**Getting Started With the Downloader**

The 10K\_10Q\_Downloader application will take as input a list of tickers/CIK’s that have SEC filings in an CSV file. See example input file of tickers / CIK’s.



There should be a corresponding Excel spreadsheet for each row in the ‘Ticker\_CIK\_List.csv’ file. See example Excel filings input sheet below –



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](http://www.sec.gov) and click on the link in the upper right hand of the page called ‘Company Filings’.

Graphical user interface, website

Description automatically generated

Step 2 –

That link should bring you to the Company Filings page as show below. Enter 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.

Graphical user interface, website

Description automatically generated

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.

Graphical user interface, website

Description automatically generated

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.

Graphical user interface, text, application, email

Description automatically generated

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

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 are currently being managed to resolve this issue.