

# EFD Filer View

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

This document shows filers the break-down of a filer account.

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# North American Securities Administrators Association, Inc.

Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))

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## Home Page

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

# North American Securities Administrators Association, Inc.

Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))

The screenshot shows the NASAA EFD website homepage. At the top, there is a blue navigation bar with the NASAA EFD logo on the left and links for Search, About, Support, Register, and Log in on the right. Below the navigation bar is a large dark blue banner with white text that reads: "The NASAA Electronic Filing Depository allows filers and issuers the ability to quickly submit filing notices, fees, and forms to States, U.S. Territories and Jurisdictions." Below this banner is a search bar with the placeholder text "Search EFD by EFDID, CIK, Accession Number, or Name" and two buttons: "Search" and "Start".

Below the search bar is an "Announcements" section with two entries:

- California Joins the FRED system for franchise filings.**  
4/18/2022 California is the most recent state to join EFD's Franchise Electronic Depository (FRED) system. The EFD team is actively working to onboard more states and provide an easy to use system for regulators, filers, and potential franchise purchasers. If you have any questions or would like more information please contact [efd@nasaa.org](mailto:efd@nasaa.org).
- EFD User Interface Has Changed!**  
We have updated the User Interface for EFD! Your dashboard is now available through a series of dropdown menus on the top of your browser page. We hope you enjoy the faster processing and wider field of view as you use our system. If you have any questions or issues with the system please contact the EFD Helpdesk.

Below the announcements are three featured sections:

- Filers & Issuers**  
If you are new to the NASAA EFD System, please click below to register and find your filing or notice.  
[Register »](#)
- State Participation**  
We stay up to date on state and jurisdiction news regarding policies, fees, and other important info.  
[Learn More »](#)
- Support**  
We have a live Help Desk that is ready to help at a moments notice by phone or email.  
[Contact Us »](#)

1. If the filer does not yet already have a filer account, they must complete the registration steps in order to login
2. If the filer has an account, they will click **Log in** at the top of the screen

# North American Securities Administrators Association, Inc.

Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))

## Login Screen

The screenshot shows a login form with the following elements:

- Login Name:** A text input field with a vertical cursor.
- Password:** A text input field with a placeholder "Password" and a toggle icon on the right.
- 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.
- Forgot My Password:** A button.
- Register A New Account:** A button.

1. Enter your Login Name
  - a. Your Login Name is not your email
  - b. Your Login Name IS NOT case sensitive
2. Enter your Password
  - a. Your Password IS case sensitive
3. Then click on the check box for reCAPTCHA
  - a. reCAPTCHA SHALL be filled out prior to login
4. Forgot your Login or Password?
  - a. Use the option buttons at the bottom of this form to retrieve the lost Login Name and/or reset the Password

# North American Securities Administrators Association, Inc.

Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))

## Accept Terms and Conditions

Terms and Conditions must be accepted in order to successfully log into the EFD website. Rejecting the Terms and Conditions will result in you logging out. Click the **Accept the Terms and Conditions** button to continue into the EFD system. If your session is timed out, the user will be asked to accept the Terms and Conditions again upon logging in.

 You must accept the Terms and Conditions before you can continue. 

### Terms & Conditions

[Accept the Terms and Conditions](#) [Reject the Terms and Conditions](#)

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**NASAA ELECTRONIC FILING DEPOSITORY**  
**FILER TERMS OF USE**

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**").

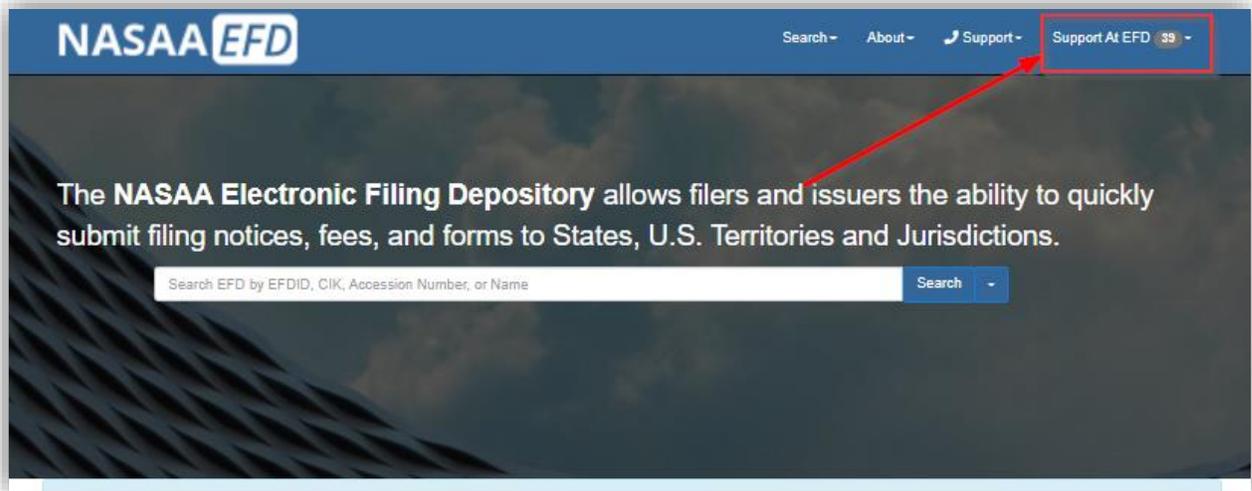
NASAA, itself or through its third party agents, offers or will offer through a restricted portion of the Website various on-line applications, content, data and services to Filer Users (the "**Electronic Filing Depository System**," "**EFD System**" or "**EFD**") for the purpose of submitting, amending, renewing, withdrawing, and terminating

# North American Securities Administrators Association, Inc.

Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))

## Home Screen Logged In

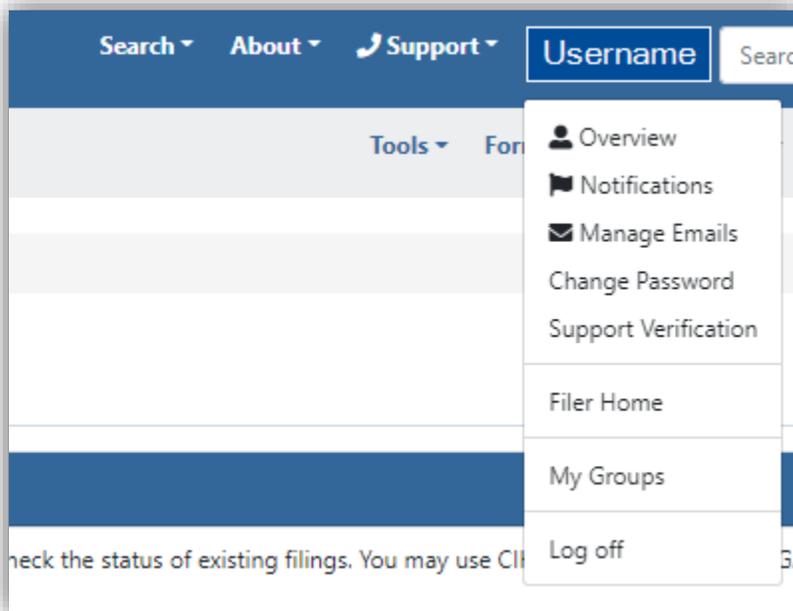
When logged in the Login Name/ Overview Name will show at the top right-hand side of the screen.



## Regulator Home Links

If you wish to monitor your filings you will need to access the **Filer Home** Screen. You can get to the Filer Home Screen following any of the three options below (you must be logged in as a filer).

