



Canadian Securities
Administrators

Autorités canadiennes
en valeurs mobilières

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About This Guide

The *SEDAR® Filer User's Guide* explains how filing service subscribers can use the SEDAR system to process filings electronically and perform related tasks.

Assumptions

This guide is written with the following assumptions:

- You are familiar with the securities regulatory process and the national and provincial rules pertaining to the filing of securities documents.
- You have installed SEDAR, complying with the hardware and software requirements.
- You have made arrangements for electronic payment with a Canadian financial institution offering financial electronic data interchange (EDI) services.
- You are familiar with the Windows environment and have the documents to be filed electronically prepared in the acceptable PDF, XML and XLSX format, as described in the *National Instrument* and the *SEDAR Filer Manual*.

SEDAR Documentation

For more information on using SEDAR, consult the following documentation:

- *SEDAR Installation Guide*—Provides step-by-step instructions on installing SEDAR.
- *National Instrument*—Contains the regulations governing electronic filing.
- *SEDAR Filer Manual*—Contains the procedures and guidelines for electronic filing.

Getting Help

If you have problems using SEDAR, select Help for online information. If your specific problem is not addressed, call the CSA Service Desk for assistance at 1-800-219-5381.

Chapter 1

Introduction to SEDAR

Welcome to SEDAR—the System for Electronic Document Analysis and Retrieval. SEDAR is a client-server software application designed to facilitate and enhance the securities filing process in Canada.

SEDAR provides the following services:

- Cost-efficient filing of electronic filings
- Electronic payment of filing fees
- Electronic communication with filing partners, the Canadian Securities Administrators and market centres
- Access to a growing database of information on Canada's issuers.

Prior to SEDAR, issuers filing in more than one jurisdiction had to assemble multiple copies of all necessary securities documents with attached cheques for each agency. SEDAR enables all relevant documents and fees to be electronically assembled and filed to all the desired agencies while the payment instructions are submitted to the financial institutions simultaneously.

SEDAR provides the subscriber with a series of blank electronic forms containing fields for information required by the agencies for filings sent to them. The subscriber fills in the forms and then electronically “attaches” the underlying securities documents and payment instructions to the completed forms for submission.

1.1 Accessing and Exiting SEDAR

The SEDAR main window is the launch point for accessing all modules in SEDAR. Help can be accessed from here as well as from all the other parts of the system. The SEDAR main window has a File menu from which you can select Database Maintenance, Receive Items from SEDAR Server, View Error Log and View Virus Logs.

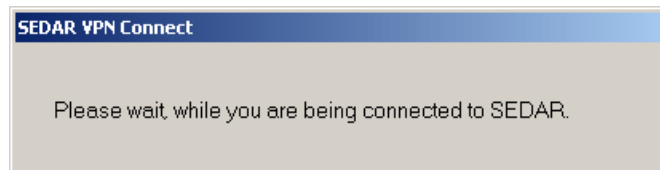
Only one module can be accessed from the main window at a time, except for Customer Assistance and System Information. You cannot close the SEDAR main window until all modules have been closed.

Accessing SEDAR

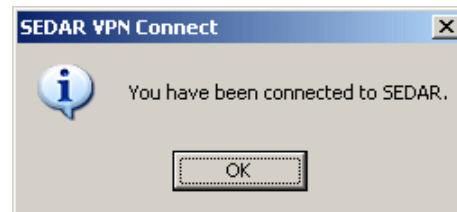
To connect to the SEDAR server:

- If you are using a site-to-site Internet VPN connection, you automatically connect to SEDAR whenever you take an action that requires that you access the server (e.g., refreshing the information in the User Information dialog box).
- If you are using a standard Internet connection (high-speed or dialup), you must open your access to the SEDAR server. On the Start menu, point to Programs, select SEDAR and click VPNConnect.

The following message displays:

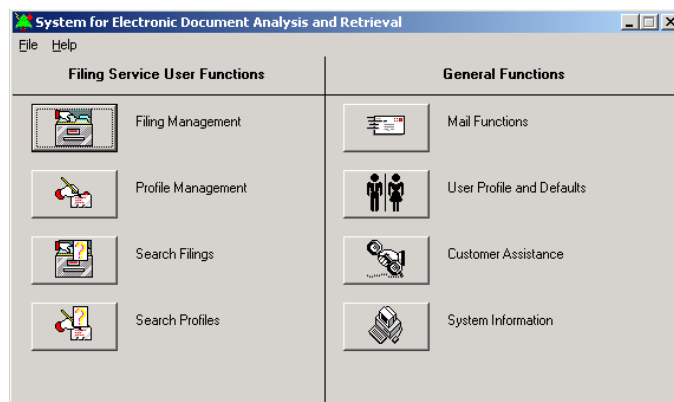


Once connected, the following message displays:



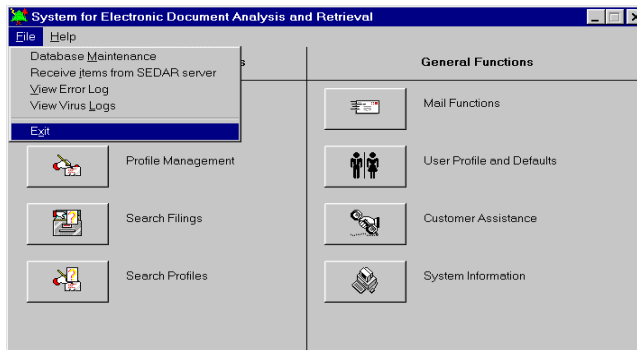
To access SEDAR, for all supported Windows operating systems, on the Start menu, point to Programs, select SEDAR and click SEDAR, or double-click the SEDAR shortcut if you created one.

The SEDAR main window displays.



Exiting SEDAR

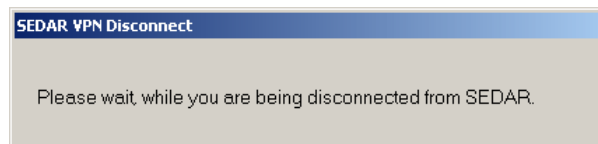
To close SEDAR, on the SEDAR main window, from the File menu select Exit.



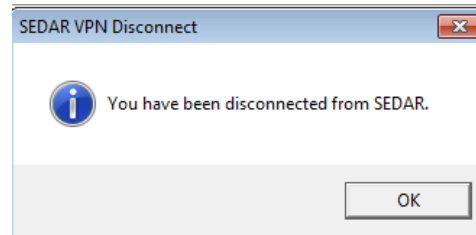
To disconnect from the SEDAR server:

- If you have a site-to-site Internet VPN connection, you are automatically disconnected when you exit SEDAR.
- If you have a standard Internet connection (high-speed or dial), you must disconnect. On the Start menu, point to Programs, select SEDAR and click VPNDISconnect.

The following message displays:



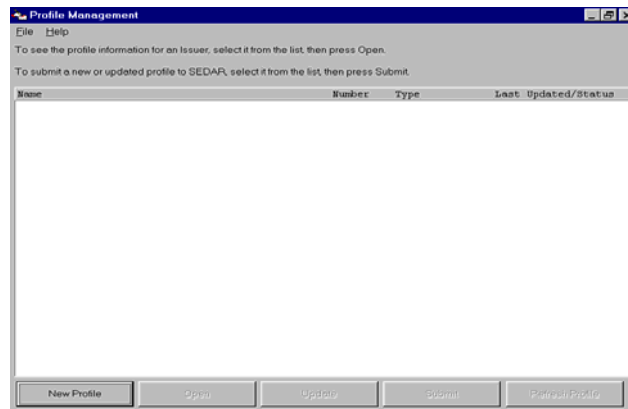
Once disconnected, the following message displays:



1.2 Using SEDAR

SEDAR uses two types of windows:

- A standard window with both pull-down menus and buttons. If both options are available for the same operation, the button method is usually given in this guide. These windows are like this example:



- A type of window that uses the notebook format with tabs like this example:

The screenshot shows a window titled "Investment Fund Group Profile Information - New" with a tabbed interface. The "Name and Manager" tab is selected, and the "Principal Regulator" sub-tab is active. The form contains the following fields and buttons:

- Name Section:**
 - Group Number: [TMP00000]
 - Name (E): [Text Field]
 - Name (F): [Text Field]
- Manager Section:**
 - Name (E): [Text Field]
 - Name (F): [Text Field]
 - Mailing Address: [Text Field]
 - Head Office Address: [Text Field]
- Manager Contact Section:**
 - Contact Name: [Text Field]
 - Telephone: [Text Field] [Text Field]
 - Extension: [Text Field]
 - Fax: [Text Field] [Text Field]

At the bottom of the window, there are four buttons: "Submit", "Save", "Cancel", and "Help".


You can do the following within either window:








- Move between buttons or fields by pressing TAB. SHIFT+TAB moves back to the previous button or field.
- Move within a field using the arrow keys.
- Move between tabs in the notebook type window by clicking the name of the tab at the top of the window.

The Filing Service User Functions are specific to the tasks performed by filing service subscribers in processing electronic filings. The General Functions are common to all SEDAR users. These functions enable informal correspondence and e-mail and provide system- and user-related information.

To read any files that were attached to either a comment letter or a receipt, you must download the files from the SEDAR server and view them using Adobe Acrobat™ Reader. For more information, refer to the *SEDAR Filer Manual*.

