



COMMERCE FINANCIAL PRINTERS CORP.

*An affiliate of Registrar and Transfer Company*

# **EDGAR** Service Brochure

**electronic**

**gathering**

**DATA**

*Analysis*

*Retrieval*

# EDGAR Services

## Overview

Commerce Financial Printers' EDGAR services are geared to provide your company with an all-encompassing package, designed to eliminate the stress of preparing documents compliant with SEC's rules and regulations. Supply us with a document (10-K, 10-Q, 8-K, etc.) to be filed with the SEC, either on disk or electronically. If you have Section 16 Documents (form 3, 4 or 5), contact us for a functional template. Once received, CFP will convert the document to a computerized format that is acceptable to the EDGAR system. We will send you a PDF proof of the document that will appear as it will when it is filed electronically. You can make any changes to text or format that you wish. We edit the document to your specifications, and continue to provide you with as many edit proofs as necessary to complete the filing. Once you're satisfied, you must sign a final proof. The document is then filed electronically with the SEC. The SEC sends us a confirmation of acceptance and we will then provide you with a copy of the SEC acceptance for your records. Upon request, we will also send you the final proof of the document for your records. The document can even be converted by us to typesetting for printing and eventual mailing to your shareholders.

## Point of contact

When sending in files to be EDGARized, please send your files to the following email address: [\*\*edgar@cfpprint.com\*\*](mailto:edgar@cfpprint.com). This will ensure that your file is received by all individuals involved within the EDGAR Department. Also, please direct all questions regarding your filings directly to the EDGAR Department via telephone: (800) 866-1547 ext. 305 or 318 or by fax, (908) 241-3993.

## Source Material & Submitting Files

When submitting files to EDGAR, we request that you submit your financials in Excel and text document(s) in Word or WordPerfect as separate files, without embedding one within the other. Embedding files creates processing delays which could jeopardize your filing deadline. Submitting separate files ensures that the EDGARizing process is handled as efficiently and as quickly as possible. Submitting a hard copy or providing a PDF of your document helps ensure that the pagination and the format produced by CFP are correct. Popular desktop publishing software such as QuarkXpress™ for PC-compatible or Macintosh can be submitted for conversion for an additional charge. Scanning or keying of documents can also be provided when there is only paper format available for an additional charge.

## EDGAR Formatting

ASCII filings are currently accepted by the SEC; however, the SEC has been telling us that ASCII filings may soon be a thing of the past and that HTML will be the only type of filings that will be accepted. CFP has decided to take a proactive approach to this situation. We feel that in order for us to be the best that we can be as well as being prepared, we must move toward the inevitable before it is officially mandated by the SEC. We would like to have our clients migrated and comfortable with this change before it happens. If you need to see a visual of a HTML filing, please contact the EDGAR department or visit us on the web at [www.cfpprint.com](http://www.cfpprint.com) - click on the EDGAR link.

## Proofreading

EDGAR material converted from existing electronic documents (submitted via disk or e-mail) are not generated initially by our operators and, therefore, is NOT proofread. However, if the document is being assembled from several sources (such as a spreadsheet program for tables combined with a word processing program for text), the document requires operator intervention, and will be “slug read” (start and end of paragraphs and tables).

Any tables or charts requiring “redesign” are read word for word.

Scanned and PDF converted material is spell checked and slug read.

Material keyed by us is always spell checked and proofread, word for word.

All editing keyed by us will be proofread word for word.

CFP will cooperate in any way possible to ensure that documents are accurately filed. A final proof will always be provided for sign off before a filing is transmitted to the SEC.

***As a filing agent, however, CFP is responsible only for the technological transmission of the file and NOT for content. Fulfillment of legal requirements and SEC regulations in document content is the sole responsibility of the client.***

Proofs will accurately reflect what the final EDGARized version will look like on file with the SEC. Our quality goal is to provide a professional — as well as accurate — representation of your company by structuring your document in the best way possible within EDGAR guidelines. We are concerned about the visual impact to shareholders and potential investors, who will have almost immediate access to these filings after they are transmitted.

CFP will make author’s alterations to the EDGARized document as required.

The proof of each page, dated and labeled for verification, is directly transmitted via e-mail from our computers.

To ensure that only the correct file is transmitted to the SEC, CFP will always send or transmit the final proof to you to be signed before we send the final live transmission.

## Proofs and Editing

## Turnaround time

The SEC has recently mandated that additional documentation is required to be attached with your EDGAR filings. Please evaluate the size and type of filing you are making when submitting files for EDGARization. Files should routinely be received a minimum of 2 business days in advance of the filing deadline to ensure adequate processing time. It is our intention to put forth our best efforts not to miss a filing date and we respectfully ask for your assistance in this endeavor.

## Transmission & Verification

Once a final proof is accepted and signed by the client, and an error-check is verified as accepted, a live filing is performed. Confirmation of acceptance is returned via E-mail to CFP and is immediately forwarded to the client.

EDGAR filings can be transmitted up to 5:30 p.m. (Eastern time) and will count for that day. Filings can be transmitted until 10:00 p.m., but will have the next days filing date - unless it is a Section 16 filing (form 3, 4, or 5).

Although CFP will make every effort to transmit your document to the SEC on time, we cannot be held responsible for last minute approvals that may jeopardize an on time filing. Our filing guarantee cut-off time is 4:30 p.m. during a high volume filing period.

## “Flat-Fee” EDGAR or “One-Shot” EDGAR

Electronic filing services at CFP will be billed on a “flat-fee” or a “one-shot” basis. You have the option of signing an annual contract or being a one-shot client (document by document).

Flat-Fee EDGAR contracts provide one full year of filings — up to 400 filed pages per year. The fee includes: complete EDGARizing of a document, up to 2 rounds of edits and a final proof of each document after each electronic filing, if requested.

One-Shot EDGARizing provides the same great service, but you are billed job-by-job.

Additional charges are determined on a time or per-page basis for desktop publishing conversion, the scanning or keying of original documents, author’s alterations, rush service and filing fees which will be based on the number of pages transmitted to the SEC.

## **Additional EDGAR Services**

In trying to stay in tuned to our customers' needs, we are pleased to offer you several new services from our EDGAR Department.

### **DeEDGARIZATION:**

This service will allow us to convert the file transmitted to the SEC into a Word or WordPerfect document. This would be beneficial to you for several reasons. You would have a backup copy of your SEC filing and you will have a file to build from for your next filing (in the case of Q's, K's and Def 14a's). This service will be offered at a nominal fee.

### **WEB POSTING:**

CFP has the ability to store your filings on our website. We will provide a link for you to place on your website. This service allows easy access for viewing and/or printing the actual document filed with the SEC. This service will also be offered at a nominal fee.

Commerce Financial Printers is able to provide an "all-in-one" approach to document filings.

Once an EDGAR file is prepared and stored on CFP's computers, typesetting and printing documents for shareholder mailings become convenient and, therefore, more cost-effective to produce. We also specialize in converting "backwards" to EDGAR from a typeset format. This allows you to prepare your mailing version concurrently with your electronic filing.

Please call us at the number listed on the back cover, for additional information on EDGAR, and information on our financial printing and mailing services.

Discover how simple, fast and economical it is to have all your filing and printing needs met by ONE phone call to ONE company — **Commerce Financial Printers** — the ONE stop Shop.

## **Typesetting, Printing and Mailing**



**BJ FREEMAN**  
**CREATIVE SERVICES MANAGER**  
**PREPRESS/EDGAR**  
**WWW.CFPPRINT.COM**

**(800) 866-1547**  
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