

FILER TRAINING- USER ACCESS MANAGEMENT  
APRIL 27TH, 2023

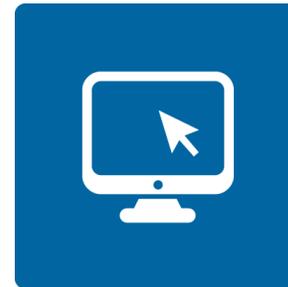


# I. SESSION INTRODUCTION

Filer Training

# WELCOME!

*A few items before we begin...*





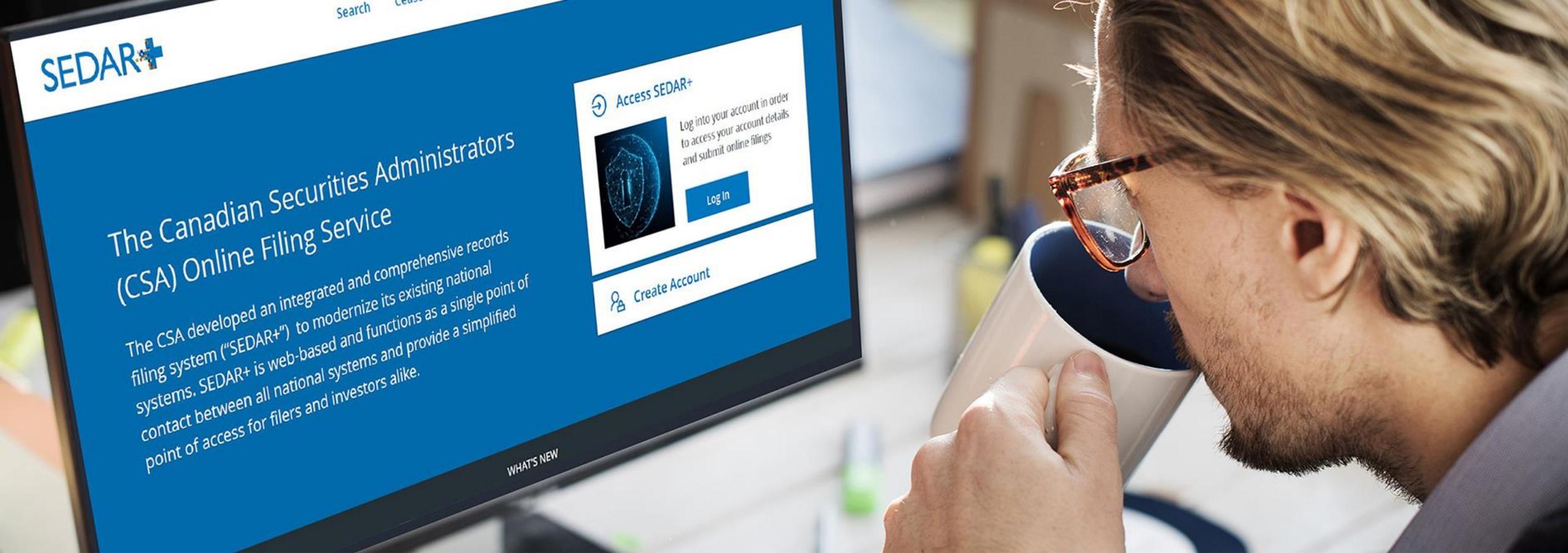
# LEARNING OBJECTIVES

- User access management: new concept to allow access to the SEDAR+ application
- Understand the difference between users, their roles and permissions to help equip you to assign and grant user access to your staff
- Walkthrough of the User Roles table:
  - Role vs Security group selection vs system functionality
- Setting up users in SEDAR+
- Requesting your access to SEDAR+
- Pre-Authorized Debit accounts (PAD): understanding what is a PAD, who is authorized and can manage the account

**1: Session Introduction (5 min)**



**2: SEDAR+ User Access Management (60 min)**



### 3. USER ACCESS MANAGEMENT



# USER ACCESS MANAGEMENT

As with current SEDAR, users of the system will have an organization account (formerly 'subscriber' account) with their staff user accounts ('userid's') associated to that organization account.

SEDAR+ is designed with self-service in mind.

User access management is the creation and management of user and organization accounts, including account details, passwords and permissions.

## SEDAR+ Roles (account types):

### Authorized Super User (ASU):

- Has ability to create and manage other users
- Authority to transmit electronic filings and pay the associated fees on behalf of an electronic filer
- Authority to reset passwords for other users

### Authorized User (AU):

- an individual who is authorized by an electronic filer to access and use SEDAR+ on behalf of an electronic filer
- Depending on their permissions assigned by the ASU, AU also has authority to transmit electronic filings and pay the associated fees on behalf of an electronic filer



