FTC Task Order 5

Administrative E-Filing System User Guide

(External Filer)

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1) Introduction:

The Federal Trade Commissions' (FTC) Administrative E-filing System (AEFS) is a new web-based, user friendly application that receives electronic filings in adjudicative proceedings conducted under Part 3 of the Commission's Rules of Practice that governs how competition and consumer protection cases are tried before an Administrative Law Judge (ALJ). The FTC's new Administrative E-Filing Application has been created to secure, streamline and improve efficiencies for FTC's Administrative E-Filing application users.

2) Administrative E-filing System User Guide Overview:

This Administrative E-filing System (AEFS) User Guide is an instruction manual that provides guidance on how to navigate and securely access the Admin E-Filing System for an optimal user experience.

3) Application/User Registration:

3.1: New/First time Users:

3.1.1: Registration:

In order to access the Administrative E-Filing System, you must first register and create an account.

Please follow the steps below to register and create an account:

1) Click on the link below and then click on '*Register'* under *New Users:*
   https://adminefiling.ftc.gov

Figure 1: Administrative E-Filing Landing Page

2) You will be redirected to the Customer Registration Page. To successfully complete registration, you must:

- First, enter in the requested information for each of the input fields on the Customer Registration page
- Then, click on the '**Rules of Behavior'** button and review the Rules thoroughly.
- After you have reviewed the rules, you must sign and date the Rules of Behavior. *Note: You must input the signature in the following format: "/name of the user/."*
- Next, enter in the **Security Code (reCAPTCHA)**
- Finally, click on **'Submit'** to complete the registration process
PLEASE NOTE: All users MUST sign the Rules of Behavior to complete the registration process.

Figure 2: Administrative E-Filing Registration Page

Accountability

- I understand that I will be held accountable for my actions while accessing and using the FTC E-Filing Systems.
- I understand that I am responsible for maintaining copies of submitted documents for my own records and FTC is not expected to provide copies back to me.

Acknowledgement Statement

I acknowledge that I have read the Rules of Behavior, I understand them, and I will comply with them. I understand that failure to comply with these rules could result in disciplinary actions, criminal or civil prosecution or termination.

Signature (Print Name in the following format: /s/ Attorney Name):

/John Doe, Jr./

(Please limit your signature to letters and the following special characters (","" "." "/" and "-")

Date:

1/1/2000

☑ I consent to using an electronic signatures.

☑ I consent to receive email notifications from the Electronic Filing System and Premerger Notification System.

Cancel   Confirm

Figure 3: Rules of Behavior Details

Security Code   ✓ I'm not a robot   reCAPTCHA Privacy - Terms

Rules of Behavior   Submit

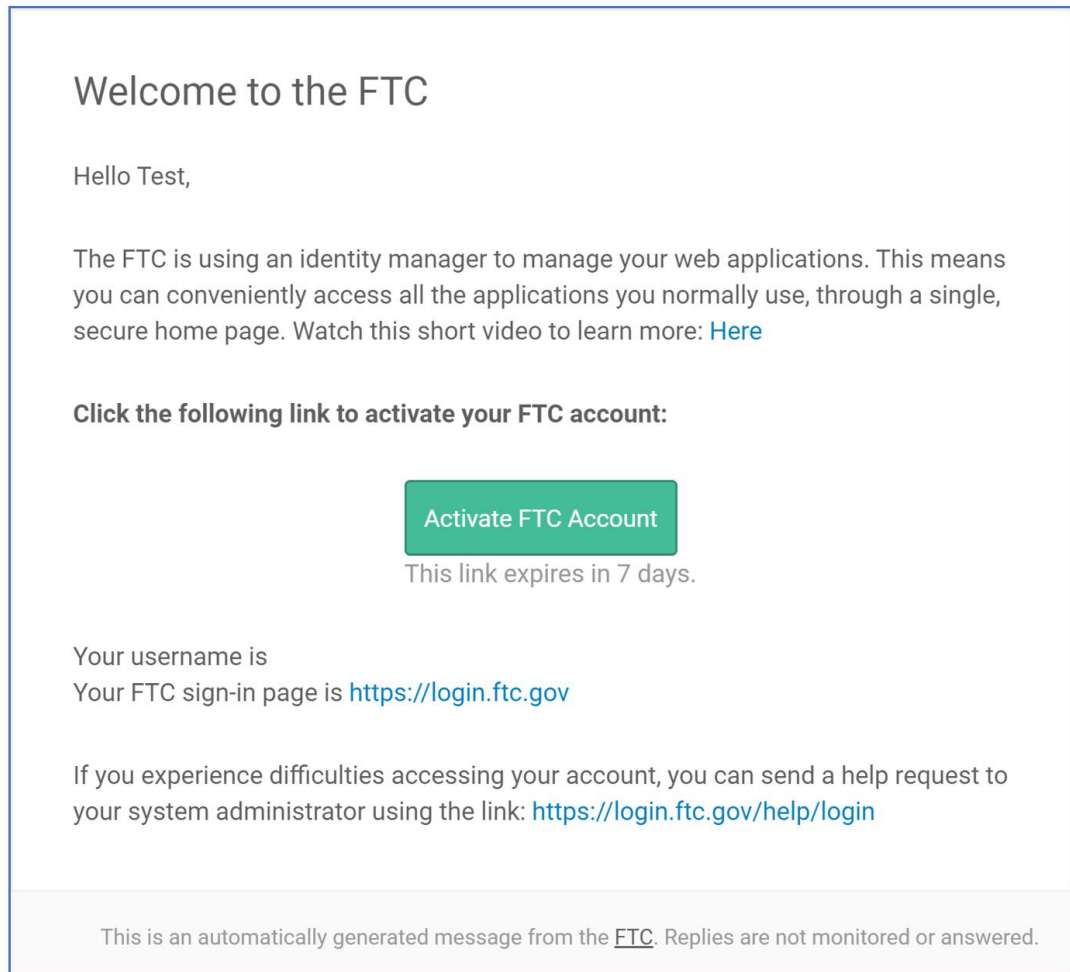The Submit button will now be enabled and you can click on it to proceed.

3) Upon successful submission, the application will display a confirmation page and you will receive an email with next steps to 'Activate' your account with the FTC.

Figure 4: Confirmation Page

3.1.2 **Account Activation**: Upon receiving the activation email (example below) from the FTC, click on the 'Activate FTC Account" button to activate your account.

Welcome to the FTC

Hello Test,

The FTC is using an identity manager to manage your web applications. This means you can conveniently access all the applications you normally use, through a single, secure home page. Watch this short video to learn more: Here

Click the following link to activate your FTC account:

Activate FTC Account

This link expires in 7 days.

Your username is
Your FTC sign-in page is https://login.ftc.gov

If you experience difficulties accessing your account, you can send a help request to your system administrator using the link: https://login.ftc.gov/help/login

This is an automatically generated message from the FTC. Replies are not monitored or answered.

Figure 5: Account activation email

Upon clicking on the Activate link from your email, you will be automatically redirected to the FTC "Create your FTC account" page. Please enter in a new password, then repeat the password, then answer your security questions and click "Create Account"
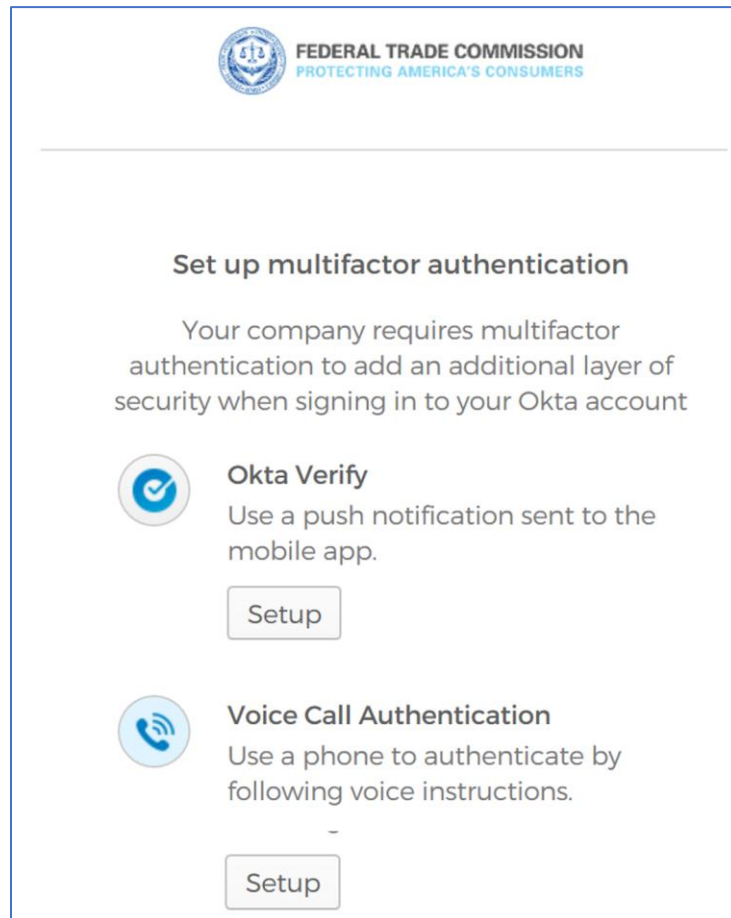

Figure 6: Create password page

3.1.5 **Setup two-factor authentication:** You will then need to set up your two-factor Authentication (Okta Verify - mobile and Voice call).

> ## Okta Verify is the preferred method of authentication.

Please select your option and click "Setup"

Figure 7: Two-factor authorization

If you selected 'Okta Verify", please select your device type and click "Next".

