

Getting Started With the Downloader

The 10K_10Q_Downloader application will take as input the of all the tickers/CIK's that have an input CSV file of SEC filings in an Excel sheet. See example input sheet of tickers / CIK's.



Ticker_CIK_List.csv

There should be a corresponding Excel filings spreadsheet for each row in the 'Ticker_CIK_List.csv' file. See example Excel filings input sheet below –



AGNC_Filings_List.xlsx

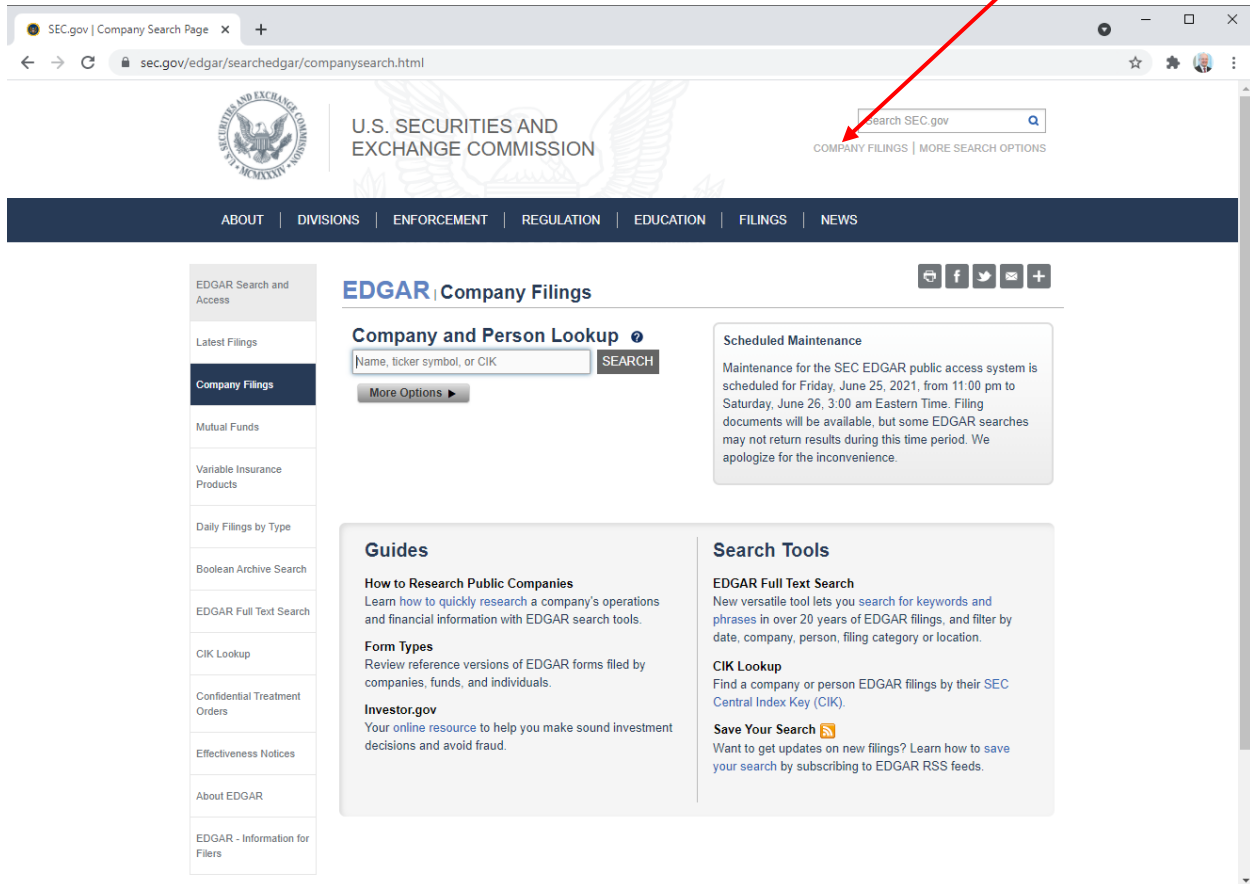
If you are just using this for the first time, I would suggest just doing one ticker/CIK to start (ie. just try AGNC)

Creating The Excel Sheet of Each Company's 10Q/10K Filings

The following steps should be followed to generate this filing list from the Sec SITE.

STEP 1 –

Go to www.sec.gov and click on the link in the upper right hand of the page called 'Company Filings'.



Step 2 –

That link should bring you to the Company Filings page as show below. You need to either the ticker or CIK for the company that you are wanting to download 10Q/K's for (in the example below, we are looking at AGNC Investment Corp (ticker AGNC). The type ahead features on the page will cause the company name to be displayed below and you select the link for the company.

