North American Securities Administrators Association, Inc.

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

EFD FORM NF UIT Walkthrough

EFD FORM NF UIT Walkthrough

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

Purpose:

This document will show how a Filer can create UIT Filings within the EFD system.

Background:

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

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Screen: Home Page

This is the home page for the Electronic Filing Depository, which is available at https://www.nasaaefd.org.
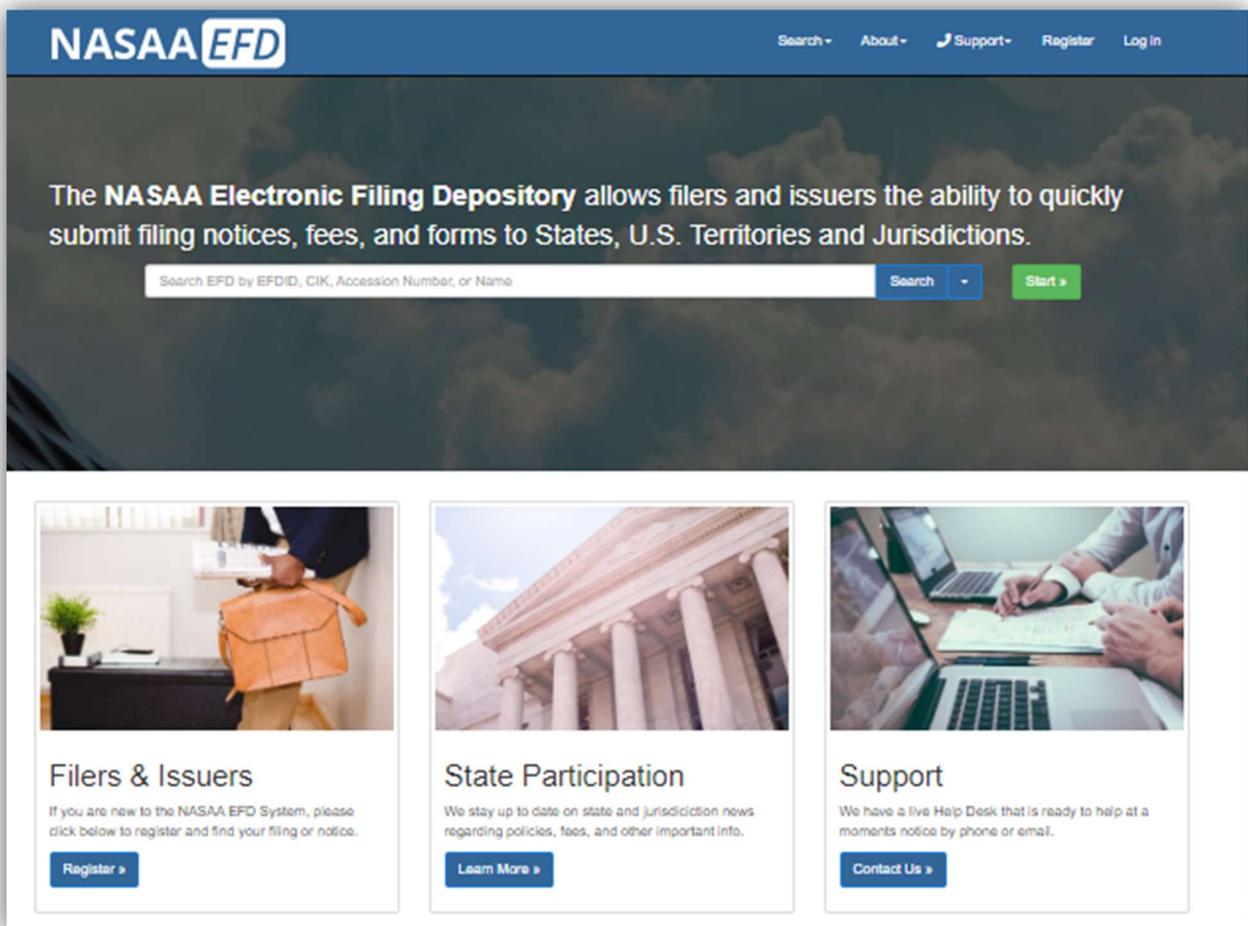
Filers must complete the registration process in order to create a new account.

