SEDAR+ DECEMBER UPDATES Q&A SUMMARY

Please note: This Q&A summary is from Information Sessions presented in English.

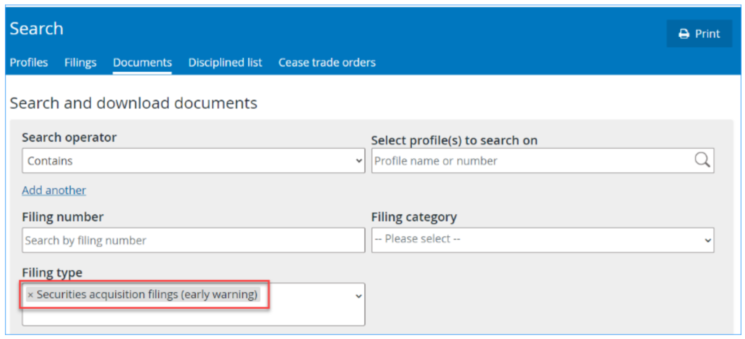
General

Question	Answer
Can the time for expiration on passwords be extended?	We have received requests to change the 45-day expiry to a longer period. Based on consultation with our security specialist, this is something we cannot do.
Is there a training video that will assist us in self-filing our quarterly, annual financial statements, reports, etc.?	The SEDAR+ Learning Centre has videos on how to register for your own account on SEDAR+.
This is the third webinar I have attended since the proposed launch was announced and I am no closer to knowing how a company can complete their own filings.	The Learning Centre has videos for various types of filings, including the Annual financial statements. Note there is not a video for each type of filing as the screen flow process is similar for each filing type: https://www.sedarplus.ca/training/course-catalogue/filings/ Additional reference information can be found on the SEDAR+ Help Centre, under the 'Filings' help topic.
Are there plans to establish an escalation path for urgent technical issues on SEDAR+ and a communication infrastructure for steady updates about issues and how they are being resolved? How can we escalate technical issues we've encountered beyond the main CSA email?	Information about technical issues and request escalations should be sent to the CSA Service Desk. Whether through email or by phone, they will take information about the severity, pervasiveness and steps to re-create technical problems with SEDAR+. Technical problems are prioritized and will be fixed during quarterly releases, based on that priority. While we have communication practices in place, we are also working to improve them. Today, when there is an issue that affects filers and requires workarounds or a system fix, the CSA Service Desk emails filers with the details. We also use the System Status page to share information about issues and details of the latest system update.
Are there any plans for an API-like feature that allows filers to integrate filing ability directly into their platforms?	No. SEDAR+ APIs are a longer-term objective of the CSA IT Systems Office.

There used to be a SEDAR filing types list PDF available on the old SEDAR website, is there an equivalent on SEDAR+ for help figure out how to file certain documents?	The SEDAR+ Filing Inventory provides a list of all documents available for submission in SEDAR+ and includes the document access level at the time of filing as well as an indicator if the document is subject to a Filing fee, Late fee or CSA System fee. It is available on the Help Centre for your reference. • READ: Filing Inventory page • READ: Filing Inventory workbook
Should we file the annual EMD through SEDAR+? Do we need to do it several times for each province?	All EMD (Reports of Exempt Distribution or 'RED') filings are now filed on SEDAR+. You are able to select any combination of all 13 jurisdictions, as applicable, on the one filing.
A future update - the possibility to print the participation fee form before it is submitted - makes it easier to send to clients for approval before submitting.	You can print the completed entries on the filing from the 'Review and submit' page. Any changes to the entries can still be made by selecting 'Make changes' in the applicable section of the filing.
Is there a way to minimize information that isn't as relevant on a daily basis in the profile section? We have had complaints from clients that the information is cumbersome.	Thank you for the suggestion, we will consider that in future updates.
On the password topic, can you put a "show password" or "look" feature so we can see what password we've typed please?	Thank you for the suggestion, we will consider that in future updates.
Should we be removing any previous names that appear in brackets after the name on the profiles?	Yes, please ensure that the name on the profile does not include brackets with previous names. Previous names can be included in profiles that are specifically marked for that purpose in the profile.

Could there be an easier way to find Early Warning Reports?

