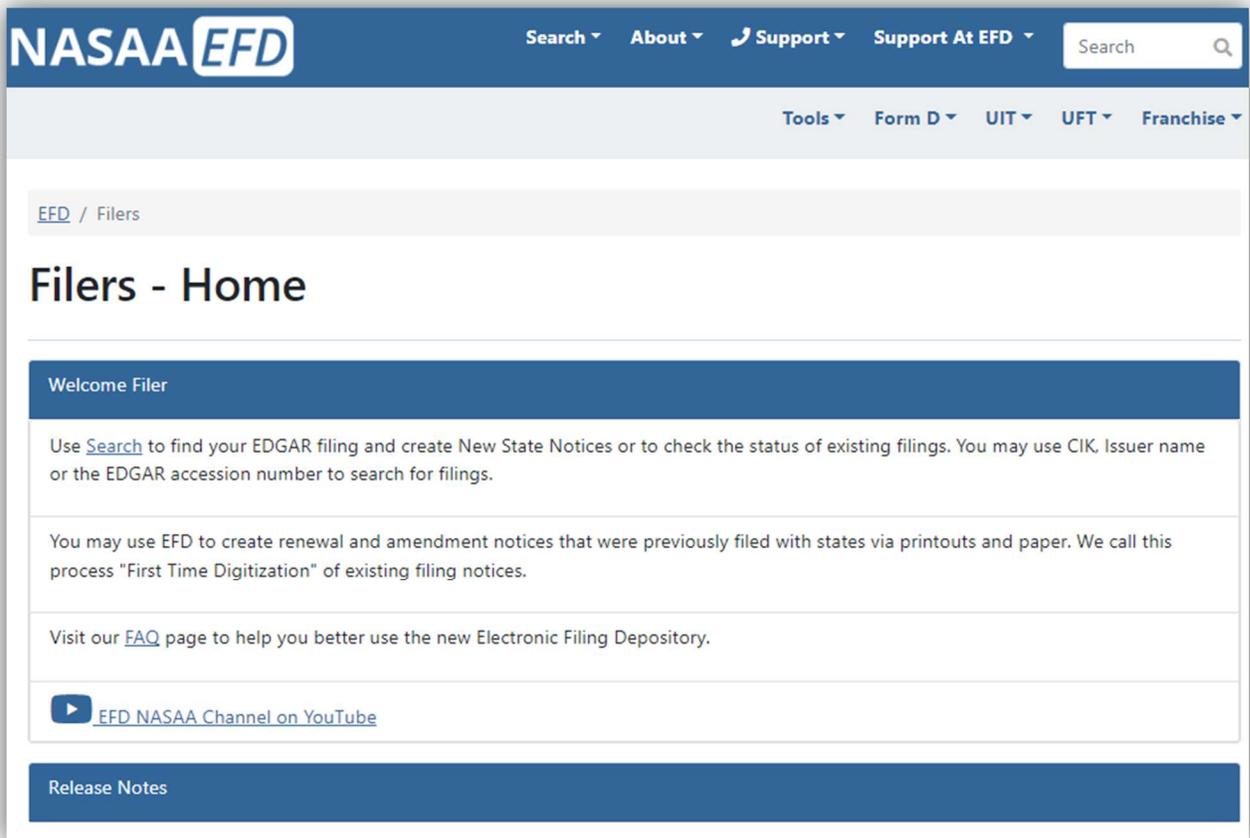
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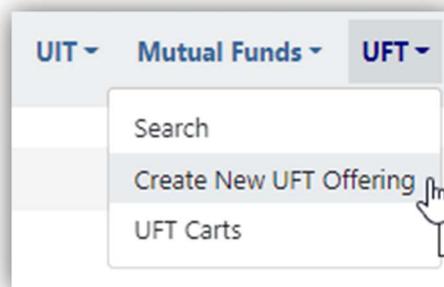
Screen: Filers Home

After accepting the Terms and Conditions, Filers are logged in and the Filer’s Login Name will appear at the top of the screen. To get back to this page at any time you only have to click on your name/username in the top right and click on “Filer Home”.



