TIP SHEET FOR HSR FORM version 1.0.6
(updated 10/17/18)

The HSR Form is a dynamic PDF. Certain items on the form will interact with other items on the form, automatically filling out redundant data fields and activating related fields. The form has drop-down menus for fields with common responses, while still allowing free text entry in those fields. The form will expand as necessary, automatically adding a new page if information rolls over to the next page.

The form can be printed out and submitted to the Agencies.

IMPORTANT NOTE ON E-FILING

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Hardware

Some users report that the form does not have full functionality when used on Apple Mac computers. Other Mac users have not had any problems. Please report any Mac compatibility issues to the PNO.

Software

To view and complete this form, you will need Adobe Acrobat Reader. The free download can be found here: http://get.adobe.com/reader/

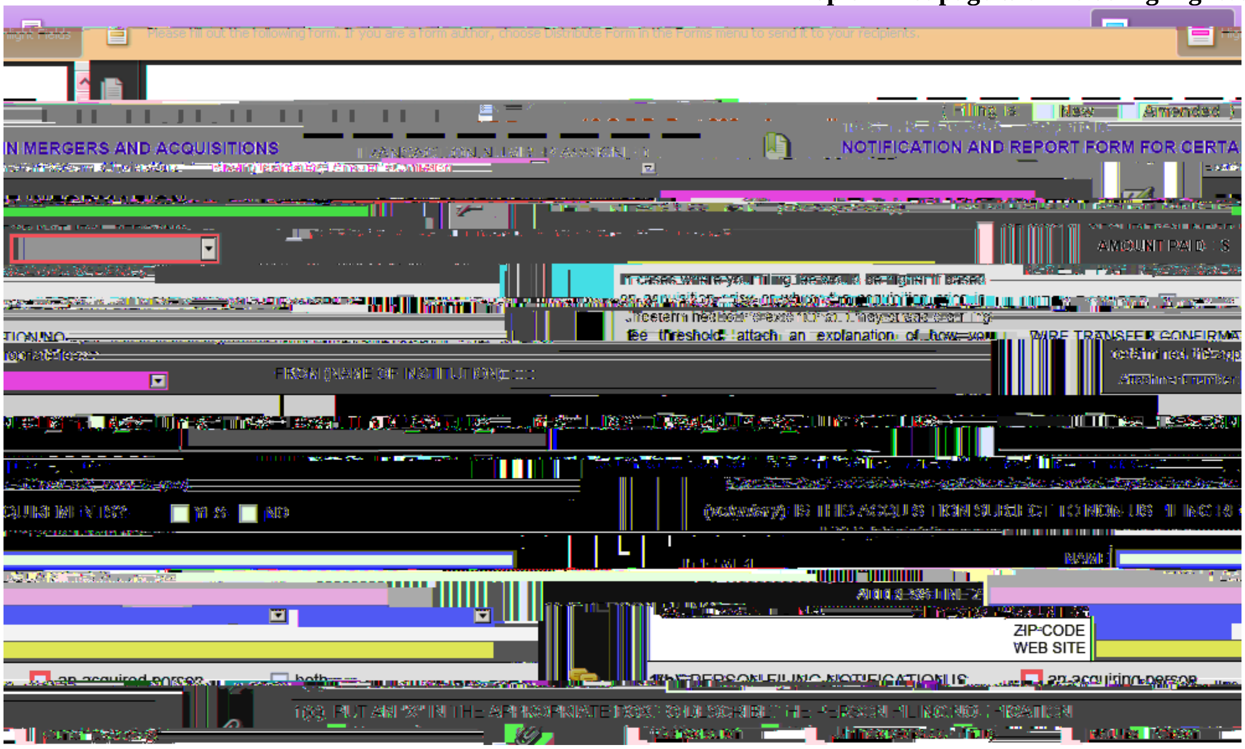
Adobe version: Before release, the PNO conducted extensive testing of the form using Adobe Reader version 9.4. The form is forward compatible to the most current Adobe version. Some users have reported problems when using Adobe Reader versions older than 9.4, so it is recommended to use the current version.

