

# EFD Filer Form D Walkthrough

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

## Purpose:

This document will show how a Filer/Issuer account can create FORM D state notice filings within the EFD system.

## Background:

This document assumes that you (Filer/Issuer) have already registered with the EFD system. For help with EFD registration, please see additional help documentation for Registration.

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# North American Securities Administrators Association, Inc.

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

## Screen: Home Page

Electronic Filing Depository Search About Contact Register Log in

# Electronic Filing Depository

Welcome to EFD, a web based solution that provides States, US. Territories and Jurisdictions the capability to collect securities and related filing notices, fees and forms.

[Learn more »](#)

### Filers and Issuers

If you are new to the EFD system and do not yet have an account, please [register](#).

[Filer Home »](#)

### Regulators

If you are a state regulator and do not yet have an account, please [register](#).

[Regulator Home »](#)

### Search

If you would like to check the status of a securities filing in one or more U.S. Jurisdictions, [search here](#).

[Search ▾](#)

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

Filers must complete the registration process to create a new account if they do not already have an account at EFD.

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

**Login Name:**

**Password:**

**CAPTCHA:** 

The Filer must enter their Login Name and Password and enter the CAPTCHA text where required.

The Login Name IS NOT case sensitive.

The Password IS case sensitive.

The CAPTCHA IS NOT case sensitive.

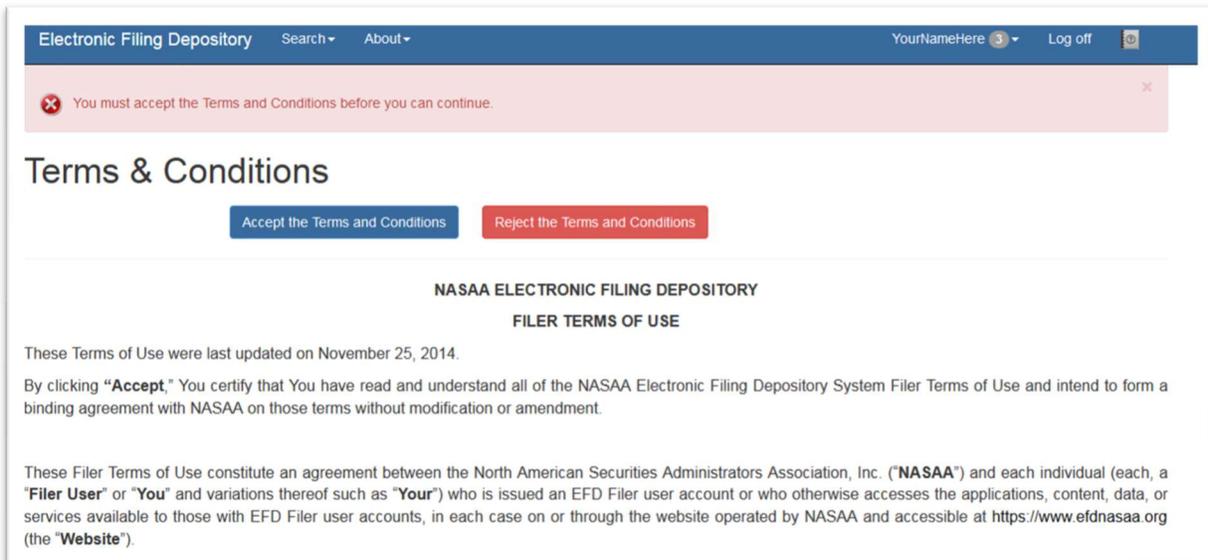
Use the option buttons at the bottom of this form to retrieve lost Login Names or Passwords.

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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.



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

## Screen: Home Screen Logged In

After accepting the Terms and Conditions, Filers are logged in and the Filer's Login Name will appear at the top of the screen.

The screenshot shows the NASAA EFD website homepage. At the top is a dark blue navigation bar with the NASAA EFD logo on the left and links for Search, About, Support, and Support At EFD on the right. Below the navigation bar is a large hero section with a background image of a modern building facade. The hero section contains the text: "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 text is a search bar with the placeholder text "Search EFD by EFDID, CIK, Accession Number, or Name" and a blue "Search" button. Below the hero section are three white boxes, each with a representative image and a call-to-action button. The first box is titled "Filers & Issuers" and includes a "Filer Home" button. The second box is titled "State Participation" and includes a "Learn More" button. The third box is titled "Support" and includes a "Contact Us" button.