In the Search Documents feature, enter 'early warning report' in the 'Document type' field to only get early warning report results. You can also further refine your search by including profile information.



There was a glitch with SEDAR+ I noted to the Help desk on Monday (December 4) and effectively an inability to file for clients that did not get communicated to the community as a whole (I received a notification yesterday afternoon that the fix was in for completion overnight) but others in my organization were not made aware. Is this something that will be addressed in future?

Filers should have been notified of this issue as soon as the scope and impact were understood on Monday afternoon. We are currently reviewing and updating our practices to provide more timely and relevant information to filers.

When is the default issuer on the wrong profile going to be fixed?

This issue has been resolved. If you are still encountering this issue, please contact the CSA Service Desk.

sedarplus@csa-acvm.ca

1-800-219-5381

How to locate the grouping id from a previous filing?

Please refer to the Help Centre FAQ: [How do I find a Grouping ID?]

(Filings > more information about filings >How do I find a grouping ID?)

Will there be an option to submit more than one filing at once? It took me 3 times as long to file MRFPs.	Thank you for the suggestion, we will consider that in future updates.
If an Issuer trades on the CSE, are continuous disclosure filings shared with the CSE? or do we have to also file them with the CSE?	You will need to file them separately with the CSE.
When uploading documents to file, we noticed that we can no longer include brackets "( )" in the document name, is there a reason we can no longer include brackets as it was not an issue previously?	To avoid any issues with the file uploads, please note the below characters are recognized as valid special characters that can be used in the filename for document upload. All others should be avoided. 1. . (Period) 2. , (Comma) 3. # (number sign) 4. @ (at sign) 5. ! (exclamation) 6. - (hyphen) 7. _ (underscore) 8. ' ' (space) 9. All French characters: ç, é, â, ê, î, ô, û, à, è, ì, ò, ù, ë, ï ü.
We've noticed that there are certain documents that are only available through the filings tab	This issue has been resolved. If you are still encountering this issue, please contact the CSA Service Desk. **sedarplus@csa-acvm.ca** 1-800-219-5381
When I click on search profiles, I usually have to click it twice	This may be due to a timeout. If you haven't been actively using it for a while, you have to click it twice.
Why can only one user "watch" a profile? is this on the list for a future fix?	This is on our product backlog for future consideration.

The NAICS code was provided in the supplementary information form for onboarding but it looks like it wasn't inputted into SEDAR+. Do we know why this wasn't inputted into SEDAR+? **Is US NAICS code acceptable?**	SEDAR+ accepts NAICS codes based on the 2017 directory. The NAICS code you entered may have been based on the 2022 directory, which would not have been accepted by SEDAR+ in the data migration. Please refer to the 2017 NAICS code directory when creating or maintaining profiles: https://www23.statcan.gc.ca/imdb/p3VD.pl?Function=getVD&TVD=1181553
I noticed this week my log in would be disconnected say, in less than 10 minutes when i am "idled" when logged in SEDAR+. Is there a timeframe that a user will be disconnected when idled? Thanks.	After 10 minutes of no activity, you will receive a warning message that you will be logged out if you do not select ‘Acknowledge’ on the message within the next 5 minutes.
During the transition to SEDAR+, many of our issuer profiles were updated and the additional SEDAR+ information provided as required at the time, however post launch this information was missing from the profiles. What happened during this process?	The onboarding process used a machine reader to extract the information from the uploaded files. If the information was not technically ‘readable’, the information was rejected.
Going back to step 1, "User feedback"... How do we report bugs and suggestions for usability improvement?	Please email or phone the CSA Service Desk to report any bugs or provide system improvement suggestions. **sedarplus@csa-acvm.ca** 1-800-219-5381

When referencing SEDAR+ in a document (i.e. press release), please confirm the URL to use. We have been advised to continue referencing www.sedar.com but note that the URL is www.sedarplus.ca	You may use either URL. Please use www.sedarplus.ca.
How do you find a grouping ID for a document filed pre-SEDAR+ days?	There are no Grouping IDs for documents filed on legacy SEDAR. Filings made to multiple jurisdictions: If you need to amend a legacy filing to attach a document where you should not be charged a fee, please contact the CSA Service Desk to facilitate the creation of fee exception codes that will prevent the fee from being charged. Filings made to a single jurisdiction: If you only require a fee exception code from one jurisdiction, please contact them directly. Please refer to the Help Centre FAQ for more details: What is a fee exception code?
Is it possible to receive an email when a grouping ID is assigned?	Thank you for the suggestion, we will consider that in future updates.
Will the "Discard" button be updated to include perhaps a prompt message asking the filer to confirm they are sure they would like to discard?	Thank you for the suggestion, we will consider that in future updates.