You will need to download the Okta Verify App from the App Store onto your mobile device to proceed.
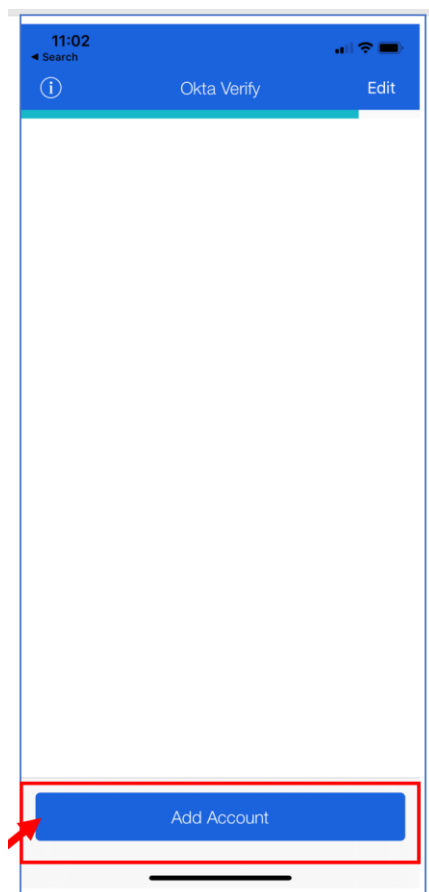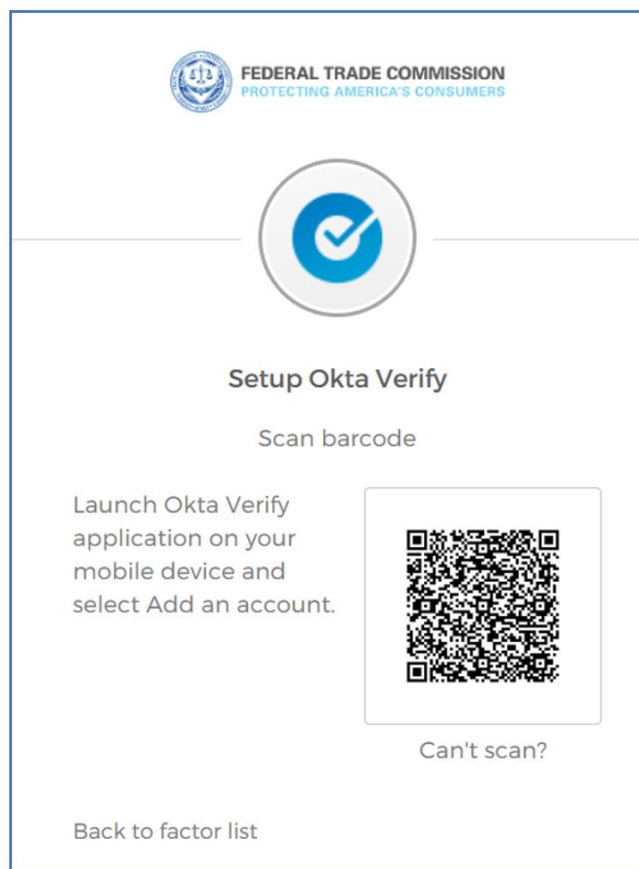

Figure 8: Two-factor authorization (Okta Verify)
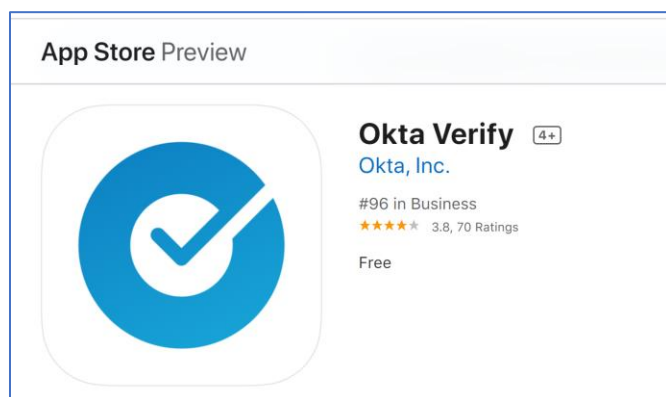
Please open the Okta Verify App from your mobile device and click 'Add Account" as shown below. Then scan the barcode or proceed with entering in the code.

Figure 9: Okta verification (scanning the barcode)

Once the "Okta Verify" process is complete, you will see a green check mark against the Okta Verify enrollment as shown below:

You will also receive an email confirmation with regarding your enrollment in "Okta Verify" as shown below:

Hello A,

A multi-factor authenticator has been enrolled for your account

Details
Okta Verify
Wednesday, July 15, 2020

Performed by: A P

Don't recognize this activity?
Your account may have been compromised; we recommend reporting the suspicious activity to your organization.

Report Suspicious Activity

The security of your account is very important to us and we want to ensure that you are updated when important actions are taken.

This message was automatically generated by the FTC on Wednesday, July 15, 2020, at 12:24:40 PM UTC. Replies are not monitored or answered.

You have the option to also set up your multi-factor authentication using "Voice Call Authentication". If you select this option, click 'Setup" as shown below:

Figure 10: Voice Call Authentication

Please enter your phone number here and click 'Call'. You should receive a call with a code in the next few minutes.
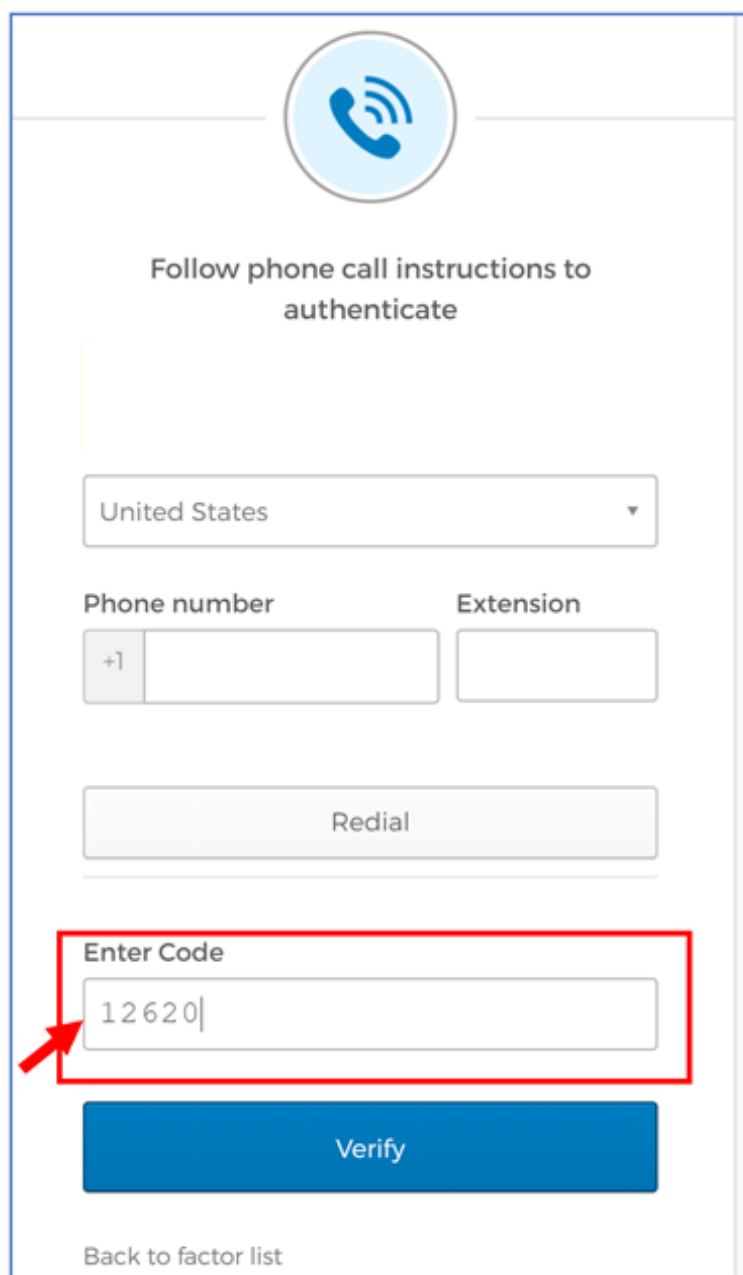
Enter in the code and click 'Verify"

Figure 11: Voice Call code verification

Upon verification, you will receive an email confirmation that you have successfully enrolled in the multi-factor authentication with the FTC.
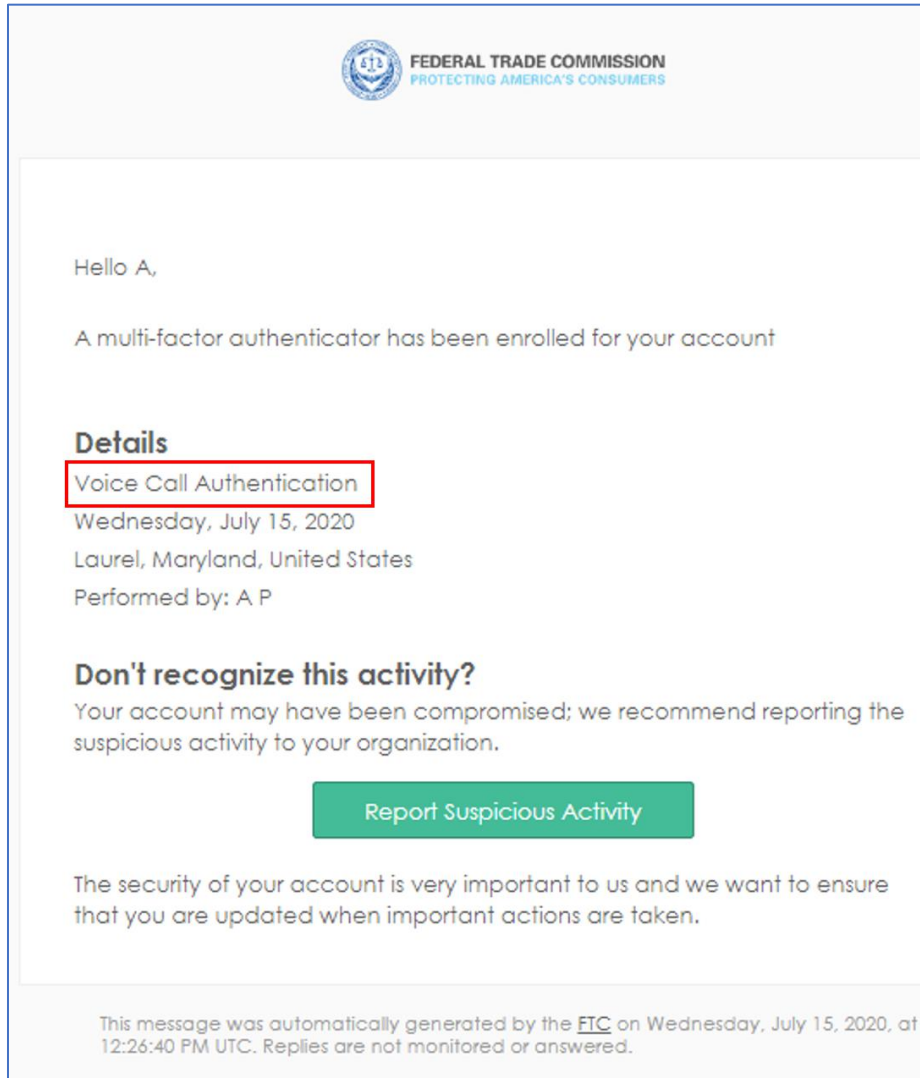
Your account registration with the FTC is now complete. You can now conveniently access all external FTC applications through this account.

