DFIN

File16

—

File16 delivers a streamlined process to put you in control of your Section 16 filings. Our online, secure, self-service application helps you better manage the many moving parts inherent in Forms 3, 4 and 5 reporting.

DFINsolutions.com

File16

FIle16 is more than just software. Our solution enables Section 16 reporting professionals to meet their regulatory requirements accurately, efficiently and on time.

User friendly

- Save and easily select reporting owners and issuers

- Create and preview filings

- Maintain a footnote library allowing usage across multiple reporting owners and forms

- Easily save, print and e-mail drafts

- Track holdings, manage securities and maintain historical information to expedite the creation of new forms

- Test or live file directly with the SEC

Secure and compliant

- Our rigorous security offers protection at the document, application and infrastructure levels

- AT 101 certification and constant testing keeps us ahead of potential breaches

- Built-in safeguards to flag non-compliance with SEC requirements

World-class support

- Supported by an experienced team of technical and EDGAR filing experts, dedicated to resolving issues and providing best practices, available 24/5
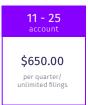
Additional features

- Allows multiple log-ins and audit trails to user edits and activity

- Archive and track SEC submissions and their status

- Upload files from the SEC or other SEC-compliant XML sources

- Stay informed on system enhancements and important SEC changes

Flexible pricing

Personal account	**Multiple** reporting owners	**1 – 10** reporting owners
For officer, director or 10% beneficial owner self-reporting Section 16 filings: **$550.00** per year/unlimited filings	For preparers of Section 16 documents: **$60.00/filing** Pay-per-filing	**$325.00** per quarter/ unlimited filings
11 - 25 account	**26 - 50** reporting owners	**51+** reporting owners
$650.00 per quarter/ unlimited filings	**$1,300.00** per quarter/ unlimited filings	**$2,150.00** per quarter/ unlimited filings

Learn about DFIN's end-to-end risk and compliance solutions.

Visit **DFINsolutions.com** | Call us **1 800 823 5304**