

SEDAR+ QUICK GUIDE FOR INVESTMENT FUND MANAGERS AND THEIR FILING AGENTS

**For simplified and long form prospectus with a large number of
investment funds**

Last modified: March 18, 2024

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Overview

SEDAR+ is the new system that all market participants use to file, disclose and search for issuer information in Canada's capital markets. When SEDAR+ launched on July 25, 2023, it consolidated and replaced SEDAR, the Cease Trade Order (CTO) database, the Disciplined List (DL) database and certain filings currently made in paper or in the British Columbia Securities Commission's eServices system and the Ontario Securities Commission's electronic filing portal. SEDAR+ also includes a consolidated reporting issuers list from all provincial and territorial regulators.

Please review the [Investment Fund Filings Experience Guide](#) for an overview of key differences between the legacy system and SEDAR+.

Self-guided support for Investment Fund Managers and their Filing Agents

Since the launch of SEDAR+, the CSA has proactively reached out to Investment fund managers (or their agents) to assist and support in the creation and submission of prospectus filings for Investment Fund Groups (IFGs) with large numbers of funds.

This guide will be useful to organizations that are creating a new simplified or long form prospectus filing or adding new submissions to an existing prospectus for Investment Fund Groups (IFGs) with large numbers of funds and/or a large number of Classes and Series per fund.

For additional help, please visit the [SEDAR+ Help Centre](#) for "FAQs about prospectus filings" and "[When should I create a new filing vs. maintain an existing filing?](#)".

After reviewing this document, if you have additional questions, please contact the [CSA Service Desk](#).

Summary requirements for simplified prospectus filings in SEDAR+

Pre-requisites

Investment Fund Manager or Filing Agent

- [Register to file \(gain filing access\) to SEDAR+](#)
- Set up a Pre-authorized Debit (PAD account) in SEDAR+.
- Request/receive authority over an existing Investment Fund Manager profile.
- If the Investment Fund Manager profile does not exist, create an Investment Fund Manager profile.
- Link Investment Fund Group profile to Investment Fund Manager profile.
- If the Investment Fund Group profile does not exist, create an Investment Fund Group profile.
- If preparing to maintain an existing filing: check and confirm authority over the prospectus filing.
- If no authority, request/receive authority over the filing.
- Email the principal regulator before creating the prospectus filing to let them know that you are filing a prospectus for a large number of funds.

Create a new simplified prospectus filing

- A new filing must be submitted for no more than 20 funds at a time.
EXAMPLE: If there are 100 funds in the investment fund group then you must create 5 new prospectus filings of 20 funds each. Do not create the first filing of 20 funds and then maintain that filing by adding subsequent funds.
- Classes or Series must be added to each fund listed in the “Investment funds included in the submission” under the “Sub-type and documents” section of the filing. (Classes or Series must be added to the “Working list of classes or Series offered via prospectus” in the group profile if it’s not already in the list.)
- All documents must be attached in the first filing. Only the ‘clean’ documents need to be attached in subsequent submissions.
Note: If there are a large number of documents to submit, attach the ‘clean’ documents under submission 1, the ‘blacklined’ prospectus documents under submission 2, the ‘clean’ fund facts or ETF facts under submission 3 and the ‘blacklined’ fund facts or ETF facts under submission 4.
- The system fee is paid on the first filing only.
- To avoid overpayment of system fees, a system fee exception code(s) must be added when submitting the second and subsequent filings.

-
- Please contact the CSA Service Desk to obtain system fee exception codes before you start filing. (The codes are generally provided within one to two business days.)
-

Maintain an existing simplified prospectus filing (adding new submissions)

- The existing filing must be maintained to add a new filing submission for no more than 20 funds at a time.
IMPORTANT: You must submit the first submission with 20 funds before creating the next filing with the next batch of funds. Do not create multiple drafts for the filing as this will cause submission errors.
- All documents must be attached in the first submission being added. Only the 'clean' documents need to be attached in subsequent submissions.

Scenario I: Create a New Simplified Prospectus Filing

IMPORTANT:

A new filing must be submitted for no more than 20 funds at a time.

