SEDAR+ APRIL 2024 UPDATES Q&A SUMMARY

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

General

Question(s)	Answer
Surprised that releases (and therefore system shutdowns) are scheduled for times when quarterly filings are due for those issuers with Dec 31 year end.	Although SEDAR+ filing activity is minimal on weekends, we recognize there are high-volume filing deadlines toward the end of March. We provided advance notice regarding an update that needed a three day turnaround.
What the date is for in the "Effective date" on the profile section	The 'Effective from' date on the profile refers to the date that the issuer's current name came into effect. The 'Effective up to' date is the date the previous name was in effect until changed.
Could you please advise if there is any escalation email for CSA Service Desk? We have an issue that has been outstanding for 4 months, but unfortunately have not received any reply to our emails.	We followed up with the relevant parties and you will be contacted by the CSA Service Desk management.
We have had issues with SEDAR+ looking for filings such as, technical reports, over 7 years old. We have searched the archive for public documents filed prior to the launch of SEDAR+ but have either not been able to find the document still and/or have experienced major lag with the loading of pages and documents. Have all documents been loaded from SEDAR been migrated over to SEDAR+?	The SEDAR+ repository includes filings and their associated documents submitted on SEDAR since January 01, 2016. Certain filings that are frequently referenced will not be subject to the 7-year limitation and all their SEDAR filings will be available on SEDAR+. Refer to the list of plus 7 years filings on the Help Centre.
We had created a profile in error. Sedar+ has deleted the profile however it still shows up in the	Thank you for your feedback, we will consider that in future updates.

"Your Profiles" list. Can Sedar+ implement so that deleted profiles be completely removed from the list so we do not see deleted profiles?	
Is it possible to have our login password permanently set instead of changing it every 45 days	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.

Fees / Refunds

Question(s)	Answer
I have refunds to be returned from May 2023 and have reached out to the CSA Help Desk every month or so and have been told "it takes time with no timeline available".	Thank you for raising the issue of your refund delays at the recent SEDAR+ webinar. We followed up with the relevant parties and your refund is being processed. If you do not see the refund by the end of May, please contact the CSA Service Desk. We are also investigating the cause of the delays with the intent of preventing similar delays with future refund requests.
I also have SEDAR+ refunds from July 2023. This was due to the credit card service provider duplicating charges. I have reached out to helpdesk and regulators and still waiting for refund.	Thank you for raising the issue of your refund delays at the recent SEDAR+ webinar. We followed up with the relevant parties and your refund is being processed. If you do not see the refund by the end of May, please contact the CSA Service Desk. We are also investigating the cause of the delays with the intent of preventing similar delays with future refund requests.
Why do CSA refunds take so long? Because there's a 24-48hr wait for exception codes, we sometimes have no choice to but file and request refund. However, I still have refunds from July 2023 still outstanding with no updates available	Thank you for raising the issue of your refund delays at the recent SEDAR+ webinar. We followed up with the relevant parties and your refund is being processed. If you do not see the refund by the end of May, please contact the CSA Service Desk. We are also investigating the cause of the delays with the intent of preventing similar delays with future refund requests.
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?
For the fees, consider generating a "0" fee page that would reassure before filing.	Thank you for your feedback, we will consider that in future updates.

Question(s)	Answer
Is there a way that we can see what the fees are before getting the end of the filing.	Thank you for your feedback. We are investigating ways to improve how to view the fee calculations before submitting.
Will the SEDAR+ fee breakdown reflect the CSA SEDAR fees guide? It does not seem as if they are calculating the fees similarly.	Thank you for your feedback. We are currently working on updating the legacy CSA Fee Guide to reflect the current fees in SEDAR+. This update should be completed by the end of June.
Will the CSA fee guide be updated regularly? I think that is more effective and reliable than the Excel filing inventory sheet because that guide actually states the amount of the fee, not just that there is one.	Thank you for your feedback. We are currently working on updating the legacy CSA Fee Guide to reflect the current fees in SEDAR+. This update should be completed by the end of June.

Search

Question(s)	Answer
The Search feature in the Drafts tab has never worked as it should. The user needs to wait for a dropdown to appear after typing in the issuer name. This dropdown rarely appears. In the rare cases that it does, it appears after waiting two minutes or more.	Please ensure you click on the magnifying glass symbol or press Enter when using the search feature in the drafts tab.
Will you be updating the search feature to do Boolean searches?	When using the document content search feature, selecting either the 'All of the search terms' or 'Any of the search terms' relates to using AND or OR operator between each search term entered.
Will there be an update to search parameters for Submitted Work. It would be helpful to do searches by to and from dates.	Thank you for the suggestion, we will consider that in future updates.