Updating your Multi-Factor Authentication Settings: If you need to update/change your selections for Multi-factor Authentication, please follow the steps below:

1) Navigate to: https://login.ftc.gov/
2) Enter in your username and password
3) You will be asked once again to complete the authentication process
4) Upon successful authentication, you will see the below screen:
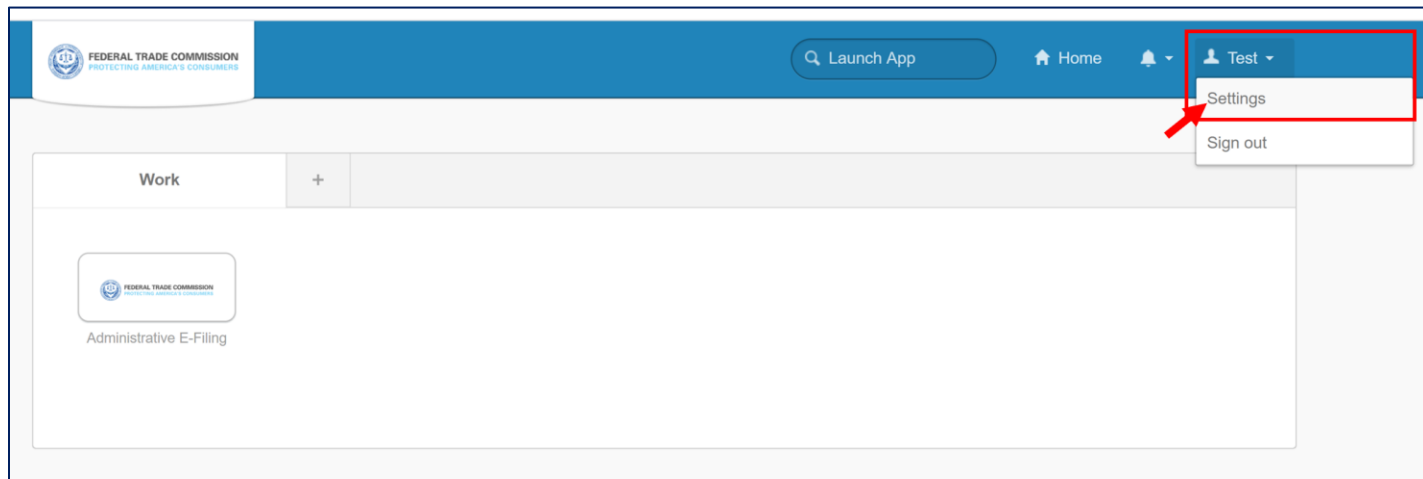
5) Click on your Account and then "Settings"

6) Here you will have the option to make changes to your account, please click on the option you would like to change and proceed.

3.2 Registered Users:

3.2.1 **Login**:

If you have previously registered with the FTC, you can access the Administrative E-Filing System by going to **https://adminefiling.ftc.gov**
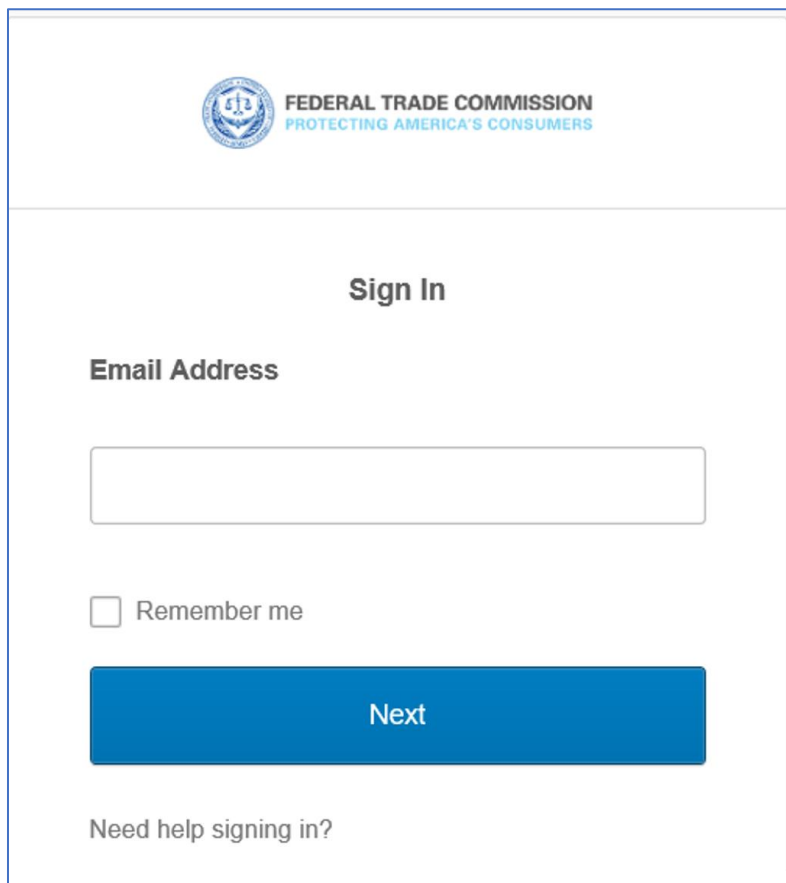
Click 'Login" under Registered Users and enter the e-mail address and password associated with the registered user account.

Figure 12: Administrative E-Filing System Login Page
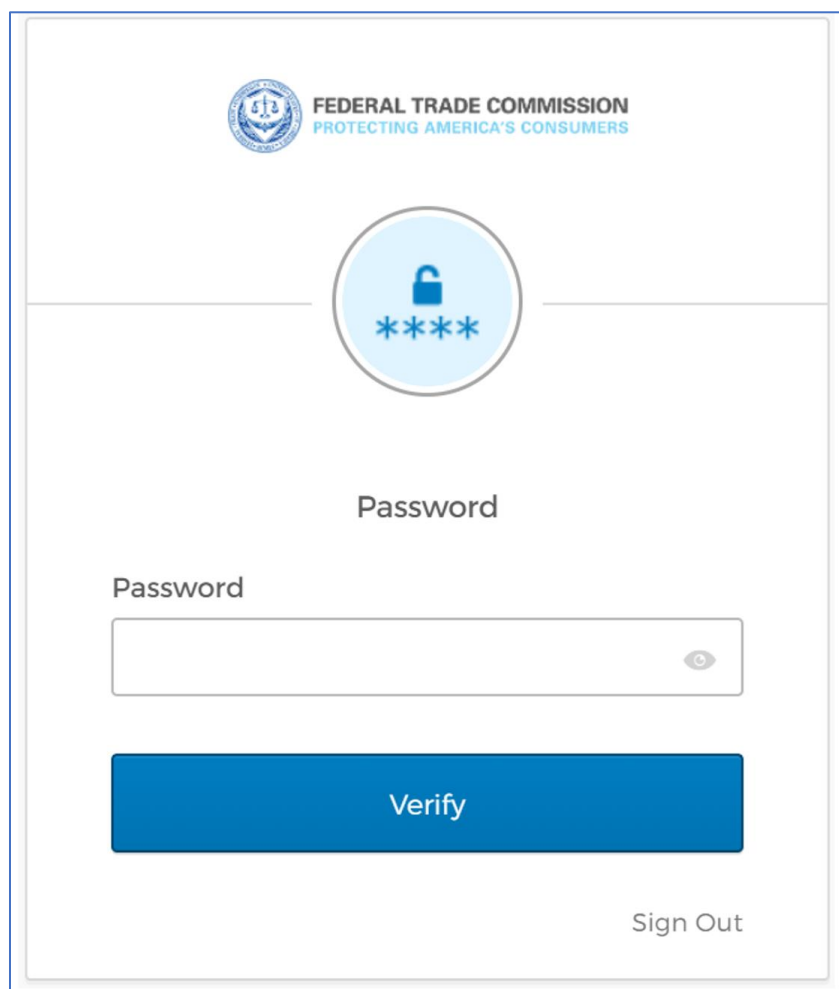
Enter your email address and click 'Next".

Then, enter in your password and click 'Verify".

You will then be prompted to complete the authentication process. Please proceed with either "Okta Verify" or "Voice Call Authentication". If you select Okta Verify, click on 'Send Push' to receive a push notification on your phone.
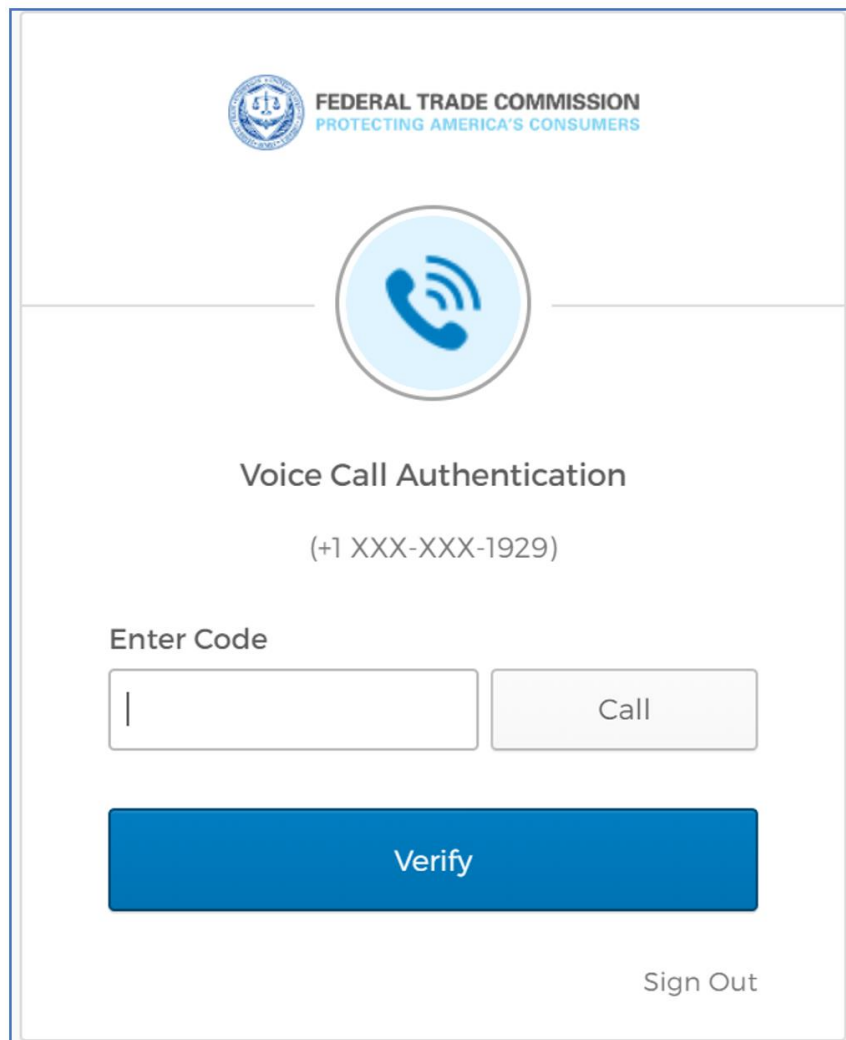
 If you select "Voice Call Authentication", click 'Call" and enter in the code that you receive via the verification phone call. If you selected the mobile phone option during registration, you will receive a text message with the code. After you enter the code, click 'Verify'.