Will there be a feature to submit multiple projects at once? This is especially useful and time efficient for filers that have multiple Financial Statements and Management report of fund performances to file. We notice it has taken approx 3 hours longer with SEDAR+ then it did with the old system that allowed submitting more than one project at once	Thank you for the suggestion, we will consider that in future updates.
Is there a way to mark an issuer as ceased reporting? Similar to the way we could in SEDAR Legacy	Please refer to the Help Centre FAQ: How do I update the profile to indicate the issuer has ceased reporting? (Profiles > Maintain a profile > FAQs about maintaining a profile)
Is there a way to filter out projects that are not assigned to you?	Thank you for the suggestion, we will consider that in future updates. For any drafts that are assigned to you – you can sort your DRAFTS by “Assigned to” (last column under the Drafts tab).
If you do not have certain information for a profile (ie. phone or fax number) is there a mechanism for populating that information later?	You can maintain the profile and update the details as required. Please refer to the Help Centre FAQ: General help for maintaining a profile (Profiles > Maintain a profile > General help for maintaining a profile)

I recently authorized a law firm as one of our filing agents. After I clicked the 'approve' button, the information disappeared. I tried to look it up again but couldn't find anything about the filing agents in SEDAR+. What if we no longer want to authorize this law firm as our filing agent? Is there a place where we can manage all the filing agents? I have checked the Authorization tab under SEDAR+, but nothing is shown there. Also, can I assume that the filing agent(s) won't be able to use our PAD to pay for the filing fees? Please let me know.	Please contact the CSA Service Desk to report this issue. sedarplus@csa-acvm.ca 1-800-219-5381 Filing agent(s) do not have access to your PAD account. They would pay any fees from their own organization's PAD account.
In requesting email alerts for documents filed, will we be able to request copies of Form 62-103F3 Reports posted by our major shareholder?	Please refer to this FAQ that lists the documents available through the email alert service: Create or modify your SEDAR+ financial documents email alerts subscription (Help Centre > General Help)
What do exchangeable security and credit support issuer pertain to?	Please refer to the Help Centre FAQ: What is an exchangeable security issuer or credit support issuer? (Help Centre > Profiles > Create a profile > FAQs about creating a profile)
On draft filings it would be great if there was a submit button so that you can simply go and submit it rather than going back thru all the tabs	Thank you for the suggestion, we will consider that in future updates

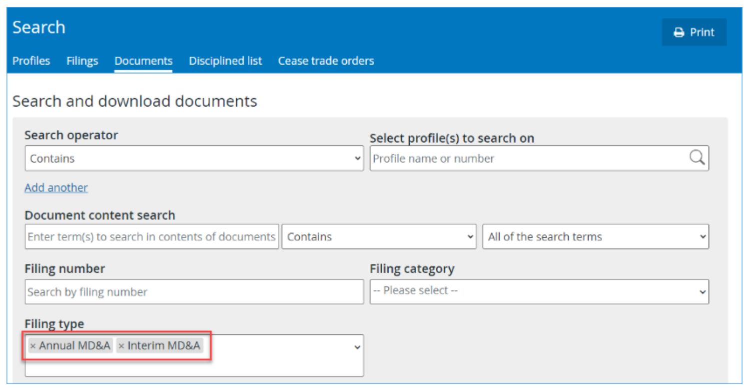
What if the company is a CPC company and has not done a qualifying transaction and does not have NAICS number?	You should enter the NAICS code for the category that most closely matches the issuer. A future system update will make NAICS an optional field for CPC companies.
Why is the submitted work limited, can it be upgraded to include ALL work submitted?	The Submitted Work tab provides all your or your organization's submissions in the past 90 days. You can use the Search Filings option and select 'only filings for my profiles' to tailor your search results to show filings submitted by you or your organization for those profiles you have authority over.

