



SEDAR+ UPDATES AND FAQ'S

April 18, 2024



WELCOME!

A few items before we begin...





AGENDA

- SEDAR+ updates
 - Release implemented on April 7, 2024
- FAQs
 - Fee exception codes - Investment Fund profile's category of fund information
 - Placeholder data on the profile
 - Fee exception codes – how are they issued
 - How to view fees on a filing
 - How to use Grouping ID's
- What's next – future releases
- Q&A



SEDAR+ UPDATES

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SEARCH – DOCUMENT CONTENT SEARCH

Search

Print

ProfilesFilingsDocumentsDisciplined listCease trade ordersSaved searches 0

Search and download documents

Search for documents filed for specific profiles, for a subset of profiles, or across the whole SEDAR+ platform.

Use 'Profile name or number' lookup to create a list of known profiles or use other profile search fields to specify a profile subset.

Use filing or document search fields to further narrow the results and click 'Search' to see the list of matching documents.

The user must enter an accent in the search criteria to retrieve search results with an accent (eg: a search using Confédération will retrieve a company with the name Confédération but will not retrieve the name Confederation).

Search operator

Contains

Select profile(s) to search on

Profile name or number

[Add another](#)

Filing number

Search by filing number

Filing category

-- Please select --

Filing type

-- Please select --

Filing sub-type

-- Please select --

Document type

-- Please select --

Submitted date

From date

DD/MM/YYYY

To date

DD/MM/YYYY

[Show advanced search](#)

Search

[Clear search criteria](#)

SEARCH CTO DEMO

Search

Print

[Profiles](#) [Filings](#) [Documents](#) [Disciplined list](#) [Cease trade orders](#)

Cease trade orders

A cease trade order (CTO) is a decision issued by a provincial or territorial securities regulatory authority or similar regulatory body against an organization or an individual.

There are two types of ban trading sanctions in a CTO: (1) Ban trading OF sanction, which prohibits all trading in the securities OF an organization and (2) Ban trading BY sanction, which prohibits trading BY specific individuals and/or organizations in certain securities. Some CTOs may contain both types of sanctions.

Certain CTOs issued by securities regulatory authorities automatically take effect in other jurisdictions. These other jurisdictions will not issue separate CTOs in these circumstances. It remains the obligation of users to conduct the necessary due diligence before trading to determine whether or not a specific trade can be executed. As such, we cannot overstate the importance of reading all decisions to fully understand their scope.

By default all searches will show CTO sanctions that are in effect ("active"). To view CTO sanctions that have been revoked or have expired, select "inactive" under "ban trading status" in Advanced Search.

For more information on CTOs view [Help Centre](#).

Name or profile number

Document content search

Contains 

All of the search terms 

(To search by the name of an individual or non-individual subject to an MCTO, you must use the "Search in cease trade order text" field)

SEARCH UPDATES

- Search Documents and Search Filings
 - Error message added to inform user to select a profile from the 'Select profile(s) to search on' dropdown

Search and download documents

Search for documents filed for specific profiles, for a subset of profiles, or across the whole SEDAR+ platform.
Use 'Profile name or number' lookup to create a list of known profiles or use other profile search fields to specify a profile subset.
Use filing or document search fields to further narrow the results and click 'Search' to see the list of matching documents.
The user must enter an accent in the search criteria to retrieve search results with an accent (eg: a search using Confédération will retrieve a company with the name Confédération but will not retrieve the name Confederation).

Search operator	Select profile(s) to search on
Contains	test co feb
Add another	TEST CO FEB 08 2024 (000118202)
Filing number	TEST CO NRI FEB 13 (000118312)

Search and download documents

Select a profile or delete the search text.

Search for documents filed for specific profiles, for a subset of profiles, or across the whole SEDAR+ platform.
Use 'Profile name or number' lookup to create a list of known profiles or use other profile search fields to specify a profile subset.
Use filing or document search fields to further narrow the results and click 'Search' to see the list of matching documents.
The user must enter an accent in the search criteria to retrieve search results with an accent (eg: a search using Confédération will retrieve a company with the name Confédération but will not retrieve the name Confederation).