Screen: Filers Home UFT

The next step to creating a UFT Offering and filing for the states



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Screen: Create New UFT Offering or Other Filing

The filer/issuer will fill out the offering name and offering type. You will be required to provide a description of the offering. Select what group the UFT offering is being associated to.

The screenshot shows a web form titled "Create New UFT Offering or Other Filing". At the top, there is a breadcrumb trail: "EFD / Filers / UFT / New UFT". The form contains four main input fields:

- Offering Name:** A text box containing the word "Testing".
- Offering Type:** A dropdown menu with the text "Select an Offering Type".
- Description :** A large text area containing the word "Description".
- Associated Filer Group:** A dropdown menu with the text "Fishy Fishermen Fishing Fish".

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Screen: Manage UFT Offering Page

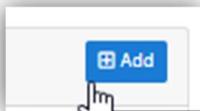
Drafts - Add a filing submission or submit an ad-hoc payment to a state.

The Shared document - Please note that files uploaded as Shared Documents are included with every submission and to all jurisdictions. This behavior continues until the document is removed from the shared documents list. For documents to individual states please upload files through the Drafts box.

The screenshot displays the 'Testing UFT Walkthrough REG A - Tier 1' page. At the top right, the EFDID is 360523. The page is divided into several sections:

- This is for the Walkthrough**: Contains two main sections:
 - Issuer/Franchisor/Applicant**:
 - Name: Juan Lopez
 - Address: 1213 YELlow Brick Road, OZ, WNa 969645, MOON
 - Contact Person Information**:
 - Name: Doctor Who
 - Firm: The Tardis LLC
 - Email:
 - Address: 1 nowhere edge of time, time 000001 edge of time P: 100000000
- Drafts**: A section with an 'Add' button. Below it, it states 'There are no Draft Items'.
- Previous**: A section with an 'Add to Cart' button. Below it, it states 'There are no previous items'.
- Shared Documents**: A section with an 'Add File' button. Below it, a note states: 'Please note that files uploaded as Shared Documents are included with every submission and to all jurisdictions. This behavior continues until the document is removed from the shared documents list. For documents to individual states please upload files through the Drafts box.' Below the note, it states 'There are no shared documents'.

To make a submission you will click on the “[+] ADD” button in the DRAFTS section. This will direct you to select what type of submission you’re making.



Screen: Select Submission Type

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Select a submission type. Keep in mind that states can not accept an ad-hoc payment until there is a filing submission on file through EFD first.

Select Submission Type

Filing Submission
Submission of filing or registration documentation to a state.

Ad-Hoc Payment
Submission of extra monies to a state for the specified Offering. You must have previously filed for this item through EFD to be able to submit to specific states.

Screen: Jurisdiction Selection

Select what states you will be filing your submission with. Some states are crossed out because they do not accept the offering type you selected. For Example - In the image below we selected a REG A – Tier 2 filing and Connecticut doesn't allow for a Reg A – Tier 2 filing through EFD.

When you are done selecting your states you will click "NEXT".

New Offering 1A REG A - Tier 2

EFDID: **340723**

Jurisdiction Selections: Next

Please select the Jurisdictions to receive this filing. A jurisdiction may not use EFD for one or more filing types and in those cases the state will be "grayed out." Please contact the jurisdiction directly for guidance on how to submit your filing. Contact information for each jurisdiction is available at www.nasaa.org.