**NASAA EFD** Search About Support Support At EFD

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.

Search EFD by EFDID, CIK, Accession Number, or Name Search

**Filers & Issuers**  
If you are new to the NASAA EFD System, please click below to register and find your filing or notice.  
[Filer Home »](#)

**State Participation**  
We stay up to date on state and jurisdiction news regarding policies, fees, and other important info.  
[Learn More »](#)

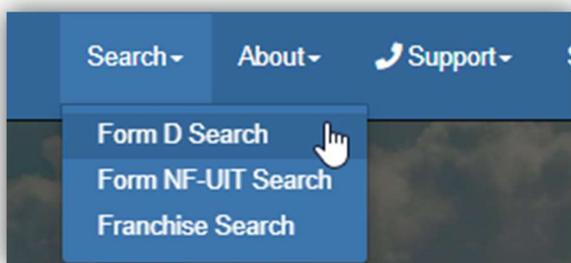
**Support**  
We have a live Help Desk that is ready to help at a moments notice by phone or email.  
[Contact Us »](#)

Filers may now begin the notice creation process.

Click the **Search** on the blue bar above and select Form D Search.

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## Screen: Search – FORM D

A screenshot of the 'Search - Form D' page on the NASAA EFD website. The page has a dark blue header with the NASAA EFD logo on the left and navigation links for 'Search', 'About', 'Support', and 'Support At EFD' on the right. Below the header, the page title 'Search - Form D' is displayed. A blue box contains the instruction: 'Please utilize the following fields to search for Form D Filings.' Below this, there is a search input field labeled 'Form D Search:' with the placeholder text 'Enter EFDID, CIK, Accession Number, or Issuer Name'. To the right of the input field are two buttons: a blue 'Search' button with a dropdown arrow and a white 'Clear' button.

The Form D Search utility is used to search for the Form D Filing. Filers may use a variety of search criteria in the search input box including:

- Issuer CIK Number (Central Index Key)
- Issuer Name
- Accession Number
- EFD ID - Each Form D offering is assigned a unique EFD ID by the system that will follow the offering throughout its lifespan including amendments, renewals, terminations and withdrawals. The EFD ID ties associated accession numbers together and differentiates between offerings and offering series.

Filers may also use the drop down on the Search button to define what they are searching for. Filers may select from the following search criteria options:

- CRD Number
- Recipient Name
- Related Persons
- State File Number
- Signatures (as reported on the EDGAR Form D)

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The search results are limited to show only the first 100 results. If more than 100 results are found, the total number of matching results is provided above the results list and can be accessed by navigating to the next page of results.

## Screen: Search Results

The screenshot shows the NASAA EFD search interface. At the top, there is a navigation bar with links for Search, About, Support, and Support At EFD (39). A search bar is located in the top right corner. Below the navigation bar, the page title is "Search - Form D". A blue banner instructs users to utilize the following fields to search for Form D Filings. The search input field contains "101" and has a "Search" button and a "Clear" button. Below the search bar, the "Search Results:" section displays a message: "Results shown below represent the latest revision of the offering accession number meeting your search criterion. The search criteria discovered 17,432 results. The first 100 are shown below." Below this message is a table with the following data:

EFDID	Accession	Issuer Name	First Sale	Offering Amount
<a href="#">445337</a>	0001013594-22-000438 - D On May 18, 2022 12:55 PM	Cove Line Convertible Bond Fund, LP (0001927639)	Not Yet Occurred	Indefinite
<a href="#">264242</a>	0001012975-22-000248 - D/A On May 18, 2022 11:40 AM	DW-TX, LP (0001740557)	5/1/2018	Indefinite
<a href="#">9311</a>	0001012975-22-000247 - D/A On May 18, 2022 11:37 AM	METIS PARTNERS LLC (0001159279)	8/31/2001	Indefinite

By clicking **Search**, Filers are provided with their search results. Click the **EFD ID** link to view the data retrieved from EDGAR.

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## Screen: View Filing

Clicking the **EFD ID** brings the Filer to the View Filing screen. The View Filing screen displays information that was downloaded from EDGAR by EFD. This data is stored within EFD and includes the actual Form D HTML links.

