DFIN

ArcFiling℠: Create and Manage Your SEC Filings Efficiently

SEC compliance made simple

The ever-changing regulatory landscape adds complexity to your filing process. Fund managers need a tool with embedded controls and validation tools adapted to today's compliance standards. ArcFiling is the web-based, self-service application that enables you to create, package and submit your documents directly to the SEC. With the introduction of new functionality, ArcFiling can automatically convert Microsoft Word and PDF content into SEC-compliant, HTML format for filings such as prospectuses, summary prospectuses, annual reports, semi-annual reports and many other filings required by the SEC.

Built on experience

As the nation's largest EDGAR and XBRL filer, Donnelley Financial Solutions (DFIN) set out to develop an advanced self-service tool for clients that is built on proven technology and tailored specifically to the needs of the investment management industry.

Edit HTML on the web within ArcFiling using Word-like functions familiar to users. Documents and EDGAR requirements are constantly validated as you work. Test and live submissions can be made to the SEC, and messaging is tracked within the system. When filed successfully, submissions can be archived into a document repository for later repurposing or stored as historical records for audit purposes.

Intuitive creation tools

ArcFiling is packed with flexible features geared specifically to the EDGAR filing process so submissions do not need to be created from scratch.

- **Pull documents directly from the SEC database**. Reuse past SEC filings to edit or store for future use.

- **Upload files from your desktop**. Import HTML, PDFs and Microsoft Office documents directly from your computer to be automatically converted into SEC-compliant HTML format on the fly.

- **Flexible XBRL capabilities**. XBRL filers have the option to import DFIN-prepared tagging or upload their own data.

File with confidence

With ArcFiling, you are guided through the entire process to ensure all specific filing requirements are met.

- Advanced functionality guides you based on your selected SEC form type to ensure compliance.

- Validation tools alert you to potential form and document issues.

- Data such as series, classes, fees and registrant CIKs can be automatically populated, eliminating extraneous steps.

Package and edit your filings faster and more efficiently

ArcFiling enables flexible cloning of active or filed SEC submissions and related EDGAR tags — pre- or post-filing — to streamline the process for multiple and repeating filings. Other editing features include:

- **Make edits in real time.** Edit HTML directly within the application, meaning no repetitive uploads required as you revise.

- **Share and collaborate**. Control access levels of internal and external parties using advanced project management tools, and proof your submissions with designated users for cover-to-cover control.

- **Submit multiple filings at once**. A filing queue allows multiple submissions to be filed with the SEC simultaneously.

- **Track all activity**. A detailed editing trail tracks activity by user, date and time.

- **Archive and access all filings**. A live document and filing repository stores all information to reuse or reference any previous filing at any time.

Validate and file securely

ArcFiling is a secure, DFIN-hosted, web-based application. Embedded validation controls mitigate risk with built-in quality checks at both the document and submission level. Documents are flagged for any missing EDGAR requirements. And, you can generate unlimited test filings or live file with the push of a button. Notifications are automatically sent when a file is submitted and when a file is accepted by the SEC.

Built and backed by the experts

Although ArcFiling is a self-service application, DFIN customer service teams are on standby should you require immediate support.

As the nation's largest EDGAR and XBRL filer, DFIN has hundreds of trained and dedicated customer service experts, and representatives are accessible directly from the platform.

DOCUMENTS:
Produce, package and submit regulatory filings to the SEC.

- Upload PDFs, Word, Excel, HTML, graphic files and more.
- Import directly from the SEC.

ArcFiling

FILINGS:

- Prospectus
- Summary prospectus
- Annual report
- Semi-annual report
- 497K
- N-2
- N-14
- N-CSR
- N-PX
- And many more

FundSuiteArc

Faster, easier and smarter fund communications

The FundSuiteArc platform and its products, ArcFiling, ArcMarketing, ArcPro and ArcReporting, encompass a truly integrated end-to-end solution. Functions and data are shared and integrated across the platform so you can create, manage and produce the offering documents, financial reports and marketing communications and file the data with regulators.

About Donnelley Financial Solutions (DFIN)

DFIN is a leading global risk and compliance company.

We're here to help you make smarter decisions with insightful technology, industry expertise and data insights at every stage of your business and investment lifecycles.

As markets fluctuate, regulations evolve and technology advances, we're there. And through it all, we deliver confidence with the right solutions in moments that matter.

Learn about DFIN's end-to-end risk and compliance solutions.
Visit **DFIN**solutions.com | Call us **+1 800 823 5304**