



Federal Trade Commission

E-Filing System Manual

Filer's Guide





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Federal Trade Commission E-Filing System



Introduction

Terms and Conditions

The information contained in this document describes the use of the FTC E-Filing System for an electronic filing of documents pertaining to part 3 proceedings.

The E-Filing system should be used only to transmit information to the Commission that is public in all respects. All of the information you place in any of the fields in this filing -- and everything in every attachment to this filing -- constitutes a public filing before the Commission; will become part of the public records of the Commission; and will be placed on the publicly accessible Commission Web site. The FTC Act and other laws administered by the Commission permit the collection of public filings to consider and use in this proceeding as appropriate. More information, including other routine uses permitted by the Privacy Act, may be found in the FTC's privacy policy, at <http://www.ftc.gov/ftc/privacy.htm>

About the FTC E-Filing System

How do I access the E-Filing System?

The URL for the FTC E-Filing System is www.ftcfile.gov. This website uses STTPS/SSL encryption. You should disable pop-up blockers for this website.

In order to use the E-Filing system you must be a registered account holder. You will be prompted to read a disclaimer. If you are an authorized user please read and click "OK". If you are not an authorized user, please click on "OK" and close your browser window (e.g. Image 1a).

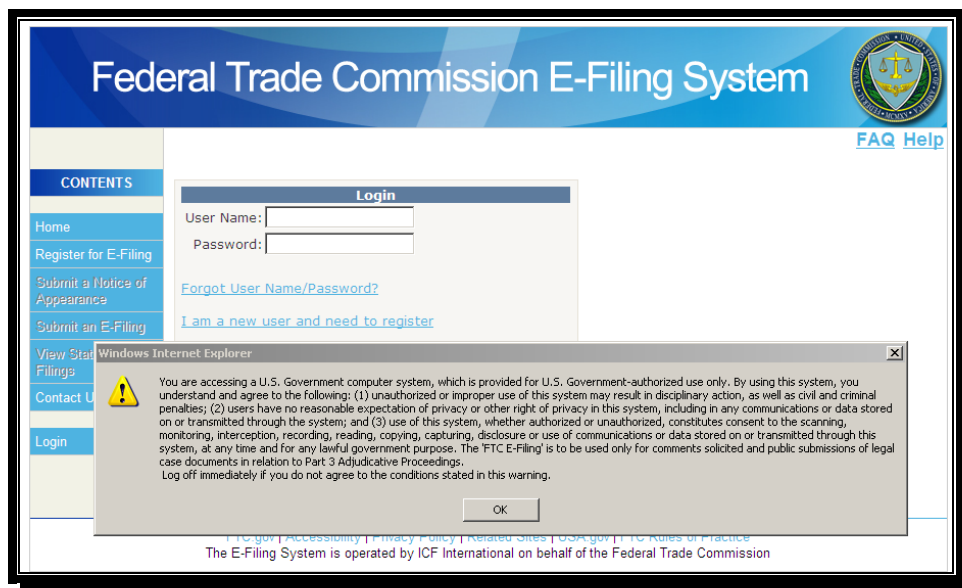


Image 1a

What are the system requirements?

The FTC E-Filing system requires that you will need an Internet Connected computer with a web browser, preferably with Microsoft Internet Explorer version 7.0.

Federal Trade Commission E-Filing System



Will I be provided login information?

The FTC does not create user accounts. It is the responsibility of a user to create an E-Filing account in order to successfully submit part 3 proceeding documents.

How do I create a new account?

As a new user you can click on the “Register for E-Filing” link located at the left navigation bar of the welcome page. This link is also provided at the bottom of the welcome page (e.g. Image 1b).



Image 1b (Home Page)

To register for an E-Filing account a user is required to enter the following information:

NOTE: Required fields are shown with an asterisk (*), unless otherwise specified you may enter up to 100 characters per field)

- **First Name:*** Enter your legal first name. Each user account must be registered only to an individual person
- **Last Name:*** Enter your legal last name. Each user account must be registered only to an individual person
- **Name of Law Firm or Employer:** Enter the full legal name of your law firm. If you are in-house counsel, specify the full legal name of your employer. If you are representing yourself, enter your full legal name. *Note: If your law firm or employer changes, you will be required to re-register.*
 - **NOTE:** If in-house counsel, indicate employer. If representing yourself, indicate your full legal name.
- **Phone Number:*** Enter the phone number where you can be contacted. An extension is optional.
- **Fax Number:** Enter the Fax number where you can be contacted. Entry of a FAX number is optional.

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- **E-mail Address:*** Enter an e-mail address where you can be contacted. This e-mail address will be used by the E-Filing System to notify you of status updates and in case of a forgotten password. Please ensure that this address can receive e-mail and that it does not block SPAM messages from the ftc-efiling.com or ftc.gov domains.
- **Confirmation of Email Address:*** Re-enter your e-mail address. You will not be allowed to register unless both entries of E-Mail addresses match.
- **Requested User Name:*** Select a user name, to be used to login to the E-Filing System. User Names must be between 8 and 16 characters.
 - **NOTE:** User Name must be between 8 to 16 characters. This User Name will be used for future login to the E-Filing System.
- **Password:*** Enter a password to be used to login to the E-Filing System. Passwords must be between 12 and 16 characters and must contain at least 3 of the following:
 - Uppercase letters (A-Z)
 - Lowercase letters (a-z)
 - Numbers (1-9, 0)
 - Symbols – You may use any of the following:
 - ! Exclamation
 - “ Quote
 - # Hash
 - \$ Dollar
 - % Percent
 - & Ampersand
 - ‘ Apostrophe
 - (Left Parenthesis
 -) Right Parenthesis
 - * Asterisk
 - + Plus
 - , Comma
 - Hyphen
 - . Period
 - / Slash
 - : Colon
 - ; Semicolon
 - < Less Than
 - = Equals
 - > Greater Than
 - ? Question
 - @ At
 - [Left Bracket
 - \ Backslash
 -] Right Bracket
 - ^ Caret
 - _ Underline
 - ` Back Apostrophe
 - { Left Brace
 - | Pipe
 - } Right Brace
 - ~ Tilde
 - **NOTE:** Password must be between 12 and 16 characters; 3 of the 4 must be used: uppercase alphabetic, lowercase alphabetic, numeric, symbols.