- Classes or Series must be added to each fund listed in the “Investment funds included in the submission” under the “Sub-type and documents” section of the filing. (Classes or Series must be added to the “Working list of Classes or Series offered via prospectus” in the group profile if it’s not already in the list.)

All documents must be attached with the first filing.

- Only the 'clean' documents need to be attached in subsequent filings.

The system fee must be paid on the first filing only.

- To avoid overpayment of system fees, a system fee exception code must be added when submitting the second and subsequent filings.
- Please contact the CSA Service Desk to obtain the system fee exception codes before you start filing. The turnaround time for fee exception codes is 24 – 48 business hours.

Steps to create a new prospectus filing in SEDAR+

Filer Dashboard: Your profiles

Authorized Super User (ASU) or Authorized User (AU) filing login is required.

- On the Filer Dashboard, click on the “Your profiles” tab.
- Search for the Investment Fund Group (IFG) profile and select it.

NOTE: If the IFG profile does not display on “Your profiles” tab, you can access the profile by going to “Menu”, selecting “Search”, then selecting “Profiles”.

Menu

SEDAR+

Français

Sue Agent

Dashboard

Welcome

Your profiles

Profiles you are watching

Drafts

Submitted work

Print

Your profiles

test

Displaying 1-4 of 4 results

Export

Name	Principal jurisdiction	Number	Type
INDIVIDUAL Tester Anna		000108652	Third Party Filer - individual
Test - Test IFM		000109937	Third Party Filer - organization
Test-Test Invest. Fund. Group	Ontario	000109939	Investment fund group
Test-Test Investment Fund Investment fund group	Ontario	000109940	Investment fund
Test-Test Invest. Fund. Group			

Displaying 1-4 of 4 results

Actions: Filings: Securities Offerings

While viewing the IFG profile, click on “Actions”, then under the “Filings” header, click on “Securities Offerings”.

Menu

SEDAR+

Français

Sue Agent

Test-Test Invest. Fund. Group (000109939)

Print

Investment fund group detailsFilingsRecord of actionAuthorization

On this page

Documents

Profile details

Contact details

Reporting issuer details

Investment funds

Securities

Associated entities

Actions

Documents

[Search and download documents for this profile](#)

Profile details

Profile number

000109939

Status

Public

Investment fund group name in English

Test-Test Invest. Fund. Group

Investment fund manager

[Test - Test IFM \(000109937\)](#)
20 Queen Street West, Toronto, M9N 0S8

Profile created by

Sue Agent (MH_CanadaAgency) on 20 Sep 2023 17:04 EDT

Profile last modified by

Sue Agent (MH_CanadaAgency) on 20 Sep 2023 17:56 EDT

Actions

Maintain

[Maintain investment fund group profile](#)

[Add and maintain investment funds in a group](#)

Filings

[Exempt market offerings](#)

[Securities offerings](#)

[Applications, pre-filings and waivers](#)

[Continuous disclosure](#)

[Third party filings and securities acquisitions](#)

Authority

[Request filing authority](#)

Create simplified prospectus (NI 81-101)

Click on the link that lists the required filing type. In this example “Create simplified prospectus (NI 81-101)” is selected.

Your progress: Contact details

Complete filing contact details.
Click “Save and continue”.

Your progress: Agencies

Agencies and Principal Regulator are pre-populated from the IFG profile. If needed, you can adjust the selection.

Once done, click “Save and continue”.

SEDAR+

Test-Test Invest. Fund. Group (000109939)
Securities offerings

Before you get started

You are creating a securities offerings filing. At any time, you can 'Save' the form and continue or return to com [Drafts](#) tab on your Dashboard. Throughout the process, you can navigate through sections, but all information otherwise.

Please refer to [Help Centre](#) for further details.

Securities offerings

- [Create simplified prospectus \(NI 81-101\)](#)
- [Create long form prospectus \(NI 41-101\)](#)
- [Create prospectus - distribution outside Québec \(QC sec. 12 Act\)](#)
- [Create NI 44-101 notice of intent](#)
- [Create other filing - security offerings](#)

[Exit](#)

SEDAR+

Test-Test Invest. Fund. Group (000109939)
Create simplified prospectus (NI 81-101)
Expires in: 90 calendar days on 19 Dec 2023 17:48 EST

Step 1 of 9
Contact details

Who is the main contact for this filing?