# AUTHORITY MANAGEMENT

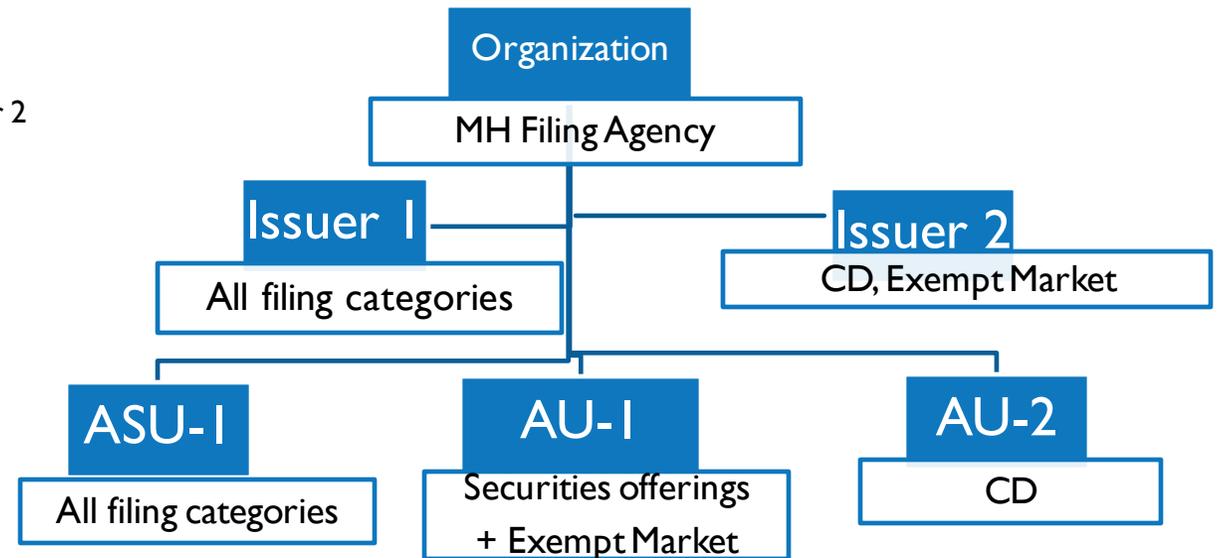
SEDAR+ provides additional permissions vs SEDAR where each user account can be assigned all or a subset of filing authority

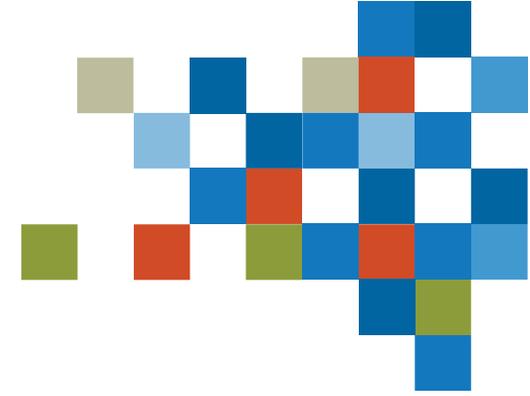
In order to file on SEDAR+, the system performs a three level validation:

- 1) validates that the organization has authority over the filer's **profile**
- 2) validates the organization has authority over the **filing category**
- 3) validates the **user's account** authority.

# AUTHORITY HIERARCHY

- MH Filing Agency has authority over Issuer 1 and Issuer 2
  - ASU-1, AU-2 and AU-3 are users of MH Filing Agency and will inherit the organization's authority over Issuer 1 and Issuer 2
    - You do not need to assign each user to each issuer
    - User filing permissions can be set up to allow for the user to file some or all filing categories for these issuers
- ASU-1 can file
  - All filing categories for Issuer 1
  - Continuous Disclosure (CD) and Exempt Market filings for Issuer 2
- AU-1 can file
  - Securities Offerings & Exempt Market filings for Issuer 1
  - Exempt Market filings for Issuer 2
- AU-2 can file
  - CD filings for Issuer 1
  - CD filings for Issuer 2





QUESTIONS?





# USER PERMISSIONS

SEDAR+ provides additional permissions vs SEDAR where each user account can be assigned all or a subset of authority

- Permissions establish what you can see and do in SEDAR+
- First ASU that is provided in the organization's EFA will have 'complete' authority and able to create other users:
  - Can create additional ASUs
  - Can create AUs with a subset of authority
    - i.e. Ahmed may only have permission to make exempt market filings whereas Tanya may have permission to make securities and exempt market filings
    - Users with the **same** permissions will be able to view and submit drafts started by another user

# ROLE AND PERMISSIONS

- i.e. Ahmed's AU user account setup:

## Role and permissions

### Role

Authorized User

### Available Security Groups

Search

- Authority over users within organization for AU
- Authority over creation and maintenance of party profile for AU
- Authority over continuous disclosure filings
- Authority over securities offerings filings
- Authority over applications, pre-filings and waivers
- Authority over third party filings and securities

Add →

← Remove

Remove All

### Assigned security groups

Search

- Authority over creation and maintenance of party profile for AU
- Authority over exempt market offerings
- Authority over payment

The User Role spreadsheet can help you determine in advance of June 13 the user roles and permissions to assign to your organization's users

- Once SEDAR+ is launched, your organization's 'first' ASU (provided in your EFA) will be able to create user accounts based on your users noted in your User Role spreadsheet
- Create additional ASU(s) and then each ASU can create AU accounts as necessary