Search operator	Select profile(s) to search on
Contains	test co feb

SEARCH UPDATES

■ Search Profiles and Search Filings

- The default number of search results is changed to 30 but can be changed:
 - Profiles to 100
 - Filings up to 30
 - Documents up to 50

Displaying 1-30 of 90 results

1 - [2](#) - [3](#) [Next »](#)

☐ All documents listed on this page

Page size 30 ▼
30
10
50

[Export](#)

	Profile(s)	Filing	Filing Sub-Type	Document	Submitted date	Principal jurisdiction	File size	Actions
<input type="checkbox"/>	123 INC. / 123 inc. (000100083)	Annual information form (06019802)	Annual information form	Annual information form - English.pdf	11 Apr 2024 12:18 EDT	Ontario	31 KB	Generate URL



FAQs



HOW TO AVOID FEE EXCEPTION CODE REQUESTS?

It is strongly encouraged to review and update investment fund profiles

Ensuring specific profile fields have the correct information before submitting a filing can help:

- Avoid issues such as incorrect fee calculations
- Help ensure compliance with National Instrument 13-103 System for Electronic Data Analysis and Retrieval + (SEDAR+)
- Avoid requests for fee exception codes for incorrect occasions



CATEGORY OF INVESTMENT FUND

Category	Description
Conventional Mutual Fund	Mutual funds that are not alternative mutual funds or ETFs are commonly known as conventional mutual funds. These funds are considered mutual funds and are typically offered using a simplified prospectus.
Hybrid	Hybrids are simplified prospectus qualified mutual funds with mutual fund series together with ETF series. These funds are considered mutual funds and are typically offered using a simplified prospectus but can also be offered using a long form prospectus.
Alternative Mutual Fund	means a mutual fund, other than a precious metals fund, that has adopted fundamental investment objectives that permit it to invest in physical commodities or specified derivatives, to borrow cash or engage in short selling in a manner not permitted for other mutual funds under <u>NI 81-102</u> . These funds are considered mutual funds and are typically offered using a simplified prospectus.



CATEGORY OF INVESTMENT FUND

Category	Description
Alternative Hybrid	Hybrids are simplified prospectus qualified mutual funds with mutual fund series together with ETF <u>series</u> that meet the definition of an alternative mutual fund/alternative ETF. These funds are considered mutual funds and are typically offered using a simplified prospectus but can also be offered using a long form prospectus.
Exchange Traded Funds (ETF)	A mutual fund that is exchange-traded, these funds are considered mutual funds and are typically offered using a long form prospectus.
Alternative ETF	An ETF that satisfies the definition of an “alternative mutual fund,” these funds are considered mutual funds and are typically offered using a long form prospectus.



CATEGORY OF INVESTMENT FUND

Category	Description
Split Share Corp.	<p>A prospectus fund that offers two distinct classes of shares: Class A shares and Preferred shares - they typically invest in an underlying portfolio of dividend paying securities. Generally, the Class A shares capture the movements of the underlying securities, and the Preferred shares receive fixed periodic payments. These funds are in some cases mutual funds and are typically offered using a long form, short form or shelf prospectus.</p>
Labour Sponsored or Venture Capital Fund (NI 81-106)	<p>An investment fund that is:</p> <ul style="list-style-type: none">(a) a labour sponsored investment fund corporation or a labour sponsored venture capital corporation under provincial legislation,(b) a registered or prescribed labour sponsored venture capital corporation as defined in the ITA(c) an EVCC, or(d) a VCC.