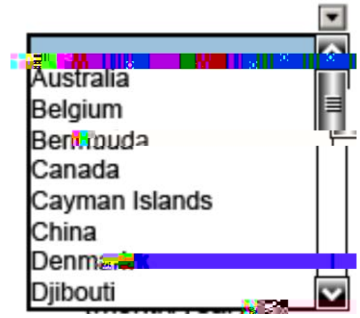
IMPORTANT NOTE ON DOWNLOADING THE FORM: Use of any browser other than Internet Explorer may result in an error message when clicking the PDF link Adobe Acrobat (HSR Form ver. 1.0.2). Consequently, use of Internet Explorer is advised to download the form. Alternatively, you can right click on the PDF link and select “Save link as” to download the PDF directly to your computer before opening it with Adobe.

Navigating within the form

Move between fields: To move between fields, the user can either press the Tab key to move

Top of First page with fields highlighted





- For certain **drop-down menus**, for example **Country**, you can select from the options available or type in whatever text you choose. In these instances, the data field is not limited by the drop-down menu. This also applies to the **Amount Paid** field.

- <u>Fee Information</u> – The fields "Social Security Number", "Wire Transfer Confirmation No." and "From (Name of Institution)" cannot be filled out unless the appropriate checkbox has been checked. Once checked, those fields will open.

- <u>Item 1(a)</u> – On occasion, for reasons unknown, the data in the item 1(a) field "Name" will disappear. If this occurs, simply reenter the data and save the form.

- <u>Item 1(b)</u> – When filing for **both** parties, check the **both** box, then the **acquiring person** box to activate all fields. Fill out the form and submit the one form for both parties as usual.

- <u>Items 2(a) and 3(a)</u> – The items 2(a) and 3(a) name fields are limited to 40 and 70 characters, respectively. If you have a name that is longer than the field allows, choose a shortened name for 2(a) and 3(a) and then create an Endnote to indicate the full name.

- <u>Item 2(d)</u> – If the value is approximate or estimated, create an Endnote to so indicate.

- <u>Item 3(b)</u> – Item 3(b) allows only one attachment. If you have multiple agreements to attach to 3(b), attach the first agreement, then list the rest on the attachments page, indicating in the description that they're Item 3(b) documents. Create an Endnote to note that there are multiple attachments.

- <u>Item 4</u> - Items **4(b), 4(c) and 4(d)** are designed to list attachments. To fill out those items, go to the attachments page at the end of the form, create the attachments list, and then choose which attachments to associate with 4(b), 4(c) and 4(d) through the drop down menus in 4(b), 4(c) and 4(d). When you do that, the description of the attachments you chose will appear in the appropriate box.

Please note:

digit code and create an Endnote to explain, indicating the full 10 digit code.

- Item 5(b) - This item is not activated unless **“a formation of a joint venture”** is checked in item 2(b).

- Items 7(b)(ii), 7(d) and 8 – These fields are **locked** for Acquired Persons.

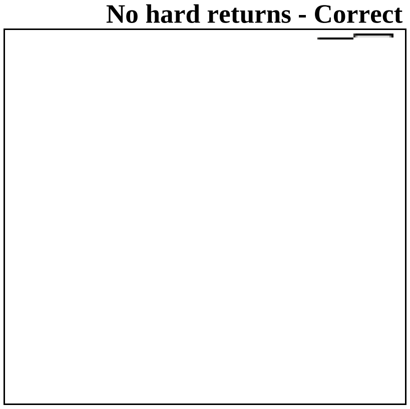
- Endnotes - The endnotes allow the user to enter explanatory text for any item. Simply enter the text and select the item to which the endnote applies from the drop-down menu.