Upon successful authentication, you will be logged in to the application and you will receive an email notification confirming your login.

New sign-on detected for your FTC account

Hello Test,

Your FTC Account Awftc123@gmail.com was just used to sign-in from a new or unrecognized device, browser, or application.

Sign-In Details

CHROME - Windows 10

Monday, August 10, 2020

Aldie, Virginia, United States

IP: 108.18.145.163

Don't recognize this activity?

Your account may have been compromised; we recommend reporting the suspicious activity to your organization.

Report Suspicious Activity

The security of your account is very important to us and we want to ensure that you are updated when important actions are taken.

We were unable to determine if you had previously signed in with this device before. This notification is common if you are signing in a new device, a new browser, have deleted your cookies or are accessing Okta in Incognito Mode.

3.2.2 **Reactivate Account**:

Your account will get automatically deactivated after 90 days of inactivity. You will receive emails at 30, 60 and 83 days of inactivity reminding that you need to login to keep you account active. Sample reminder email at 30 days is shown below:
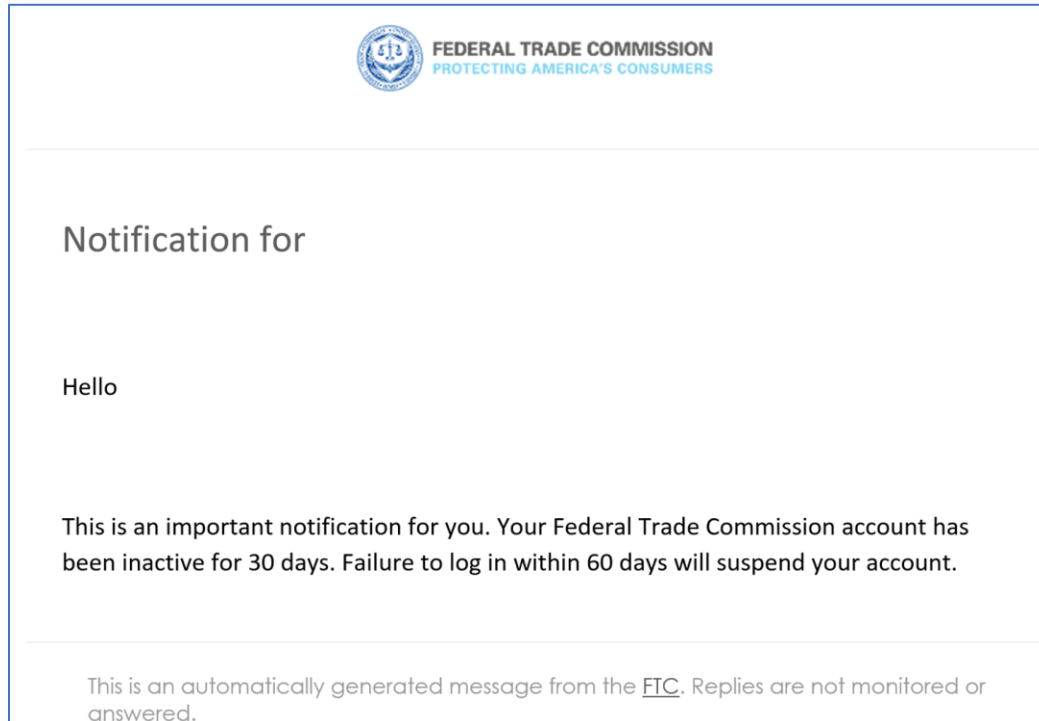
If you do not have activity in your account at 90 days, it will get automatically deactivated and you will receive the following email notification:
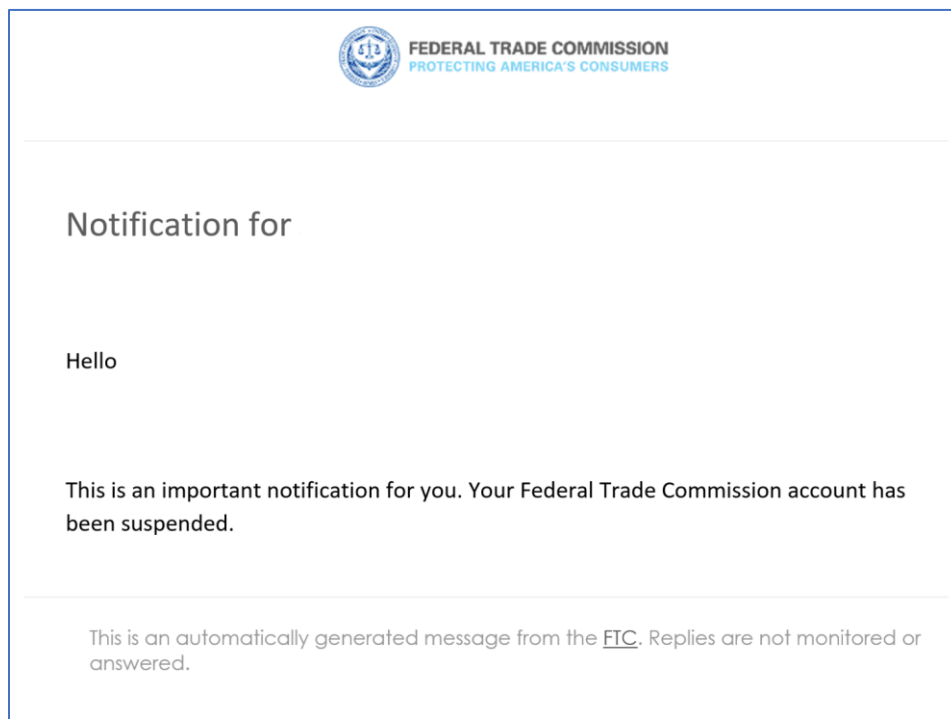
If your account has been deactivated and you need to reactivate it, please click on "Reactivate account" as shown below:

Navigate to https://adminefiling.ftc.gov/ftcefile and click on the link to reactivate your account that is below the "Login" button:

You will be taken to the reactivation page. Enter your email address and click 'Reactivate My Account':

This System Contains CUI

Administrative E-Filing System

Please enter your email address and click reactivate to get the email instructions to reactivate your account

Please Enter your email address here

Reactivate My Account

Upon entering your email address and clicking 'Reactivate My Account', you will receive the below on-screen confirmation and you will also receive an email notification with a link to verify your account.

This System Contains CUI

Administrative E-Filing System

Your reactivation submission has been completed. You will receive an email notification to verify the submitted email address.