CATEGORY OF INVESTMENT FUND

Category	Description
Labour Sponsored or Venture Capital Fund (NI 81-106) / EVCC	An employee venture capital corporation that does not have a restricted constitution and is registered under Part 2 of the Employee Investment Act (British Columbia), R.S.B.C. 1996 c. 112, and whose business objective is making multiple investments.
Labour Sponsored or Venture Capital Fund (NI 81-106) / VCC	<p>A venture capital corporation registered under Part 1 of the Small Business Venture Capital Act (British Columbia), R.S.B.C. 1996 c. 429, whose business objective is making multiple investments.</p> <p>These funds are typically offered using a long form prospectus.</p>



CATEGORY OF INVESTMENT FUND

Category	Description
Non-Redeemable Investment Fund (NRIF) (also called closed-end funds)	<p>An issuer,</p> <ul style="list-style-type: none">(a) whose primary purpose is to invest money provided by its securityholders,(b) that does not invest:<ul style="list-style-type: none">(i) for the purpose of exercising or seeking to exercise control of an issuer, other than an issuer that is a mutual fund or a nonredeemable investment fund, or(ii) for the purpose of being actively involved in the management of any issuer in which it invests, other than an issuer that is a mutual fund or a non-redeemable investment fund, and(c) that is not a mutual fund <p>These funds are typically offered using a long form prospectus.</p>



CATEGORY OF INVESTMENT FUND

Category	Description
Development Capital Investment Fund (Québec only)	<p>Investment funds that are reporting issuers constituted under the following Acts:</p> <ul style="list-style-type: none">(1) an Act constituting Capital régional et coopératif Desjardins (chapter C-6.1);(2) an Act to establish Fondation, le Fonds de développement de la Confédération des syndicats nationaux pour la coopération et l'emploi (chapter F-3.1.2); and(3) an Act to establish the Fonds de solidarité des travailleurs du Québec (F.T.Q.) (chapter F-3.2.1). <p>These funds are typically offered using a short form prospectus.</p>
Flow Through LP	<p>A prospectus fund that invests in a portfolio of flow-through shares of certain issuers in order to generally achieve capital appreciation and tax benefits for its investors. These funds are offered using a long form prospectus.</p>



CATEGORY OF INVESTMENT FUND

Category	Description
Scholarship Plan (as defined in NI 81-106)	<p>An arrangement under which contributions to education savings plans are pooled to provide scholarship awards to designated beneficiaries.</p> <p>Scholarship Plans are not the same as Target Date Funds. Scholarship Plans are offered using Detailed Plan Disclosure and Plan Summary documents.</p>
Other	<p>Choose only if <u>the investment fund has unique features that do not fit within one of the other categories.</u></p>



CATEGORY OF INVESTMENT FUND

Which category of Investment Fund can be selected for Exempt Market Funds?

- An exempt market fund can be any of the categories with the exception of the ETF categories (ETF, Hybrid, Alternative ETF and Alternative Hybrid). Please select the category that most closely matches the attributes of the fund.
- ‘Other’ should be reserved for funds that have unique features that do not fit within one of the other categories.

WHY IS THERE PROFILE INFORMATION THAT I DID NOT ENTER?

In migrating data from legacy SEDAR to SEDAR+, we had to use placeholder data for fields that required information that we did not have or could not convert.

Profile details		Size and industry classification	
Profile number	000022563	NAICS	000000 - NAICS Unknown
Full legal name in English	0723404 BC LTD.	Size of issuer (assets)	\$5 million to under \$25 million
Full legal name in French	0723404 BC LTD.		
Effective from date	01 Jan 1500		
This organization is an investment fund manager	No		
This organization is an underwriter	No		
Head office address	3 6069 Tisdall St., Vancouver, British Columbia, V5Z 3M9, Canada		
Mailing address	Same as Head office address		
Telephone number	+1 (604) 512-0145 (Main)		
Fax number	+1 (604) 872-8781		
Email address	notdefined@notdefined.com		
Website			



HOW ARE FEE EXCEPTION CODES CREATED?

Multi-jurisdictional fee exception codes are processed by the CSA Service Desk:

- Request received by Service Desk and individual approval requests sent to regulators
- Regulators approve or decline fee exception codes
- Service Desk actions the fee exception codes or receives fee exception codes from regulators
- Service Desk forwards fee exception codes to filer
- Generally complete within 24 – 48 hours



HOW DO I VIEW FEES PRIOR TO SUBMISSION?

How do I know what, if any, fees are due on a filing?