Federal Trade Commission E-Filing System



- **Confirmation of Password:*** Re-enter your chosen password. You will not be allowed to register unless both entries of password match.

FTC E-Filing Registration Form

Registration Form (* denotes required field)

First Name*
Last Name*
Title
Name of Law Firm or Employer* If Internal Counsel, indicate employer. If self, indicate your full legal name.
Phone Number* - Ext. Phone and Fax should have format like: 111-111-1111
If you have a fax number, please provide Fax Number
E-Mail Address*
Confirm E-Mail Address*
Alternate E-Mail Address
Requested User Name* User Name must be between 6 to 16 characters. This User Name will be used for future login to the E-Filing System.
Password* Password must be between 12 and 16 characters. 3 of the 4 following must be used: uppercase alphabetic, lowercase alphabetic, numeric, symbols (click [here](#) for examples)
Confirm Password*

The information in this box will be used to verify your identity in cases of a forgotten password. You may select any three (3) questions to answer. If you answer more than three questions, only the first three answered will be used. Select those questions that you feel most comfortable answering and for which you can most easily remember the answers.
All answers are case sensitive.

What was your first pet's name?
What street did you live on when you were eight years old?
What is the first name of your childhood best friend?
In what city did your mother and father meet?
What was the name of the first band or singer that you saw in concert?
In what town was your first job?
What was the first name of your first college roommate?
What was the first name of your senior prom date?
What was the make and model of your first car?
What was the last name of your first grade teacher?

All users are required to agree and sign this Rules of Behavior policy prior to being granted Registered User access. [Click here](#) to view and sign Rules of Behavior form.

By clicking "Accept", you certify that the above information is correct and that you want to register with the FTC E-Filing System. [Click here](#) for Privacy Policy and Terms of Service.

Image 1c (Filer Registration Form)

In case you forget your user name or password, the E-Filing System offers an automated user name/password system. The registration page will list 10 security questions; you must select three to answer. In case of a forgotten user name or password, the E-Filing system will ask you to respond to these three questions.

When filling out the registration form, select the questions that you feel most comfortable answering, that you feel you will best remember the answers, and for which the answers are unlikely to change. Your responses are case sensitive, so make sure to remember what case you've used (e.g., "Paris" is not the same as "paris").

All users are required to agree and sign the Rules of Behavior (ROB) policy prior to being granted registered user access. Please use the "Click here" link to view the ROB form (e.g. image 1c), complete the required fields and click submit (e.g. image 1d).



Rules of Behavior for public users of E-Filing Systems

The following 'Rules of Behavior' apply to all public users of FTC E-Filing Systems:

System Access

- I will use E-Filing systems only for authorized purposes.

Passwords and Other Access Control Measures

- I will protect passwords from disclosure.
- I will promptly change a password whenever the compromise of that password is known or suspected.
- I will not attempt to bypass access control measures.

Data Protection

- I will not access, process, or store non-public information that has not been authorized for such processing.
- I will abide by the privacy and use restrictions of E-Filing systems protecting confidential, sensitive, or personal information (examples may include non-work contact information, medical record, trade secrets, etc.) from disclosure.

Incident Reporting

- I will promptly report any suspected information security compromise or problem to the E-Filing systems Help Desk 703-934-3515.

Accountability

- I understand that I will be held accountable for my actions while accessing and using FTC E-Filing systems.

Please [Click Here](#) to download the Rules of Behavior template.

By clicking on the checkbox you are acknowledging that you have read, understand, and agree to abide by the rules of behavior for this system and the information stored herein.

Please enter your initials:

Image 1d (Rules of Behavior)

Once the required information is complete, please read the agreement text on the Registration form page and select either "Accept" or "Cancel" button.

The following actions will result in clicking on either of these buttons:

1. Clicking on Accept will validate that you have entered the required information. If so, your account will be created and you will be presented with a confirmation screen. If there are any issues with the registration, the system will provide you a description of the error and give you an opportunity to make corrections.
2. Clicking on Cancel will cancel your registration. As this will erase what you have entered into the form, you will be prompted to confirm.



How do I update account information?

You can log into your account and click on the “Update User Account Information” button on the left navigation bar. The system will navigate you to the registration page with the original registration information pre-populated. You may then update the information and click on Accept.

How do I Login?

In order to log into the E-Filing system you may click on the Login Button in the left navigation bar. You may also click the appropriate button located at the left navigation bar (e.g. clicking the “Submit a Notice of Appearance” button will allow you to login and gain access to that particular module. Image 2 below shows the login page). **Once you have logged into the system, you can access any of the following modules without the need to log into the system to access a different module.**

- Submit a Notice of Appearance
- Submit an E-Filing
- View status of your Filings
- Update User Account Information
- Logout

NOTE: If you are an existing user and you have changed Law Firms or Employers, you must re-register as a new user

A screenshot of the login screen. It features a blue header with the word "Login" in white. Below the header are two input fields: "User Name:" and "Password:". Underneath the password field is a blue link that says "Forgot User Name/Password?". Below that is another blue link that says "I am a new user and need to register". At the bottom center is a white button with the word "Login" in blue.