You will receive an email to verify your account for reactivation, please follow the instructions in the email to proceed.
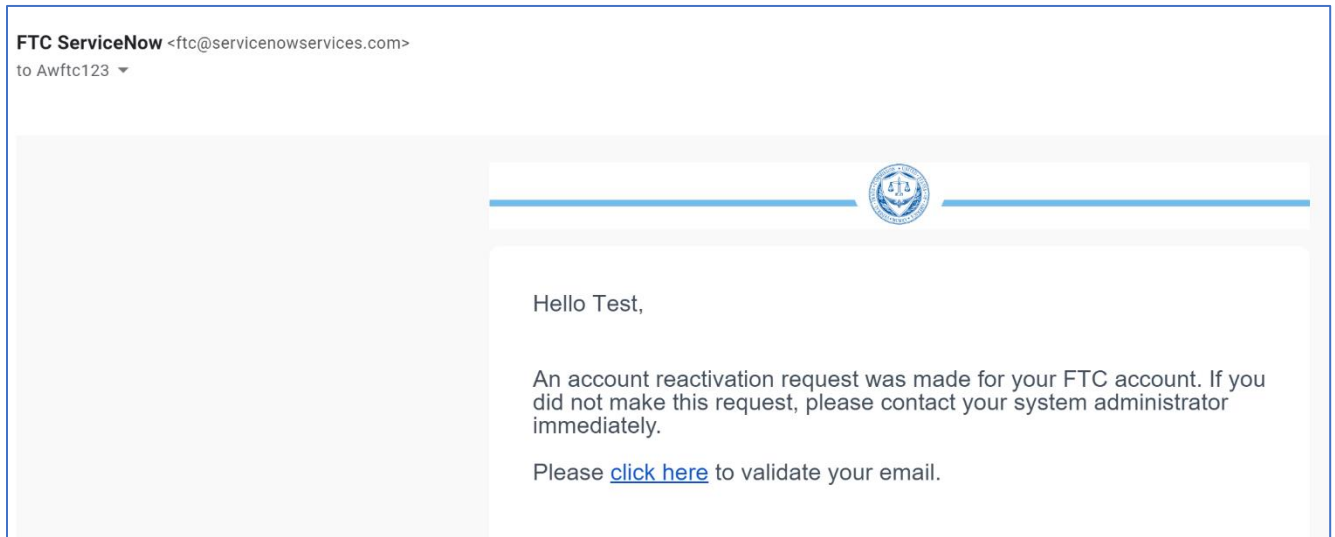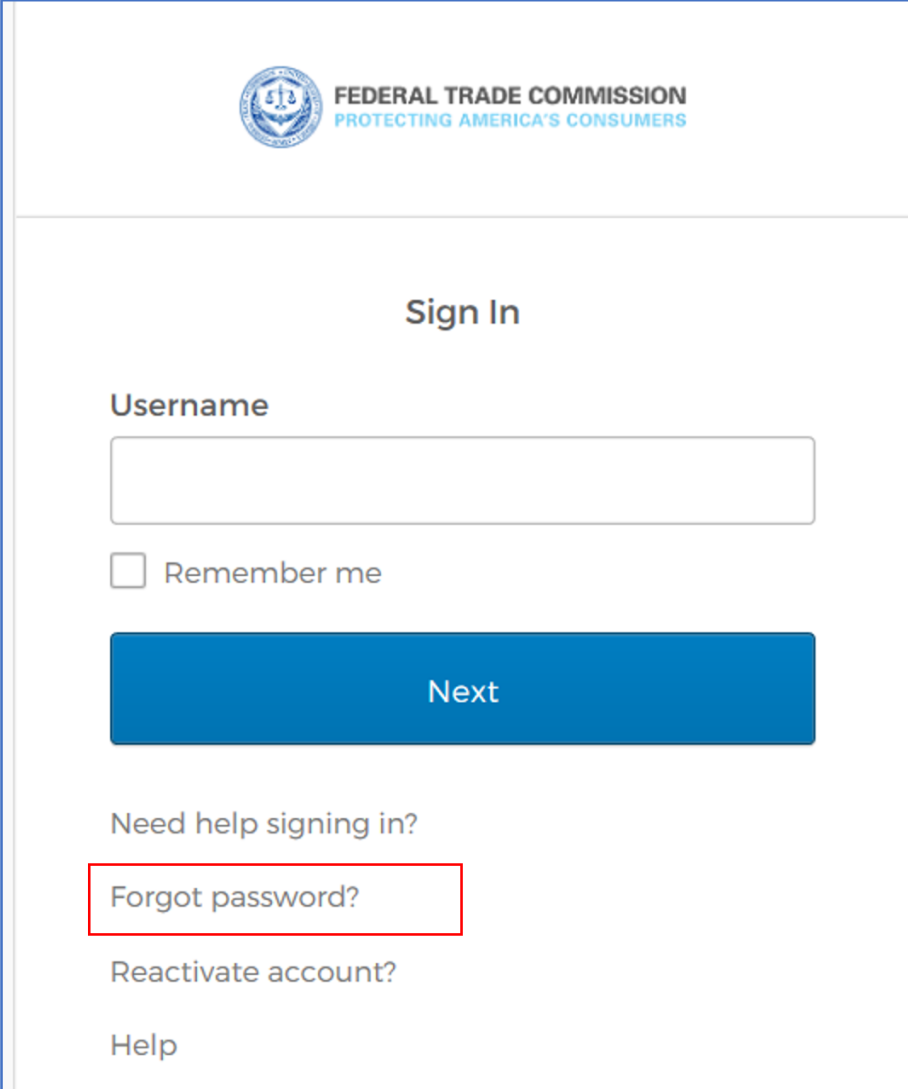
The following on-screen notification will be displayed confirming that your email verification is in progress. You will then receive another email confirming that your account has been successfully verified or if there was a problem with the verification.
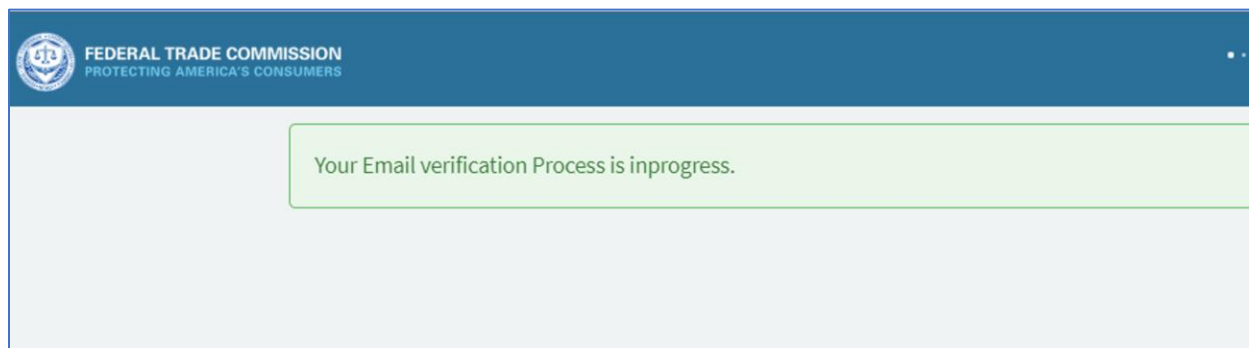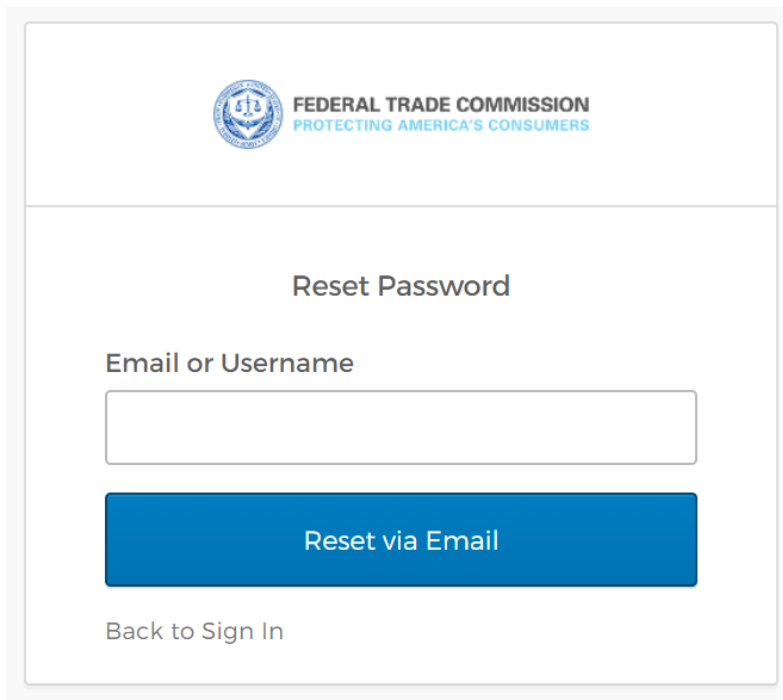
3.2.3 **Reset Password**:

If your password needs to be reset, please click on "Forgot password" as shown below:
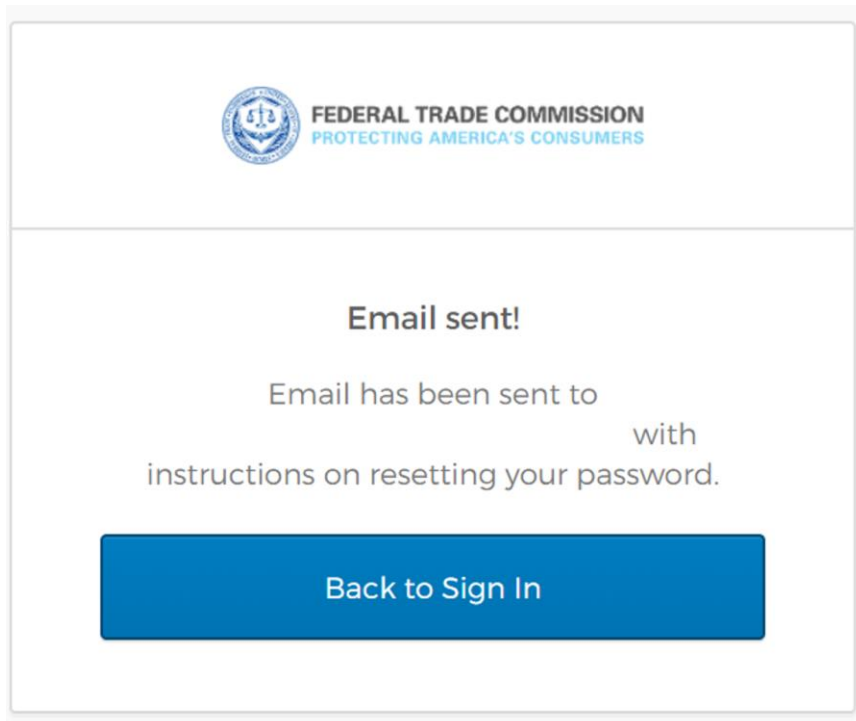
Please enter your email and click 'Reset via Email'

An on-screen confirmation will be displayed confirming that an email has been sent to your registered email account. Please open the email to proceed.

You will receive an email with a link to proceed with password reset. Please click on the 'Reset Password' link.
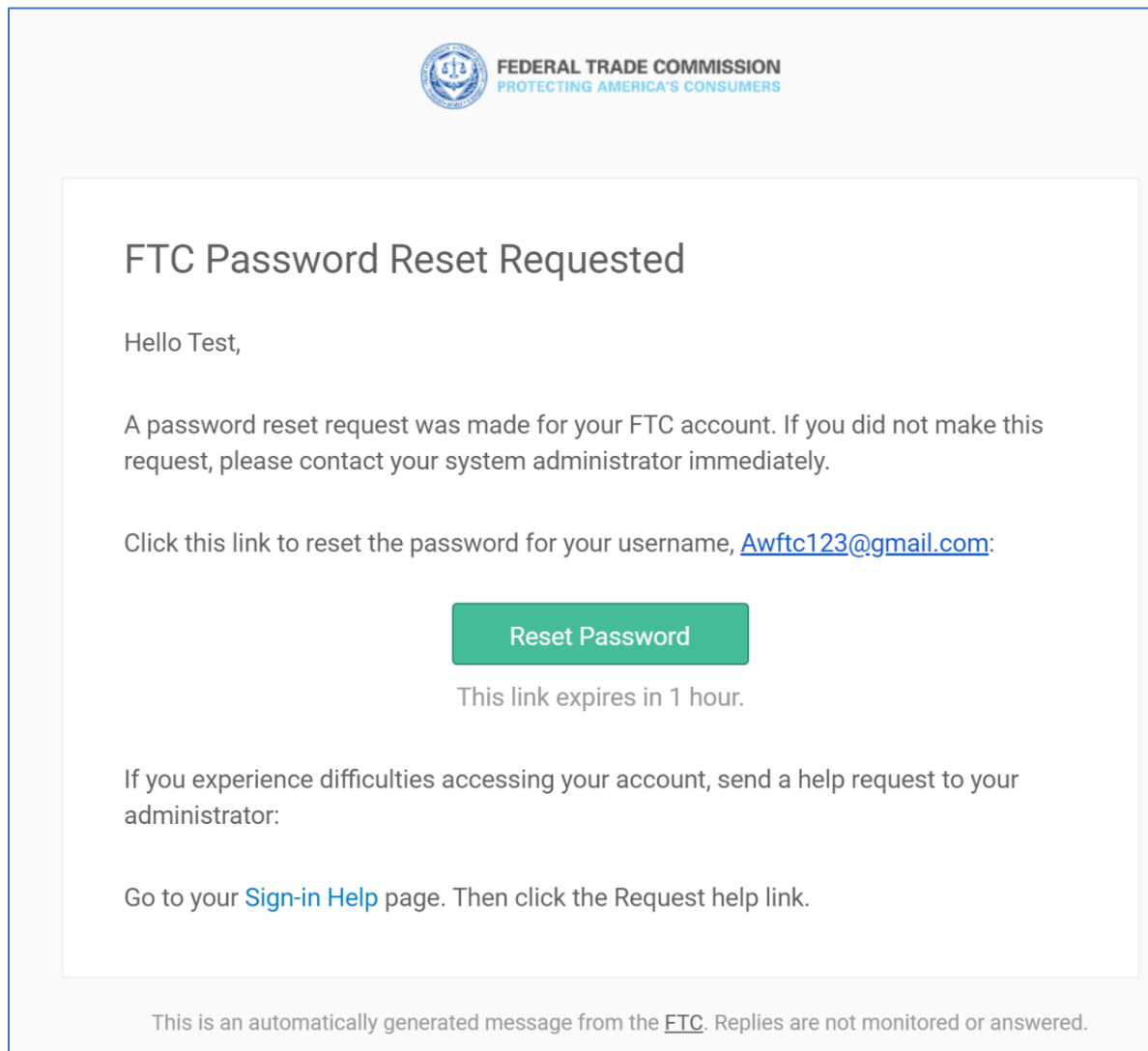
Upon clicking the link, you will be prompted to answer your security questions. Please enter in the answer and click "Reset Password".