1. Click on Login Name/Overview Name in the top right and Click **Filer Home**



2. Click on the Filer Home under Filers & Issuers

# North American Securities Administrators Association, Inc.

Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))



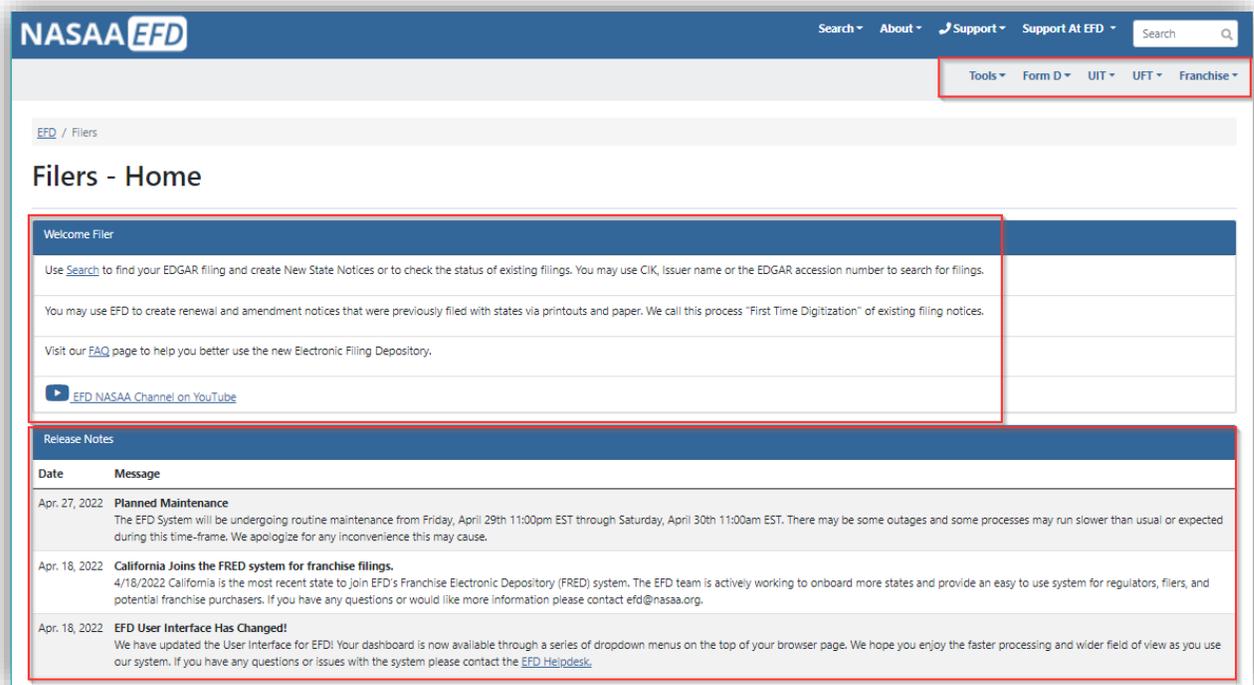
3. Click on NASAA EFD in the top right hand corner



## Filers Home

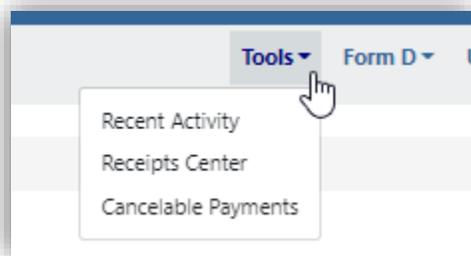
Welcome to the Filers Home page– it is comprised of Welcome Filer Tips/videos, Release Notes/Announcements, and the Filers Home Tool Bar.

# North American Securities Administrators Association, Inc. Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))



## Filers Home – Tools – Receipt Center

This center allows you to see all the receipts you have made and if you're associated to a firm group and have the access to see group notices, group drafts, and can pay you will see other filer's receipts in your group.



# North American Securities Administrators Association, Inc.

Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))

Type	Payment	Amount	Date	Status	Details
FORM D	<a href="#">0004519</a>	\$0.00	1/30/2015	UNEXPECTED STATE	111 (SCS TEST) memo

## Filers Home – Tools – Cancelable Payments

This section allows filers to cancel a payment made same day up until 3pm EST. If the filer made the payment after 3pm EST, it's available to cancel until next business day of 3pm EST. When a payment is canceled the associated filing is canceled and turned back into a draft. The draft is dropped into draft notices

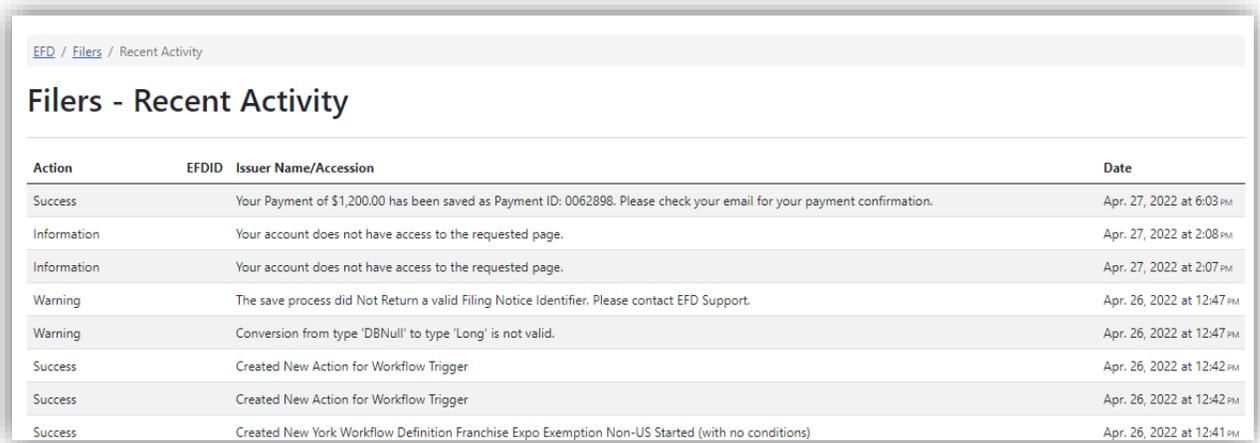
Type	Payment	Amount	By	Details
FORM D	<a href="#">0062898</a>	\$1,200.00	Made by you on Apr. 27, 2022 at 6:03 PM	My Private Group (gal) <span>Cancel</span>

## Filers Home – Tools – Recent Activity

This section is for recording user activity and system click to click history. This activity is really for support to troubleshoot issues/bugs you may be experiencing.

# North American Securities Administrators Association, Inc.

Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))

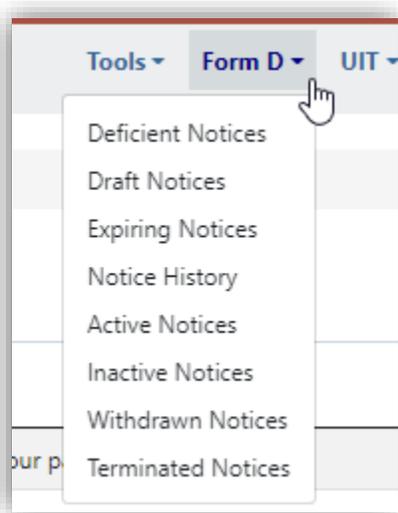


The screenshot shows the 'Filers - Recent Activity' page in the EFD system. The page has a breadcrumb trail 'EFD / Filers / Recent Activity'. Below the title is a table with the following columns: Action, EFDID, Issuer Name/Accession, and Date. The table contains eight rows of activity logs.