Image 2 (Login Screen)

How do I Log Out?

Once logged in, you may leave the system at any point of time by clicking the logout button listed towards the bottom of the left navigation bar.

NOTE: Please save any information prior to logging out, failure to do so may result losing the unsaved information. Also please note that the once you are logged into the system, the logout button is visible throughout the system. Once you have logged out, please proceed to close the browser window.

Will I be Logged Out due to system inactivity?

Yes, if the E-Filing system is left idle for more then 20 minutes due to security reasons it will automatically log you out. Any unsaved information will be lost.

What if I forget my User Name?

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At the login screen, click on the *“Forgot User Name/Password”* link (e.g. Image 2), the system will navigate you to a “Reset user Name/Password” screen (E.g. Image 3). The following actions will result:

- In the case you forgotten your username then you have the option to enter the email address used to register the e-filing account and then proceed to click on the “Next” button. Upon successfully entering the correct email address on file, the next screen provides your user name.
- If you do not remember the user name and the email address used to register the account, you should click on the “Click here for further assistance” button. You will be provided the option to call the E-Filing help desk at (703) 934-3515 for further assistance.

A screenshot of the "Reset User Name/Password" screen. The title bar is blue with white text. Below the title, there is a blue bar with white text: "Please enter your User Name or E-mail Address. Click 'Next >>' to answer your security question to complete the password reset." Below this, there is a text input field with the label "Enter User Name or E-mail Address:" and a "Next >" button. At the bottom, there is a link: "Unable to locate User Name or E-mail, [Click here for further assistance.](#)"

Image 3 (Reset Password)

What if I forget my Password?

At the login screen, click on the *“Forgot User Name/Password”* link (e.g. Image 2), the system will navigate you to a “Reset user Name/Password” screen as depicted in image 3.

This screen will allow you the option to enter the user name or the email address used to register the e-filing account in order to retract your password. Once the user name or email address has been entered, the system will request you answer the security questions answered when you registered for the e-filing account (e.g. Image 4a).

Once you have completed answering the security question, please click on “Submit Answer” button.
(NOTE: Please remember that the response/answer is case sensitive).

The following actions will result upon clicking the submit button:

1. If the ANSWER IS CORRECT then the password is reset and an email is sent to your registered email account with a new temporary password. You are required to change your password upon the next login.
2. If the ANSWER IS INCORRECT then the account is locked and you will be required to call the E-Filing Help desk at (703) 934-3515 to have the account unlocked.



Security Answers

Please provide the correct answers to your security questions and then click "Submit Answer". If you do not know the answer to your security question, [click here](#) for further assistance. A correct response to all the questions will enable you to reset your password.

User Name: akhantest

Question: What is the first name of your childhood best friend?

Answer: Your response is case sensitive.

Question: What street did you live on when you were eight years old?

Answer: Your response is case sensitive.

Question: What was your first pet's name?

Answer: Your response is case sensitive.

Image 4a (Reset Password – Security Questions)

Where can I Find the Frequently Asked Questions (FAQ's)?

The link to the FAQ's can be found on every page across the entire website (e.g. Image 4b). This link is located on the top right corner of each page. Clicking the link will navigate you to the requested page. You may scroll across the page to search for the desired Q & A or use the "Go to" links on the top of the page to access the appropriate topic area.

Can I print a copy of the Frequently Asked Questions (FAQ's)?

The link to the printer friendly FAQ's can be found on the top right part of the FAQ page. Clicking the "here" link will launch Adobe Acrobat/reader and open a pdf version of the FAQ page. Once open, you may save a copy of the FAQs on your computer or use the print feature within Adobe Acrobat/Reader to print a paper copy.

NOTE: You must have Adobe Acrobat/Reader to be able to view the printer friendly FAQs. Adobe Reader is a free tool that can be downloaded at <http://www.adobe.com>.



Frequently Asked Questions

Click [here](#) for printer friendly version

Go To: [About E-Filing](#) | [Submit a Filing](#) | [System Rules](#) | [Account Issues](#) | [Status Notifications](#) | [Contact Us](#)

About E-Filing

Q. What is E-Filing?

Electronic Filing (E-Filing) refers to the electronic filing of notices of appearance, pleadings, and other public documents in Part 3 adjudicative proceedings before an Administrative Law Judge or before the full Commission through the FTC E-Filing System.

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Q. What are the benefits of E-Filing?

For filers, E-Filing is free, convenient, fast, secure, and the most accurate way to submit a Notice of Appearance and pleadings. E-Filing also reduces paper, printing, and delivery costs - making it environmentally friendly.

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Q. Is the E-Filing system available 24 hours a day, 7 days a week?

The E-Filing system is available 24 hours a day, except for Wednesdays from 8:00 p.m. to 11:00 p.m., Eastern Time when the E-Filing system is unavailable for routine maintenance.

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Q. How will I know if the E-Filing system is not available?

If the E-Filing system is unavailable, the FTC will post this information in the announcements section on the www.ftcefile.gov home page. Otherwise the E-Filing system will be available 24 hours a day.

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Q. What type of browsers can I use with the E-Filing system?

The FTC E-Filing system supports Microsoft Internet Explorer (ver. 6.0, 7.0 and 8.0) and Mozilla Firefox (ver. 2 and 3).

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Image 4b (FAQs)

Where do I go once I have logged in?

Once logged in, it's suggested you go to the Notice of Appearance page.

New Users

If you are a new user and wish to submit a new Notice of Appearance then you may do so by clicking on the "To submit a new Notice of Appearance click here" link provided in the page.

Returning Users

While on this page if you are a returning user you will see previously saved and pending Notices of Appearances, if any were entered in a previous session.