☐ I am the main contact ☐ Someone else

Do you want to add another contact for this filing?

☐ Yes ☐ No

[Save and continue](#) [Save](#)

[Exit](#)

Your progress

- [1. Contact details](#)
- [2. Agencies](#)
- [3. Investment funds in this filing](#)
- [4. Sub-type and documents](#)
- [5. Submission details](#)
- [6. Documents incorporated by reference](#)

SEDAR+

Test-Test Invest. Fund. Group (000109939)
Create simplified prospectus (NI 81-101)
Expires in: 90 calendar days on 19 Dec 2023 17:52 EST

Step 2 of 9
Agencies

Recipient agencies

The jurisdictions from the profile have been selected by default. Please review and validate.

☐ All provinces and territories of Canada

☒ All provinces of Canada

☒ Alberta

☒ British Columbia

☒ Manitoba

☒ New Brunswick

☒ Newfoundland and Labrador

☒ Northwest Territories

☒ Nova Scotia

☒ Nunavut

☒ Ontario

☒ Prince Edward Island

[Save and continue](#) [Save](#)

[Exit](#)

Your progress

- [1. Contact details](#)
- [2. Agencies](#)
- [3. Investment funds in this filing](#)
- [4. Sub-type and documents](#)
- [5. Submission details](#)
- [6. Documents incorporated by reference](#)
- [7. Associated persons](#)
- [8. Fee attributes](#)
- [9. Review and submit](#)

Test-Test Invest. Fund. Group (000109939)
Create simplified prospectus (NI 81-101)
Expires in: 90 calendar days on 19 Dec 2023 17:52 EST
Print

Step 3 of 9
Investment funds in this filing

Select the investment funds applicable to this filing
When you deselect or remove an investment fund from this list, both the fund and any of its associated details will also be removed
☒ Select all funds
☒ Test-Test Investment Fund (000109940)

Save and continue
Save
Exit

Your progress
1. Contact details ✓
2. Agencies ✓
3. Investment funds in this filing ✓
4. Sub-type and documents ✓
5. Submission details ⚠
6. Documents incorporated by reference

Your progress: Investment funds in this filing (select up to 20 funds)

Select the first 20 funds that are in the prospectus.

IMPORTANT: Take note of the last fund selected during your first batch of 20 selection so you will know where to start for your next filing.

Click “Save and continue”.

Select the investment funds included in this submission
Select all funds if this submission pertains to all of the funds in the filing. Select specific fund(s) if this submission pertains only to a specific fund or funds in the filing. At least one fund must be selected.
☒ Select all funds
☒ Test-Test Investment Fund (000109940)

Classes or series offered via prospectus
[Not Provided]
Edit

Comments
Explain if there is other unique information related to this prospectus.

Document uploads
☒ Cover letter
Cover letter
You can upload document(s) in .pdf format.
SEDAR+ TEST doc.pdf
Remove
Drag and drop here to upload, or browse files.
☒ Preliminary simplified prospectus
Add document details

Preliminary simplified prospectus
Edit Remove
Grouping ID
HRD7
Date of the preliminary prospectus
25 Sep 2023
Preliminary simplified prospectus - English
Test data Upload - Copy (7).pdf
Preliminary simplified prospectus - French
Test data Upload - Copy (7).pdf

Your progress
1. Contact details ✓
2. Agencies ✓
3. Investment funds in this filing ✓
4. Sub-type and documents
5. Submission details
6. Documents incorporated by reference
7. Associated persons
8. Fee attributes
9. Review and submit

Select Filing sub-type

Select the filing subtype: If Preliminary sub-type is selected, answer the question “Are you filing a separate prospectus ...” as applicable to you.