Action	EFDID	Issuer Name/Accession	Date
Success		Your Payment of \$1,200.00 has been saved as Payment ID: 0062898. Please check your email for your payment confirmation.	Apr. 27, 2022 at 6:03 PM
Information		Your account does not have access to the requested page.	Apr. 27, 2022 at 2:08 PM
Information		Your account does not have access to the requested page.	Apr. 27, 2022 at 2:07 PM
Warning		The save process did Not Return a valid Filing Notice Identifier. Please contact EFD Support.	Apr. 26, 2022 at 12:47 PM
Warning		Conversion from type 'DBNull' to type 'Long' is not valid.	Apr. 26, 2022 at 12:47 PM
Success		Created New Action for Workflow Trigger	Apr. 26, 2022 at 12:42 PM
Success		Created New Action for Workflow Trigger	Apr. 26, 2022 at 12:42 PM
Success		Created New York Workflow Definition Franchise Expo Exemption Non-US Started (with no conditions)	Apr. 26, 2022 at 12:41 PM

## Form D – Deficient Notices

This sub section allows filers to manage keep track of known State, expiration, and payment deficiencies. State level deficiencies usually come with a comment instructing you to do something or stating what's wrong with the filing. Payment deficiencies can be resolved and turned into drafts for resubmission.



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**Filers - Form D Deficiency Center**

All My Offerings **12**    My Offerings In My Active Group **3**    My Active Group Offerings **4**

**Form D Payment Deficiencies** Regulators

Notice Type	Payment Id	Amount	EFDID	Issuer	States	Action
NewNotice	0039599 8/23/2021	\$1,360.00	<a href="#">218658</a>	GenRock Investment Fund I, LP (0001711389)	NY	( <a href="mailto:support@efdnasaa.org">support@efdnasaa.org</a> ) <a href="#">Resolve</a> <a href="#">Dismiss</a>

**Form D State Deficiencies and Expirations** Regulators

State	EFDID	Issuer/Sales Data	State Comments
<a href="#">New York</a> 345205	DeficientStateActive	Resonance Companies, Inc. ( <a href="#">0001753458</a> ) Expires: Offering Amount: First Sale:	hello test 10/29/2024 Indefinite 10/1/2020
<a href="#">New York</a> 337346	8001	EquityZen Growth Technology Fund LLC - Series 559 ( <a href="#">0001804823</a> ) Expires: Offering Amount:	The fee is based on the total offering amount not just the amount sold in New York. Please submit an additional \$900 to complete the correct filing fee for this offering amount. 10/6/2024 Indefinite

## Associated Offerings

At the top of most your pages in the Filer Home you have three bubbles with numbers next to them. These change your view based on access and association. For example, let's say that you made a filing using a different group or that someone in your group made a filing/draft and you want to see it status.

- Select All My Offerings to see offering from all your groups.
- Select My Offerings in My Active Group to see only the offerings in your current group.
- Select My Active Group Offerings to see all the offerings from everyone in the active group.

All My Offerings **12**    My Offerings In My Active Group **3**    My Active Group Offerings **4**

## Form D – Draft Notices

This Section stores all unpaid/unsubmitted filings “Drafts” for the filer automatically. Filers can continue to edit a draft, delete drafts, and print out an Estimated Charges document to provide to the issuer before paying. Filers also have the ability to click on “PayNow” to proceed to the ACH payment screen if they have already reached the Confirm Details page.

EFD / Filers / Drafts

### Filers - Form D Draft Notices

All My Offerings **50**
 My Offerings In My Active Group **38**
 My Active Group Offerings **39**

EFDID	Draft	Details	Estimate	Action
<a href="#">322189</a>	New 1/9/2020 support	Wingspan Networks, Inc. (0001799115) <b>States: TX</b>		<a href="#">Continue</a> <a href="#">Delete</a>
<a href="#">310125</a>	Renewal 4/18/2022 support	China Xiangtai Food Co., Ltd. (0001735556) <b>States: MA</b>	\$160.00	<a href="#">Continue</a> <a href="#">Print</a> <a href="#">Delete</a>
<a href="#">326211</a>	Amendment 4/19/2022 support	EquityZen Growth Opportunity Fund VI LLC - Series 2 (0001805174) <b>States: MA</b>	\$0.00	<a href="#">Continue</a> <a href="#">Pay Now</a> <a href="#">Print</a> <a href="#">Delete</a>
<a href="#">34064</a>	Renewal 3/18/2020 support	York European Opportunities Fund Ltd (0001512004) <b>States:</b>		<a href="#">Continue</a> <a href="#">Delete</a>

## Form D – Expiring Notices

This section shows notifications of when notices will expire by a set date. Clicking “View” will take the filer to the View Filing Notices page so they can click on “Add Notice” to Renew, New Notice, or Terminate.

EFD / Filers / Drafts / Expiring

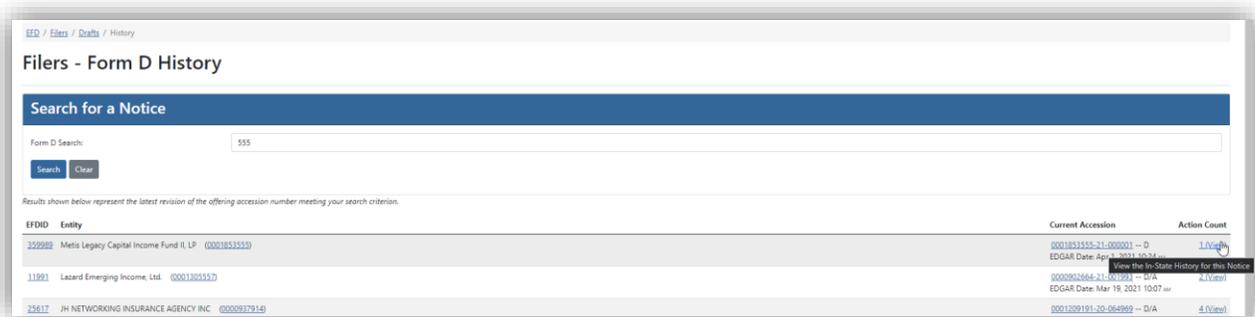
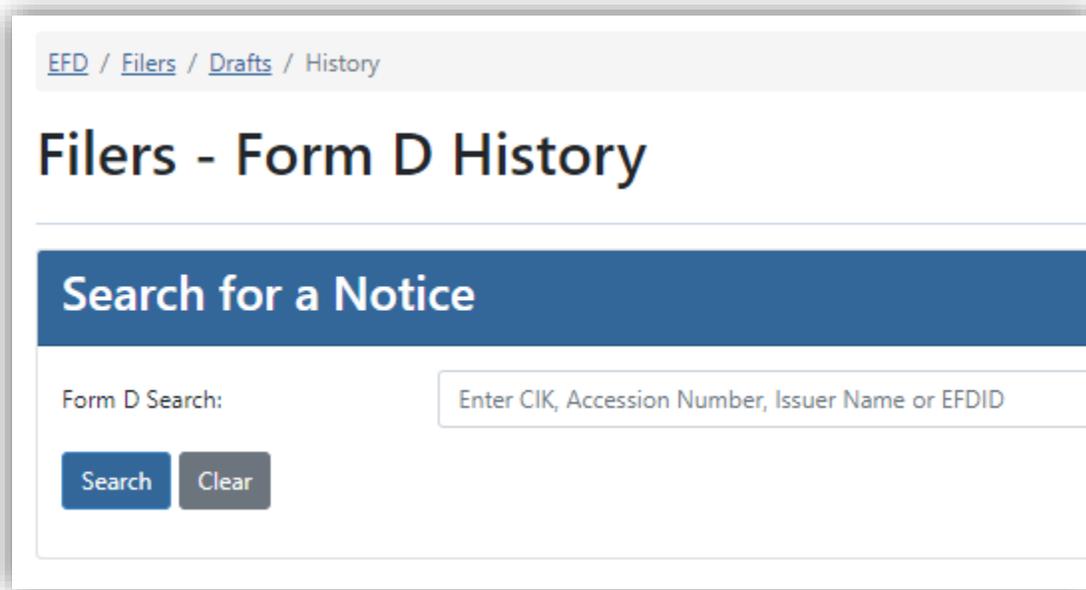
### Filers - Form D Expiring Notices