Select All Jurisdictions

<input type="checkbox"/> AL (Alabama)	<input type="checkbox"/> AK (Alaska)	<input type="checkbox"/> AZ (Arizona)	<input type="checkbox"/> AR (Arkansas)	<input type="checkbox"/> CA (California)	<input type="checkbox"/> CO (Colorado)
<input type="checkbox"/> CT (Connecticut)	<input type="checkbox"/> DE (Delaware)	<input type="checkbox"/> DC (District of Columbia)	<input type="checkbox"/> FL (Florida)	<input type="checkbox"/> GA (Georgia)	<input type="checkbox"/> HI (Hawaii)
<input type="checkbox"/> ID (Idaho)	<input type="checkbox"/> IL (Illinois)	<input type="checkbox"/> IN (Indiana)	<input type="checkbox"/> IA (Iowa)	<input type="checkbox"/> KS (Kansas)	<input type="checkbox"/> KY (Kentucky)
<input type="checkbox"/> LA (Louisiana)	<input type="checkbox"/> ME (Maine)	<input type="checkbox"/> MD (Maryland)	<input type="checkbox"/> MA (Massachusetts)	<input type="checkbox"/> MI (Michigan)	<input type="checkbox"/> MN (Minnesota)
<input type="checkbox"/> MS (Mississippi)	<input type="checkbox"/> MO (Missouri)	<input type="checkbox"/> MT (Montana)	<input type="checkbox"/> NE (Nebraska)	<input type="checkbox"/> NV (Nevada)	<input type="checkbox"/> NH (New Hampshire)
<input type="checkbox"/> NJ (New Jersey)	<input type="checkbox"/> NM (New Mexico)	<input type="checkbox"/> NY (New York)	<input type="checkbox"/> NC (North Carolina)	<input type="checkbox"/> ND (North Dakota)	<input type="checkbox"/> OH (Ohio)
<input type="checkbox"/> OK (Oklahoma)	<input type="checkbox"/> OR (Oregon)	<input type="checkbox"/> PA (Pennsylvania)	<input type="checkbox"/> PR (Puerto Rico)	<input type="checkbox"/> RI (Rhode Island)	<input type="checkbox"/> SC (South Carolina)
<input type="checkbox"/> SD (South Dakota)	<input type="checkbox"/> TN (Tennessee)	<input type="checkbox"/> TX (Texas)	<input type="checkbox"/> VI (U.S. Virgin Islands)	<input type="checkbox"/> UT (Utah)	<input type="checkbox"/> VT (Vermont)
<input type="checkbox"/> VA (Virginia)	<input type="checkbox"/> WA (Washington)	<input type="checkbox"/> WV (West Virginia)	<input type="checkbox"/> WI (Wisconsin)	<input type="checkbox"/> WY (Wyoming)	

Next

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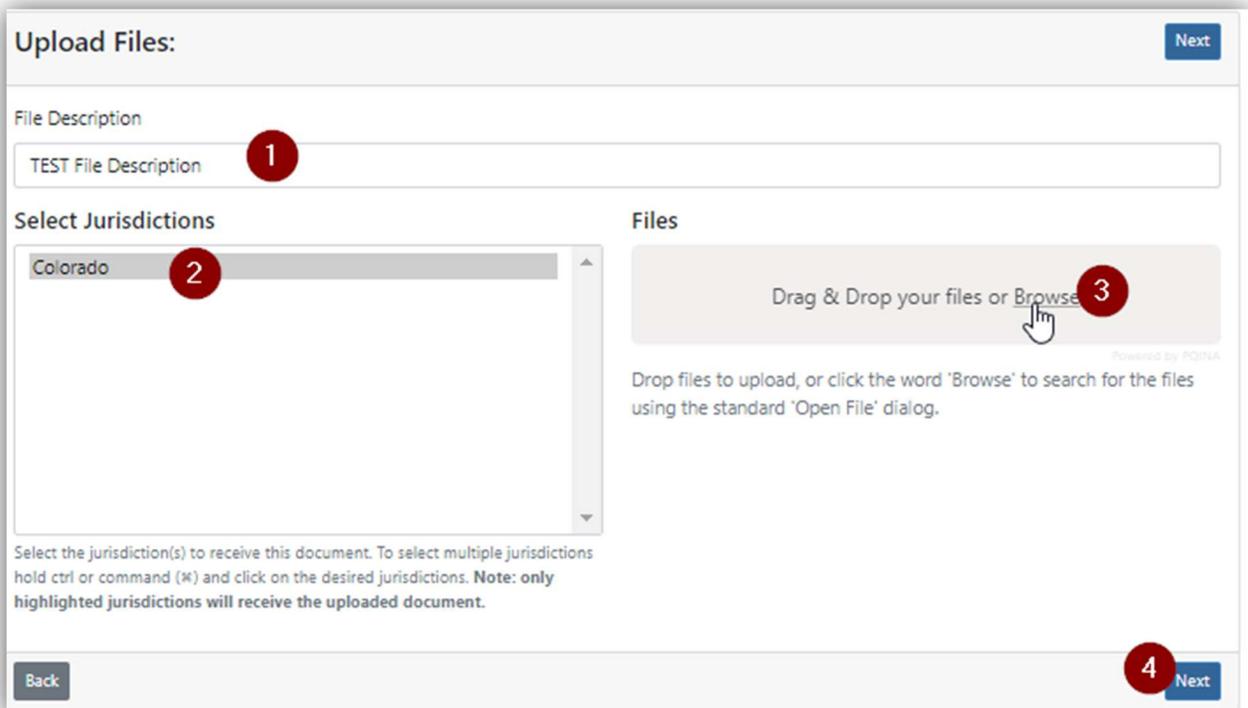
Screen: File List