- Fees are charged based on the document(s) attached to your filing.
- To understand which documents for your filing(s) will incur a fee, please refer to the [Filing Inventory](#). If the filing inventory indicates the document(s) on your filing will have a fee charged, you can then create a draft filing to view the fee summary.
- **WATCH:** [How to view the Filing Inventory](#)
- **WATCH:** [How to view the Fee Summary](#)
- **READ:** [Filing Inventory](#)



WHAT IS A GROUPING ID?

Grouping ID's are used to track data and multiple uploads of the same "document"

- The purpose of a document Grouping ID is to prevent the recalculation of filing fees when new documents are uploaded and to support the pre-population of document attributes for like-documents on subsequent submissions within the same filing subtype.
- You should look up and use the document Grouping ID in the following scenarios:
 - Uploading a corrected version of the same document
 - Uploading the same document in a different language
 - Correct or update document or fee attributes

WHAT IS A GROUPING ID?

- Example: when filing Audited Annual Financial Statements, you will be presented with a Grouping ID so you can file different versions of the document without being charged twice.

The screenshot shows the SEDAR+ filing interface. On the left, under 'Filing sub-type', 'Annual financial statements' is selected. Under 'Document uploads', 'Audited annual financial statements' is checked and highlighted with a red box. Below this is a section titled 'Audited annual financial statements' with a 'Grouping ID' field containing 'GWQV'. A note states: 'Grouping ID can be used to search and prepopulate document type information on subsequent submissions.' Below the note are three unchecked checkboxes: 'Audited annual financial statements - English', 'Audited annual financial statements - French', and 'Audited annual financial statements - foreign language'. At the bottom are 'Save' and 'Cancel' buttons. On the right, a 'Your progress' section lists five steps: 1. Filing and contact details (checked), 2. Agencies (checked), 3. Sub-type and documents (highlighted), 4. Fee attributes, and 5. Review and submit.

WHAT IS A GROUPING ID?

- Once the document is selected and uploaded, you will see the Grouping ID and you can save and submit the filing. All applicable fees will be charged with the filing.

☐ Annual financial statements - letter from foreign issuer

☒ Audited annual financial statements

Add document details

Audited annual financial statements

Grouping ID GWQV

Grouping ID can be used to search and prepopulate document type information on subsequent submissions.

☒ Audited annual financial statements - English

Audited annual financial statements - English

You can upload document(s) in .pdf format.

Test document.pdf [Remove](#)

☐ Audited annual financial statements - French

☐ Audited annual financial statements - foreign language

[Save](#) [Cancel](#)

☒ Audited annual financial statements

[Add document details](#)

Audited annual financial statements [Edit](#) [Remove](#)

Grouping ID GWQV

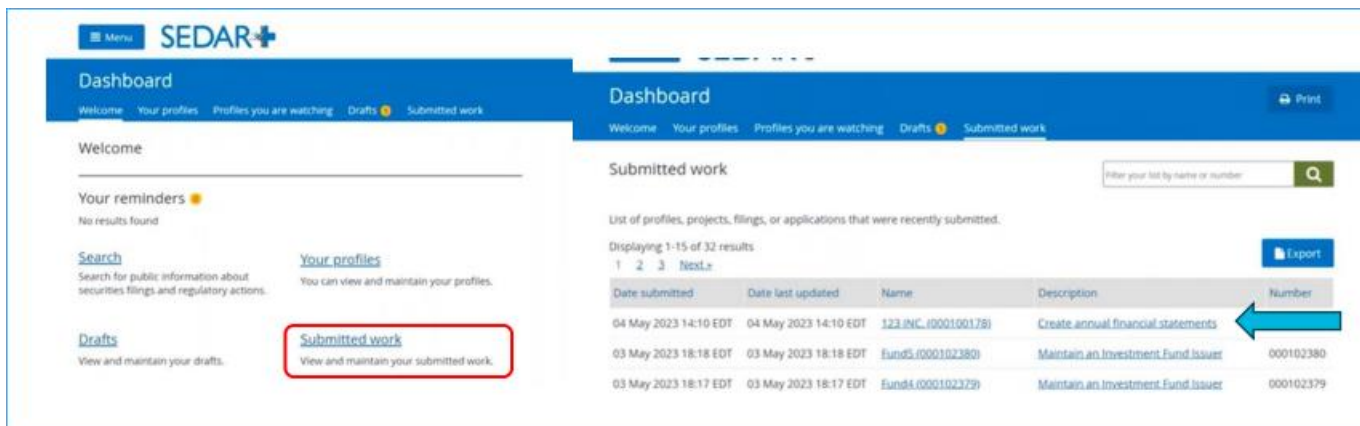
Audited annual financial statements [Test document.pdf](#) - English