All My Offerings **90**
 My Offerings In My Active Group **1**
 My Active Group Offerings **2**

EFDID	Issuer Name	States	Notice Expires	View
<a href="#">12345</a>	FLI Select Equity Fund, L.P.	IL	1/1/1900	<a href="#">View</a>
<a href="#">23525</a>	Silver Creek Insurance Dedicated Fund, L.P.	LA	1/1/1900	<a href="#">View</a>
<a href="#">223454</a>	Stemonix, Inc.	IL	1/1/1901	<a href="#">View</a>
<a href="#">142537</a>	Varde Skyway Fund (Offshore), L.P.	MT	8/3/2017	<a href="#">View</a>
<a href="#">175547</a>	Apama Medical, Inc.	MT	8/3/2017	<a href="#">View</a>
<a href="#">100154</a>	AWA Small Cap Access Fund, L.P.	MT	8/3/2017	<a href="#">View</a>
<a href="#">175962</a>	Fresenius Medical Care San Juan Capistrano, LLC	MT	8/3/2017	<a href="#">View</a>
<a href="#">175872</a>	Geostellar, Inc.	MT	8/3/2017	<a href="#">View</a>

## Form D – Notice History

This section allows you to search the notice status, payment, and regulator comment history of a FORM D notice filing. When you do a search in Notice History results of offerings will appear from EFD. When you see your offering click on View to go to the History.



## Form D – Active Notices

The Active Notices shows the filer’s state notices currently ACTIVE in EFD. Using search criteria, you can filter among all the Active Notices. Click the down arrow next to an issuer to see all offerings and state notices related.

[EFD](#) / [Filers](#) / [Form D Drafts](#) / Active

## Filers - Form D Active Notices

**Report Filters (click to expand):** 

Filters: My Offerings

**1115 W. Newport, LLC ([0001850018](#))** 50 State Notices 

EFDID	Accession	States
<a href="#">359276</a>	<a href="#">0001850018-21-000001</a>	AK, AL, AR, CA, CO, CT, DC, DE, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, MI, MN, MO, MS, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX, UT, VA, VI, VT, WA, WI, WV, WY

**13 CURLIN/GIANT CANAL, LLC ([0001616399](#))** 1 State Notices 

**3 SUG III, a series of SV Links Angels I, LLC ([0001847654](#))** 1 State Notices 

### Form D – Inactive Notices

Inactive Notices lists all the notices that are currently Inactive under the filers account. The filer can generate an Excel Spread sheet to look over this.

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Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))

[EFD](#) / [Filers](#) / [Form D Drafts](#) / Inactive

## Filers - Current Form D Inactive Notices

All My Offerings **126**     My Offerings In My Active Group **6**     My Active Group Offerings **6**

[Clear](#) [Excel](#)

EFDID	Issuer	Status	Comments
<a href="#">342545</a> AK	ADIAL PHARMACEUTICALS, INC. ( <a href="#">0001513525</a> )	Expired <a href="#">History</a>	
<a href="#">337456</a> NY	ALKALINE WATER Co INC ( <a href="#">0001532390</a> )	RegulatoryAction <a href="#">History</a>	Notice Status changed from DeficientStateActive to RegulatoryAction on Oct. 29, 2020 1:38 PM by khaim <hr/> This is a TEST!
<a href="#">67469</a> AK	Altegris Visium Fund, L.P. ( <a href="#">0001560455</a> )	Expired <a href="#">History</a>	
<a href="#">175547</a> MT	Apama Medical, Inc. ( <a href="#">0001478941</a> )	Expired <a href="#">History</a>	
<a href="#">332602</a> NY	Ares Corporate Opportunities Fund VI, L.P. ( <a href="#">0001808719</a> )	DeficientFunds_ACH <a href="#">History</a>	

## Form D Section – Withdrawn Notices

This section lists all notices between a set period that have been withdrawn.

[EFD](#) / [Filers](#) / [Form D Drafts](#) / [Withdrawn](#)

## Filers - Form D Withdrawn Notices

**Report Filters (click to expand):** 

All My Offerings **5**     My Offerings In Active Group **0**     My Active Group Offerings **0**

Time Period From:  Through:

EFDID:  CIK #:

Issuer:

**Filters:** My Offerings, From 4/27/2022 through 4/27/2022

There were no Withdrawn Notices found with the selected filters

### Form D Section – Terminated Notices

This section lists all notices between a set period that have been terminated.

[EFD](#) / [Filers](#) / [Form D Drafts](#) / Terminated

## Filers - Form D Terminated Notices

**Report Filters (click to expand):** 

All My Offerings **6**     My Offerings In Active Group **2**     My Active Group Offerings **2**

Time Period From:  Through:

EFDID:  CIK #:

Issuer:

**Filters:** My Offerings, From 4/27/2022 through 4/27/2022

There were no Terminated Notices found with the selected filters 

### UIT Section – UIT Drafts

The UIT Draft section shows filers all the configurations for UIT that have states drafted and ready to pay or had states drafted and prepared to pay.

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Action	Type	EFDID	Details	Filed
<a href="#">Edit</a>	UIT	272970	FT 7881 Tactical Income Opportunity Portfolio, Series 9 (CIK: 0001759840) FT 7881: Tactical Income Opportunity Portfolio, Series 9	May. 01, 2019 8:16 AM Fees Collected: \$200.00
<a href="#">Edit</a>	UIT	268568	FT 7773 Stifel Best Picks, December 2018 (CIK: 0001755544) FT 7773: Stifel Best Picks, December 2018	May. 01, 2019 8:16 AM Fees Collected: \$200.00
<a href="#">Edit</a>	UIT	290749	Initial, Exemption FT 7773 Stifel Best Picks, December 2018 (CIK: 0001111114) Disbursed FT 7773: Stifel Best Picks, December 2018	Apr. 25, 2019 2:37 PM Fees Collected: \$200.00
<a href="#">Edit</a>	UIT	290747	Initial, Exemption FT 7773 Stifel Best Picks, December 2018 (CIK: 0001111115) Disbursed FT 7773: Stifel Best Picks, December 2018	Apr. 25, 2019 2:37 PM Fees Collected: \$200.00

## UIT Section – UIT Recent

This section shows the filer the recently edited configurations in chronological order from newest at top to oldest going down. Clicking “Start New Configuration” will allow the filer to create a new trust configuration. Upload Excel will redirect the filer to the UIT Notice Import page. Clicking the document to the right will allow you to download the configuration into an importable excel file.