How do I submit a new Notice of Appearance?

After clicking on the "Submit a new Notice of Appearance" link located in the left navigation bar, you are navigated to a form which shows you the following fields:

- Docket Number and Case Name

NOTE: If you are unable to see a Docket Number and Case Name you will be unable to submit a Notice of Appearance. Please check in the system periodically as it may not be entered yet.

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Pursuant to section 4.1 of the commission's rule of practice, you are required to select whether you are entering the proceeding requesting appearance of:

- counsel/representative for the respondent
- counsel supporting the complaint.
- counsel or representative for a third party

You may select one option only.

The screenshot shows the 'Notice of Appearance' form in the Federal Trade Commission E-Filing System. The page has a blue header with the system name and logo. A left sidebar contains navigation links: CONTENTS, Home, Submit a Notice of Appearance, Submit an E-Filing, View Status of Your Filings, Update User Account Information, Contact Us, and Logout. The main content area is titled 'Notice of Appearance' and features a dropdown menu for 'File/Docket Number and Case Name*'. Below this is a statement: 'Pursuant to Section 4.1 of the Commission's Rules of Practice, I (we) am (are) entering in the above proceeding the appearance of:'. Three radio button options are provided: 'counsel supporting the complaint (Complete items 1, 3, 4, and 5 below)', 'counsel or representative for the respondent (Complete items 1, 2, 4, and 5 below)', and 'counsel or representative for a third party (Complete items 1, 2, 4, and 5 below)'. The form is divided into two columns: '1. COUNSEL OR REPRESENTATIVE' and '2. RESPONDENTS', each with an 'Add' button. Below these are input fields for '3. Associate/Assistant Director', '4. Name of Senior Counsel', and '5. Date Signed'. At the bottom, there are 'Cancel', 'Save for later Completion/Submission', and 'Submit' buttons, followed by the instruction 'Please print the NOA form upon submission'. A footer contains links for FTC.gov, Accessibility, Privacy Policy, Related Sites, USA.gov, and FTC Rules of Practice, and a note that the system is operated by ICF International on behalf of the Federal Trade Commission.

Image 5 (Notice of Appearance Sample)

It is required that you select one of following choices and complete the information pertaining to them:

1. **Counsel or representative for the respondent**



- Counsel or Representative
 - Enter *Name*
 - Enter *Law Firm/ Company*
 - Enter *Address*
 - Enter *Telephone Number*
- Respondents
 - Enter *Name*
 - Enter *Address*
 - Enter *Telephone Number*
 - Enter *Partnership/ Corporation/ Association Name*
- Enter *Name of Senior Counsel*
- Enter *Date Signed* by clicking the calendar icon

OR

2. Counsel supporting the complaint

- Counsel or Representative
 - Enter *Name*
 - Enter *Address*
 - Enter *Telephone Number*
- Enter *Associate/ Assistant Director*
- Enter *Name of Senior Counsel*
- Enter *Date Signed* by clicking the calendar icon

OR

3. Counsel or representative for a third party

- Counsel or Representative
 - Enter *Name*
 - Enter *Law Firm/ Company*
 - Enter *Address*
 - Enter *Telephone Number*
- Respondents
 - Enter *Name*
 - Enter *Address*
 - Enter *Telephone Number*
 - Enter *Partnership/ Corporation/ Association Name*
- Enter *Name of Senior Counsel*
- Enter *Date Signed* by clicking the calendar icon

Can I add multiple Counsel/Representative OR Respondents?

Yes, you may add multiple Counsel/Representative and Respondents into a Notice of Appearance; you may do so by clicking on the “Add” button (shown in image 5) which will navigate you to the screen shown in Image 6.



Notice of Appearance

ADD Counsel or Representative (You can add a maximum of 5 names per Law Firm/Company)

First Name: * Last Name: * Title:

First Name: * Last Name: * Title: [Remove Entry](#)

Law Firm/Company: *

Address 1: *

Address 2:

City: * State: Zip Code: *

Phone Number: * NNN-NNN-NNNN

Fax Number: NNN-NNN-NNNN

* Indicates required field

Image 6 (Add Counsel/Representative/Respondents to NOA)

You may enter the following information:

- First Name: Enter your legal First Name
- Last name: Enter your legal Last Name
- Title (if applicable):
- Law Firm/Company: Enter the full legal name of your law firm or company
- Address 1: Enter the address including apartment/suite number
- Address 2: Additional address information (if required)
- City: Enter the name of the city for the address
- State: Select the state of the address from the drop down list
- Zip Code: Enter the 5 digit zip code for the address
- Phone Number: Enter the phone number where you can be contacted
- Fax Number: Enter the fax number where you can be contacted

Once you have entered the information please click on the “Add” button.

Finally, you must click the “Add” button to submit your Counsel/Representative and Respondents into a Notice of Appearance.

NOTE: If you click cancel, you will be returned the user to the notice of appearance page.

Can I delete a Counsel/Representative OR Respondent?

Yes, once a Counsel/Representative or Respondent is added, you have the option to delete it (E.g. Image 7), clicking on the Delete button will prompt you to confirm the deletion. Please select “Yes” to confirm deletion or “No” to keep the counsel/representative or respondent.



Image 7 (Added Counsel/Representative/Respondents to NOA)

Can I edit a Counsel/Representative OR Respondent?

Yes, once a Counsel/Representative OR Respondent is added, you have the option to edit it (E.g. Image 7), clicking on the edit button will navigate you to a similar screen as depicted in image 6. Please make your edits and select “Add” to confirm your edits or “Cancel” to keep the current counsel/representative or respondent information.

What if I have to amend my submitted Notice of Appearance?