The file list page shows you all the files that have been added and what states are associated to said files. To add a new file, you will click on “Add File”. You must have at least one filer per state.



Screen: UFT File Upload

The file upload screen requires you to do things in a particular order. You will first state the file description. Then click on the state to the left. You can select multiple states by holding down the CTRL key on your key board and clicking the other states. Now you have the ability to browse for your file. Click on “Browse” or drag and drop your file into this box.

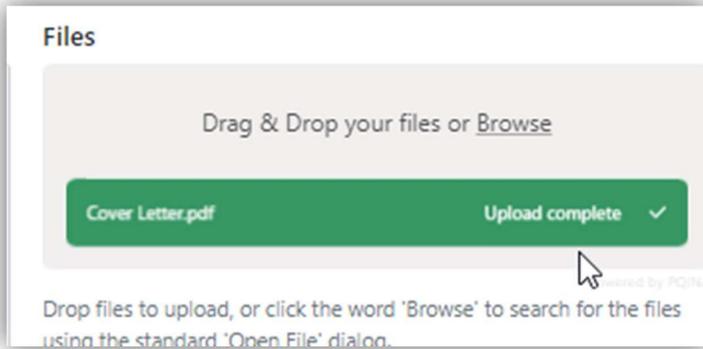


The file will then begin to upload. Wait for the “Upload Completed” green bar to appear.

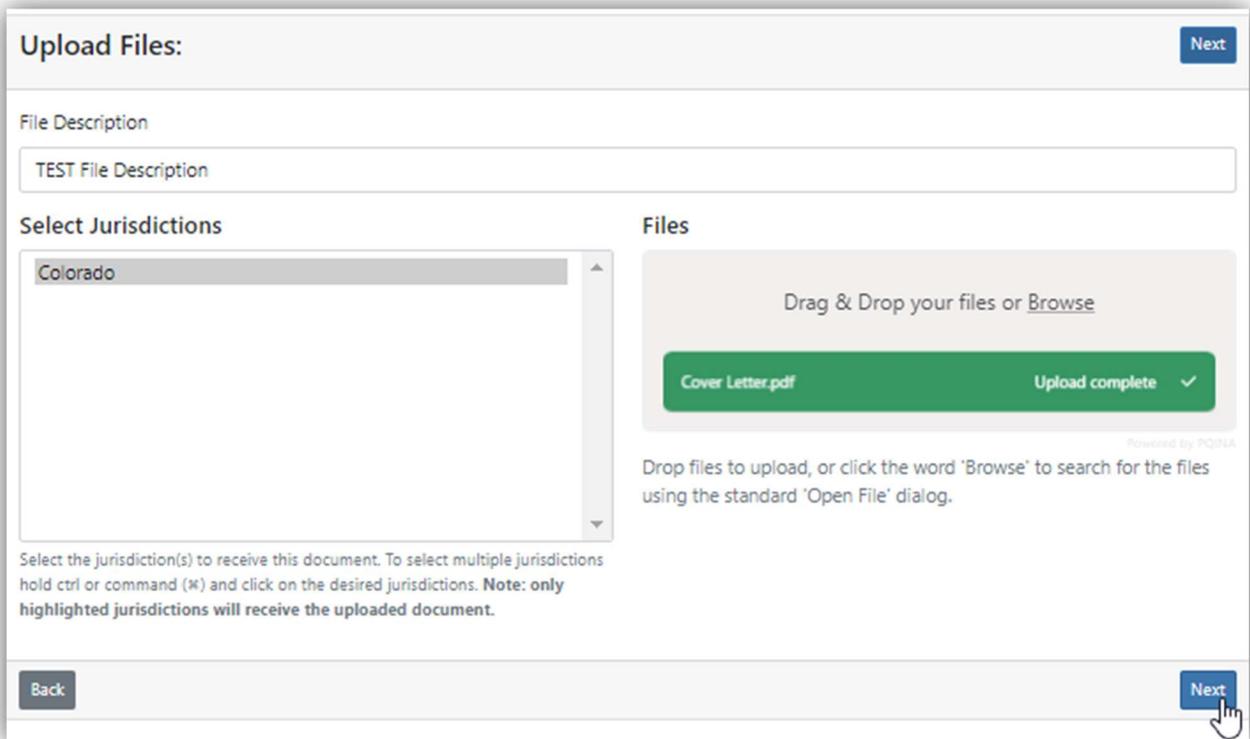
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Click on "NEXT"