### Filers - Form NF -- Recent UIT Configurations

Recent Activity 145

Receipts Center

Cancelable Payments

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**Form D** ▲ 41

Deficient Notices 6

Draft Notices 1

Expiring Notices

Notice History

Active Notices 35

Inactive Notices 26

Withdrawn Notices

Terminated Notices

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**UIT** ▲ 100

UIT Drafts

**UIT Recent**

UIT Configurations 97

Pre-Effective Notices 5

Actionable Notices

UIT Payment Carts 1

Deficient Notices 3

UIT Sponsors

UIT Notice Import 6

Start New Configuration
Upload Excel

EFDID	Friendly Name	Details	# Ready	# Notices	
264152	ADVISORS DISCIPLINED TRUST 1444	ADVISORS ASSET MANAGEMENT, INC. 0001628398	0 / \$0.00	0 / \$0.00	<a href="#">i</a>
264146	FT 5271	SUPER FUNDS DISTRIBUTORS, LLC 0001623134	0 / \$0.00	1 / \$0.00	<a href="#">i</a>
266630	FT 6635	FIRST TRUST PORTFOLIOS L.P. 0001664149	0 / \$0.00	1 / \$900.00	<a href="#">i</a>
265117	Smart Trust, Morningstar Dividend Yield Focus Trust, Series 12	SUPER FUNDS DISTRIBUTORS, LLC 0001654573	0 / \$0.00	1 / \$900.00	<a href="#">i</a>
264358	FT 5397	FIRST TRUST PORTFOLIOS L.P. 0001628259	0 / \$0.00	2 / \$900.00	<a href="#">i</a>
268190	Wendy 234	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001732250	0 / \$0.00	2 / \$900.00	<a href="#">i</a>
264295	Wendy	FIRST TRUST PORTFOLIOS L.P. 0001614319	0 / \$0.00	2 / \$900.00	<a href="#">i</a>
265126	Wendy	Incapital LLC 0001664741	0 / \$0.00	1 / \$900.00	<a href="#">i</a>
264326	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1294	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001618582	0 / \$0.00	1 / \$0.00	<a href="#">i</a>
264920	Wendy	FIRST TRUST PORTFOLIOS L.P. 0001638165	0 / \$0.00	1 / \$900.00	<a href="#">i</a>
264599	Wendy	FIRST TRUST PORTFOLIOS L.P. 0001634525	0 / \$0.00	1 / \$900.00	<a href="#">i</a>
264529	Wendy	ADVISORS ASSET MANAGEMENT, INC. 0001633779	0 / \$0.00	1 / \$0.00	<a href="#">i</a>
265565	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1850	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001662283	1 / \$0.00	5 / \$1,800.00	<a href="#">Pay</a> <a href="#">i</a>
300646	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1944	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001779083	0 / \$0.00	4 / \$1,800.00	<a href="#">i</a>

## UIT Section – UIT Configurations

The UIT Configuration section lists all known Configurations associated with the filer. This screen layout is similar to UIT Drafts and UIT recent.

### Filers - Form NF -- UIT Configurations

Recent Activity 145

Receipts Center

Cancelable Payments

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**Form D** ▲ 41 ▲

Deficient Notices 6

Draft Notices 1

Expiring Notices

Notice History

Active Notices 35

Inactive Notices 26

Withdrawn Notices

Terminated Notices

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**UIT** ▲ 100 ▲

UIT Drafts

UIT Recent

**UIT Configurations** 37

Pre-Effective Notices 5

Actionable Notices

UIT Payment Carts 1

Deficient Notices 3

UIT Sponsors

UIT Notice Import 6

Start New Configuration
Upload Excel

EFDID	Friendly Name	Details	# Ready	# Notices	i
264162	ADVISORS DISCIPLINED TRUST 1444	ADVISORS ASSET MANAGEMENT, INC. 0001628398	0 / \$0.00	0 / \$0.00	i
264146	FT 5271	SUPER FUNDS DISTRIBUTORS, LLC 0001623134	0 / \$0.00	1 / \$0.00	i
266630	FT 6635	FIRST TRUST PORTFOLIOS L.P. 0001694149	0 / \$0.00	1 / \$900.00	i
265117	Smart Trust, Morningstar Dividend Yield Focus Trust, Series 12	SUPER FUNDS DISTRIBUTORS, LLC 0001654673	0 / \$0.00	1 / \$900.00	i
264366	FT 5397	FIRST TRUST PORTFOLIOS L.P. 0001628269	0 / \$0.00	2 / \$900.00	i
266190	Wendy 234	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001732250	0 / \$0.00	2 / \$900.00	i
264295	Wendy	FIRST TRUST PORTFOLIOS L.P. 0001614319	0 / \$0.00	2 / \$900.00	i
265126	Wendy	Incapital LLC 0001594741	0 / \$0.00	1 / \$900.00	i
264326	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1294	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001616562	0 / \$0.00	1 / \$0.00	i
264920	Wendy	FIRST TRUST PORTFOLIOS L.P. 0001638165	0 / \$0.00	1 / \$900.00	i
264599	Wendy	FIRST TRUST PORTFOLIOS L.P. 0001634625	0 / \$0.00	1 / \$900.00	i
264529	Wendy	ADVISORS ASSET MANAGEMENT, INC. 0001633779	0 / \$0.00	1 / \$0.00	i
265565	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1850	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001662283	1 / \$0.00	5 / \$1,800.00	Pay i
300646	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1944	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001776063	0 / \$0.00	4 / \$1,800.00	i

## UIT Section – Pre-Effective Notices

This section allows the filer to review and update the SEC Effect dates and date ranges for all Pre-Effective notices made by that filer. After checking off the items the filer wishes to make effective they will provide the effect date below. The filer can make the state filing effective Now, On Provided Date, or On Filed-On Date.

**Filers - Form NF -- UIT Pending Effect**

Recent Activity **145**

Receipts Center

Cancelable Payments

**Form D** **41**

- Deficient Notices **6**
- Draft Notices **1**
- Expiring Notices
- Notice History
- Active Notices **35**
- Inactive Notices **26**
- Withdrawn Notices
- Terminated Notices

**UIT** **100**

- UIT Drafts
- UIT Recent
- UIT Configurations **37**
- Pre-Effective Notices** **5**
- Actionable Notices
- UIT Payment Carts **1**
- Deficient Notices **3**
- UIT Sponsors
- UIT Notice Import **6**

All Items Ready Form NF UIT Trust/Series Notice Filing Drafts

<input type="checkbox"/>	264295 FIRST TRUST PORTFOLIOS L.P. (0001614319)
<input type="checkbox"/>	Indiana -- Wendy
<input type="checkbox"/>	264326 GUGGENHEIM FUNDS DISTRIBUTORS, LLC (0001618582)
<input type="checkbox"/>	Indiana -- GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1204
<input type="checkbox"/>	264356 FIRST TRUST PORTFOLIOS L.P. (0001628289)
<input type="checkbox"/>	Indiana -- FT 5397
<input type="checkbox"/>	264529 ADVISORS ASSET MANAGEMENT, INC. (0001633779)
<input type="checkbox"/>	Indiana -- Wendy
<input checked="" type="checkbox"/>	268190 GUGGENHEIM FUNDS DISTRIBUTORS, LLC (0001732250)
<input checked="" type="checkbox"/>	Indiana -- Wendy 234

Effect: 01/01/1901 Effect

## UIT Section – Actionable Notices

This section informs the filer of any additional requirements or missing information needed. For example, if the state requires a sales report on filing a renewal and the filer failed to provide the sales report it will flag it here.

### Filers - Form NF -- Actionable UIT Items

Recent Activity 145

Receipts Center

Cancelable Payments

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**Form D** ▲ 41 ▲

Deficient Notices 5

Draft Notices 1

Expiring Notices

Notice History

Active Notices 55

Inactive Notices 25

Withdrawn Notices

Terminated Notices

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**UIT** ▲ 100 ▲

UIT Drafts

UIT Recent

UIT Configurations 97

Pre-Effective Notices 5

**Actionable Notices**

UIT Payment Carts 1

Deficient Notices 3

UIT Sponsors

UIT Notice Import 6

[Start New Configuration](#) [Upload Excel](#)

EFDID	Name	Details	Reason	Count
269379	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1850	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001752090	Annual Action Required Oct. 5, 2018	1 <a href="#">i</a>
297945	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1800	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1800 0001687157	Annual Action Required Jul. 11, 2019	1 <a href="#">i</a>
264569	Wendy	FIRST TRUST PORTFOLIOS L.P. 0001634525	Annual Action Required Oct. 28, 2019	1 <a href="#">i</a>
269262	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1852	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001752091	Renewal Missing Sales Report Nov. 7, 2019	1 <a href="#">i</a>
269262	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1852	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001752091	Termination Missing Sales Report Nov. 7, 2019	1 <a href="#">i</a>
269262	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1852	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001752091	Annual Action Required Nov. 7, 2019	4 <a href="#">i</a>
265542	ADVISORS DISCIPLINED TRUST 1719	GUGGENHEIM FUNDS DISTRIBUTORS, LLC 0001668840	Renewal Missing Sales Report Jul. 17, 2021	1 <a href="#">i</a>

## UIT Section – UIT Payment Carts

The UIT Payment Carts is designed to allow filers to create individual carts and pay separately or merge together existing “carts” and pay all together.

