



INSTRUCTIONS ON COMPLETING THE SEDAR+  
FILING AGENT AUTHORIZATION FORM (FAAF)

January 2023

To be considered valid for SEDAR+ onboarding in advance of launch, all submitted legal agreements must be:

- signed by the authorized signatory or signatories (such as by having the signatory or signatories insert their signature image(s) or [using the Fill & Sign tool to easily fill, sign, and send your forms or documents electronically](#));
- less than 8 MB in size; and,
- use the relevant file naming convention, outlined below.

The legal agreements **cannot** be:

- a PDF document that is a scan or images of printed page;
- a PDF document that is created by using the ‘print to PDF’ feature;

## File naming convention

**S** = subscriber number of self-filer or filing agent

**ISS** = issuer number

**NRD** = NRD number

Replace the highlighted text with the relevant number.

Scenario	Electronic Filer Agreement	Filing Agent Authorization Agreement
Self-filing issuer or filing agent subscriber	EFA_S_99999.pdf	n/a
Corporate issuer agreements submitted by a filing agent	EFA_S_99999_ISS_55555.PDF	FAAF_S_99999_ISS_55555.PDF
Investment fund issuer agreements submitted by a filing agent	EFA_S_99999_NRD_22222.PDF	FAAF_S_99999_NRD_22222.PDF

Legal agreements cannot be signed with DocuSign during the streamlined pre-launch Onboarding process, which automates the extraction of data from the fillable PDFs. The data in DocuSign files is locked and cannot be extracted.

Similarly, PDF document cannot be created by using the ‘print to PDF’ feature.

The agreements must use one of the following:

- [Fill and sign functionality](#) that saves the agreement as a PDF
- Insertion of a signature image, then save the agreement as a PDF

1. If a Filer wishes to authorize a Filing Agent to complete an Electronic Filer Agreement (EFA) on behalf of the Filer, or to use and make filings on behalf of the Filer through SEDAR+, a **Filing Agent Authorization Form (FAAF)**, that has been completed and duly executed by the Agent Authorizing Representative of the Filer, must be submitted.
2. The FAAF may be filed in English or in French. In Québec, the Agent Authorizing Representative of the Filer must comply with linguistic rights and obligations prescribed by Québec law.
3. You should read each section of the FAAF carefully.
4. *Section 1*: Provide the requested information about the Filer. The Filer may be an Individual or an Organization. An Organization is any entity that is not an individual.
5. *Section 2*: Provide the name of the Filer's Agent Authorizing Representative who is submitting the FAAF. If the FAAF is being submitted in connection with a Filing Agent's submission of an Electronic Filer Agreement (EFA) on behalf of the Filer, this Agent Authorizing Representative must be the same individual as the Filer's Authorized Representative identified in Section 4 of Part A of the EFA (and, for certainty, not a representative of the Filing Agent).
6. *Section 3*: Provide the requested information about the Filing Agent. The Filing Agent may be an Individual or an Organization. An Organization is any entity that is not an individual. Note that the Filing Agent must have already been onboarded to SEDAR+, i.e., they must have submitted an EFA on their own behalf to access and use SEDAR+.
7. *Section 4*: Select the areas of activity for which the Filing Agent is being authorized to use and make filings on behalf of the Filer through SEDAR+. This authorization will apply to any of the Filing Agent's users at the time a filing is made through SEDAR+. This authorization is non-exclusive, and the Filer may grant authorization to more than one Filing Agent at a time. If the Filer wishes to authorize a Filing Agent to complete the EFA on behalf of the Filer it must ensure that it, at a minimum, selects the first box under Section 4.
8. *Signature*: The FAAF must be signed by the Filer's Agent Authorizing Representative. If the FAAF is being submitted in connection with a Filing Agent's submission of an Electronic Filer Agreement (EFA) on behalf of the Filer, this Agent Authorizing Representative must be the same individual as the Filer's Authorized Representative identified in Section 4 of Part A of the EFA (and, for certainty, not a representative of the Filing Agent).

Provide the requested information about the Filer. The Filer may be an Individual or an Organization. An Organization is any entity that is not an individual.

1. Name of filer (the "Filer"):

If organization	Full legal name:			System Identifier
If individual	Family name:	First given name:	Secondary given names:	System Identifier

- For a Filer that is a **Company or Third-Party Filer**: Populate with SEDAR Issuer Number.
- For a Filer that is an **Investment Fund Manager**: Populate with the investment fund NRD Number.

Provide the name of the Filer's Agent Authorizing Representative who is submitting the FAAF. If the FAAF is being submitted in connection with a Filing Agent's submission of an EFA on behalf of the Filer, this Agent Authorizing Representative must be the same individual as the Filer's Authorized Representative identified in Section 4 of Part A of the EFA (and, for certainty, not a representative of the Filing Agent).

2. Name of the Filer's Agent Authorizing Representative that is submitting and authorizing this form. If this form is being submitted in connection with a Filing Agent executing an Electronic Filer Agreement on behalf of the Filer, this Agent Authorizing Representative must be the same individual as the Filer's Authorized Representative (as identified in the Electronic Filer Agreement):

Family name:	First given name:	Secondary given names:
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Provide the requested information about the Filing Agent. The Filing Agent may be an Individual or an Organization. An Organization is any entity that is not an individual. Note that the Filing Agent must have already been onboarded to SEDAR+, i.e., they must have submitted an EFA on their own behalf to access and use SEDAR+.