- Attachments - **Group Paper to follow** is a shortcut to create a user-specified number of blank attachment fields.

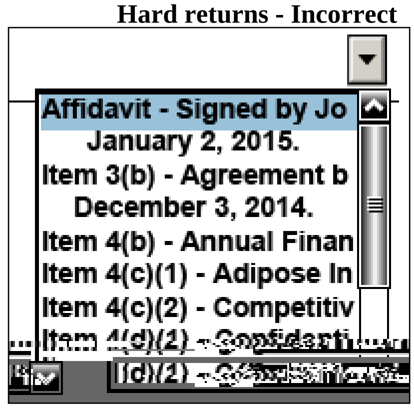
- Once you have created **Attachments**, they will be listed in the **Attachment** drop-down menus located throughout the form. You may then select that attachment to link to a particular item. **See Attachments and Item 4 sample pages below**.

- When filling out the Attachment Description field, DO NOT use hard returns. The use of hard returns will create problems with the formatting of the drop down menus throughout the form. If you are having trouble selecting the proper attachments in Item 4, check for hard returns in the Attachment Description fields.

No hard returns - Correct



Hard returns - Incorrect



- When submitting the form in hard copy, if you wish, you may substitute your own list of attachments rather than using the Attachments page from the form. (See the PNO Blog for more helpful tips on Attachments).

- If you are submitting the **unsworn declaration language** in lieu of a notarized signature, don’t fill out the certification fields. Attach the declaration page as an Attachment.

- Due to the complexity of the form, it is highly recommended that the user save the document often and recheck all fields after printing the final document.

If you have any questions or issues, please contact the PNO at HSRHelp@ftc.gov.

SAMPLE ATTACHMENTS PAGE

NAME OF PERSON FILING NOTIFICATION Adipose Industries | DATE January 15, 2015

ATTACHMENTS Add Attachment

AttachTotal: 9

ATTACHMENT DESCRIPTION | NUMBER

DESCRIPTION Affidavit, Signed by John Smith, January 2, 2015 Delete

1

ATTACHED TO ITEM

DESCRIPTION Item 3(b) - Agreement between Adipose Industries and Bad Wolf Corporation, December 3, 2014. Delete

Paper to Follow

2

ATTACHED TO ITEM

ITEM 4(c)(1) - ANNUAL REPORTS AND ANNUAL AUDIT REPORTS

DESCRIPTION Item 4(c)(1) - Adipose Industries board presentation re acquisition of Bad Wolf ... CEO

ATTACHED TO ITEM

Marketing.

presentation to CEO, July 8, 2014. Prepared by R. Tyler, VP

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ATTACHED TO ITEM ITEM 4(c) STUDIES, SURVEYS, ANALYSES, AND REPORTS

Paper to Follow

DESCRIPTION Item 4(d)(1) - Confidential Information Memorandum presented to Adipose Industries, June 1, 2014. Prepared by Bad Wolf Corporation.

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ATTACHED TO ITEM

DESCRIPTION Item 4(d)(2) - Bankers Presentation to Adipose Industries

Bank.

ATTACHED TO ITEM

Paper to Follow

DESCRIPTION Item 4(d)(3) - Synergy document - Sales Department, Adipose Industries. July 20, 2014. Prepared by S. Oswald, VP Sales. Delete