### EFD: Form NF UIT -- Payment Carts

Recent Activity 145

Receipts Center

Cancelable Payments

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**Form D** ▲ 41 ▲

Deficient Notices 5

Draft Notices 1

Expiring Notices

**Cart** Count Amount

<input type="checkbox"/> <a href="#">Edit</a> <a href="#">Add</a> <a href="#">Confirm</a>	MERGED CART -- 20191028	0	\$0.00
---	-------------------------	---	--------

[Merge Selected Carts](#)

# North American Securities Administrators Association, Inc.

Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))

## UIT Section – Deficient Notices

This section will show current state deficiencies, payment deficiencies and expired state notices for UIT. A link to the UIT Regulator Contacts is provided in the upper right hand corner for convenience.

The screenshot displays the 'Filers - Form NF UIT Deficiency Center' interface. On the left is a sidebar with navigation options: 'Recent Activity' (145), 'Receipts Center', 'Cancelable Payments', 'Form D' (41), 'Deficient Notices' (6), 'Draft Notices' (1), 'Expiring Notices', 'Notice History', 'Active Notices' (35), 'Inactive Notices' (26), 'Withdrawn Notices', 'Terminated Notices', 'UIT' (100), 'UIT Drafts', 'UIT Recent', 'UIT Configurations' (37), 'Pre-Effective Notices' (5), 'Actionable Notices', 'UIT Payment Carts' (1), 'Deficient Notices' (6), 'UIT Sponsors', and 'UIT Notice Import' (6). The main content area is titled 'Form NF UIT State Deficiencies and Expirations' and includes a 'Regulators' link. It contains a table with the following data:

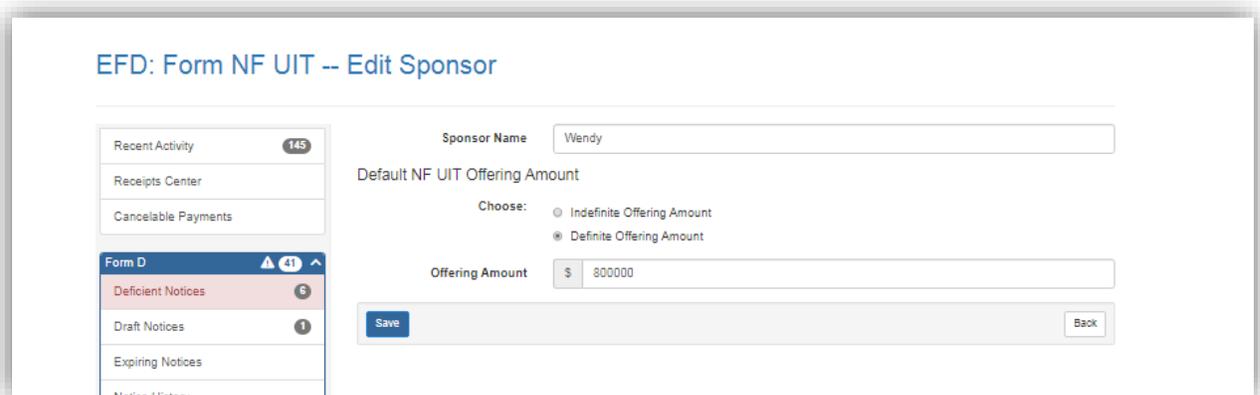
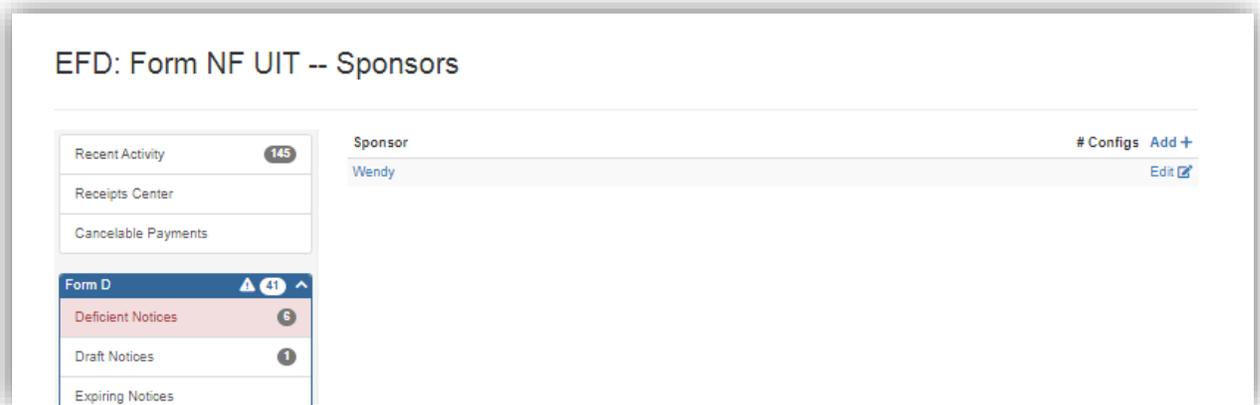
EFDID	Details	State Comments
Delaware 259377	GUGGENHEIM FUNDS DISTRIBUTORS, LLC (0001752083)	
DeficientStateActive	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1843 Test series 343	
Delaware 259377	GUGGENHEIM FUNDS DISTRIBUTORS, LLC (0001752083)	
DeficientStateActive	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1843 Test series 343	
Delaware 259377	GUGGENHEIM FUNDS DISTRIBUTORS, LLC (0001752083)	
DeficientStateActive	GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1843 Test series 343	

## UIT Section – UIT Sponsors

This section allows filers to add and save sponsors. You can edit existing sponsors to update the name and offering amount information.

# North American Securities Administrators Association, Inc.

Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))



## UIT Section – UIT Notice Import

The UIT File Upload or Notice Import page allows a UIT filer to fill out one of our blank Excel documents with UIT filing info and upload it. This allows filers to import large amounts of notice filings/ series/ and even multiple trusts. When you upload an Excel document you will be required to accept and agree with the U2 Uniform Consent to Service of Process, Mark all uploaded items as ready and sign a signature and provide the title. After this is done you can associate the notice(s) to a group. When ready you will click on the Browse button to search your system for the file to upload. If there is an issue with the Excel document an error message will state what is wrong on the document.

### Filers - Form NF UIT File Upload

Recent Activity 145

Receipts Center

Cancelable Payments

---

**Form D** 41

Deficient Notices 6

Draft Notices 1

Expiring Notices

Notice History

[Upload Excel](#) [Blank Excel Template](#)

File	Uploaded By	Result
stephens project 1002.xlsx	support (support@efdnasaa.org) 7/19/2019 4:28:06 PM	This file upload did not pass validation. <span style="float: right;"><a href="#">Delete</a></span>

### Filers - Form NF UIT File Upload

Recent Activity 521

Receipts Center

Cancelable Payments

---

**Form D**

Deficient Notices

Draft Notices

Expiring Notices

Notice History

Active Notices

Inactive Notices

Withdrawn Notices

Terminated Notices

---

**UIT** 2

UIT Drafts

UIT Recent

**UIT Configurations** 2

Pre-Effective Notices

Actionable Notices

UIT Payment Carts

Deficient Notices

UIT Sponsors

UIT Notice Import

**Form NF**

The undersigned has executed this Form NF Uniform Investment Company Notice Filing on behalf of, and with the authority of the issuer. The undersigned and the issuer represent that the information and statements contained in the notice filed, are current, true and complete to the best of his or her knowledge, information and belief and that any documents submitted with the notice are true copies of the originals, and that the securities covered by this Notice are Covered Securities as defined by Section 18(b) (2) of the Securities Act of 1933.