The FTC E-Filing System does not allow a submitted Notice of Appearance to be amended. It is recommended that you complete a new Notice of Appearance and submit it using same Docket Number and Case Name. The E-Filing system logs when each Notice of Appearance is submitted and the FTC will collect the most recent submitted Notice of Appearance for a particular Case.

Can I save my session and continue later?

Yes, you may fill out information and click on the “Save for later completion/submission” button, this will allow you to click on the “Select” link for the File/Docket Number and return the Notice of Appearance. (E.g. Image 8)

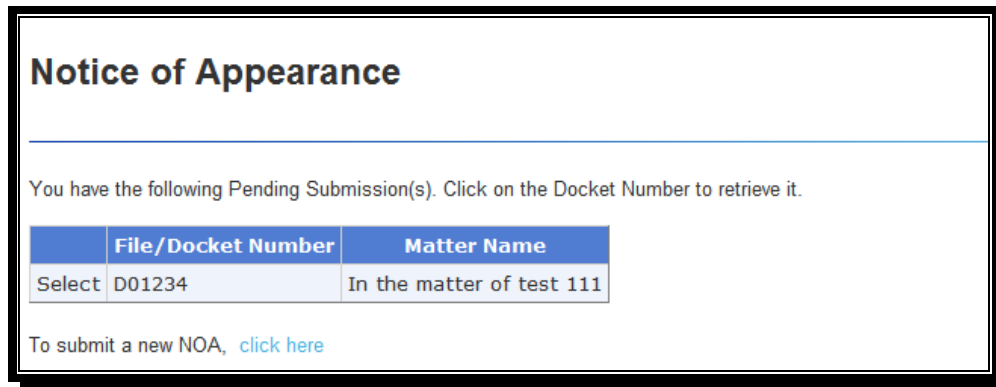


Image 8 (NOA Pending Submission)

How many Notices of Appearances can I save and submit?

You may save and submit multiple notices of appearance for a given Docket Number and Case Name.

Will I be given a confirmation number upon submission?

Yes, you will be provided a confirmation screen upon a successful submission of a Notice of Appearance, please make a note of the submission number. If you have a printer, you may click on the “click here for a printable version” link for a printer friendly version of the confirmation page to keep a paper copy for your personal records (e.g. Image 9).

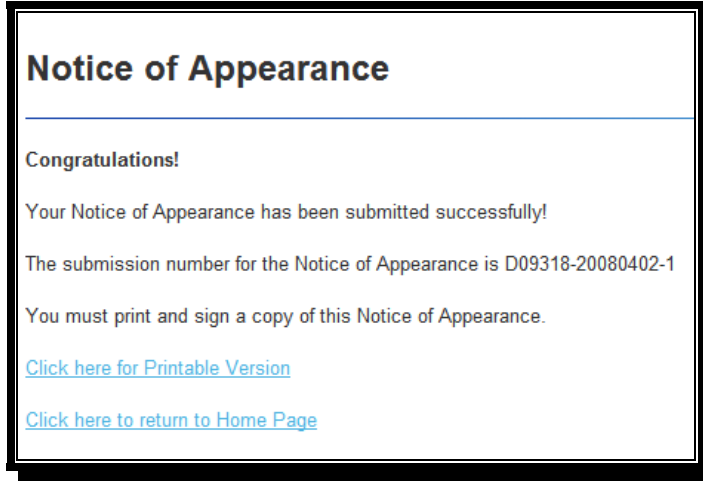


Image 9 (Confirmation Notice)

To Print a printable copy of the submitted Notice of Appearance, click on the “Click here for Printable Version” link. This will open up a pdf copy of the submission. (e.g. Image 9a).

To go back the home page you may click on the “click here to return to home page” link and the system will navigate you there.

FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

NOTICE OF APPEARANCE

CASE NAME: FTC EFile Demo FILED/DOCKET NUMBER: D09999

Pursuant to Section 4.1 of the Commission's Rules of Practice, I (we) am (are) entering in the above proceeding the appearance of

counsel supporting the complaint (Complete Items 1, 3, 4, and 5 below)

counsel or representative for the respondent (Complete Items 1, 2, 4, and 5 below)

counsel or representative for a third party (Complete Items 1, 2, 4, and 5 below)

1. COUNSEL OR REPRESENTATIVE	2. RESPONDENT(S) OR THIRD PARTY(IES)
Include the name, address, email address, and telephone number of each counsel or representative entering an appearance in the above proceeding. Acad Khan Joe Nasser ICF International 9200 Lee Hwy Fairfax, VA 22031 Phone: 703-934-3000 Fax Number: 703-934-5404	Include the address and telephone numbers of all persons, partnerships, corporations, or associations on whose behalf this Notice of Appearance is being filed. Jill Brown Jim Smith ABC Company 123 Main Street Arboretum, VA 22042 Phone: 454-454-4543

3. ASSOCIATE/ASSISTANT DIRECTOR

4. SIGNATURE OF SENIOR COUNSEL (Bernita Lofly)

5. DATE SIGNED 9/7/2011

Return this form to: Federal Trade Commission
Room H-113
600 Pennsylvania Avenue, N.W.
Washington, D.C. 20560

FTC Form 232 (rev 7/11)

Image 9a (Printable Notice of Appearance)

Federal Trade Commission E-Filing System



Submit a new E-Filing

NOTE: To submit a new E-Filing it is necessary that you must have previously submitted a Notice of Appearance (NOA). If you have not previously submitted an NOA please do so prior to submitting a Filing.

- If an NOA has been submitted please select “Yes” and click on the “Next” button to proceed forward to the next page (e.g. Image 10a).