SEDAR+ Français Sue Agent

Test-Test Invest. Fund. Group (000109939)
Create simplified prospectus (NI 81-101)
 Expires in: 89 calendar days on 24 Dec 2023 17:00 EST

Step 4 of 9
 Sub-type and documents

Filing sub-type
 Preliminary

Are you filing a separate prospectus for the class/series of the fund/s that is/are not currently offered in another prospectus?
 If 'Yes' is selected, the IF Profile will be updated with new classes and series indicated in the prospectus upon Final receipt. If 'No' is selected, the IF Profile will be updated to only contain the classes and series indicated in the prospectus upon Final receipt (classes and series information on the Profile may be removed if not included in the final prospectus).
 No (refresh)

Your progress

1. [Contact details](#) ✓
2. [Agencies](#) ✓
3. [Investment funds in this filing](#) ✓
4. **Sub-type and documents** ⚠
5. [Submission details](#)
6. [Documents incorporated by reference](#)

Your progress: Sub-type and documents

- Click “Select all funds” to include the 20 funds.
IMPORTANT: Classes and Series of securities in each fund offered in the prospectus should be included. If not included, add the Classes and Series by clicking “Edit” on the right side and selecting the applicable Classes or Series from the pop-up list.
- Select document types and attach documents.
NOTE: *Blacklined documents are only required on the first filing.
- Click “Save and continue”.

Select the investment funds included in this submission
 Select all funds if this submission pertains to all of the funds in the filing. Select specific fund(s) if this submission pertains only to a specific fund or funds in the filing. At least one fund must be selected.

☒ Select all funds
☒ Test-Test Investment Fund (000109940)

Classes or series offered via prospectus [Not Provided] [Edit](#)

Comments
 Explain if there is other unique information related to this prospectus.

Document uploads

☒ Cover letter
 You can upload document(s) in .pdf format.
[SEDAR+ TEST doc.pdf](#) [Remove](#)

☒ Preliminary simplified prospectus
[Add document details](#)

Preliminary simplified prospectus [Edit](#) [Remove](#)

Grouping ID	HRD7
Date of the preliminary prospectus	25 Sep 2023
Preliminary simplified prospectus - English	Test_data Upload - Copy (7).pdf
Preliminary simplified prospectus - French	Test_data Upload - Copy (7).pdf

Your progress

1. [Contact details](#) ✓
2. [Agencies](#) ✓
3. [Investment funds in this filing](#) ✓
4. **Sub-type and documents**
5. [Submission details](#)
6. [Documents incorporated by reference](#)
7. [Associated persons](#)
8. [Fee attributes](#)
9. [Review and submit](#)

Your progress: Submission details

Complete the following, as applicable.

- Type of distribution
- Type of securities
- Related application/Related pre-filing
- Requesting relief
- Click “Save and continue”.

Type of securities
Please select at least one value for "Type of securities"

☒ Units (UNT)
☒ Shares (SHR)
☐ Preferred shares (PRS)
☐ Limited partnership units (LPU)
☐ Other (OTH)

Related application (if applicable)
If there is an existing related application or waiver application that you want to relate to this filing, add it here.
[Add related application](#)

Related pre-filing (if applicable)
[Add related pre-filing](#)

Requesting relief to be evidenced by receipt?
"Requesting relief to be evidenced by receipt?" must be selected.
☐ Yes ☐ No

[Save and continue](#) [Save](#)

[Exit](#)

Your progress

1. [Contact details](#) ✓
2. [Agencies](#) ✓
3. [Investment funds in this filing](#) ✓
4. [Sub-type and documents](#) ✓
5. [Submission details](#) ⚠
6. [Documents incorporated by reference](#)
7. [Associated persons](#)
8. [Fee attributes](#)
9. [Review and submit](#)

Your progress: Documents incorporated by reference.

NOTE: Documents incorporated by reference are not required to be attached for an investment fund group.

Click “Save and continue”.

Test-Test Invest. Fund. Group (000109939)
Create simplified prospectus (NI 81-101)
Expires in: 90 calendar days on 19 Dec 2023 17:52 EST

Step 6 of 9
Documents incorporated by reference

Incorporate by reference a previous document (if applicable)
[Reference a previously filed document](#)

[Save and continue](#) [Save](#)

[Exit](#)

Your progress

1. [Contact details](#) ✓
2. [Agencies](#) ✓
3. [Investment funds in this filing](#) ✓
4. [Sub-type and documents](#) ✓
5. [Submission details](#) ✓
6. [Documents incorporated by reference](#)
7. [Associated persons](#)
8. [Fee attributes](#)
9. [Review and submit](#)

Your progress: Associated persons

Complete, as applicable.