The screenshot shows the SEC.gov website's "Company Filings" page. The browser address bar displays "sec.gov/edgar/searchedgar/companysearch.html". The page header includes the U.S. Securities and Exchange Commission logo and a search bar. A navigation bar contains links for ABOUT, DIVISIONS, ENFORCEMENT, REGULATION, EDUCATION, FILINGS, and NEWS. On the left, a sidebar lists various search and filing options, with "Company Filings" selected. The main content area is titled "EDGAR | Company Filings" and features a "Company and Person Lookup" section. In this section, the text "AGNC" is entered into a search field, and a dropdown menu displays the search results: "AGNC Investment Corp (AGNC, AGNCP, AGNCO, AGNCN, AGNCM)" with the CIK number "0001423689". A red arrow points from the text in the instruction block to the "AGNC" input field, and another red arrow points from the same text to the company name in the dropdown menu. To the right of the search field is a "SEARCH" button. Further right, a "Scheduled Maintenance" notice is visible. Below the search section, there are links for "SEC.gov | Webpages & Documents" and "How to Research Public Companies". At the bottom of the page, a URL is shown: "https://www.sec.gov/edgar/browse/?CIK=1423689&owner=exclude".

Step 3 - After selecting the company, you should be presented with a screen with the latest filings as shown below. Select the 'View Filings' button to see all the filings for the company.

The screenshot shows the EDGAR Company Search Results page for AGNC Investment Corp. The page is titled "EDGAR | Company Search Results" and includes a navigation bar with links for FAQ, EDGAR search tools, Feedback, and Classic version. The main content area is divided into several sections:

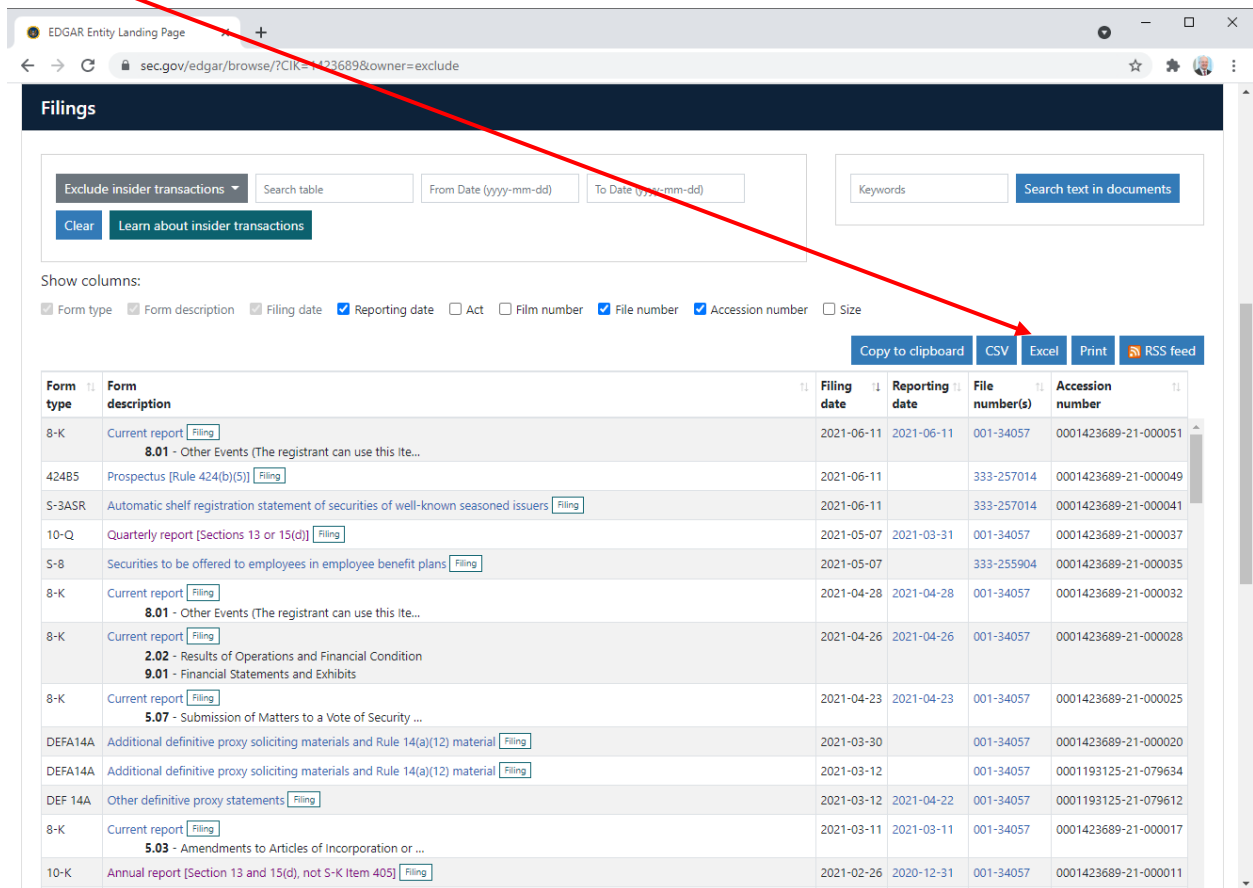
- Home » Company Search**
- AGNC Investment Corp.** (AGNC, AGNCM, AGNCN, AGNCP, AGNCO on Nasdaq)
- [+] Company Information**
- Latest Filings (excluding insider transactions)**
 - June 11, 2021 - 8-K: Current report [Filing]
 - 8.01 - Other Events (The registrant can use this item to report events that are not speci...
 - June 11, 2021 - 424B5: Prospectus [Rule 424(b)(5)] [Filing]
 - June 11, 2021 - S-3ASR: Automatic shelf registration statement of securities of well-known seasoned issuers [Filing]
 - May 7, 2021 - 10-Q: Quarterly report for quarter ending March 31, 2021 [Filing]
 - May 7, 2021 - S-8: Securities to be offered to employees in employee benefit plans [Filing]