### EFD: View Filing

**EFDID: [445337](#)**

**Issuer: Cove Line Convertible Bond Fund, LP (0001927639) - D**  
Accession: 0001013594-22-000438 ([Raw Data](#)) ([EDGAR Files](#))

---

#### EDGAR: Issuer Information

CIK:	<a href="#">0001927639</a>
Entity Name:	Cove Line Convertible Bond Fund, LP
Entity Type:	Limited Partnership
Jurisdiction:	DELAWARE
Year of Inc:	Within 5 years (2022)
Address:	4 HOMEWOOD LANE DARIEN, CT 06820
Persons:	<input type="text" value="Related Persons"/>

#### EDGAR: Offering Information

Accession Date:	05/18/2022
First Sale Date:	
Offering Amount:	Indefinite
Amount Sold:	\$0
Exemptions:	Section 3(c)(1) , Investment Company Act Section 3(c) , Rule 506
Security Type(s):	Equity, Pooled Investment Fund

#### EFD: Current State Notices ?

[Create Notices](#)

No State Notices found in EFD

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#### EDGAR: Sales Compensation Recipient Information

There were no Sales Compensation Recipient Information associated with this Accession Number.

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#### EDGAR: Signatures

Issuer	Signature	Signer Name	Title	SignatureDate
Cove Line Convertible Bond Fund, LP	/s/ Mark Malcoun	Mark Malcoun	Principal of the General Partner	2022-05-18

Once the Filer identifies the correct offering, click the **Create Notices** button to begin the state filing process.

#### EFD: Current State Notices ?

[Create Notices](#)

No State Notices found in EFD

[Create Notices](#)

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## Screen: Add Notice

Clicking the **Create Notices** button directs the Filer to the Add Notice screen. The Filer must select which type of notice to be filed. For this example, the Filer selects a New Notice.

**EFD: Add Notice** EFDID: [445337](#)

Issuer: Cove Line Convertible Bond Fund, LP (0001927639) - D  
Accession: 0001013594-22-000438 ([Raw Data](#)) ([EDGAR Files](#))

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**Select the Type of Notice to be added to this Offering**

<b>New Notice</b> >
State Notification for an Offering that has never been presented to the state previously.
<b>Non-Annual Sales Report</b> >
Notification to the states of updated sales figure for an Offering.
<b>Non-Annual Amendment</b> >
File an amended FormD with the states.
<b>Annual Sales Report</b> >
Notification that an expiring Notice of Offering will continue to be offered in a state or the filing of a required annual sales report.
<b>Annual Amendment</b> >
Notification that an expiring Notice of Offering will continue to be offered in a state or the filing of an Annual FormD Amendment.
<b>Withdrawal Notice</b> >
A Withdrawal Notice is notification to the state that a given Offering is no longer being offered for sale in that given state, and has never actually been sold within the state.
<b>Terminate Notice</b> >
A Terminate Notice is notification to the state that a given Offering is no longer being offered for sale in that given state. A Terminate Notice means that the Offering has been sold within the state.

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## Screen: New Notice State Selection

Next, the Filer will use the checkboxes in the State Selection screen to indicate which U.S. jurisdictions they are filing in. In this example, the Filer selected District of Columbia.

EFD / Filers / Drafts / Cove Line Convertible Bond Fund, LP (0001927639) - D / Notices / New Notice

**EFD: New Notice: State Selection** EFDID: [445337](#)

**Issuer: Cove Line Convertible Bond Fund, LP (0001927639) - D**

**Accession: 0001013594-22-000438** ([Raw Data](#)) ([EDGAR Files](#))

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**State Selections:** Next

Selections shown below represent the selections made in recipients information in EDGAR. States that are disabled could be because the control of the offering is retained by another Filer/Filer Group in EFD for that state, or the state is configured such that State Notifications through EFD are unavailable.