Fees / Fee Exception Codes

Question(s)	Answer
Is there a way that we can see what the fees are before getting the end of the filing.	The filing details, and documents, must be attached on the filing in order for the system to correctly calculate the fees. Please refer to the Help Centre FAQ: How do I see fees calculated on the filing before submission? (Help Centre > Fees, payments and refunds > Make payments > FAQs about fee payments) • The Filing Inventory identifies which documents will incur a filing and/or late fee (Help Centre > Filings > Filing Inventory) • The SEDAR+ System Fees PDF can be found on the SEDAR+ Regulatory Fee Guide site.
Will applications for exception codes be processed in a more expedited manner. Sometimes we aren't aware that we are going to be charged a fee and therefore aren't aware we are going to need a code	Generally, the fee exception codes are provided by the regulators within 48 hours. Please refer to the Help Centre FAQ: What is a fee exception code and how do I request a fee exception code? (Help Centre > Fees, payments and refunds > FAQs about fees)

Question(s)	Answer
How does one obtain the unique identifier number for entering into the fee attributes to bypass late filing fees?	Please refer to the Help Centre FAQ: What is a fee exception code and how do I request a fee exception code? (Help Centre > Fees, payments and refunds > FAQs about fees)
The CSA tells me time and time again to email the multiple jurisdictions myself to get the fee exception code. Also, the jurisdictions do not respond promptly, if at all. The PR has asked me in the past to use a workaround to file, in the absence of these codes from the jurisdictions who just do not respond.	If you require a fee exception code from only one jurisdiction, please contact them directly. If you require a code from more than one jurisdiction, please refer to the Help Centre FAQ: What is a fee exception code and how do I request a fee exception code? (Help Centre > Fees, payments and refunds > FAQs about fees)
Can someone explain how we are to pay fees to SEDAR?	A pre-authorized debit account (PAD) must be created in SEDAR+ to pay fees via EFT. Please refer to the below Help Centre FAQ and the Learning Centre video. Note that credit cards (VISA or MasterCard) are accepted only for Report of exempt distribution (RED) filings. READ: Set-up a pre-authorized debit (PAD) account (Help Centre > Fees, payments and refunds > Create, view, maintain pre-authorized debit (PAD) account) WATCH: Create and maintain a pre-authorized debit account
How often should we be updating the Net Asset Value (NAV)? Annually? Semi-annually?	These frequencies are set by the provincial and territorial regulators, please consult your local regulator for these requirements.
As the system is learned are the Regulators showing grace on late filing fees?	Please contact the regulator regarding a late fee exception code if you experience issues with your filing.

Search

Question(s)	Answer
The search function in the Drafts section doesn't seem to do anything. Is it possible for it to isolate drafts for specific issuers?	The search function allows you to enter one profile name or number to filter your Drafts list.
Would it be possible to have searching specific words in documents such as press releases?	Yes, in early 2024, we will introduce document content search on SEDAR+.
On former SEDAR, we could search from data, ie, MD&A from different companies, without knowing the name of the name or symbol of the companies. Can we do such research on Sedar+?	On the Search Documents feature, you can select the 'Annual MD&A' and the 'Interim MD&A' in the Filing type field. This search will return all related filings. 
I have noticed when searching for individuals (for Ban Trading BY's) I won't get the result for the individual unless they were added as a profile on the site. Is there a better way to search for individuals for Ban Trading By's?	In early 2024, we will introduce document content search on SEDAR+. This will allow you to enter the individual's name in the search field. How do I search for individuals or non-individuals? (Help Centre > Regulatory action > Search and view regulatory actions > FAQs relating to disciplinary actions and cease trade orders)

Question(s)	Answer
I would like to know how to find new prospectus, which was on your old website. You click the tab and you can find right away. Now I have to use search “long term prospectus, short term prospectus, and memo…” ?	A future release of SEDAR+ will include quick search options for ‘Prospectus’, ‘Financial statements’, ‘News Releases’, ‘Annual Reports’, ‘Take-over bid Materials’ for company filings made on the current day.