Submit an E-Filing

PLEASE NOTE: FTC requires you submit a Notice of Appearance to participate in a proceeding. You must have this Notice of Appearance on file, before submitting a document in E-File.

Have you submitted a Notice of Appearance for this proceeding? (Make a selection below and click Next)

Yes
 No

Image 10a

- The system will allow you to select a Matter Number/Name, once you have made a selection you may click on the “Next >” button to proceed forward (e.g. Image 11) to the next page.

Submit an E-Filing

Select a proceeding:

	Docket Number	Matter Name
<input checked="" type="radio"/>	D09342	The Dun & Bradstreet Corporation
<input type="radio"/>	D09999	FTC EFile Demo
<input type="radio"/>	D09343	The North Carolina Board of Dental Examiners
<input type="radio"/>	D09345	LabCorp
<input type="radio"/>	D01111	ICF Test
<input type="radio"/>	D01112	ICF Test-2

Image 11 (Select Proceeding for Filing)

You may enter a title (this is for own reference) and click the browse button. The browse button will allow you to select the location of the file you wish to upload. Locate the file and click open (e.g. Image 13) followed by clicking add (e.g. Image 12). Please note that you may add more than one document for a particular E-Filing.

Please limit each file name to less than 128 characters. Each file must be no larger than 16MB. No more than 80MB may be uploaded in a single submission. If you have files larger than 16MB or need to submit more than 80MB in a single submission, please contact the Help desk (E-mail: ftcefilesupport@icfi.com or call: 703-934-3515) for further instructions.

Federal Trade Commission E-Filing System



NOTE: Please read the following information carefully before submitting any E-Filing:

The first page of each attachment to this filing must be clearly labeled "PUBLIC DOCUMENT." Rule 4.2(c)(2). If the attachment has been converted into a public document by redacting *in camera* or otherwise confidential material, those redactions must be effected by completely deleting the *in camera* or otherwise confidential material from the attachment before it is attached to this filing. Simply masking the *in camera* or otherwise confidential material -- through the use, for example, of a white type font -- is not sufficient.

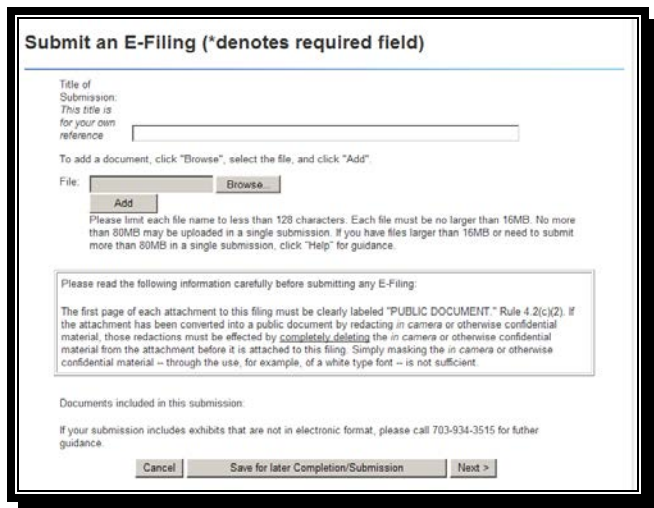


Image 12

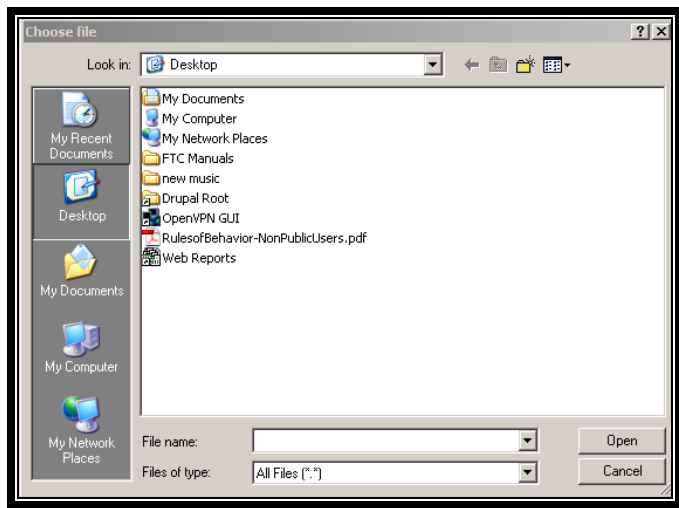


Image 13

Once the file has been uploaded you may navigate towards the bottom of the screen and provide the following information (e.g. shown in image 14).

- Enter *Document Title*
- Select *Document Type* (You may select one of the following options from the drop down list provided :)
 - ALJ SUBPOENA REQUESTED BY COMPLAINT COUNSEL
 - ALJ SUBPOENA REQUESTED BY RESPONDENT
 - COMMISSION INTERLOCUTORY ORDERS AFTER INITIAL DECISION
 - COMMISSION INTERLOCUTORY ORDERS BEFORE INITIAL DECISION
 - COMPLAINT COUNSEL BRIEFS AND OTHER FILINGS BEFORE THE COMMISSION AFTER THE INITIAL DECISION
 - COMPLAINT COUNSEL FILINGS AFTER FINAL ORDER
 - COMPLAINT COUNSEL MOTIONS, BRIEFS, PROPOSED FINDING, AND OTHER FILINGS BEFORE THE ALJ
 - COMPLAINT COUNSEL NOTICE OF APPEAL
 - CORRESPONDENCE AND OTHER PART 3 DOCUMENTS
 - DISCOVERY AND OTHER INFORMATION REQUESTS [PART 3]
 - INTERVIEW REPORTS/ AFFIDAVITS/ DECLARATIONS/ TRANSCRIPTS (DEPOSITIONS)/ EXHIBITS [PART 3]
 - JOINT MOTIONS TO WITHDRAW FROM ADJUDICATION
 - MOTIONS, BRIEFS, AND PROPOSED FINDINGS [PART 3]
 - OTHER JOINT MOTIONS BEFORE THE ALJ
 - REQUEST TO REOPEN AND MODIFY ORDERS [PART 3]