[Uncheck All](#)

<input type="checkbox"/> AK (Alaska)	<input type="checkbox"/> AL (Alabama)	<input type="checkbox"/> AR (Arkansas)
<input type="checkbox"/> CA (California)	<input type="checkbox"/> CO (Colorado)	<input type="checkbox"/> CT (Connecticut)
<input type="checkbox"/> DC (District of Columbia)	<input type="checkbox"/> DE (Delaware)	<input type="checkbox"/> GA (Georgia)
<input type="checkbox"/> HI (Hawaii)	<input type="checkbox"/> IA (Iowa)	<input type="checkbox"/> ID (Idaho)
<input type="checkbox"/> IL (Illinois)	<input type="checkbox"/> IN (Indiana)	<input type="checkbox"/> KS (Kansas)
<input type="checkbox"/> KY (Kentucky)	<input type="checkbox"/> LA (Louisiana)	<input type="checkbox"/> MA (Massachusetts)
<input type="checkbox"/> MD (Maryland)	<input type="checkbox"/> MI (Michigan)	<input type="checkbox"/> MN (Minnesota)
<input type="checkbox"/> MO (Missouri)	<input type="checkbox"/> MS (Mississippi)	<input type="checkbox"/> MT (Montana)
<input type="checkbox"/> NC (North Carolina)	<input type="checkbox"/> ND (North Dakota)	<input type="checkbox"/> NE (Nebraska)
<input type="checkbox"/> NH (New Hampshire)	<input type="checkbox"/> NJ (New Jersey)	<input type="checkbox"/> NM (New Mexico)
<input type="checkbox"/> NV (Nevada)	<input type="checkbox"/> NY (New York)	<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"/> UT (Utah)	<input type="checkbox"/> VA (Virginia)	<input type="checkbox"/> VI (U.S. Virgin Islands)
<input type="checkbox"/> VT (Vermont)	<input type="checkbox"/> WA (Washington)	<input type="checkbox"/> WI (Wisconsin)
<input type="checkbox"/> WV (West Virginia)	<input type="checkbox"/> WY (Wyoming)	

Next

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**Inactive State List**

The below states currently are either inactive within the EFD System, do not accept New Notices through EFD, or only accept Regulation D, Rule 506 notices through EFD.

AZ (Arizona) (INACTIVE), FL (Florida) (INACTIVE), ME (Maine) (INACTIVE)

Click **Next** to proceed to the next step.

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## Screen: New Notice- Service of Process

Filers must accept and agree with the Consent to Service of Process before continuing to the next step.

**EFD: New Notice: Service of Process** **EFDID: [445337](#)**

**Issuer: Cove Line Convertible Bond Fund, LP (0001927639) - D**

**Accession: 0001013594-22-000438** ([Raw Data](#)) ([EDGAR Files](#))

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**Consent to Service of Process:** **Next**

Filer, on behalf of the issuer, understands and agrees that it is submitting a Form D for Regulation D, Rule 506 offerings to one or more States in compliance with state and federal regulatory requirements. Filer, on behalf of the issuer, understands and agrees that by submitting this Form D in the selected States the issuer is obligated to comply with each of the selected States' requirements governing consent to service of process and jurisdiction. Filer, on behalf of the issuer, understands and agrees that for purposes of complying with the selected States' laws, relating to either the registration or sale of securities, Filer, on behalf of the issuer, hereby irrevocably appoints the officers of the States in which the Form D was filed and their successors in such offices, its attorney in those States 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 States; and the Filer, on behalf of the issuer, hereby consents that any such action or proceeding against it may be commenced in any court of competent jurisdiction and proper venue within the States in which the Form D was filed by service of process upon the officers so designated with the same effect as if the undersigned was organized or created under the laws of that State and have been served lawfully with process in that State.

I accept and agree with the above statement.

**Back** **Next**

Check the box indicating that you accept and agree with the above statement and then click **Next**.

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## Screen: Sales Report Entry

The sales report screen allows Filers an opportunity to enter sales report information specific to the jurisdictions they are filing in. If the Filer selected more than one U.S. jurisdiction they will see more than one U.S. jurisdiction listed below. Each row of input boxes is designed to collect sales report information specific to the respective U.S. jurisdiction.

### EFD: New Notice: Sales Report EFDID: [445337](#)

Issuer: Cove Line Convertible Bond Fund, LP (0001927639) - D  
Accession: 0001013594-22-000438 ([Raw Data](#)) ([EDGAR Files](#))

---

#### Sales Report Information: Next

The following information to be collected is state specific information. For example, the 'Offering Amount' entered here may not be the Total Offering Amount provided at EDGAR, but rather the portion of that Total Offering Amount that is to be offered in the associated jurisdiction.