Uniform Consent to Service of Process—Form U-2

The undersigned, as an agent of the issuer, for purposes of complying with the laws of the jurisdictions indicated herein relating to either the registration or sale of securities, hereby irrevocably appoints the officers of the jurisdictions so designated hereunder and their successors in such offices, the issuer's attorney in those jurisdictions so designated upon whom may be served any notice, process or pleading in any action or proceeding against it arising out of, or in connection with, the sale of securities or out of violation of the aforesaid laws of the jurisdictions so designated; and the issuer does hereby consent that any such action or proceeding against it may be commenced in any court of competent jurisdiction and proper venue within the jurisdictions so designated hereunder by service of process upon the officers so designated with the same effect as if the issuer was organized or created under the laws of that jurisdiction and had been served lawfully with process in that jurisdiction.

It is requested that a copy of any notice, process, or pleading served hereunder be mailed to all agents for service as identified on the issuer's Registration Statement filed with the U.S. Securities and Exchange Commission pursuant to the Securities Act of 1933.

**NOTE:** A jurisdiction may still require a signed paper version of the Form U-2 be filed with the jurisdiction outside of the EFD System.

\*\*\*\*New York requires the filing of a paper version of the New York state specific Form U-2 with the Department of State. Please see the EFD System FAQ section for more information.

I accept and agree with the above statement.

Mark all uploaded items as ready and signed.

**Signature**

**Title**

**Group**

Select the group which this file upload should be associated with. Any UIT Configurations that are created by this upload will be associated to the selected group. Existing UIT Configurations will continue to be associated with their existing group.

**File**

[Go](#)

**Filers - Form NF UIT File Upload**

Recent Activity 521

Receipts Center

Cancelable Payments

---

**Form D**

- Deficient Notices
- Draft Notices
- Expiring Notices
- Notice History
- Active Notices
- Inactive Notices
- Withdrawn Notices
- Terminated Notices

---

**UIT** 2

- UIT Drafts
- UIT Recent
- UIT Configurations 2
- Pre-Effective Notices
- Actionable Notices
- UIT Payment Carts
- Deficient Notices
- UIT Sponsors
- UIT Notice Import 1

File Id: 0000030  
 Upload Type: UIT Draft  
 Filename: stephens project 1002.xlsx  
 Cart: Cart Not Created due to File Issues  
 Download: No File for Download  
 Cart Amount:

The File Upload was not processed.

(Row #1) GUGGENHEIM DEFINED PORTFOLIOS, SERIES 1800 (0019874567) - Series 234 - WA : WA is not an Active EFD UIT State and cannot currently be processed through the EFD System.

### UIT Section – API Submissions

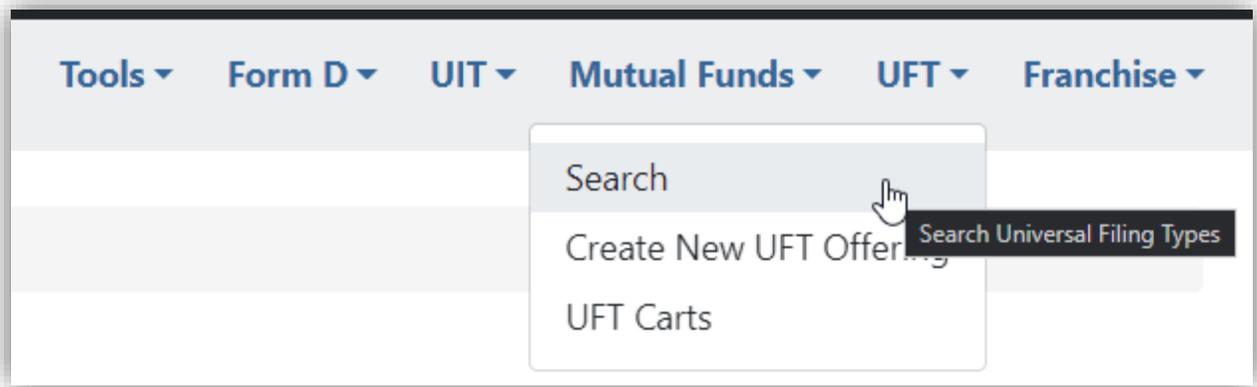
This page is for looking at the UIT submissions you submitted through the API into EFD.

**Filers - Form NF -- UIT API Submissions**

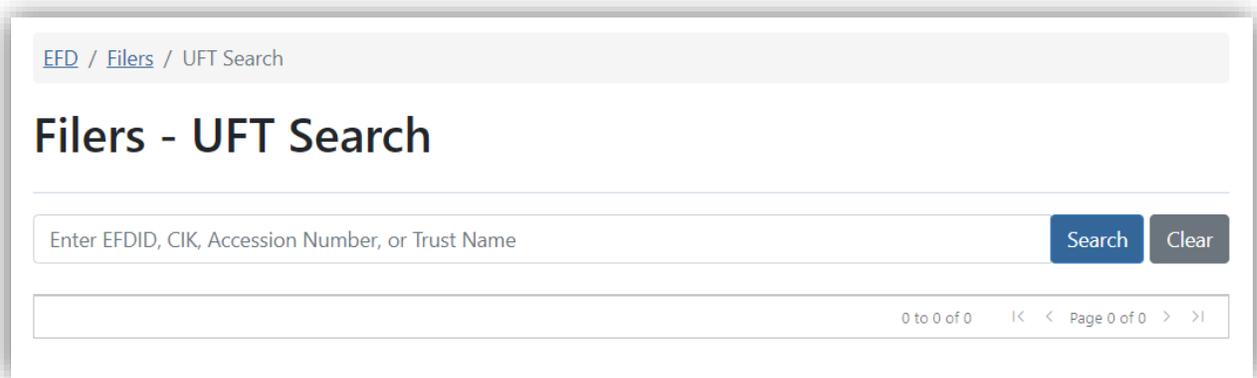
Date	Submission (XML)	Response	Parsed Data	Draft	Notice

### UFT Section – Search

This search page can only be accessed from the UFT drop down in the FILERS HOME page.



If you know the EFDID number or name of Submission you can search for your UFT here.



## UFT Section – Create New UFT Offering

The purpose for this page is to create a UFT offering so you may submit your state filings and materials to the states. You also have the ability to send fees to states.

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Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))

**Create New UFT Offering or Other Filing**

Offering Name:

Offering Type:

Description:

Associated Filer Group:

You must provide the name of the offering. Next, the filer must select from the list below for an offering type.

- REG A - Tier 1
- REG A - Tier 2
- SEC Regulation Crowdfunding Notices
- Registration by Coordination
- Registration by Qualification
- State Crowdfunding Notice
- Reg D 504
- Franchise
- Other
- Business Opportunity

Filer/Issuer will then provide a description of the offering (what is it for?).

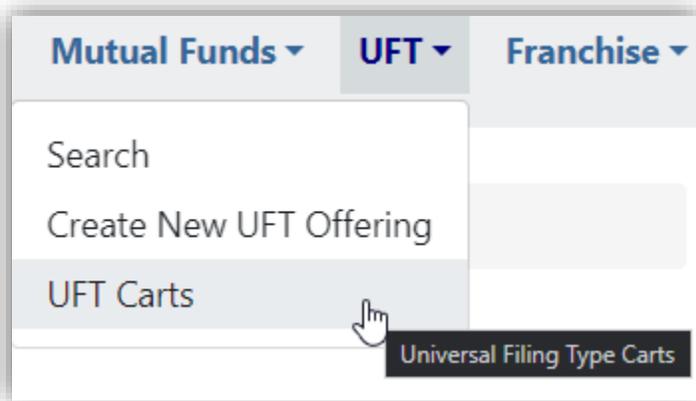
Then you will provide what group the filing is being associated with. Clicking “NEXT” will start the UFT filing process.