Click “Save and continue”.

Test-Test Invest. Fund. Group (000109939)
Create simplified prospectus (NI 81-101)
Expires in: 89 calendar days on 24 Dec 2023 17:00 EST

Step 7 of 9
Associated persons

Is there an underwriter/agent?

Promoter
The IFM is the promoter
Test - Test IFM (000109937)

[Save and continue](#) [Save](#)

[Exit](#)

Your progress

1. [Contact details](#) ✓
2. [Agencies](#) ✓
3. [Investment funds in this filing](#) ✓
4. [Sub-type and documents](#) ✓
5. [Submission details](#) ✓
6. [Documents incorporated by reference](#) ✓
7. [Associated persons](#)
8. [Fee attributes](#)
9. [Review and submit](#)

Your progress: Fee attributes

In the Fee attributes section, enter '0' (zero) in every field.

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Test-Test Invest. Fund. Group (000109939)
Create simplified prospectus (NI 81-101)
Expires in: 89 calendar days on 24 Dec 2023 17:00 EST

Print

Step 8 of 9
Fee attributes

To complete fee calculations, provide additional details below

Filing sub-type

Preliminary

Preliminary simplified prospectus (HRD7)

[Test data Upload - Copy \(7\).pdf](#)
[Test data Upload - Copy \(7\).pdf](#)

Preliminary simplified prospectus (HRD7)

Issuer

Test-Test Investment Fund

Number of Fee Tier Classes (NB Blanket Order 11-507)

Save and continue

Save

Exit

Your progress

1. Contact details

2. Agencies

3. Investment funds in this filing

4. Sub-type and documents

5. Submission details

6. Documents incorporated by reference

7. Associated persons

8. Fee attributes

9. Review and submit

Your progress: Review and submit

Documents incorporated by reference

Complete

Make changes

Incorporate by reference a previous document

[Not Provided]

Associated persons

Complete

Make changes

Underwriter/agent

No

Promoter

The IFM is the promoter
Test - Test IFM (000109937)

Fee attributes

Complete

Make changes

To complete fee calculations, provide additional details below

Filing sub-type

Preliminary

Preliminary simplified prospectus (HRD7)

[Test data Upload - Copy \(7\).pdf](#)
[Test data Upload - Copy \(7\).pdf](#)

Preliminary simplified prospectus (HRD7)

Issuer

Test-Test Investment Fund

Number of Fee Tier Classes (NB Blanket Order 11-507)

0

Submit

Save

Exit

Your progress

1. Contact details

2. Agencies

3. Investment funds in this filing

4. Sub-type and documents

5. Submission details

6. Documents incorporated by reference

7. Associated persons

8. Fee attributes

9. Review and submit

Submit

Click on “Submit”.

NOTE: Fees calculate automatically and are displayed on the Fee Summary page.

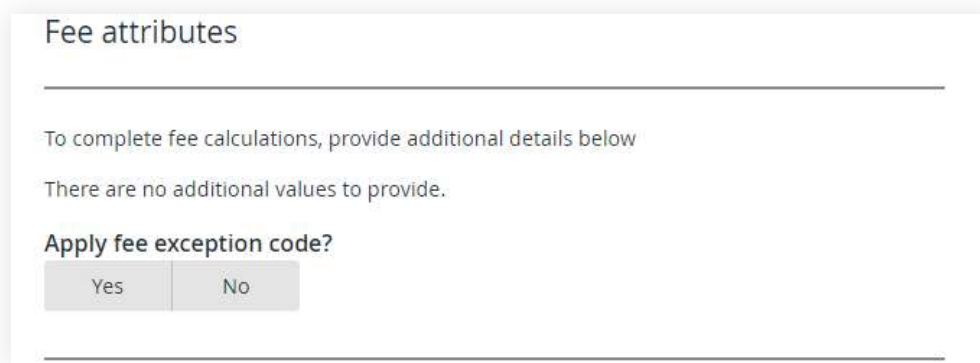
IMPORTANT:

Filing #1 - the system fees calculated must be paid.