View filings
- Selected Filings**
 - [+] 8-K (current reports)
 - [+] 10-K (annual reports) and 10-Q (quarterly reports)
 - [+] Proxy (annual meeting) and information statements
 - [+] Ownership disclosures
- Investor Resources**
 - How to Use EDGAR**

Learn how to use EDGAR to research public filings by public companies, mutual funds, ETFs, some annuities, and more.
 - Before you Invest, Investor.gov**

Get answers to your investing questions from the SEC's website dedicated to retail investors

Step 4 - You should then be presented with a table of all the filings for the company. You need to select the 'Excel' link to download a spreadsheet of all the filings.



The screenshot shows the EDGAR Entity Landing Page for a company with CIK 1423689. The page displays a table of filings with columns: Form type, Form description, Filing date, Reporting date, File number(s), and Accession number. A red arrow points from the text 'Step 4' to the 'Excel' button in the top right of the table area.

Form type	Form description	Filing date	Reporting date	File number(s)	Accession number
8-K	Current report Filing 8.01 - Other Events (The registrant can use this It...	2021-06-11	2021-06-11	001-34057	0001423689-21-000051
424B5	Prospectus (Rule 424(b)(5)) Filing	2021-06-11		333-257014	0001423689-21-000049
S-3ASR	Automatic shelf registration statement of securities of well-known seasoned issuers Filing	2021-06-11		333-257014	0001423689-21-000041
10-Q	Quarterly report (Sections 13 or 15(d)) Filing	2021-05-07	2021-03-31	001-34057	0001423689-21-000037
S-8	Securities to be offered to employees in employee benefit plans Filing	2021-05-07		333-255904	0001423689-21-000035
8-K	Current report Filing 8.01 - Other Events (The registrant can use this It...	2021-04-28	2021-04-28	001-34057	0001423689-21-000032
8-K	Current report Filing 2.02 - Results of Operations and Financial Condition 9.01 - Financial Statements and Exhibits	2021-04-26	2021-04-26	001-34057	0001423689-21-000028
8-K	Current report Filing 5.07 - Submission of Matters to a Vote of Security ...	2021-04-23	2021-04-23	001-34057	0001423689-21-000025
DEFA14A	Additional definitive proxy soliciting materials and Rule 14(a)(12) material Filing	2021-03-30		001-34057	0001423689-21-000020
DEFA14A	Additional definitive proxy soliciting materials and Rule 14(a)(12) material Filing	2021-03-12		001-34057	0001193125-21-079634
DEF 14A	Other definitive proxy statements Filing	2021-03-12	2021-04-22	001-34057	0001193125-21-079612
8-K	Current report Filing 5.03 - Amendments to Articles of Incorporation or ...	2021-03-11	2021-03-11	001-34057	0001423689-21-000017
10-K	Annual report [Section 13 and 15(d), not S-K Item 405] Filing	2021-02-26	2020-12-31	001-34057	0001423689-21-000011

After the filing listing is downloaded to your system, you should save the Excel file with the following naming convention so it can be read by the '10Q_10K_XML_Parser' parser script.

TTTT_Filings_List.xlsx

Where TTTT is replaced by the ticker for the company associated with the filings.

You should repeat this process for every company you want to download filings for, saving a separate Excel for each company.

Running the downloader

After the input CSV file of tickers/CIK's and associated spreadsheet for each one of those rows is created, you can run the downloader executable to retrieve the files.

From the Command Prompt, the user needs to specify the input csv file name and optionally the name of the directory where the input Excel files exist –

```
10Q_10K_Downloader -i Ticker_CIK_List.csv -ExcFilings 'name of directory with Excel files'
```

If the -ExcFilings argument is not provided, it will default to using the 'Input_Excel_Files' as the name of the directory (which needs to be in the current working directory).

The downloader inserts all the downloaded XML files for each ticker in the directory
'~/OutputXML/ticker/YYYYMMDD_Ticker_CIK_ReportType.xml'

403 Errors While Downloading From SEC Website

It is highly likely that you will see the following error message –

```
Unsuccessful request to SEC Site
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```
Status Code = 403
```

The SEC detects automated scripts and throttles them. Even though I put delays in between requests, I still get this 403 error message. I have to rerun the requests until they are successful. For a smaller set of tickers / files, this is not a problem. However, this needs to be resolved.

Support requests to the SEC have not been responded to.