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Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))

## UFT Section – UFT Carts

This page is responsible for storing unpaid UFT carts or in progress UFT carts.



The filer/Issuer has the ability to edit the cart details by clicking on “Edit”. You can delete the cart if you click on the red “TrashCanSign”. If the filer needs to return to the payment page they can click “Continue” on this page.



## Franchise Section – New

The “NEW” option in the Franchise drop down allows you to create a new Franchise filing or search for an existing one.

The “Enter Franchise Name” search box will look up existing franchises that are similar to the name you provided. If you are provided a result you can click on the EFDID and see what has been filed to see if this is the franchise you need to file for. If it is not the franchise you are looking for you can click on “Start New” or “Enter Franchise Details” This begins the Franchise filing process.

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EFDID	Franchise Name	Business Name
<a href="#">356119</a>	Laudile, LLC	Laudile Lollipops

## Franchise Section – In Progress Filings

This section shows all the Franchise filings you have ownership of and/or working on. This is the section you go to add application(s) onto your franchise filing(s). The In Progress Filings page provides the outstanding open requests/ status and a warning if the franchise is about to expire or has expired per franchise.

**Filers - Franchise In Progress Filings**

Franchise is Expired or Expiring Soon

**ABC123**  
123 Main Street - Jackson, MS 12345  
69 Open Requests - Waiting For Response

Franchise is Expired or Expiring Soon

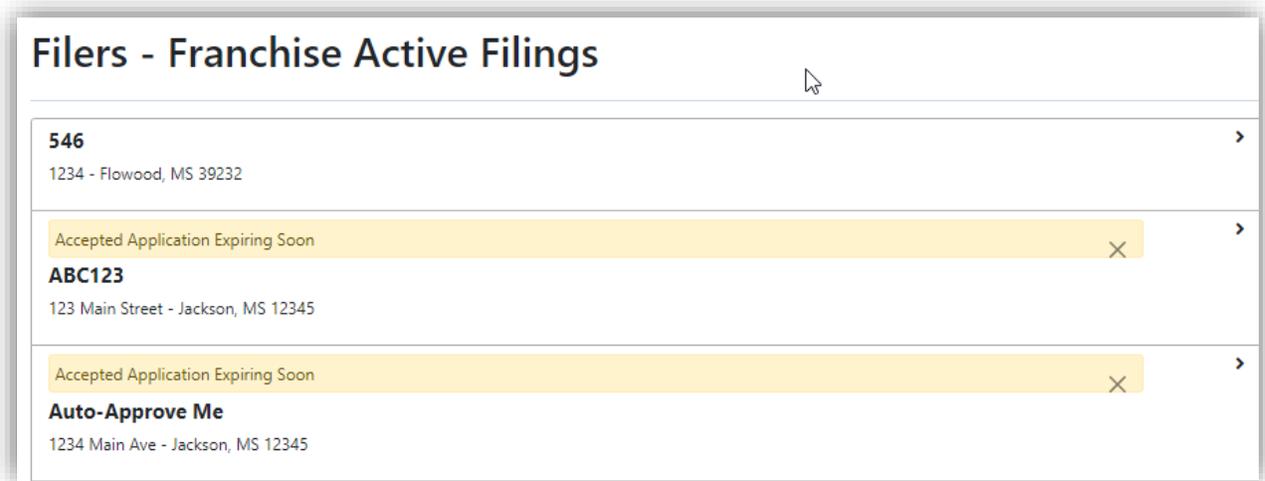
**Auto-Approve Me**  
1234 Main Ave - Jackson, MS 12345  
35 Open Requests

## Franchise Section – Active Filings

The Active Filings section shows a list of franchises that have Active state filings. You can review the applications by clicking on the franchise of choice.

# North American Securities Administrators Association, Inc.

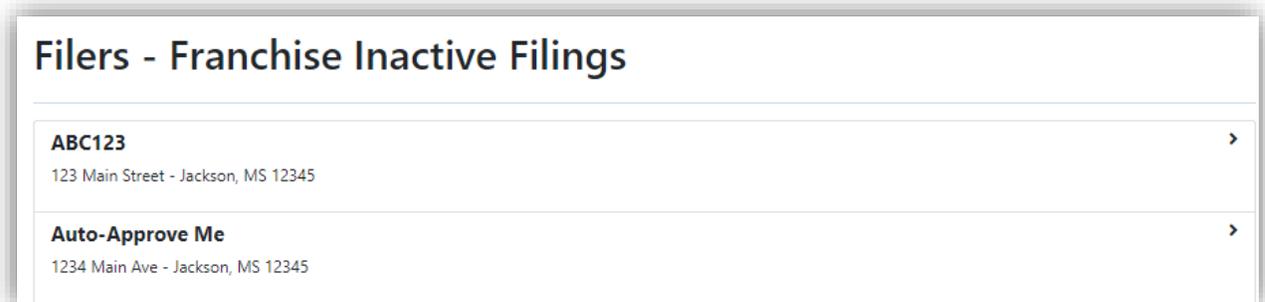
Electronic Filing Depository (EFD – [www.nasaaefd.org](http://www.nasaaefd.org))



The screenshot shows a web interface titled "Filers - Franchise Active Filings". It contains a list of three franchise entries. Each entry includes a franchise ID, a name, and an address. The first entry is "546" with address "1234 - Flowood, MS 39232". The second entry is "ABC123" with address "123 Main Street - Jackson, MS 12345" and has a yellow banner above it that says "Accepted Application Expiring Soon". The third entry is "Auto-Approve Me" with address "1234 Main Ave - Jackson, MS 12345" and also has a yellow banner above it that says "Accepted Application Expiring Soon". Each entry has a right-pointing chevron icon.

## Franchise Section – Inactive Filings

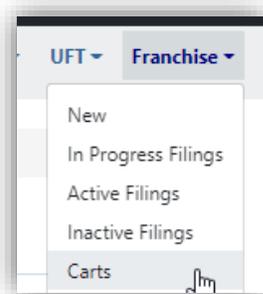
The Inactive Filings section shows a list of franchises that have Inactive state filings. You can review the applications by clicking on the franchise of choice.



The screenshot shows a web interface titled "Filers - Franchise Inactive Filings". It contains a list of two franchise entries. Each entry includes a franchise ID, a name, and an address. The first entry is "ABC123" with address "123 Main Street - Jackson, MS 12345". The second entry is "Auto-Approve Me" with address "1234 Main Ave - Jackson, MS 12345". Each entry has a right-pointing chevron icon.

## Franchise Section – Carts

This page is responsible for storing unpaid Franchise carts or in progress Franchise carts.



The screenshot shows a dropdown menu for the "Franchise" section. The menu is open, showing several options: "New", "In Progress Filings", "Active Filings", "Inactive Filings", and "Carts". The "Carts" option is highlighted, and a mouse cursor is pointing at it.

# North American Securities Administrators Association, Inc.

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The filer/Issuer has the ability to edit the cart details by clicking on “Edit”. You can delete the cart if you click on the red “TrashCanSign”. If the filer needs to return to the payment page they can click “Continue” on this page.

EFD / Filers / Carts

### EFD: Franchise -- Payment Carts

Cart		Count	Amount
<a href="#">Edit</a>  <a href="#">Confirm</a>	393FF8--20211126	1	\$100.00
<a href="#">Edit</a>  <a href="#">Confirm</a>	AD960F--20211126	1	\$100.00
<a href="#">Edit</a>  <a href="#">Confirm</a>	07D01F--20211126	1	\$100.00
<a href="#">Edit</a>  <a href="#">Confirm</a>	B5F4D3--20220311	1	\$500.00

## Questions:

**NASAA EFD Support**  
800-378-5007  
[support@nasaaefd.org](mailto:support@nasaaefd.org)

**Support Hours**  
9 AM EST – 6 PM EST

*Excluding National Holidays*