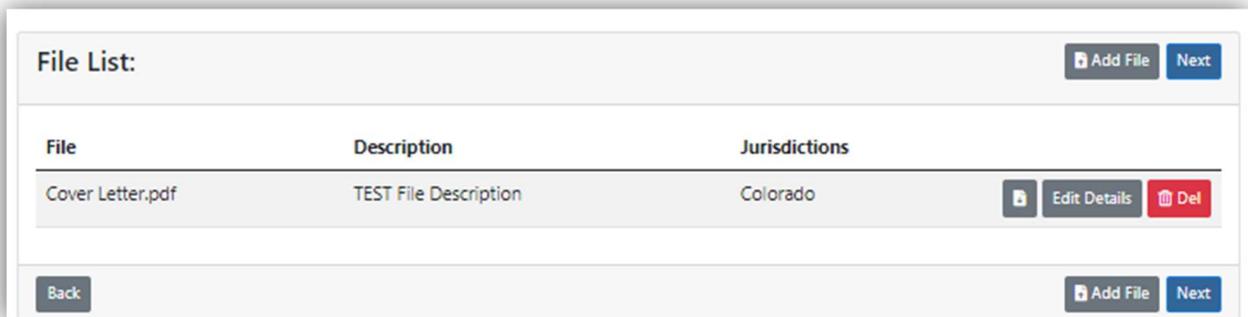
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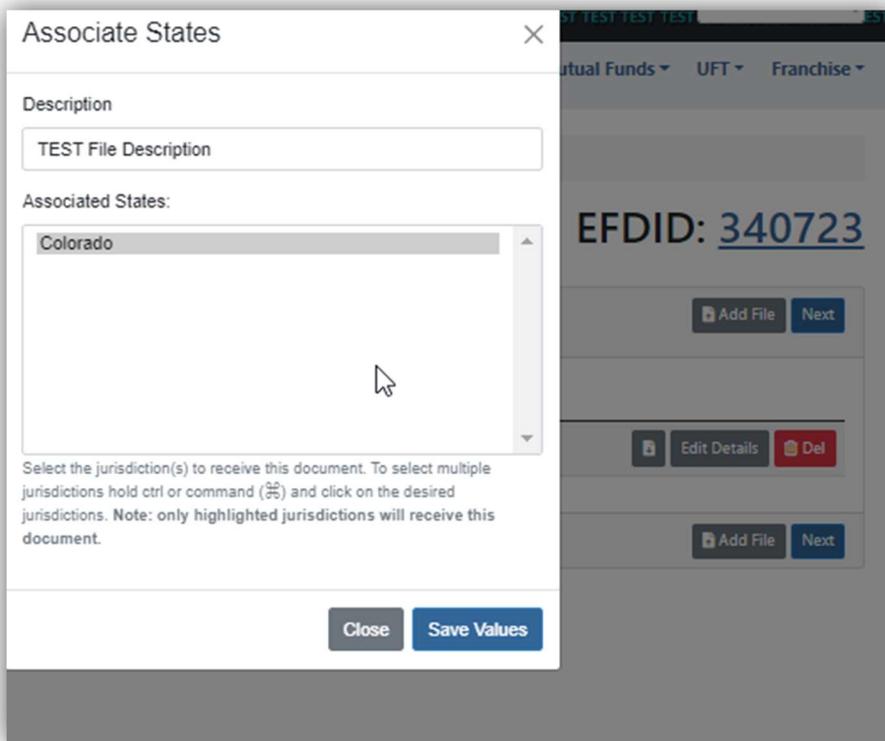
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Screen: File List - Post File Upload