WHAT IS A GROUPING ID?

How do I find my Grouping ID?

- From your dashboard, select “Submitted work”. Select the filing that you would like to maintain.

<https://www.sedarplus.ca/onlinehelp/filings/more-information-aboutfilings/how-do-i-find-a-grouping-id/?hilite=grouping%20i>



The screenshot shows the SEDAR+ dashboard with the 'Submitted work' section selected. The left sidebar has a red box around the 'Submitted work' link. The main content area shows a table of submitted work with columns: Date submitted, Date last updated, Name, Description, and Number. A blue arrow points to the 'Number' column.

Date submitted	Date last updated	Name	Description	Number
04 May 2023 14:10 EDT	04 May 2023 14:10 EDT	123 INC. (000100178)	Create annual financial statements	
03 May 2023 18:18 EDT	03 May 2023 18:18 EDT	Fund5 (000102380)	Maintain an Investment Fund Issuer	000102380
03 May 2023 18:17 EDT	03 May 2023 18:17 EDT	Fund6 (000102379)	Maintain an Investment Fund Issuer	000102379

WHAT IS A GROUPING ID?

How do I find my Grouping ID?

- Select “Submissions”



123 INC. (000100178)
View annual financial statements (06002691)

Filing details **Submissions** Submitted documents Public documents

On this page [Filing and contact details](#) [Actions](#)
[Agencies](#)

- Select the submission where the English version was filed.

Action name	Filing sub-type	Submission number	Submission date	Submitted by	Basket reference	Filing documents
Maintain filing		00000002	04 May 2023 14:11 EDT	Full Admin AB, Webservices RSU		View
Create filing	Annual financial statements	00000001	04 May 2023 14:10 EDT	TESTER, Anna (MH Filing Agency)	363280	View

WHAT IS A GROUPING ID?

How do I find my Grouping ID?

- Scroll down to the page to the “Sub-type and documents” and you will find the Grouping ID.

Annual financial statements (06002691)

[Export to Pdf](#)

Submission details

Submission date: 04 May 2023 14:10 EDT
Submission number: 00000001

Filing and contact details

Main contact for this filing: TESTER, Anna Jane
Name of company: MH Filing Agency
Title: Tester
Principal regulator: Ontario

Sub-type and documents

Filing sub-type: Annual financial statements

Grouping ID: GWQV

Audited annual financial statements - English: [Test document.pdf](#) (04 May 2023 14:10 EDT)

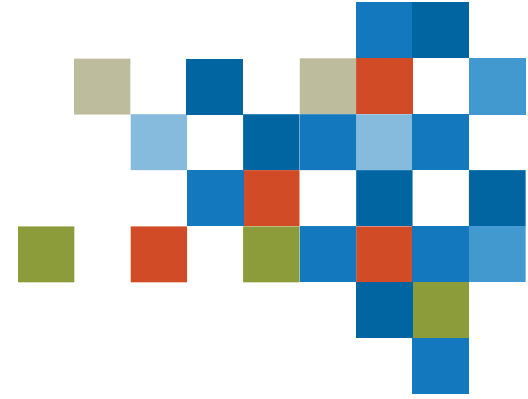


QUESTIONS?



WHAT'S NEXT

- Future releases – expected timeline:
 - August 2024
 - November 2024
 - February 2025
- Upcoming regulatory projects with SEDAR+ impact:
 - Modernization of the Prospectus Filing Model for Investment Funds
 - Amendments to Well-Known Seasoned Issuer Program



Q&A