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

Screen: Login Screen

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

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

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.
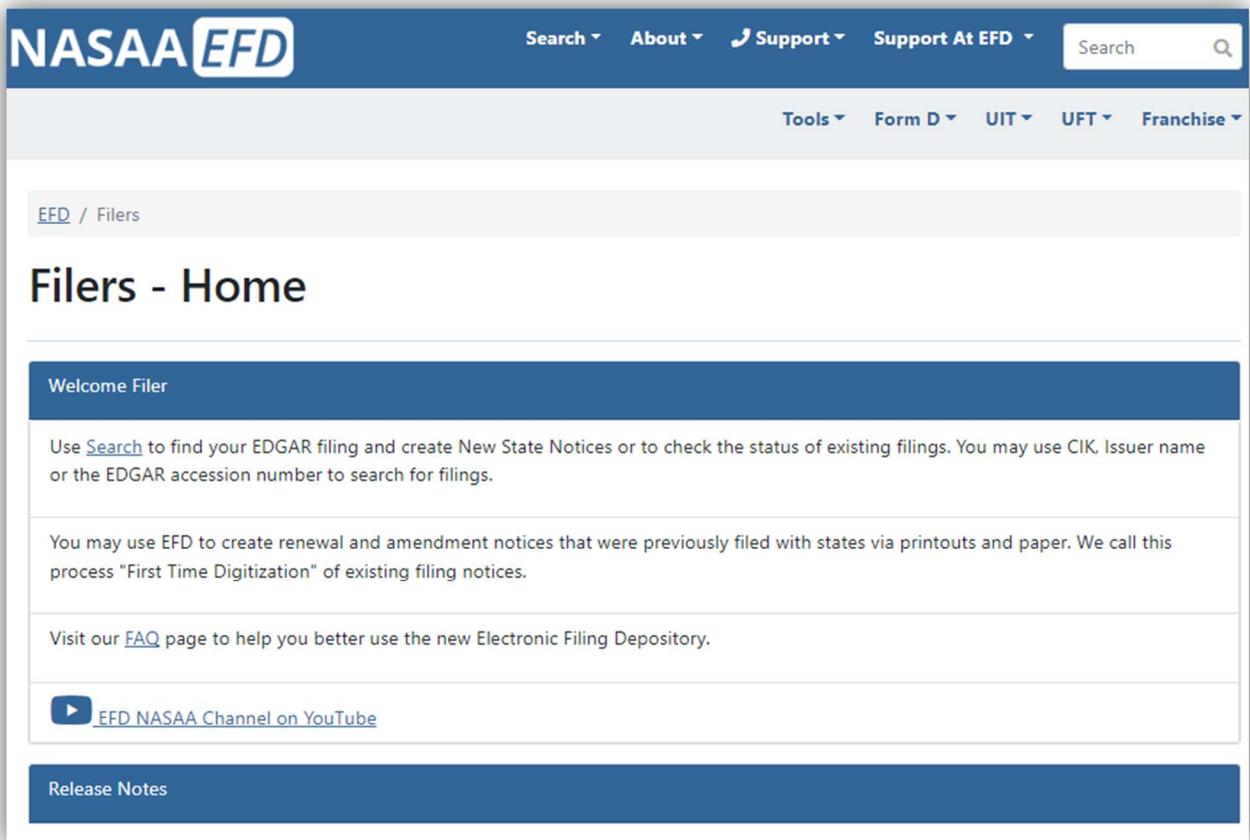
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EFD FORM NF UIT Walkthrough

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.
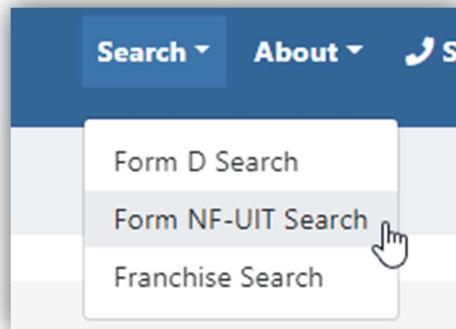

Filers may now begin the UIT notice creation process.

Click **Search** and select Form NF - UIT Search.