Reports of Exempt Distribution (RED)

Question(s)	Answer
For 45-106F1 Filings, the tutorial that you have for us does not explain how to fill out the Schedule 2 section, it's skipped. It is extremely complicated and time-consuming part of the filing. There are many scenarios and variables per filing. I am sure this one of the things you mentioned might change the next time, but if you are not going to change it in the future, and it is here to stay, could you please have a full tutorial just for that section?	Thank you for the feedback and the suggestion for a Schedule 2 tutorial, we will take a look at our options.
Also for 45-106F1 Filings, on Item 8, when searching for b) Business contact information. When providing a firm NRD number or the Business contact information of the person being compensated, it does not work very well and it takes up to 3 to 4 times for the name stay after selecting it. **Lastly, also for 45-106F1 Filings, when including the previously uploaded marketing materials, that slows down the filing and sometimes it has to be started over.**	Thank you for your feedback. We are working to resolve these known system errors.
Will there be a way that we can actually print out the final populated Form 45-106F1 instead of having to prepare it in Word and input the info into SEDAR+? By the time we get to the screen where we can print out the populated form, if something is wrong we can't make any changes to the filing.	Please refer to the Help Centre FAQ: Why can't I make changes to my Report of Exempt Distribution (Form 45-106F1) filing if I haven't submitted it yet? (Filings > Exempt market offerings > FAQs about Report of Exempt Distribution Filings (Form 45-106F1))
For Exempt Market Filings - are there plans to be able to drop & drag the schedule 2? It takes a long time to add each individual.	Thank you for the feedback and the suggestion for a Schedule 2 tutorial, we will take a look at our options.

Question(s)	Answer
Previously (prior to SEDAR +) we were able to drag & drop the schedule 2	
Any plans to update the address search function when filing RED 45-106F1? Currently, they have to be input manually (often multiple times, at it deletes the address after saving). This relates to "schedule 2"	Thank you for your feedback. We are working to resolve this known system error.
In drafting various exempt reports, how can we name those so we know what dates they are instead of going back into each report? I recently had to draft about 10 exempt reports and can not "name" them.	Thank you for the suggestion. We will consider that for future updates.
I have two questions. (1) When preparing a Report of Exempt Distribution, is there a way to create a pdf document that we can send to the client to review and sign? Right now we can't do that because then we cannot go back and change anything on the Report, so that is NOT helpful. (2) When I am selecting the people who are receiving compensation, I have to click on the name a minimum of 3 times before SEDAR+ finally accepts it. Why is that happening? It happens to many people in my office.	1) A future release of SEDAR+ will include the ability to make any changes on the RED after the form is initially generated and allow the re-generation of the form. We do not have a confirmed date for this yet. 2) Thank you for your feedback. We are working to resolve this known system error.
Is there a plan to be able remove a previous company name on a profile that is past the 12 months since the name change. In particular with Report of exempt distribution reports.	Thank you for the suggestion. We will consider that for future updates.
Is there a way to "add additional jurisdiction" to a filing (ie a RED) without having to do a full amendment to the filing?	Thank you for the suggestion. We will consider that for future updates.

Investment Fund / Investment Fund Group Filings

Question(s)	Answer
Have the timing out issues for fund filings been fixed yet?	This is our highest priority item that we are working to resolve.
Just wondering if we will have the capability to file a press release for multiple issuers under the same investment fund group as opposed to filing separately under the new update? Similarly for prospectus filings? I have experienced errors when trying to file these documents using multiple issuers within the same investment fund group	Please refer to this FAQ: Can I file a different pdf document for each investment fund in the group under the same filing number if the document type is the same? (Filings > FAQs about continuous disclosure) Please contact the CSA Service Desk for assistance if you encounter any errors with your submission. sedarplus@csa-acvm.ca 1-800-219-5381
Slightly off topic - we've filed response letters on applications and prospectuses, and we were under the impression that the commission would be notified that they have something to view and respond to, however that doesn't appear to be happening. Can you answer when that will be fixed?	Thank you for your feedback. We are working to resolve this known system error.
How can I indicate that a fund has been discontinued?	Please update the profile to indicate '(Terminated)' at the end of the fund name.