Federal Trade Commission E-Filing System



- RESPONDENT BRIEFS AND OTHER FILINGS BEFORE THE COMMISSION AFTER THE INITIAL DECISION
 - RESPONDENT FILINGS AFTER FINAL ORDER (INCLUDING PETITIONS FOR RECONSIDERATION)
 - RESPONDENT MOTIONS, BRIEFS, PROPOSED FINDING, AND OTHER FILINGS BEFORE THE ALJ
 - RESPONDENT NOTICE OF APPEAL
 - RESPONDENTS' ANSWERS [PART 3]
 - TRIAL EXHIBITS
 - TRIAL TRANSCRIPTS
- Select *Does this document contain non-public information?* (You may select one of the following options from the drop down list provided):
 - Yes
 - No
- NOTE:** If you select “Yes” then the screen shown in image 15 pops up informing you that the attached file may not contain non-public information.
- Select *Does this submission include physical exhibits?* (You may select one of the following options from the drop down list provided):
 - Yes
 - No
- The system also gives you the option of removing the document and attaching a new one. This can be done by clicking on the “Remove” button.

Federal Trade Commission E-Filing System

Submit an E-Filing (*denotes required field)

Title of Submission
This title is for your own reference

To add a document, click "Browse", select the file, and click "Add".

File

Each file must be no larger than 15MB. No more than 80MB may be uploaded in a single submission. If you have files larger than 15MB or need to submit more than 80MB in a single submission, click "Help" for guidance.

Please read the following information carefully before submitting any E-Filing:

The first page of each attachment to this filing must be clearly labeled "PUBLIC DOCUMENT." Rule 4.2(c)(2). If the attachment has been converted into a public document by redacting in camera or otherwise confidential material, those redactions must be effected by conspicuously deleting the in camera or otherwise confidential material from the attachment before it is attached to this filing. Simply masking the in camera or otherwise confidential material – through the use, for example, of a white type font – is not sufficient.

Filename*	Document Title*	Document Type*	Does this document contain Non-Public Information?*	Does this submission include physical exhibits?*	Remove
Document.pdf					<input type="button" value="Remove"/>

If your submission includes exhibits that are not in electronic format, please call 703-934-3515 for further guidance.

FTC.gov | Accessibility | Privacy Policy | Related Sites | USA go | FTC Rules of Practice
The E-Filing System is operated by ICF International on behalf of the Federal Trade Commission

Figure 14 (Upload Filing Document)

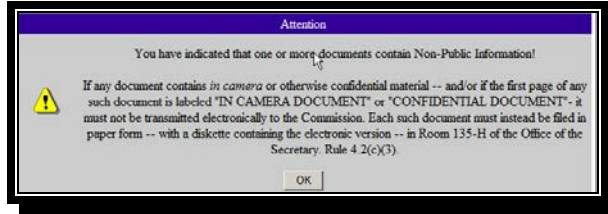


Figure 15 (Non-Public Alert)

Can I save my session and continue later?

Yes, you may fill out information and click on the “Save for later completion/submission” button, this will allow you to come in at a later time. Upon returning, clicking on the File/Docket Number (E.g. Image 16) will result in the system returning you to submit an E-Filing screen.



Image 16 (Save Filing for later completion)

What happens when I am ready to submit my E-Filing?

When you are ready to submit an E-filing, you may click on the “Next >” button as shown in Image 14, this will result in navigating you to the information verification screen (E.g. Image 17) where you must verify the following information for correctness:

- Matter Number
- Matter Name

Federal Trade Commission E-Filing System



- Parties on behalf this filing is submitted
- Title
- Documents included in this submission

NOTE: Please read the Terms of Conditions listed on the page, the Submit button will not activate till the “I Accept” box is checked.

Once you have read the Terms of Conditions, you must check the “I Accept” box in order to comply with the terms and conditions of the FTC prior to submitting your E-Filing. Failure to do so will result in the system not allowing you to proceed forward with your submission.

The user also has the option to receive e-mail notifications if there is an update in the case status. In order to receive email notifications you must check the “Please notify me of status changed via e-mail” box. You may also add up to three (3) additional recipients who can get notified of filing status changes by clicking the “Add” button.

Finally, you must click the “Submit” button to submit your E-Filing. (E.g. Image 17)

NOTE: If you click cancel, the system will prompt you to confirm that you wish to cancel the E-filing process. Clicking on “YES” will result in deleting the E-Filing and returning the user to the home page. Clicking on “NO” will return you back to the page to continue filing.



Submit an E-Filing

You have selected the following proceeding to file:

Matter Number: D09342
Matter Name: The Dun & Bradstreet Corporation
Title:

Documents included in this submission:

Filename	Title	Type
RulesofBehavior-NonPublicUsers[1].pdf	demo	Administrative Complaints

Please read the following information carefully before submitting any E-filing:

1. The E-filing system should be used only to transmit information to the Commission that is public in all respects, and all accepted submissions will become part of the public record.
2. The first page of each attachment to this filing must be clearly labeled "PUBLIC DOCUMENT." Rule 4.2(c)(2).
3. Every document submitted through the E-filing system must be a full-text searchable PDF file.
4. If any document contains *in camera* or otherwise confidential material - it must not be transmitted electronically to the Commission. Each such document must instead be filed in paper form -- with a compact disk (CD) containing the electronic version -- in Room H-113 of the Records and Filings Office. Rule 4.2(c)(3).
5. Any E-filing must be "a true and correct copy of the paper original" of all or part of the public filing covered by this form. Rule 4.2(c)(3).
6. A hand signed paper original of the public filing must be kept on file by counsel of record and available for review upon request of the Commission or relevant Commission staff. Rules 4.2(c)(3).
7. A copy of the proof of service of the paper original of the public filing covered by this form must be included in your E-Filing, and must include the statement that a paper copy of the public filing has been delivered to the Administrative Law Judge. Rules 4.4(b),(c).
8. The body of the public filing covered by this form must be attached to this form as a single text file, in Adobe Portable Document Format ("PDF").
9. By checking "I Accept" and pressing the Submit button you are stating and confirming:
 - (a) that you have read and understand all of the foregoing disclosures and procedures;
 - (b) that neither the information you will submit in the form nor the documents or other types of files you will attach to the form contain any *in camera* or otherwise confidential material; and
 - (c) that all the information you will submit in the form and all the documents and other types of files that you will attach to the form will become part of the public records of the Commission, and may be placed on the publicly accessible Commission Web site.

I accept

Please notify me of status changes via e-mail

Click on the Add button to add additional Email recipients. (Maximum 3)

Image 17 (Filing Submission screen)

Will I be given a confirmation number upon submission?

Yes, you will be provided a confirmation screen upon a successful submission of an E-Filing, please make a note of the submission number. If you have access to a printer, it is recommended that you should print and keep a paper copy of the confirmation screen for your personal records (E.g. Image 18)



Submit an E-Filing

Congratulations!

Your filing has been submitted successfully!

The submission number for the filing is D09342-43ccf4ae-85ff-4178-a615-82946910c598

[Click here to return to Home Page](#)

[Click here to Logout](#)

Image 18 (Filing Confirmation)

How can I View Status of Filings?

To view the status of filings, the FTC E-Filing system allows a couple of options. The system provides the ability to check the status of “All Filed” filings (submitted by everyone) and ones submitted by you (labeled as “My Filings”). You must log into the system to, prior to checking the status of Filings.

You can perform a search by using the drop down list provided, as shown in Image 19 and 20. You can also filter results by:

- Entering the *Respondent/ Party Name*
- Selecting one of the following *Status*
 - All Filed
 - My Pending Filings
 - My Filed Filings
 - My Returned Filings

The system also provides you the option of receiving e-mail notifications. These notifications will be sent to the e-mail address registered on file, the system only sends an e-mail if there is an update in the case status. If you would like e-mail notification switched on, please select the “Please notify me of status changed via e-mail” box.

Image 19 (Status of your Filings)



Status of Your Filings

To search, select a docket number/matter name, party name, and/or status.
If you enter multiple search values, *all* must match to locate a submission.
To retrieve a list of *all* of your submissions, leave all fields empty and click the "Search" button.

SEARCH: Docket Number/Matter Name:
Respondent/Party Name: Status:

Results:

Matter Number	Matter Name	Document Type	E-Filing Number	Received Date	Filed Date	Respondent/Party	Status
D09342	The Widget Corporation	Complaint Counsel Notice of Appeal	D09342-1554d52c-23f2-42eb-a86c-7d54dc611914	08/09/2012 06:40 PM			Pending

Please check if you would like to be advised of status changes via email.
[Click Here](#) to view all Filed Documents. You will be directed to the Federal Trade Commission's webpage for Adjudicative Proceedings.

Image 20 (Status of your Filings Results)

Clicking on the "Document Type" link will open the pdf attachment that was submitted via the E-Filing system.

=====



Glossary

Terms and Conditions to submitting an E-Filing

Please read all the following information carefully before submitting any E-filing:

1. The E-filing system should be used only to transmit information to the Commission that is public in all respects, and all accepted submissions will become part of the public record.
2. The first page of each attachment to this filing must be clearly labeled "PUBLIC DOCUMENT." Rule 4.2(c)(2).
3. If any document contains *in camera* or otherwise confidential material - it must not be transmitted electronically to the Commission. Each such document must instead be filed in paper form -- with a diskette containing the electronic version -- in Room 135-H of the Office of the Secretary. Rule 4.2(c)(3).
4. Any E-filing must be "a true and correct copy of the paper original" of all or part of the public filing covered by this form. Rule 4.2(c)(3).
5. A hand signed paper original of the public filing must be kept on file by counsel of record and available for review by request of the Commission or relevant Commission staff. Rules 4.2(c)(3).
6. A copy of the proof of service of the paper original of the public filing covered by this form must be included in your e-filing, and must include the statement that a paper copy of the public filing has been delivered to the Administrative Law Judge. Rules 4.4(b),(c).
7. The body of the public filing covered by this form must be attached to this form as a single text file, in Adobe Portable Document Format ("PDF"). This PDF must be fully text searchable.
8. By checking "I Accept" and pressing the Submit button you are stating and confirming:
 - (a) That you have read and understand all of the foregoing disclosures and procedures;
 - (b) That neither the information you will place in the form nor the documents or other types of files you will attach to the form contain any *in camera* or otherwise confidential material; and
 - (c) That all the information you will place in the form and all the documents and other types of files that you will attach to the form may become part of the public records of the Commission, and may be placed on the publicly accessible Commission Web site.



Document Revision History

Date	Version	Description	Author
06/04/2008	1.0	Initial Creation	Asad Khan
09/16/2008	1.1	Updated	Asad Khan
09/25/2010	1.2	Updated	Asad Khan
09/22/2011	1.3	1.0.4.0 & 1.0.4.1	Asad Khan
08/09/2012	1.4	1.0.5.0	Asad Khan