To avoid overpaying system fees, the second and all subsequent filings require a system fee exception code for each of these filings (as the system fee was already paid when filing #1 was submitted).

1. Contact the CSA Service desk to request system fee exception codes.
2. Enter the fee exception code on the fee attribute page for subsequent submissions.

Please see image below for reference.



The image shows a screenshot of a web form titled "Fee attributes". Below the title is a horizontal line. The text "To complete fee calculations, provide additional details below" is displayed. Below this, it says "There are no additional values to provide." At the bottom, there is a section titled "Apply fee exception code?" with two buttons: "Yes" and "No".

Pay and submit

From the 'Fee summary and payment' page, select 'Pay and Submit' to submit the filing immediately.

Payment details

Currency
Canadian Dollar (CAD)

Amount
\$22,089.20

Client Reference (if applicable)

Payment Method

Account Transaction Details

Payment of the amounts set out above will be debited pursuant to the SEDAR+ Pre-Authorized Debit Authorization Form that has been submitted by the Electronic Filer in respect of which you are a user (the "Electronic Filer PAD").

By clicking the pay and submit button below, you:

(i) represent and warrant that you have the authority to authorize debit payments, in accordance with the Electronic Filer PAD, from the Electronic Filer Bank Account set out in the Electronic Filer PAD;

(ii) consent and agree to the payment of the amounts set out above to the applicable Payee(s) (as defined in the Electronic Filer PAD); and

(iii) authorize the applicable Payee(s) (as defined in the Electronic Filer PAD) to debit such amounts, in accordance with the Electronic Filer PAD, from the Electronic Filer Bank Account set out in the Electronic Filer PAD.

EFT Account
XXXXX

[Pay and Submit](#)

ⓘ If you select 'Exit', you can choose to review the filing or to discard it.

[Exit](#)

NOTE: Regulatory fees and system fees are now calculated automatically. If you do not wish to submit the filing immediately, you can:

- Click on "Exit", and a notification screen will be displayed.
- Click "Return to filing", and the filing page will be displayed.
- From "Your Progress" section on the right, click the "Review and submit" link. Scroll to the bottom of the page and click "Save."
- The filing will automatically be saved to draft.
- To review / submit filing, go to "Draft", identify the right filing, and click "Continue".

Repeat the above steps for the next set of filing(s). Please make sure to select no more than 20 funds per filing.

IMPORTANT: For each set of funds, create a new filing rather than maintaining the first filing and adding a new submission.

Scenario 2: Maintain an Existing Prospectus Filing

IMPORTANT:

- Check the pre-requisites and complete all required steps before maintaining the existing prospectus filing.
- The existing filing must be maintained to add a new filing submission for no more than 20 funds at a time.

Filings: Filing number and filing type

Logged in as the user (ASU or AU), go to Search Filings > enter the Filing Number > Click on the filing type link (e.g. “Simplified Prospectus”)

The screenshot shows the SEDAR+ search results page. At the top, there is a 'Submission date' dropdown menu set to '-- Please select --'. Below it is a 'Show advanced search' link and a 'Search' button. The search results section displays 'Displaying 1-1 of 1 results'. A table lists the search results with columns: Profile type, Profile, Filing, Filing Sub-Type, Submissions, Principal jurisdiction from profile, and Reporting issuer. The first result is for 'Investment fund group' with profile 'Test-Test Invest. Fund, Group (000109939)' and filing 'Simplified Prospectus (NI 81-101) (06008477)'. The 'Submissions' column shows a list of actions: 'Maintain simplified prospectus (NI 81-101) - 00000003 (20 Sep 2023 06:28 EDT)', 'Maintain simplified prospectus (NI 81-101) - 00000002 (20 Sep 2023 06:22 EDT)', and 'Create simplified prospectus (NI 81-101) - 00000001 (20 Sep 2023 06:21 EDT)'. An 'Export' button is located at the top right of the table.

Filing details: Actions

View the Filing details page and click on the “Actions” link.