# REQUEST ACCESS TO SEDAR+

Organizations that did not participate in the Onboarding process will be required to register online via SEDAR+:

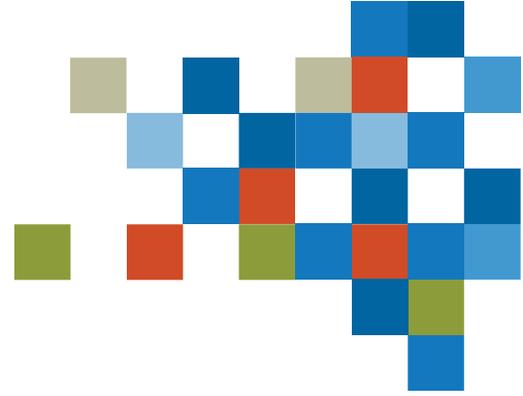
- Submit their organization and ASU details and attach their EFA.
- Once validated and approved by the CSA Service Desk, the ASU will receive an email with a link to complete their user setup.
- ASU can then create new users and setup their PAD account

# USER ROLES

Workbook to identify and map users to their role/ security groups

- Record the SEDAR+ username assigned by the system on creation of user account and send email to user with their username
- User will receive a SEDAR+ email with their one time password link to access SEDAR+ and complete their account setup
  - (username will not be included in the SEDAR+ email for security reasons as the email contains a one time password link)

SEDAR+				Each user in your filing organization must be assigned one (1) User Type and at least one (1) filing permission.								
				There is no limit to the number of ASUs or AUs an ASU can create, however they must each have a unique email address.								
User Type	Role	Security Group	System functionality	User 1	User 2	User 3	User 4	User 5	User 6	User 7	User 8	User 9
Authorized Super User	ASU with complete authority	Complete authority for user within organization (no other security groups required to be selected)	<ul style="list-style-type: none"> <li>• create/maintain all filing types</li> <li>• create/maintain PAD account</li> <li>• pay via credit card</li> <li>• view payment transactions</li> <li>• view authority over a profile</li> <li>• grant authority over a profile or filing</li> <li>• create/maintain all profile types</li> <li>• maintain organization account</li> <li>• search for users</li> <li>• create/maintain users (ASU and AU)</li> <li>• transfer investment funds between Investment fund managers</li> <li>• reset passwords for other users</li> </ul>									
Authorized Super User	Authorized Super User with a subset of authority	Authority over users within organization for ASU *If not an 'ASU with complete authority', must select 'Authority over users within organization' with any	<ul style="list-style-type: none"> <li>• maintain organization account</li> <li>• search for users</li> <li>• create/maintain users (ASU and AU)</li> <li>• reset passwords for other users</li> </ul>									



QUESTIONS?





## 4. PRE-AUTHORIZED DEBIT (PAD) ACCOUNT



# PRE-AUTHORIZED DEBIT (PAD) ACCOUNT

SEDAR+ will use two of the most commonly used payment methods: Electronic Funds Transfer (EFT) for all fees and credit card (an option only for Report of Exempt Distribution or RED filings).

After launch, each organization will set up a [single pre-authorized debit \(PAD\)](#) account on their SEDAR+ account. Since filing fees must be paid when the filing is submitted, each SEDAR+ account must have one PAD account on file to submit their first filing.

- If your organization is only submitting RED filings and will pay via credit card, a PAD is not required.
- The more costly Electronic Data Interchange (EDI) financial system payment process will not be used with SEDAR+.

# PRE AUTHORIZED DEBIT (PAD) ACCOUNT

An ASU with 'complete' authority has access to enter your organization's bank account details are entered directly on SEDAR+

ASU selects your organization's other ASUs and AUs who are able to view and maintain the PAD account and then selects the users who are able to pay from the bank account

Authorization

Who is authorized to maintain the account details?

A restricted group of the Account owne... ▾

+ Add account authority

ⓘ You must add at least 1.

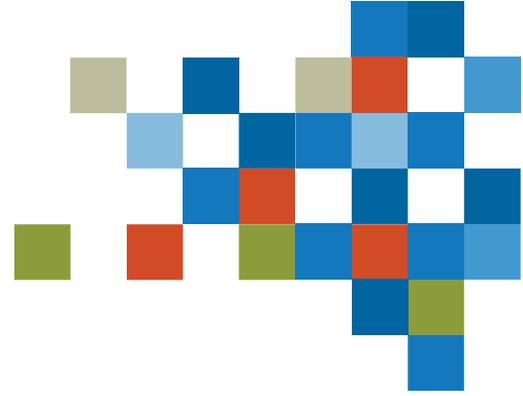
Who is authorized to pay from this account?

Select the Organization Users that can use this Account to pay fees for services. These Users will not be able to maintain this Account. To give a User the ability to maintain this Account you must add them to the list of authorized Users.

A restricted group of the Account owne... ▾

+ Add payment authority

ⓘ You must add at least 1.



QUESTIONS?



Website: <https://www.securities-administrators.ca/about-sedar/>

Email: [SEDARPlus.Transition@acvm-csa.ca](mailto:SEDARPlus.Transition@acvm-csa.ca)

Phone: 1-800-219-5381