Please create a new password, repeat the password and click "Reset Password".
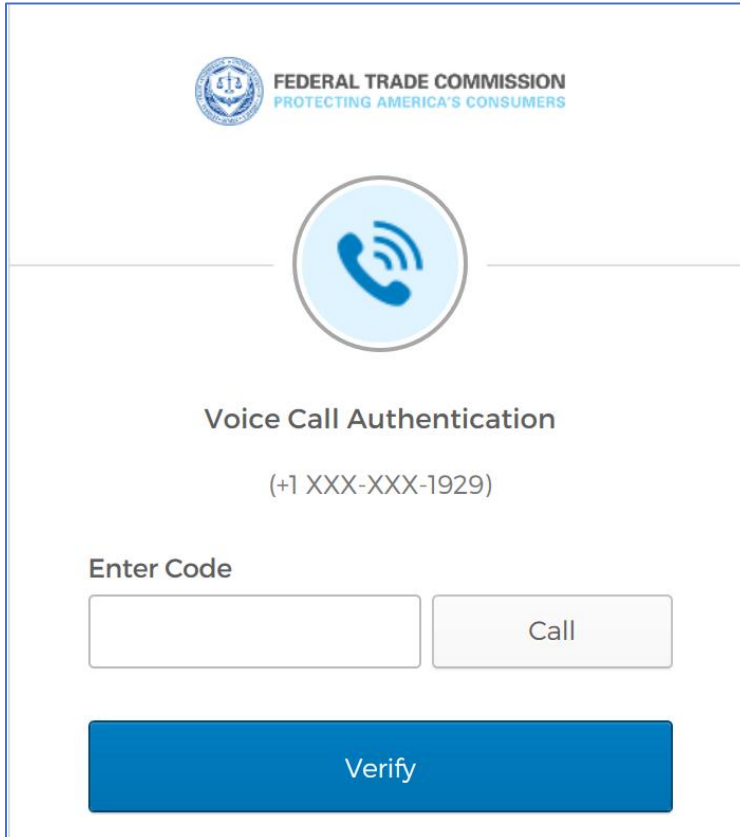
You will be prompted to complete the multi-factor authentication process. Please enter in the code and click 'Verify'.

That should complete the password reset process and you should be able to login to the Admin E-Filing application: **https://adminefiling.ftc.gov**

4) Admin E-Filing Business Process Overview:

Upon successfully logging in to the Admin E-Filing application, you are ready to proceed with next steps. Please answer these questions to proceed:

- Have you submitted and obtained approval on a Notice of Appearance? Yes/No?
- If your answer is Yes, you may proceed with filing case-related information within the Admin E-Filing System.
  If your answer is No, you must first submit a Notice of Appearance and obtain approval prior to submitting case-related information within the Admin E-Filing System.
- You must wait until after the Notice of Appearance is approved before you can file.
- The Notice of Appearance should be drafted outside of the filing system and uploaded as a <u>PDF attachment only</u>

5) System Dashboard Overview:

Upon successfully logging in, a user will be presented with a System Dashboard.

<u>PLEASE NOTE</u>: Your System Dashboard view depends on whether you <u>have or have not</u> filed a Notice of Appearance

If you **HAVE NOT** filed a Notice of Appearance, you will see the following screen (Announcements only)

Figure 13: Admin E-Filing Dashboard View for New Users

To file case documents, all users must first file a Notice of Appearance for the case they've been assigned. Without submitting a Notice of Appearance (and receiving an e-mail notification that the document has been filed), the application will only allow a user to see the Announcements on the Dashboard.

> **PLEASE NOTE:**
>
> **Filers may only VIEW system announcements. Filers may not author or edit announcement content.**

If you **HAVE** filed a Notice of Appearance, you will be presented with the following System Dashboard:

Figure 14: Admin E-Filing Dashboard View for Return Users

The dashboard provides a central location for all filers to:

    a. Submit a Notice of Appearance,
    b. Submit filings for their assigned cases,
    c. View the status of their submissions and filings as they are processed, and
    d. View Announcements

6) Submitting a Notice of Appearance:

IMPORTANT POINTS TO REMEMBER:

- All registered users must have submitted and obtained approval on a Notice of Appearance prior to submitting case-related information within the Admin E-Filing System.
- You must wait until after the Notice of Appearance is approved before you can file.
- The Notice of Appearance should be drafted outside of the filing system and uploaded as a PDF attachment only

To submit a Notice of Appearance for the first time:

1. Click the **Submit Notice of Appearance** button from the Dashboard or click on "Notice of Appearance" on the navigation menu to get access the Notice of Appearance Upload form.

2. The Notice of Appearance window will provide several open fields for the user to fill-in, including the **Docket Number.** The Docket Number is the case/matter number [D1234] and can be found on the original complaint or any case documentation from the Federal Trade Commission

Fill-in the Docket Number and select your case-related role from one of the following options:
   a. Counsel supporting the Complaint
   b. Counsel or Representative for the Respondent
   c. Counsel or Representative for a Third Party

NOTE: In the event a user enters an incorrect Docket Number, the application will provide an on-screen error message that the Docket Number is invalid.

This System Contains CUI

Notice of Appearance

Please note the documents you are submitting will be deleted 90 days after upload.

Submit

* Docket Number

Required information

Docket Number

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

Pursuant Section 4.1 of the Commission's ...

○ Counsel supporting the Complaint
○ Counsel or Representative for the Respondent
○ Counsel or Representative for a Third Party

* Add attachments

To attach a document:
1. Locate the folder where the file is saved (C Drive, Shared Network Drive)
2. **Select the file or files to be attached**
- **Add Attachments** function
   To attach a document by selection:
      ▪ click the **Add Attachments** button
      ▪ Locate the folder where the file is saved (C Drive, Shared Network Drive)
      ▪ Select the file to be attached
      ▪ Click **Open**. The filing system will attach the file and the user will see the attached file appear at the bottom of the attachment window
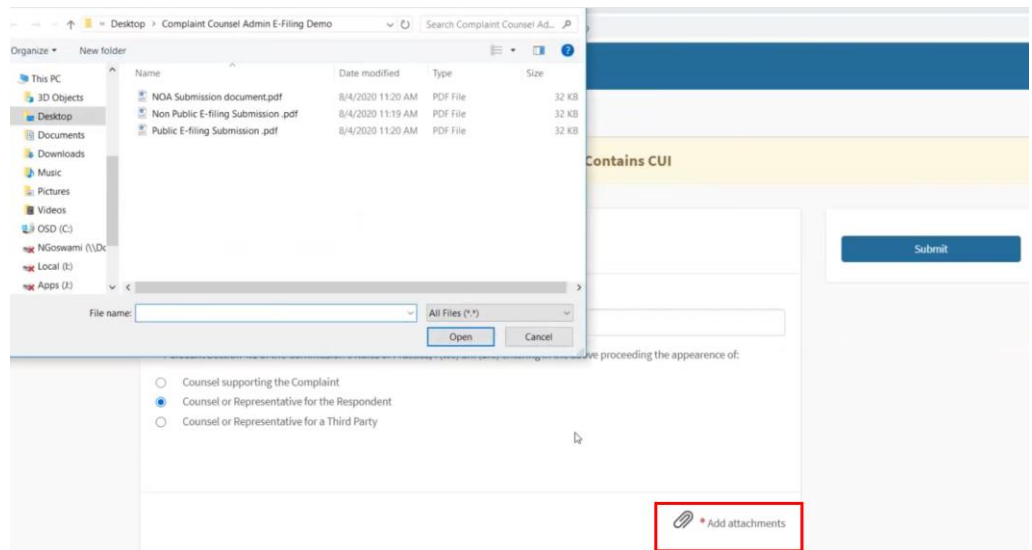
Upon completing all the steps, click the final **Submit** Button to file the document through the system. The application will provide the user with an on-screen confirmation message that includes the document's Submission Number. **Please Note the Submission Number for your records**.
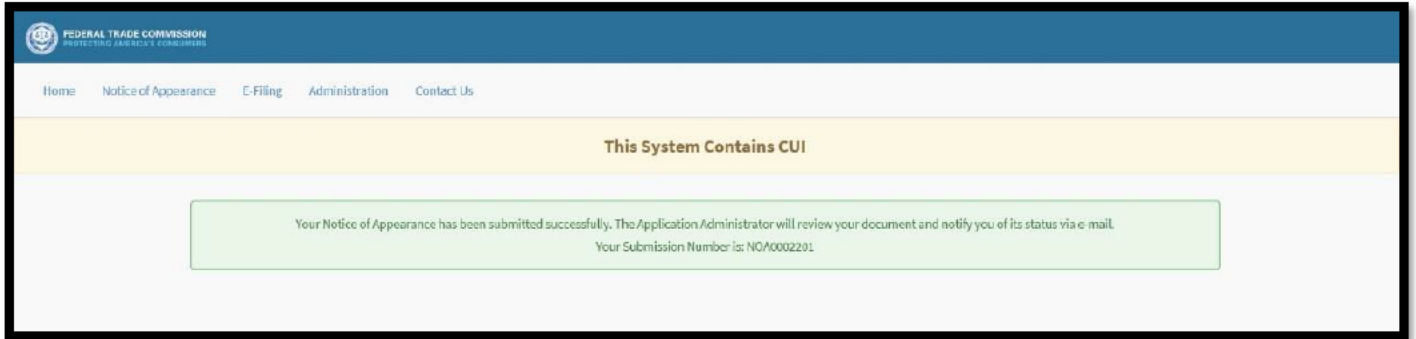
Figure 15: Notice of Appearance On-Screen Upload Confirmation
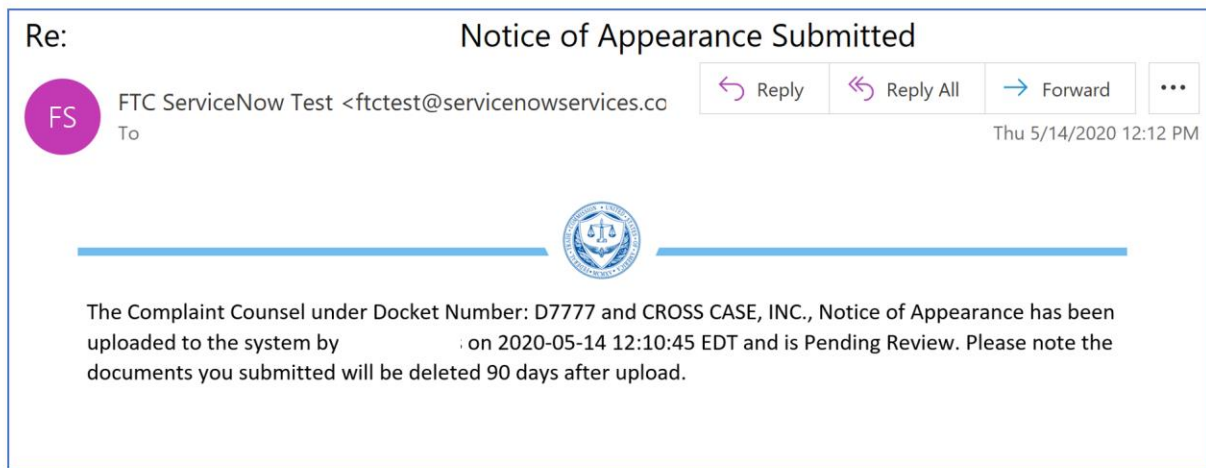
NOTE: Until a Notice of Appearance has been reviewed and approved, a user may not file any case-related documents. Users will receive e-mail notifications concerning the status of the Notice of Appearance review.