Reports of Exempt Distribution (RED)

Question(s)	Answer
How can I generate draft report of exempt distribution document(s) that can be changed prior to submission?	On step 15 'Review and submit', select 'Save and continue' to proceed to step 16 'Review generated documents'. Select the box to generate the documents and then select 'Generate documents'. Click on the generated forms to download for review. Select 'Exit' (**Do Not** click 'Submit' or 'Save'). Click on the SEDAR+ logo to return to your dashboard where you can reopen the filing from your Drafts list. Make your changes by going to the 'Review and submit' section. Then regenerate the document(s) and proceed to submit your filing.
Do you have a timeframe for when the commissions section for filing 45-106F1 will be fixed, it has always been glitchy but right now we cannot file as it only keeps one compensation in Item 8.	We are assessing the issue and are prioritizing its resolution. We will share more information as it becomes available.
It would be helpful to provide information and status updates regarding large known issues (such as the issue with compensation in Form 45-106F1) on the SEDAR+ page of the CSA website so we are aware of issues that are known and when it is expected to be resolved. We can then share this with issuers wanting a formal update/statement.	Thank you for your feedback. We will consider how to offer such information in the future.
For amended 45-106F1 filings, I noticed that the system becomes really slow and it takes forever to load each page in the 45-106 project. I also noticed this with amended prospectus. Is this something SEDAR+ is aware of and are there any possible fixes?	We are assessing the issue and are prioritizing its resolution. We will share more information as it becomes available.
Form 45-106F1 filings regarding unique identifier number for OSC late fees to add to	The OSC and BCSC provided a unique identifier number for issuers that filed reports of exempt distribution (RED) on their local systems and now are filing in SEDAR+. This identification

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profile, is there an equivalent number we get from ASC?	number provides a cross reference for the OSC and BCSC late fee calculations. As RED filings to the ASC were submitted in the legacy SEDAR system, these filings were migrated to SEDAR+ under the issuer's SEDAR profile number so a separate unique identifier number is not required.
It is almost never possible to get the address just by typing it in. We almost always have to enter manually.	Thank you for your feedback. We are working to resolve this known system error.
Consider improving the processing time for certain filings, such as amendments. A RED amendment to simply add a recipient agency took over 40 minutes to prepare. Which is far too long.	We are assessing the issue and are prioritizing its resolution. We will share more information as it becomes available.
Are there any plans to allow the Director/Officer/Promoter information to be pulled from a previously filed Form 45-106F1 (if there is one) so we don't have to re-enter every time? **(This was available pre SEDAR+ as part of filing BCSC reports, it asked if you wanted to populate with the information from the last filed report).**	Thank you for your feedback, we will consider that in future updates.
I sometimes have to search the NRD numbers multiple times before the system actually saves the information.	Please try this functionality since a resolution to this issue was implemented on April 7, 2024.
Previous names of entities auto-populate on Report of Exempt Distribution filings where the previous name was over 12 months as per the requirement of the form. Why are these previous names auto-populating when the name change was well over 12 months prior to the filing? I have submitted this to the help desk many times and have yet to	Thank you for your feedback, we will consider that in future updates.

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receive a response nor has the issue been rectified.	
If we change the effective date on the profile, will SEDAR+ put the "old name" in the report of exempt distribution filings?	The effective date on the profile is displayed if the issuer's name has changed. The 'old name' would display on the profile with an 'effective up to' date. The current name would then have an 'effective from' date. The RED filing would display the 'old name'.
Form 72-503 - you cannot put a security description. Is this going to be updated?	Thank you for your feedback, we will consider that in future updates.
The Review page for REDs does not include the commission details.	The ‘Information about this filing’ section at the top of the Review page includes the ‘select recipient jurisdiction(s)’ section.

Filings

Question(s)	Answer
Have the timing out issues for fund filings been fixed yet?	We are assessing the issue and are prioritizing its resolution. We will share more information as it becomes available.
Please provide or link to instructions on how to complete a prospectus filing for a large number of funds?	The 'SEDAR+ Quick guide for IFMs and their filing agents' can be found in our Guides and Resources page on the Help Centre.
In prospectus filings, when entering documents incorporated by reference, which can be numerous, why do I need to search per filing number, instead of searching for multiple filing numbers simultaneously.	Thank you for your feedback, we will consider that in future updates.
Is it possible to file secured or locked documents on SEDAR+?	SEDAR+ does not allow secured or locked documents to be submitted.
Is there some contemplation by SEDAR+ to consolidate certain projects? I.E. Interim Financials or Annual Financials? So you have to prepare multiple filings for what is essentially one project. It would be nice if you could just upload the financials, MD&A and Certificates in one go instead of each being filed separately. **Also, the fee forms from AB and ON, you used to upload completed forms and now you have to enter the data. Can this be amended at some point so that you can just upload those documents again?**	Regarding the consolidation of certain filings, that system change is dependent upon the CSA regulators changing their requirements. The fee forms are required for data analysis purposes by the regulators and the participation fee forms will remain as web forms.
When we choose the issuer and the filing type, why can't all the profile information automatically get ported in, rather than having to answer the same questions over and over, particularly with respect to filing FS, MD&A and Certifications - this should really just be able to be done on ONE filing	Thank you for your feedback, we will consider that in future updates.