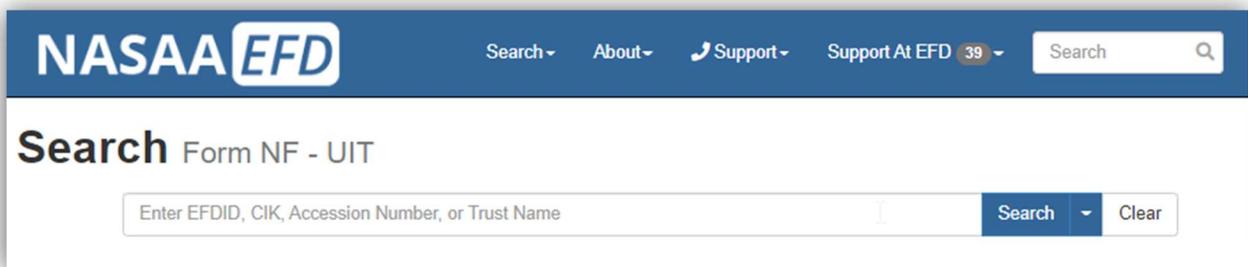# North American Securities Administrators Association, Inc.

Screen: Search Screen

The Form NF-UIT search screen allows filers to search for Trusts pulled from the SEC EDGAR.

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

- CIK (Central Index Key)
- Default
- Accession Number
- EFDID
- Trust Name
- SEC File Number

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

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

Screen: View Filing

Clicking the **EFDID** brings the Filer to the View Unit Investment Trust screen or View UIT for short. The View UIT screen displays information that was downloaded from EDGAR by EFD. EFD has provided references to the files that were provided at SEC'S EDGAR System.

Once the Filer identifies the correct Trust, click the **Start New NF Configuration** button.

Screen: Select States

Clicking the **Start New NF Configuration** button directs the Filer to "Select States screen". The Filer must select a state. If there is a selection already it could be because the states represent the selections made in recipient information in EDGAR. If a state is disabled it's because another user retains control of the trust.

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

Screen: Configure Trust Information

Next, the Filer will indicate the Trust information, Contact Information, Additional Information (Broker Dealer, CIK, BD CRD#, and more), and Notice Period Dates.

Contact Information has a "Copy from Profile" button and drop down. You can load your group information here. This is similar to FORMD Filer Information.

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

Screen: Configure Trust Issuer

Filers must supply the Issuer Information. Filer can click on the "Copy From S6" to load information from the S6. If this is incorrect the filer will have to manually input the Issuer Information.

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

Screen: Configure NF Overview

The Overview page allows you to see your current UIT Configuration, drafts, and paid filings. Series/ Portfolio states will have a "[+] Add Series" next to it. Trust level states will have a "[+] Configure" next to it. To start a UIT filing click on "[+] Add Series" and/or "[+] Configure" button(s).

Screen: Configure NF Type

The Configure NF Type page will collect information based on state requirements and series level. If you are a Series/ Portfolio Level state you will provide a Series Name. We give you the filer the ability to provide your State File Number if you know this. Further you can provide a Securities Description and Fiscal year end of issuer. Select your Notice type to proceed.

Types of Notice Types (Circles) – You **shall** select at least one of the following:

- Initial
- Amendment
- Renewal
- Terminate
- Withdrawal

Specialized Notice Types (Squares) – You **can** select only one of the following:

- Exemption
- Sales Report
- Increase Dollar Amount
- Other

Click **Next** to continue.

Screen: Configure NF Offering Amount

The Filer Configure NF Offering Amount screen collects the Offering amount information.

Click **Next** to continue.

Screen: Configure NF Sales Report

If the filer selected " Sales Report" as a special notice type they will have to complete a Sales Report

Click **Next** to continue.

Screen: Configure NF Increase Offering Amount

If you selected "Increase Offering Amount" as a special notice type you will have to fill out a increase of dollar amount of securities report.

Form NF -- UIT: Configure NF Increase Offering Amount   EFDID: 264146

FT 5271 0001623134 (EDGAR)

Alabama: the 456 new indy   [Next]

For filings to increase the dollar amount of securities reported during the Notice Period provide the following:

Previous Amount	$ Previous Amount of Securities	.00
Amount of Increase	$ Amount of Increase	.00
Cumulative Amount:	$ Cumulative amount of Securities	.00

[Back]   [Next]

Click **Next** to continue.