You can redownload the document you uploaded to check the integrity of the document or to make sure it is the correct document. You can also delete the said document.



You have the ability to click on “Edit Details” to add more states to the file submission you uploaded. Be sure to click “Save Value” to commit the change.

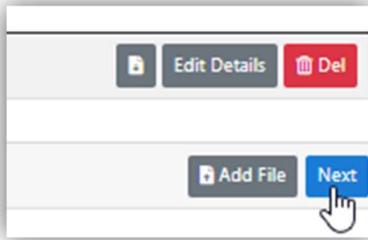


When you are ready be sure to click on “NEXT”

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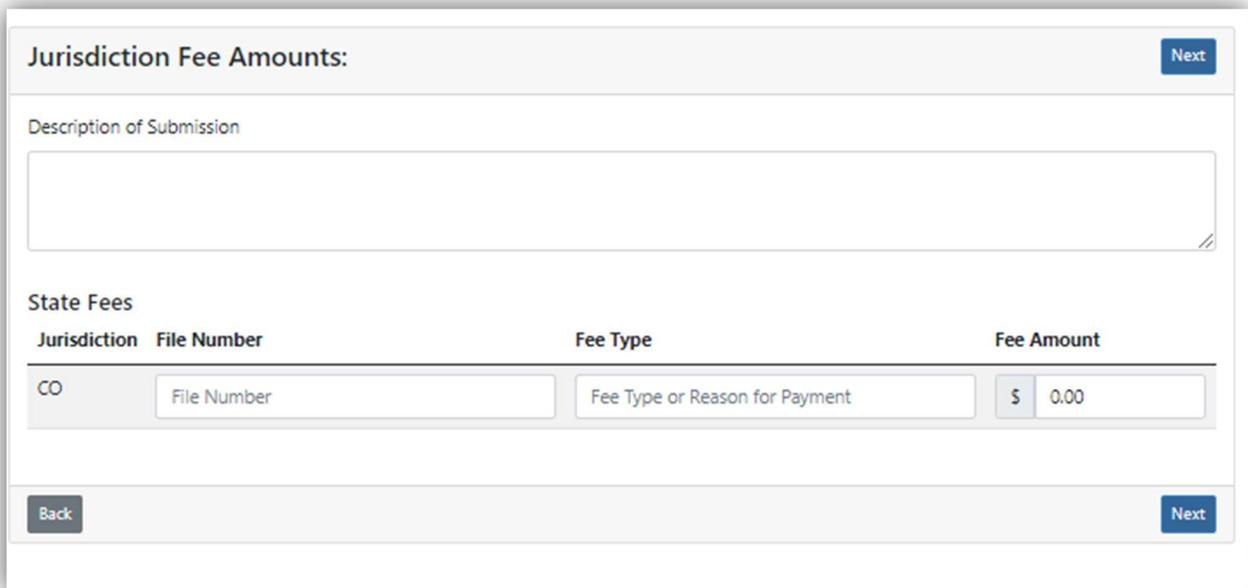
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Screen: UFT Description and State Fees

This page wants a short but brief description of the submission (What is it for). Then you have the Option to provide a File Number (not required). You must provide the Fee Type (Put NA if there is no fee). You must provide a fee amount (put 0 if no fee).