Question(s)	Answer
where we can complete different pages/sections. The redundancy is very frustrating particularly for agents where hundreds of filings of this nature are being done per month.	
Will there be an update to the system so we can generate a draft of the participation fee forms? It would be helpful to be able to print the participation fee forms to be able to send for review/approval (very common for Filing Agents).	Thank you for your feedback, we will consider that in future updates.
The old system had a guide we could find online that would tell us step by step how to make a filing and where documents should be filed. This document is no longer online. Can something similar be created foe ease of use. The excel spreadsheet I could find is not particularly helpful compared to the previous guide.	We have videos regarding how to create various filing types; please refer to our Learning Centre. If you would like further assistance, please contact the CSA Service Desk.
How can we find the Filing Number?	Public users are not able to view the filing numbers, but a registered user can view the filing number for SEDAR+ filings you didn't complete and profiles you don't have authority for. You must be logged in and then view the filings under the profile for the issuer.
If we have drafts setup and there is a Sedar+ server update, will this impact drafts. In the old system, drafts were void when there was an update.	Drafts will not be deleted after a system update; they will be saved for 90 days regardless of any new release in SEDAR+
After submitting a filing, you need to navigate through several screens to find the page where you can print the submission details. Can a button/link be added on the Confirmation page?	Thank you for the suggestion, we will consider that in future updates.

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After the release of April 7th I am not able to use drafts that I create on SEDAR+. For certain filings I am only file if it is a new project and not a draft project	We are assessing the issue and are prioritizing its resolution. We will share more information as it becomes available.
My drafts were impacted; I did not contact the Service Desk but just did another filing	Please contact the CSA Service Desk to report the issue that you are experiencing so your issue is also considered in the resolution.
When doing a new prospectus filing where we need to link documents incorporated by reference, can we link documents incorporated by reference that we did not previously file?	If the document is public, you do not need to have authority over the issuer and the related filing.
There should always be a CONFIRM before filing.	Thank you for the suggestion, we will consider that in future updates.
Filings have "Save and Continue" and right next to it, "Save". Confusing, and no explanation on differences.	Selecting 'Save and Continue' will save the entered information and move you to the next page in the filing process. Selecting 'Save' will also save the entered information but you will remain on the current page.
Would it help if we send you screen recordings of our major issues we are finding?	You are welcome to send suggestions or any issues (please include screenshots) with using the SEDAR+ application to the CSA Service Desk.
When entering the dates for the reporting periods in the fee forms, the page jumps to the top and delays the process - can a fix be implemented for this issue?	Thank you for raising this issue. We have forwarded your concern to the CSA Service Desk for investigation.
You can print the generated copy of the participation fee form from your filing confirmation page, but I note that the numbers in it don't use commas so that the numbers don't read easily	Thank you for raising this issue. We have forwarded your concern to the CSA Service Desk for investigation.

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Certain filing types (prospectus and tech reports specifically) are very slow to go through setting up a filing and to actually file - sometimes it seems like it takes as long to file as it did when SEDAR was first introduced (1997). Will this change in the future?	Thank you for raising this issue. We have forwarded your concern to the CSA Service Desk for investigation.
Sometimes when we provide the URL link, it takes you to the issuer profile and not the document. Is there a fix in the works for this?	Thank you for raising this issue. We have forwarded your concern to the CSA Service Desk for investigation.
Unfortunately, referring to the filing inventory does not always help to know which documents will charge a fee as the SEDAR+ system will generate fees that are not supposed to be generated e.g. in cases where it thinks documents incorporated by reference are part of the current filing	Thank you for raising this issue. We have forwarded your concern to the CSA Service Desk for investigation.
We have a few clients who regularly file interim Q4s and are incorrectly prompted for late fees, since the Q4 is voluntary. Will a workaround be implemented for this? Waiting 24 - 48 hours is not feasible in these cases.	The regulators must collect fees that align with their Rules. Please reach out to obtain fee exception codes as early as possible in advance of voluntary Q4 filings.
When filing a confidential prefiling of a preliminary prospectus for a private company, a SEDAR+ profile will have to be created for the private company in order to file the confidential prefiling with the principal regulator. We understand the prefiling materials remain private & confidential, however the issue is that once the SEDAR+ profile is created it will be public, which can give rise to a number of potentially prejudicial outcomes, including from a public relations, internal	We are working on rolling out a process to enroll private profiles that would be used in the instance of an IPO.

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communications, & competitiveness perspective. We understand that the actual prefiling will be private, however, if someone were to search the company name or part of the company name on SEDAR+ a profile will appear even though it will not have any filings attached to it. Market participants will be able to determine that an IPO is probable (which undermines a key benefit of a confidential prefiling, namely, that the market is unaware of it). Can profiles be created so they remain private in this type of situation?	