**Required:** (Highlighted in RED) The state or jurisdiction requires the input of this value in the sales report.  
**Optional:** (White) The state or jurisdiction allows filers to submit this information in the sales report.  
**Disabled:** (Grey) The state or jurisdiction does not accept this information in the sales report.

State	Offering Amount (0 for Indefinite)	Not Sold Yet	Date of First Sale	Number of Investors in State	Amount Sold \$	Years
DC	\$ <input type="text" value=""/> .00	<input type="checkbox"/>	<input type="text" value=""/>	<input type="text" value=""/>	\$ <input type="text" value=""/> .00	1

BackNext

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NASAA Electronic Filing Depository

GET IN TOUCH

May 2022

Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

SUPPORT

[Schedule a Demo](#)  
[Form D Regulator](#)  
[Contacts](#)  
[Form NF-UIT Regulator](#)  
[Contacts](#)

Each U.S. jurisdiction may have different input requirements for Sales Reports.

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## Required:

(Highlighted in RED) The state or jurisdiction requires the input of this value in the sales report.

## Optional:

(White) The state or jurisdiction allows filers to submit this information in the sales report.

## Disabled:

(Grey) The state or jurisdiction does not accept this information in the sales report.

### Sales Reporting Terms -

**Offering Amount** - The amount of the offering being offered within that U.S. jurisdiction. Enter “0” if the offering is “Indefinite.” If “0” is entered, then the Maximum state fee will be assessed during checkout.

**Not Sold Yet** – Check this box if no sales have been made IN THIS U.S. JURISDICTION. The remaining fields will be disabled for input if the “Not Sold Yet” box is checked.

**First Sale** – Enter the date of the first sale IN THIS U.S. JURISDICTION.

**Total Sales** – Enter the total number of sales within THIS U.S. JURISDICTION to accredited and non-accredited investors. This is the count of the sales within the state.

**Amount Sold \$** - Enter the total amount sold IN THIS U.S. JURISDICTION.

Click **Next** to continue.

## Screen: Classes of Securities

The Additional Data Entry screen provides Filers the ability to declare the classes of securities being sold. Not every U.S. jurisdiction requires this information to be collected, but for those states that do require this information, EFD will automatically prompt Filers to enter Classes of Securities with the following screen:

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**EFD: New Notice: Additional Data Entry** **EFDID: 113605**

Issuer: JABCAP Global Convertible Fund Cayman LP (0001542718) - D  
Accession: 0000899140-15-000330 ([Raw Data](#)) ([EDGAR Files](#))

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Additional Data: [Next](#)

---

Classes of Securities

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Click **Next** to continue.

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## Screen: Filer Information

The Filer Information screen collects information from the Filer to ensure a proper and secure filing payment process.

**EFD: New Notice: Filer Information** EFDID: [445337](#)

Issuer: Cove Line Convertible Bond Fund, LP (0001927639) - D  
Accession: 0001013594-22-000438 ([Raw Data](#))

**Filer Information:** Next

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

Group Name:  v

[Copy from Selected Group](#)

Filer Name:

Filer Company Name:

Filer Telephone Number:

Filer Fax Number:

Filer Address 1:  ⊗  
You must provide your address.

Filer Address 2:

Filer City:  ⊗  
You must provide your city.

Filer State:  ⊗  
You must provide your state.

Filer Zip Code:  ⊗  
You must provide filer zip code.

Funds Request/Memo:  ⊗  
The above comment will appear in the "MEMO" field of the transaction.  
The selected group requires that you provide Funds Request information.

Receipts Emails:

Additional Receipt & Notification Emails

Enter additional notification email addresses above, with each email separated by a semi colon:  
ⓘ The above emails will receive receipts. These receipts will contain information about the status of the filing as your payment is processed.

Back Next

Use the **Copy from Selected Group** button to automatically copy this information from the Filer's group profile. Filers may also manually enter their information.

Please note that Receipts Emails are used as a way for additional people to be notified by EFD via email about the filing of these notices. These additional email addresses will also be sent information when a notice is expiring. This information is only visible to the Filer, the Filer group administrators and the regulators within the states the Filer is filing in.

Additionally, Funds Request memo is required by some lawfirm groups to be filled out when you file. This memo appears on the receipt at the end of the filing process.

When you are ready click **Next** to continue.

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## Screen: Issuer Information

The Issuer Information screen collects information related to the Issuer/company.