- Users will receive an e-mail notification upon submitting their Notice of Appearance, and upon the approval or return of a Notice of Appearance.
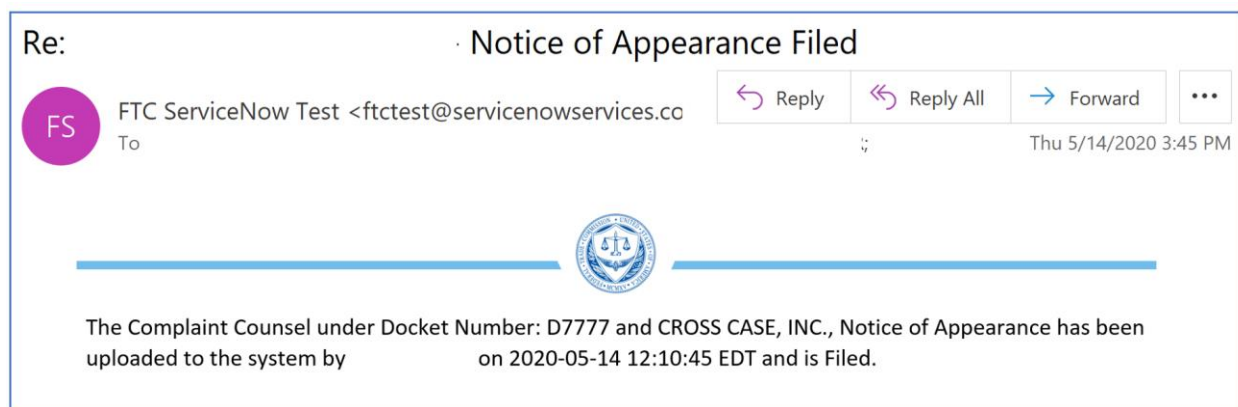
Figure 16: Approved Notice of Appearance Email Notification

- In the event a Notice of Appearance is returned to the user, the e-mail notification will include an explanation for the return. Upon correcting the matter addressed in the notification, the user may return to the system to re-file the document
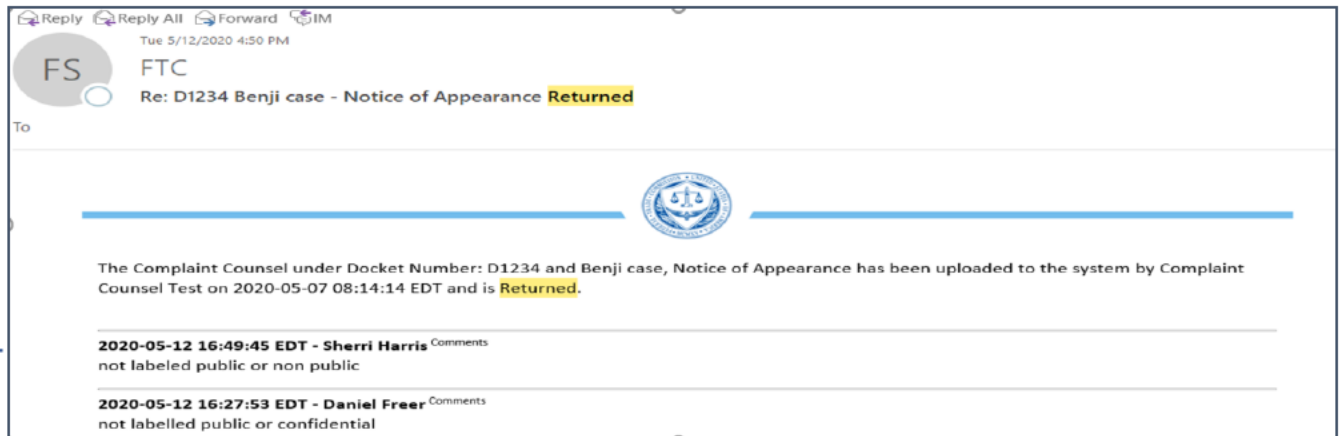
Figure 17: Returned Notice of Appearance Notification Email

In the event a Notice of Appearance is returned to the user, the e-mail notification will include an explanation for the return. Upon correcting the matter addressed in the notification, the user may return to the filing system to re-file the document.

7) Submitting an E-Filing:

Administrative E-filing users with an approved Notice of Appearance will have the ability to submit public or non-public e-filings by logging in to the filing system and begin uploading/filing case-related documents. The following section will discuss the submission process for both submission categories.

7.1 Submitting a Public E-Filing:

To submit a Public E-Filing, click on the **Submit Document** button on the dashboard
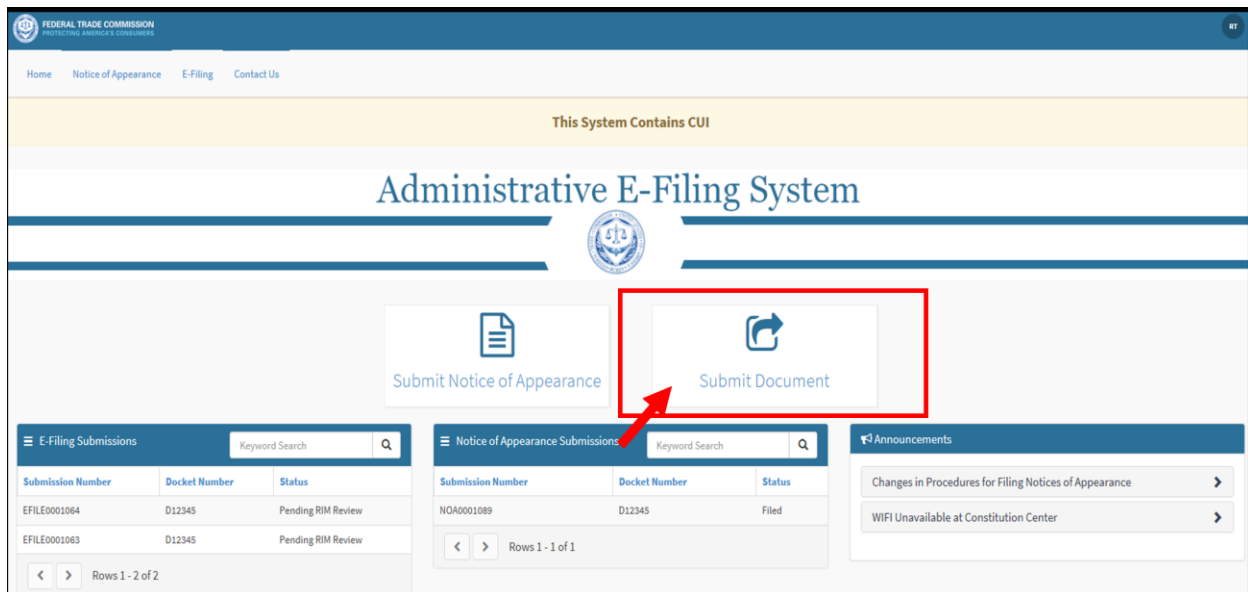
Figure 18: Submitting a Public e-filing

The application will display the Submit an E-filing Table. Locate the D-Number associated with the and click **Public** to submit a Public e-filing option as shown below

Figure 19: E-filing Submission Table

The system will display the **Submit a Public E-filing** window which allows the user to fill-in pertinent case information and upload attachments up to100MB per file

- Carefully review the Instructions at the top of the Public E-filing page.
- Create a Document Title for the submission
- Answer the following question: **Does this submission contain exhibits?**
- Confirm the submission does not contain confidential or *in camera* material.
- Attach your filing in PDF Format. Refer to the uploading instructions beginning on page 2 for details on attaching a document

Submit a Public E-Filing

Instructions

Please read the following information carefully before submitting a PUBLIC electronic filing:

The first page shall use the proper caption, address the proper decision-maker, clearly show the docket number, and the title of the action in connection with which they are filed. EVERY PAGE of each PUBLIC document shall be clearly and accurately labeled "PUBLIC" per Commission Rules of Practice § 4.2(b). 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 redacting 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 -- will not be accepted.

Users may upload up to 100MB per file. We recommend uploading no more than three files as a part of a submission.

Please note the documents you are submitting will be deleted 90 days after upload.

* Document Title

[   ]

Does this submission contain exhibits?

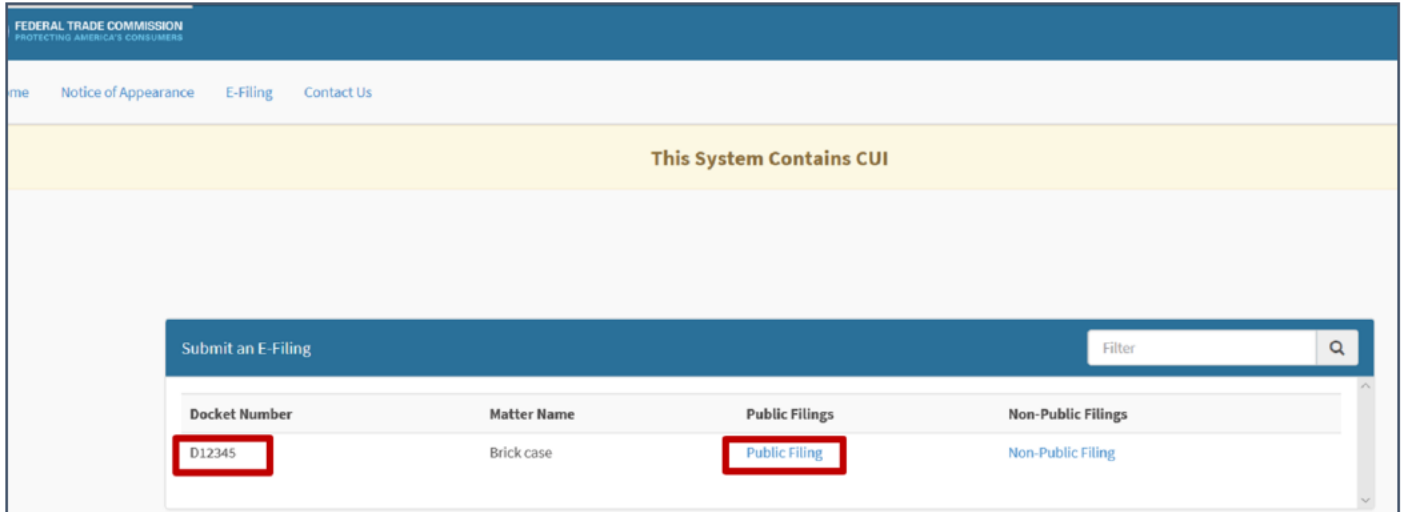[No   ▾]

* ☐   This file does not contain Confidential or In Camera material

Please click here to read E-Filing guidelines

                                                    🔗 * Add attachments

[Submit]

Required information
[Accept Guidelines] [Document Title]
[This file does not contain Confidential or In ...]