The screenshot shows the SEDAR+ filing details page for 'Test-Test Invest. Fund, Group (000109939)' and 'Simplified Prospectus NI 81-101 (06008477)'. The page has a blue header with the SEDAR+ logo and a 'Menu' button. Below the header, there is a navigation bar with links: 'Filing details', 'Submissions', 'Submitted documents', 'Authorization', and 'Public documents'. The 'Filing details' link is active. The main content area shows 'On this page' with a list of links: 'Contact details', 'Agencies', 'Investment funds in this filing', 'Submission details', 'Documents incorporated by reference', 'Associated persons', and 'Actions'. The 'Actions' link is highlighted with a red box.

Maintain Filing

Click on the “Maintain filing” link

The screenshot shows the 'Actions' page for the filing. It has a blue header with the SEDAR+ logo and a 'Menu' button. Below the header, there is a navigation bar with links: 'Filing details', 'Submissions', 'Submitted documents', 'Authorization', and 'Public documents'. The 'Filing details' link is active. The main content area shows 'On this page' with a list of links: 'Contact details', 'Agencies', 'Investment funds in this filing', 'Submission details', 'Documents incorporated by reference', 'Associated persons', and 'Actions'. The 'Actions' link is highlighted with a red box. Below the list of links, there is a section titled 'Authority' with a link 'Grant filing authority for a filing'. Below that, there is a section titled 'Maintain' with a link 'Maintain filing' highlighted with a red box. Below that, there is a section titled 'Post formal document' with a link 'Post formal document'. At the bottom of the page, there is an 'Exit' link.

[Investment funds in this filing](#)

✓ Complete

[Make changes](#)

Investment funds applicable to this filing ▼

Test-Test Investment Fund
(000109940)

[Sub-type and documents](#)

✓ Complete

[Make changes](#)

No filing sub-type was selected in this submission.

Filing sub-type [Not Provided]

Personal information form
previously filed [Not Provided]



[Français](#)

Sue Agent

Test-Test Invest. Fund. Group (000109939)

Maintain simplified prospectus NI 81-101 (06008477)

Expires in: 90 calendar days on 25 Dec 2023 21:43 EST

[Print](#)

Investment funds in this filing

Select the investment funds applicable to this filing

When you deselect or remove an investment fund from this list, both the fund and any of its associated details will also be removed

☒ Select all funds

☒ Test-Test Investment Fund (000109940)

[Save and continue](#)

[Cancel](#)

Sub-type and documents

Go to the Sub-type and documents section and click on the “Make changes” button.

NOTE: If selecting Final, funds can be removed but not added.

Sub-type and documents ✓ Complete [Make changes](#)

No filing sub-type was selected in this submission.

Filing sub-type	[Not Provided]
Personal information form previously filed	[Not Provided]

Select the filing sub-type and click “Save and Continue”.

SEDAR+ Français Sue Agent

Test-Test Invest. Fund. Group (000109939)

Maintain simplified prospectus NI 81-101 (06008477) [Print](#)

Expires in: 89 calendar days on 24 Dec 2023 17:00 EST

Sub-type and documents

Filing sub-type (if applicable)

Final

Do all fund(s) have the same final prospectus date?

Yes No

Select the investment funds included in this submission

Select all funds if this submission pertains to all of the funds in the filing. Select specific fund(s) if this submission pertains only to a specific fund or funds in the filing. At least one fund must be selected.

☐ Select all funds

☒ Test-Test Investment Fund (000109940)

Classes or series offered via prospectus	[Not Provided]	Edit
Date of the final prospectus	25 Sep 2023	
Date of the last final prospectus	[Not Available]	

Comments

Explain if there is any change in the number of funds or changes to the class/series from the preliminary, proforma or combined to the filing of final materials in this prospectus.

Select the investment funds included in this submission.

IMPORTANT:

- Select the same funds you selected in the previous step under “Investment funds in this filing” section.
- Ensure the Classes or Series are present for each selected fund.

Attach the required documents. Click “Save and continue”.

Document uploads

☒ Cover letter

Cover letter

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

[SEDAR+ TEST doc.pdf](#)

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☒ Final simplified prospectus

[Add document details](#)

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Final simplified prospectus

Search for existing document grouping or add new?