Jurisdiction Fee Amounts: Next

Description of Submission

State Fees

Jurisdiction	File Number	Fee Type	Fee Amount
CO	<input type="text" value="File Number"/>	<input type="text" value="Fee Type or Reason for Payment"/>	\$ <input type="text" value="0.00"/>

Back Next

You will now double check everything and click on “NEXT”

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Jurisdiction Fee Amounts:

[Next](#)

Description of Submission

For the submission of a Reg A Tier 2

State Fees

Jurisdiction	File Number	Fee Type	Fee Amount
CO	<input type="text" value="File Number"/>	<input type="text" value="Reg A Initial"/>	\$ 450.00

[Back](#) [Next](#)

Screen: Submission Confirmation

The Filer/Issuer will now be given the ability to confirm all the information provided thus far. Clicking “NEXT” will ready the draft to be paid for. If there is no fee then the filing will be submitted to the states.

Submission Confirmation:

[Next](#)

Filing Submission

For the submission of a Reg A Tier 2

Associated States

Jurisdiction	File Number	Fee Type	Fee Amount
CO		Reg A Initial	\$450.00

File List

File	Description	Jurisdictions
Cover Letter.pdf	TEST File Description	Colorado

[Back](#) [Next](#)

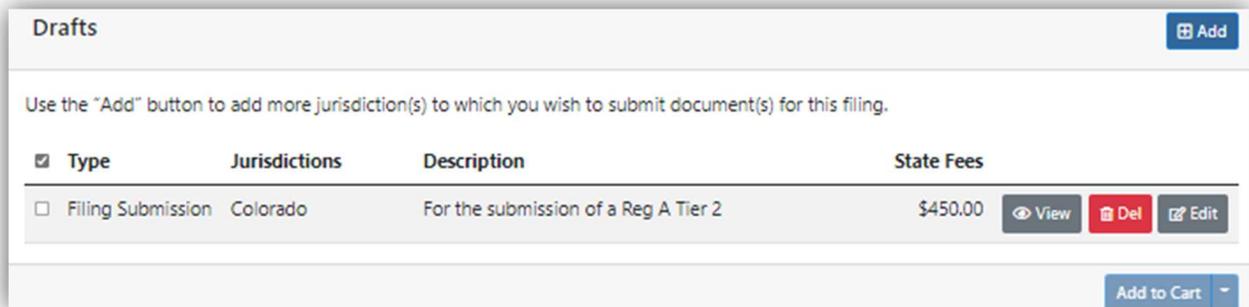
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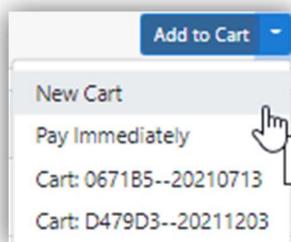
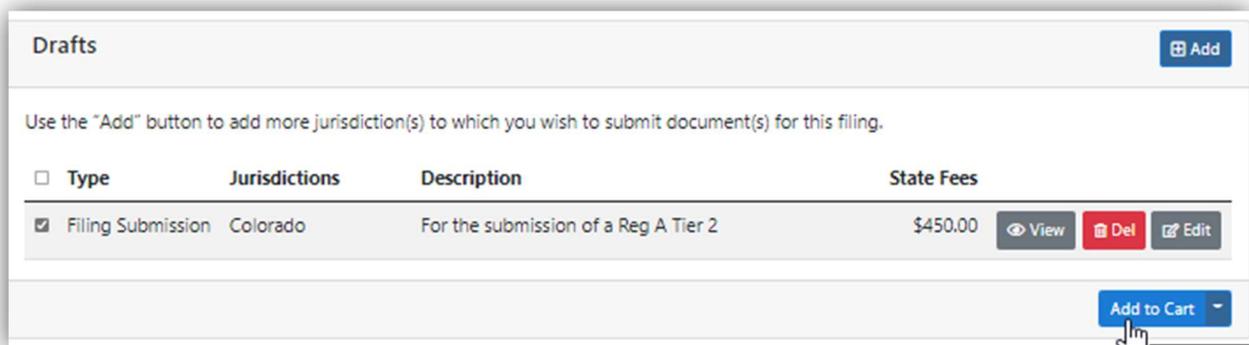
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Screen: Manage UFT Drafts – Add to Cart

The filer/issuer will need to click on the check mark to the left of each filing submission needing to be filed.