Figure 20: Public E-filing Submission Form

Click the e-filing guidelines link and review the terms:

Click the "**I Accept**" checkbox and click the "Submit" button to complete the e-filing guidelines. NOTE: *Accepting the e-filing guidelines is a requirement of the filing process*

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

1. You are transmitting a public document to the Commission. ACCEPTED SUBMISSIONS WILL BECOME PART OF THE PUBLIC RECORD.
2. The first page shall clearly show the file or docket number and the title of the action in connection with which they are filed. Every page of each PUBLIC document shall be clearly and accurately labeled "Public" per Commission Rules of Practice § 4.2(b), 16 CFR 4.2(b).
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 be designated as a "Non-Public" filing in the E-filing system, and you must follow the requirements in Commission Rule 4.2(c), 16 CFR 4.2(c), for filing in camera or confidential documents. To file non-public documents in the E-Filing system, please navigate back to the list of proceedings and click on "Submit Non-Public Filing" in the corresponding matter's row.
    a. IF A FILER FILES A "PUBLIC" DOCUMENT WITH CONFIDENTIAL OR IN CAMERA INFORMATION, THE CUPABILITY OF THAT CONFIDENTIAL OR IN CAMERA INFORMATION BECOMING PUBLIC IS ON THE FILER.
    b. THE COMMISSION WILL NOT ENSURE THAT DOCUMENTS LABLED "PUBLIC" IS PUBLIC IN ALL RESPECTS. FUTHERMORE, THE COMMISSION IS NOT LIABLE FOR PUBLISHING DOCUMENTS LABLED "PUBLIC" THAT REVEAL CONFIDENTIAL OR IN CAMERA INFORMATION.
5. Documents presented for filing shall contain proof of service in the form of a statement of the date and manner of service and of the names of the persons served, certified by the person who made service. Proof of service must appear on or be affixed to the documents filed pursuant to Commission Rule 4.4(d), 16 CFR 4.4(d).
6. The filing should be a single text file, in Adobe Portable Document Format ("PDF").
7. 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 the information submitted will not contain any in camera or otherwise confidential material; and That all the information submitted will become part of the public records of the Commission, and may be placed on the publicly accessible Commission Web site.
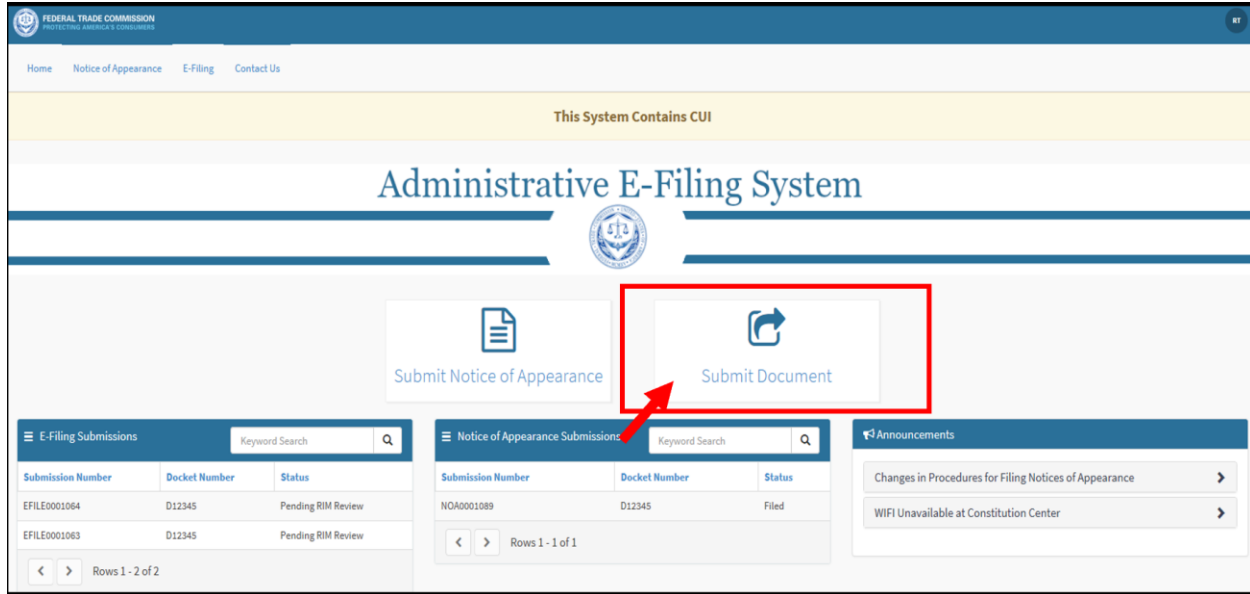
☐ I Accept

Submit

Figure 21: E-filing Guidelines for Public E-filings

Review your submission and click 'Submit"

Upon submitting a filing, you will receive an email confirmation that the document has been uploaded.
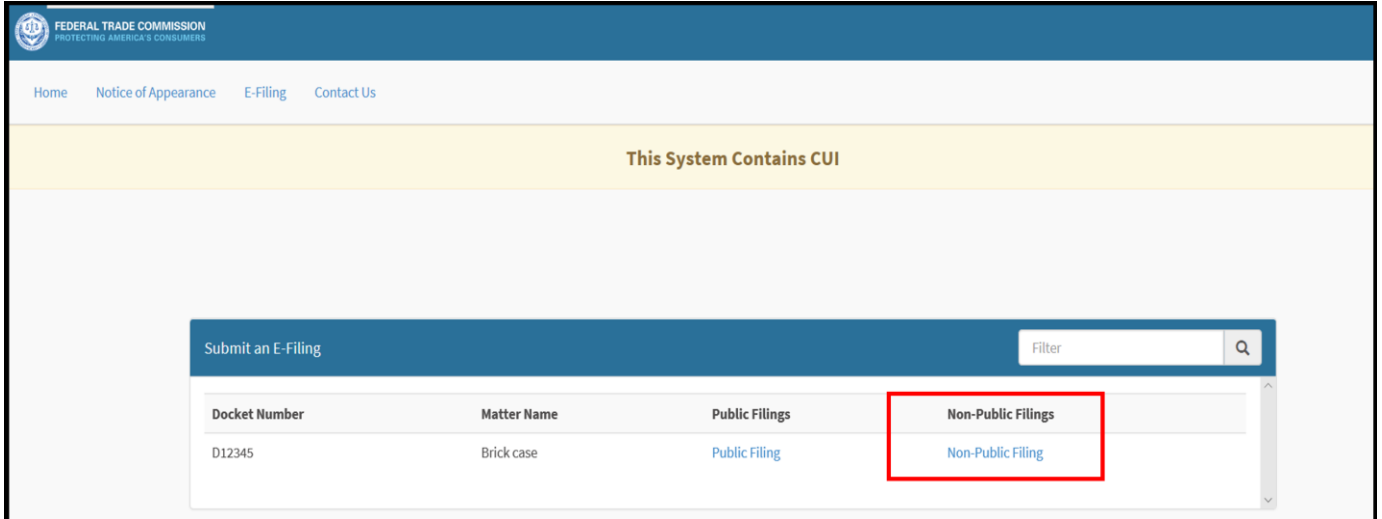
7.2 Submitting a Non-Public Filing:

To submit a Non-Public E-Filing, click on the **Submit Document** button on the dashboard

Figure 22: Submitting a Non-Public e-filing

The application will display the Submit an E-filing Table. Locate the D-Number associated with the and click Non-Public to submit a Non-Public e-filing option as shown below:

Figure 23: E-filing Submission Table

The system will display the **Submit a Non-Public E-filing** window which allows the user to fill-in pertinent case information and upload attachments up to100MB per file:

- Carefully review the Instructions at the top of the Non-Public E-filing page.
- Create a Document Title for the submission
- Answer the following question: **Does this submission contain exhibits?**
- Attach your filing in PDF Format. Refer to the uploading instructions beginning on page 2 for details on attaching a document

Figure 24: Submitting a Non-Public e-filing

The user can attach a PDF attachment of the document they would like to file. They may also drag and drop single or multiple files into the attachment box.

Please read the following information carefully before submitting any Non-Public, Confidential, or In Camera E-filing:

1. You are transmitting a "NON-PUBLIC," "CONFIDENTIAL," or "IN CAMERA" document to the Commission.
2. The first page shall clearly show the file or docket number and the title of the action in connection with which they are filed. Every page of each "NON-PUBLIC," "CONFIDENTIAL," or "IN CAMERA" document shall be clearly and accurately labeled ""NON-PUBLIC," "CONFIDENTIAL," or "IN CAMERA" per Commission Rules of Practice § 4.2(b), 16 CFR 4.2(b).
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 be designated as a "Non-Public" filing in the E-filing system, and you must follow the requirements in Commission Rule 4.2(c), 16 CFR 4.2(c), for filing in camera or confidential documents.
5. Documents presented for filing shall contain proof of service in the form of a statement of the date and manner of service and of the names of the persons served, certified by the person who made service. Proof of service must appear on or be affixed to the documents filed pursuant to Commission Rule 4.4(d), 16 CFR 4.4(d).
6. The filing should be a single text file, in Adobe Portable Document Format ("PDF").
7. 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; and
   b. That the information submitted complies with the Commission Rules of Practice.

☐ I Accept

Deny   Accept

Figure 25:Non-Public E-filing Guidelines

Click the "**I accept**" checkbox and click the **Submit** button to complete the E-filing guidelines.

NOTE: Every user must accept the Non-Public E-filing guidelines to complete the e-filing submission process.

Once all the steps have been completed, click Submit to proceed with submitting a Non-Public E-Filing.

Upon submitting a document, a user should receive an on-screen confirmation as well as an email confirmation that the document has been uploaded successfully.

8) Contact Us:

If you need further assistance and are experiencing technical difficulty, please contact the Federal Trade Commission Technical Support Team (support.adminefiling@ftc.gov).