Much of the information requested on this screen already exists on the EDGAR Form D filing. Use the **Copy from Offering** button to automatically copy the information into the fields below. Filers may also input this information manually.

Issuer Information Information: Next

Please enter the information about the primary Issuer.

Copy from Offering

**Issuer Contact Name:** Issuer Full Name

**Issuer Company Name:** Issuer Company Name

**Issuer Telephone Number:** Issuer Phone (Include Extension Please)

**Issuer Fax Number:** Issuer Fax (Optional)

**Issuer Address 1:** Issuer Address 1 (required)

**Issuer Address 2:** Issuer Address 2 (optional)

**Issuer City:** Issuer City (required)

**Issuer State:** Issuer State (required)

**Issuer Zip Code:** Issuer Zip Code (required)

Back Next

Click **Next** to continue.

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## Screen: New Notice Confirm Details

The Confirm Details screen is provided as a way for Filers to confirm their input entries and to review the fees being assessed by the EFD system. If applicable, late fees and penalties will also be included on this screen.

The Standard EFD System Use Fee is assessed one time in the lifetime of each offering (1 x Per EFDID).

At this point, Filers may choose to perform the following actions:

- 1) **Print** – Print for your records
- 2) **My Drafts** – Jump to the Filer’s Drafts page.
- 3) **Pay Now** – Use this form to submit an ACH payment. Please note that EFD currently only accepts ACH payments.

EFD: New Notice: Confirm Details EFDID: [445337](#)

Issuer: Cove Line Convertible Bond Fund, LP (0001927639) - D  
Accession: 0001013594-22-000438 ([Raw Data](#)) ([EDGAR Files](#))

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Confirmation: [Pay Now](#)

Payment Memo and Email Receipts

Memo/Funds Request For the All powerful Oz  
Additional Emails

EFD Filer Information

Name Support At EFD  
Company Test SCS  
Phone Number 601-453-1979  
Fax  
Address 1 123 yellow brick road  
Address 2  
City OZ  
State OK  
Zip 34234

EFD Issuer Information

Name  
Company Cove Line Convertible Bond Fund, LP  
Phone Number 000-000-0000  
Fax  
Address 1 456 The Tardis box  
Address 2  
City London  
State England  
Zip 06820

Fees

State	Requirement	Calc	Amount
DC	New Notice	New Notice Fee	\$250.00
EFD	The standard EFD System Use Fee	System Use Fee	\$160.00
			<b>Total: \$410.00</b>

Sales Data

State	Offering Amount	Date of Sale	Total # of Investors	Amount Sold
District of Columbia	Indefinite	May 06, 2022	12	\$521,214.00

[Back](#) [Print](#) [My Drafts](#) [Pay Now](#)

Click **Pay Now** to finalize the notices.

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## Screen: ACH Payment Collection

The following screen collects ACH payment information. Enter the Routing Number and Account Number. Please note that EFD will not save this information, and that Filers will be required to enter this information each time they wish to submit a payment.

To process an ACH payment you will need to provide U.S. Bank Routing and Account numbers, Select what type of account it is (business or consumer), and Agree to the terms. Once this is completed you can click “Make Payment”.

\*NOTE - If your type of account is a “CONSUMER” account then you will need to call EFD Support (800) 378-5007 to get an Authorization Support code to proceed.

When you call in to EFD you will need to provide the DRAFT ID to obtain your Support Code. EFD will then Email you the Authorization Support code.

Once the code is typed in you can proceed to click on “Make Payment”. **You will receive a receipt by email that is proof of being filed unless there is a deficiency in payment connected to this filing or if the states perform regulatory action.**

Filers will be notified via email if there is a problem with the payment. New Filings, Amendments and Renewal Filing Notices are considered FILED and publicly visible as ACTIVE the moment an ACH payment is initiated. If a problem arises with your payment, such as Non-sufficient Funds (“NSF”) or a Bad Account Number, then the filings will be marked as DEFICIENT FUNDS and become publicly visible as INACTIVE.

This site is a secure transaction over SSL and your sensitive data is saved in the EFD system only long enough to complete this one time ACH transaction, complying with Federal PCI regulations.

## Questions:

### **NASAA EFD Support**

(800) 378-5007

[support@nasaaefd.org](mailto:support@nasaaefd.org)

### **Support Hours**

Monday - Friday

9 am EST – 6 pm EST

Excluding National Holidays