Then the filer/issuer will click on "Add to Cart" or select the drop down next to Add to Cart to specify what cart it goes into.



Screen: UFT Payment Cart Details

The Payment details and contact information are required to associate the filing to a filer/issuer group and individual. Friendly Name is already created by the system but can be changed by the filer. You will need to make sure that you selected which payment group the filing is being associated to (default is My Private group). The Funds request memo is required for most law firms. It's an in house identifier for

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clients or payment tracking. Think of it like a memo field on a check. Receipts Emails an email collection that will send all email(s) provided a copy of this receipt (the account holders primary email already gets a copy of said receipt). The Contact Information is who is paying for the filing. Click “NEXT” when you’re ready to proceed.

EFD: Universal Filing Type -- Payment Cart Details

Clicking the 'Next' Button will cause the system to process the selected Drafts for any data changes since they were added to this Cart. This may change the total value to be charged. Next

Payment Details

Please enter the information on who is paying for the Notice.

Friendly Name:

Payment Group:

Funds Request/Memo:
The above comment will appear in the 'MEMO' field of the transaction.

Receipts Emails:
Enter additional notification email addresses above, with each email separated by a semi-colon.

i The above emails will receive receipts. These receipts will contain information about the status of the filing as your payment is processed.

Payment Contact Information Copy From Profile

Filer Name:

Filer Company Name:

Filer Telephone Number:

Filer Address 1:

Filer Address 2:

Filer City:

Filer State:

Filer Zip Code:

EFDID	Name	Details	Line Amount
340723	System Use Fee: New Offering 1A	System Use Fee	\$30.00
340723	New Offering 1A: Colorado	REG A - Tier 2 Filing Submission	\$450.00 ⊘
Total			\$480.00

Next

Screen: UFT Payment Cart Confirmation

This screen will give you the ability to confirm the details you provided thus far. If everything looks correct you can proceed by clicking on “NEXT”. If you need to make a correction you can click on “BACK”.

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EFD: Universal Filing Type -- Payment Cart Confirmation

Payment Memo and Email Receipts		Payer Information	
Amount:	\$480.00	Name	J
Memo/Funds Request		Company	The J Firm
Additional Emails		Phone Number	6015733420
Cart Name:	808580--20220524	Address 1	1448 The Crossings
		Address 2	
		City	Niceville
		State	FL
		Zip	32578

EFDID	Name	Details	Line Amount
340723	System Use Fee: New Offering 1A	System Use Fee	\$30.00
340723	New Offering 1A: Colorado	REG A - Tier 2 Filing Submission	\$450.00
Total			\$480.00

Screen: UFT ACH Payment Collection

The ACH Payment screen allows you to securely enter your ACH payment details and submit both the filing and fees to the state. The purpose of the ACH Payment Collection page allows the filer to make payments by ACH. That is a U.S. Account and Routing number that allow for debiting on the checking account. Not all financial institutions allow ACH Payments. You will want to verify with your bank and accounting department to ensure you're able to make an ACH payment. When you're ready click the check box for "I agree with the below terms" and click "Make Payment".

If you are using a business account you can proceed to click "Make Payment". However, if you are using a consumer account you will need to obtain an Authorization code from EFD Support (800) 378-5007.

After clicking "Make Payment" The payment is then scheduled and a receipt is sent to the primary email address listed on the account of the filer who made the payment. The receipt is proof of being filed unless there is a deficiency in payment or regulatory action is made against the filing.

You will be redirected to a Thank You page.

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Thank you

Your payment has been submitted.

You will receive an email when your payment has been prepared. Your receipt will be available in the [Filer's Receipt Center](#) shortly.

Questions:

NASAA EFD Support

(800) 378-5007

support@nasaaefd.org

Support Hours

Monday - Friday

9 am EST – 6 pm EST

Excluding National Holidays