3. Name of filing agent (the "Filing Agent"):

If organization	Full legal name:			System Identifier
	Family name:	First given name:	Secondary given names:	System Identifier
If individual				

- Populate with the Filing Agent's SEDAR Subscriber Number.

Select the areas of activity for which the Filing Agent is being authorized to use and make filings on behalf of the Filer through SEDAR+. This authorization will apply to any of the Filing Agent’s users at the time a filing is made through SEDAR+. This authorization is non-exclusive, and the Filer may grant authorization to more than one Filing Agent at a time. If the Filer wishes to authorize a Filing Agent to complete the EFA on behalf of the Filer it must ensure that it, at a minimum, selects the first box under Section 4.

4. The Filer hereby authorizes the Filing Agent to use and make filings on behalf of the Filer through SEDAR+ from the date the authorization is implemented as described under “Processing and Validation” below until notice to the contrary is received by the ASC in regards to the following areas of activity (for a list of filings and their related document types and access levels, please see the SEDAR+ Filing Inventory found at <https://sedarplus.ca/onlinehelp/sedar-plus/filings/create-view-or-maintain-a-filing/>):

<ul style="list-style-type: none"> <li>(i) Sign the Electronic Filer Agreement on behalf of Filer, and</li> <li>(ii) Provide consent to the Alberta Securities Commission (the “ASC”), on behalf of the Authorized Representative and Authorized Super User, for the ASC (whether through itself or its designee) to take such steps as the ASC may determine to validate the Authorized Representative and Authorized Super User to the ASC’s satisfaction (including validation of their identity which may include a credit check). This includes consent to use the information provided under Part A of the Electronic Filer Agreement, any additional information subsequently requested by the ASC, and any other information available to the ASC.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Updates to Filer Profile</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Securities Offerings</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Continuous Disclosure</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Applications</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Exempt Market Offerings</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Third Party Filings and Securities Acquisitions</li> </ul>	<input type="checkbox"/>

The FAAF must be signed by the Filer's Agent Authorizing Representative. If the FAAF is being submitted in connection with a Filing Agent's submission of an EFA on behalf of the Filer, this Agent Authorizing Representative must be the same individual as the Filer's Authorized Representative identified in Section 4 of Part A of the EFA (and, for certainty, not a representative of the Filing Agent).

5. This authorization applies to any of the Filing Agent's users at the time a filing is made through SEDAR+.
6. This authorization is non-exclusive and the Filer may grant authorization to more than one Filing Agent at a time.

#### Processing and validation

This form may be subject to further processing and validation. Accordingly, there may be a delay between the time you submit this form and time that the authorizations made under this form are given effect in SEDAR+.

In witness whereof, a duly authorized representative of the Filer executes this authorization form. If I use an electronic signature to sign below, I consent to the use of this electronic signature and acknowledge that it has the same effect as if I were signing with pen and paper.

*Name:* \_\_\_\_\_  
*Title:* \_\_\_\_\_

Date Signed: \_\_\_\_\_

\_\_\_\_\_  
Signature of Agent Authorizing Representative



1. The Filer can use the **Filing Agent Authorization Form: Modification or Revocation of Authorization** to -
  - (i) **Option 1: Modify** (including to add or remove) the types of authorized activities for a Filing Agent that has been previously authorized to use and make filings on behalf of the Filer through SEDAR+; or
  - (ii) **Option 2: Revoke** the authorization for a Filing Agent that has been previously authorized to use and make filings on behalf of the Filer through SEDAR+
2. The Filing Agent Authorization Form: Modification or Revocation of Authorization may be filed in English or in French. In Québec, the Agent Authorizing Representative of the Filer must comply with linguistic rights and obligations prescribed by Québec law.
3. You should read each section of the Filing Agent Authorization Form: Modification or Revocation of Authorization carefully.
4. Selection either **Option 1: Modify** or **Option 2: Revoke**.
5. *Section 1*: Provide the requested information about the Filer. The Filer may be an Individual or an Organization. An Organization is any entity that is not an individual.
6. *Section 2*: Provide the name of the Filer's Agent Authorizing Representative who is submitting the Filing Agent Authorization Form: Modification or Revocation of Authorization.
7. *Section 3*: Provide the requested information about the Filing Agent. The Filing Agent may be an Individual or an Organization. An Organization is any entity that is not an individual.
8. If the Filer selected **Option 1: Modify**, complete Section 4 by selecting the areas of activity that will replace the Filing Agent's current authorized areas of activity. This authorization will apply to any of the Filing Agent's users at the time a filing is made through SEDAR+. This authorization is non-exclusive, and the Filer may grant authorization to more than one Filing Agent at a time.
9. If the Filer selected **Option 2: Revoke**, skip Section 4; please note Section 7.
10. *Signature*: The Filing Agent Authorization Form: Modification or Revocation of Authorization is to be signed by the Agent Authorizing Representative of the Filer.