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ATTACHED TO ITEM

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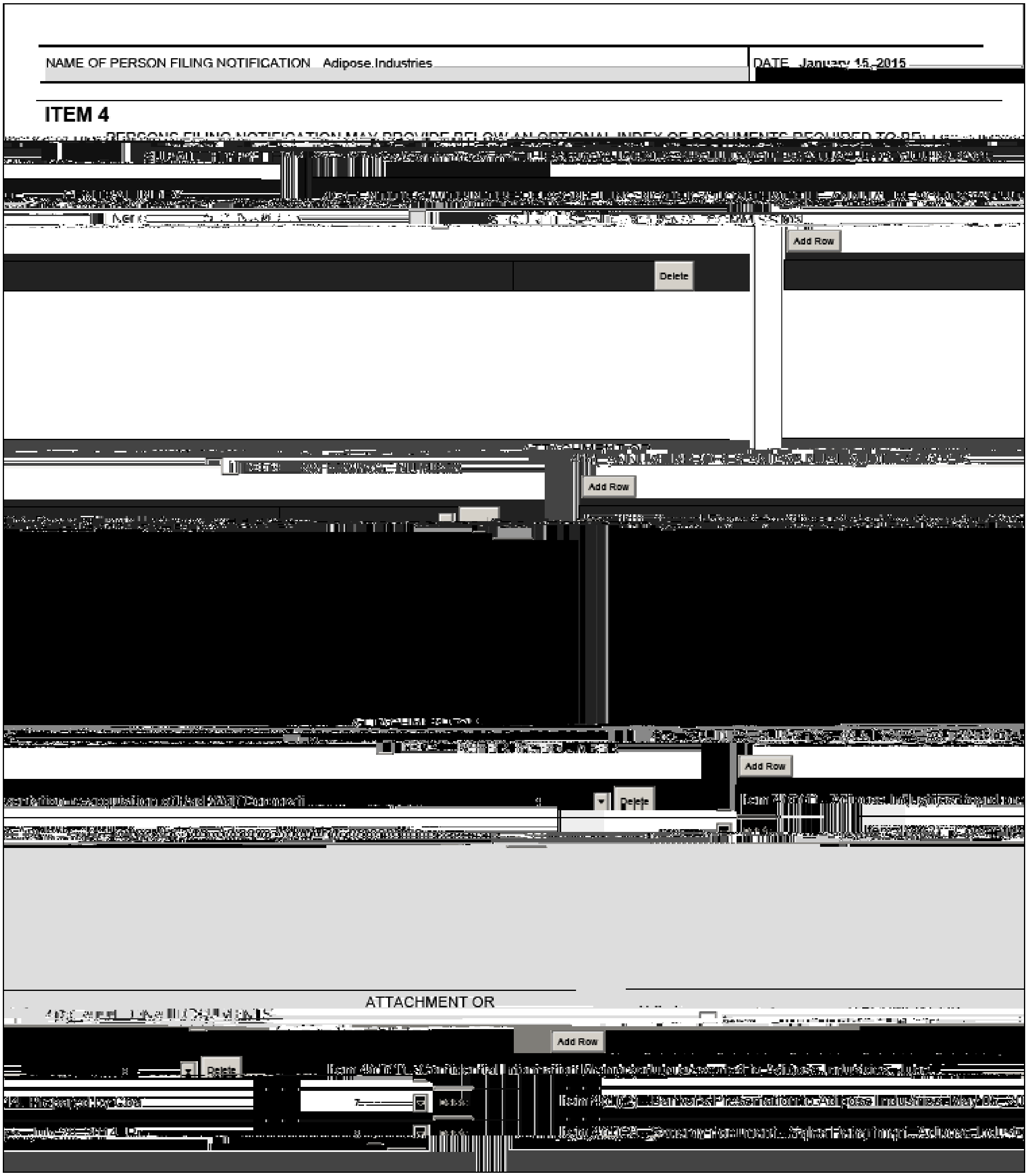
- Note that the Item to which the attachment applies (Item 3(b),4(c), etc.) has been included in the **description** of the document.

- When there are multiple attachments for one Item, the "**ATTACHED TO ITEM**" field only fills in for the last attachment added to that Item on the form (see Attachments 6-8 above for Item 4(d)).

SAMPLE ITEM 4 PAGE WITH ATTACHMENTS



- The lists in Items 4(b), (c) and (d) are populated from the Attachments page by using the drop down boxes on this page. The full description text for each attachment is truncated as it's unnecessary to duplicate the entire text.