[Add new](#)

Grouping ID

ENCL

Date of the final prospectus

25 Sep 2023

Final simplified prospectus - English

[SEDAR+ TEST doc.pdf](#)

- ☐ Blacklined final simplified prospectus
- ☐ Final annual information form
- ☐ Blacklined final annual information form
- ☐ Final fund facts
- ☐ Blacklined final fund facts
- ☐ Final ETF facts
- ☐ Blacklined final ETF facts
- ☐ Communication with Exchange
- ☐ Audited statement of financial position
- ☐ Auditors' comfort letter regarding audited financial statements
- ☐ Auditors' consent letter
- ☐ Consent letter(s) of legal counsel

Submit

Click on the Submit button.

SEDAR+ Français Sue Agent

Test-Test Invest. Fund. Group (000109939)
Maintain simplified prospectus NI 81-101 (06008477) Print
Expires in: 89 calendar days on 24 Dec 2023 17:00 EST

Contact details Complete Make changes

Main contact for this filing AGENT, Sue
MH_CanadaAgency
agent
testemail@email.ca

Other contact No

Agencies Complete Make changes

Recipient agencies Alberta, British Columbia, Manitoba, New Brunswick, Newfoundland and Labrador, Northwest Territories, Nova Scotia, Nunavut, Ontario, Prince Edward Island, Québec, Saskatchewan, Yukon

Principal regulator Ontario

Review and submit
This form is complete and can be submitted once you have completed all changes.
If fees are associated with filing, you will be taken to the 'Fee summary and payment' screen, otherwise the filing will be submitted into the System.
Submit Save
[Exit](#)

NOTE: This is not a new “filing”, it is a new submission showing the next submission number in sequence under the previously submitted filing so the filing number will be the same.

Menu **SEDAR+** Français Sue Agent

Test-Test Invest. Fund. Group (000109939)
Simplified Prospectus NI 81-101 (06008477) Print

Filing details Submissions Submitted documents Authorization Public documents

Show search

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Displaying 1-5 of 5 results

Action name	Filing sub-type	Submission number	Submission date	Submitted by	Basket reference	Filing documents
Maintain filing	Final	00000005	26 Sep 2023 22:00 EDT	AGENT, Sue (MH_CanadaAgency)		View

Repeat the above steps

Summary requirements for long form prospectus filings in SEDAR+

Pre-requisites

- The same pre-requisites apply for simplified and long form prospectus. Please see 'Pre-requisites section under "Summary requirements for simplified prospectus filings in SEDAR+"

Create a new long form prospectus filing

- A new filing must be submitted for all the funds.
- Select all applicable funds under the section "Investment funds in this filing"
- Classes or Series must be added to each fund listed in the "Investment funds included in the submission" under the "Sub-type and documents" section of the filing. (Classes or Series must be added to the "Working list of classes or Series offered via prospectus" in the group profile if it's not already in the list.)
- Submit documents separately in the following sequence for each document grouping

Submission 1 – Cover letter

Attach only the cover letter for submission one. The purpose of submitting only a cover letter on the first submission is to ensure that the filing is created in SEDAR+. Note that no fees will be calculated under this submission.

Maintain an existing long form prospectus filing (adding new submissions)

- The existing filing must be maintained to submit the remaining documents.

Submission 2 – Clean prospectus, English and French

Note that fees will be calculated and paid in this submission.

Submission 3 – Blacklined prospectus, English and French

Submission 4 – Clean ETF facts, English and French

Submission 5 – Clean Fund facts, English and French (if applicable)

Submission 6 – Blacklined ETF facts, English and French

Submission 7 – Blacklined Fund facts, English and French (if applicable)

Submission 8 – all other documents except confirmation letter.

Any document that must be submitted for a subset of investment funds in the filing, will have to be submitted before the confirmation letter, which is the last document to be submitted (see submission 9).

Submission 9 – Confirmation letter – ensure that the confirmation letter is the last document that will be submitted. If confirmation letter is not the last document submitted, the principal regulator will ask you to re-submit the Confirmation letter before issuing the final receipt.

IMPORTANT NOTE: If any of the submissions is not completed due to error, you must submit each document separately (example, separate submission for Clean prospectus English and separate submission for Clean prospectus French).