Screen: Configure NF Other

If you select "Other" as a special notice type you will have the ability to notify the regulator of Other Notification Types. Keep in mind that this may generate post-filing charges requested by the state.

Form NF -- UIT: Configure NF Other Filing   EFDID: 264146

FT 5271 0001623134 (EDGAR)

Alabama: the 456 new indy   [Next]

This is a paragraph about the OTHER Notification Type, and how this may generate post-filing charges requested by the state.

Other Filing

```
[                                                  ]
```

[Back]   [Next]

Click **Next** to continue.

Screen: Configure NF Amendment

This screens purpose is to determine if there are any "Specialty" type Amendments such as a Name Change.

Types of "Specialty" Amendments:

- Name Change
- Address Change
- Contact Change
- Other

Click **Next** to continue.

Screen: Configure NF Contact Information

The following screen shows the filer the contact information entered during the configuration process. Review the information on this page before proceeding to the next page.

Form NF -- UIT: Configure NF Contact Information   EFDID: 264146

FT 5271 0001623134 (EDGAR)

Alabama: the 456 new indy   Next

Contact Information   Copy From Profile ▾

Field	Value
Name:	Wendy Winchim
Firm Name:	Contact Firm Name
Address:	123 Yellow Brick Road
Address:	Contact Address
City:	oz
State:	ks
Zip Code:	56489
Contact Telephone Number:	2345678890
Contact Fax Number:	Filer Fax (Optional)
Email:	Contact Email

Click **Next** to continue.

Screen: Configure NF Issuer

The following screen shows the filer the Issuer information entered during the configuration process. Review the information on this page before proceeding to the next page. If nothing is available on the page you can click "Copy From S6" to load the issuer info from the S6 or manually input the information.

Click **Next** to continue.

Screen: Confirm NF

The following screen shows the filer what they have inputted during the filing process. The filer has the ability to click the three dots next to each section to go back and make a change if necessary. If everything looks correct the filer can click the check box for Signature and provide a Signature and Title.

Click **Next** to continue.

Screen: Make Payment

The following steps are how you make a payment for a manually entered UIT filing. If there is a green

check mark ✓ next to series /trust filing in question then it's ready for payment.

1. When you're ready to pay click on the "Pay" button at the top of the screen.

2. Accept and Agree to the U2 consent to service of process * New York requires the filing of a paper version specific Form U-2 with the Department of State. Please see the EFD System FAQ section for more information.

Form NF -- UIT: U2 Consent   EFDID: 264146

FT 5271 0001623134 (EDGAR)

Consent to Service of Process: [Next]

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.

[Next]

3. Select all States and filings you wish to add to your payment cart. Then look in the bottom right at your Add to Cart button and click on the down arrow. You have the ability to click New Cart (creates new payment cart), Pay immediately, or add it to another cart you currently have open. When you're ready to make payment Click "Add to Cart".

4. After clicking "Add to Cart" you will be taken to the Payment Cart Details page. Here you can fill out who is paying for this notice and the main contact in the event the regulator or support need to call the filer. When you're ready to make a payment in the system click "Next".

EFD: Form NF UIT -- Payment Cart Details

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

← Back | Review NF | Next

Payment Details

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

Friendly Name:	3E6812--20220518
Payment Group:	Test SCS
Funds Request/Memo:	Funds Request

The above comment will appear in the 'MEMO' field of the transaction.

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.

Payment Contact Information

Copy From Profile ▾

Filer Name:	mario
Filer Company Name:	new
Filer Telephone Number:	123123412341
Filer Address 1:	64 nintendo
Filer Address 2:	Filer Address 2 (optional)
Filer City:	tokyo
Filer State:	japan
Filer Zip Code:	010101

EFDId	Trust Name	Details	Line Amount	
345701	Advisors Disciplined Trust 2038, dale (0001806456)	District of Columbia--LVL1001 Initial	$400.00	
			$400.00	

Validate | Next

5. The Confirmation page will have you look over everything you inputted in step 4. If everything is correct you will click "Next". If something is incorrect click "Back".

6. 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".

7. 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.

8. 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.

Questions:

NASAA EFD Support
(800) 378-5007
support@nasaaefd.org

Support Hours
9 am EST – 6 pm EST
Excluding National Holidays