The modules on the SEDAR main window are shown and described in the following table.

Click...	To...
 Filing Management	Create and submit filings to the SEDAR server, monitor the status of filings in progress and receive formal correspondence from agencies

Click...	To...
 Profile Management	Create, update and submit filer profiles
 Search Filings	Search for filings in the SEDAR Filings database on the SEDAR server
 Search Profiles	Search for profiles of electronic filers in the SEDAR Filer Profiles database
 Mail Functions	Send and receive files and electronic mail, and create a local address book
 User Profile and Defaults	Set up your user defaults in SEDAR
 Customer Assistance	Find out where to obtain help Obtain hardware and software information
 System Information	

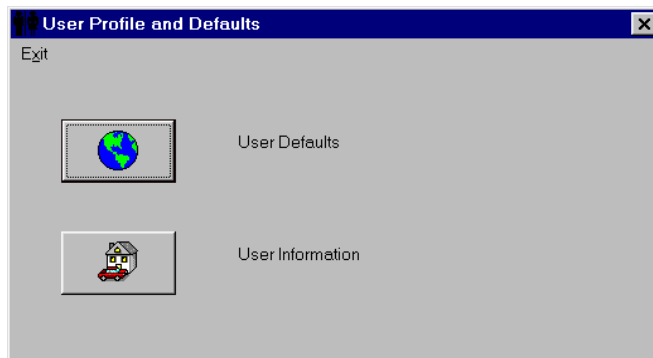
1.3 Setting Up SEDAR

The User Profile and Defaults module enables you to set your user profiles, defaults and preferences.


Setting Your Defaults and Preferences






1. On the SEDAR main menu, click User Profile and Defaults.

The User Profile and Defaults window displays.



2. Click User Defaults. The User Defaults dialog box displays. Set your preferences as described below.

Click...	To...
	Select the date format to appear throughout SEDAR. You must use this format whenever you enter dates

Click...	To...
 Language	Select the language (English or French) for SEDAR
 Login Info	Enter your default user ID and password to add or remove the user ID password prompt. Change your password for the host server
 Default Directory	Specify the directory where PDF files will be stored, and the default directory for attaching files prior to submitting formal correspondence
 Refresh List	Select the default value for: <ul style="list-style-type: none"> the search inquiry function the previous issuers filings retrieval
 Choose Fonts	Select the default font to display the fee information found in the Add/Modify Fees window

- When done, click OK to return to the User Profile and Defaults window.

Entering Your User Information

1. On the User Profile and Defaults window, click User Information.

The User Information dialog box displays.

2. Complete the Name (Last, First) field and all fields in the Mailing Address section. **Note:** The Subject To field indicates the tax status based on the Province/State selected.
3. Select one of the actions shown below.

Click... **To...**

Submit	Send the information to the SEDAR server
Refresh	See the most current information on the server

Click...	To...
Cancel	Return to the User Profile and Defaults window. If you have not submitted the changes, you will see a confirmation message before returning to the window
Help	Obtain online assistance

1.4 Verifying Your Access and Banking Authorization

In the User Profile and Defaults module, verify that the information on your access code and banking account matches what you indicated on SEDAR Form 1 as follows:

1. On the SEDAR main window, click User Profile and Defaults. The User Profile and Defaults window displays.
2. Click User Information.

The User Information dialog box displays.

3. Click Banking Authorization.

The Access and Banking Authorization dialog box displays.

Access and Banking Authorization

Subscriber Number: 11111112 Number of Signatures: 1 OK

CPA Code (FI #Transit #): 0001-00022 Payment Limit: 0.01 Help

Account Number: 1270317

Duns Number:

User ID	Payment Authority	O.S.T.	H.S.T.	Name
cdst0010	Payment Authorization not al	No	No	cdst0010
cdst0020	No authorization limit	No	No	Dimtsis, Steven
cdst0030	Payment Authorization not al	No	No	Janet Cloud - CDN Depository for Securities
cdst0040	Payment Authorization not al	No	No	test
cdst0050	No authorization limit	No	No	Documentation
cdst0060	No authorization limit	No	No	Nora Varga
cdst0080	No authorization limit	No	No	Boyd, Pip
cdst0100	Payment Authorization not al	No	No	Dahms, Jennifer
cdst0101	Payment Authorization not al	No	No	Jail, Mostafa
cdst0120	No authorization limit	No	No	Hanson, Kane

4. Review the information and do one of the following:

- If the information is incorrect, contact the CSA Service Desk for assistance at 1-800-219-5381.
- If the information is correct, click OK to close the Access and Banking Authorization dialog box. The User Information dialog box re-displays.

5. Click either:

- **Cancel**—To return to the User Profile and Defaults window, if you have already sent your user information to SEDAR.

Select Exit. The SEDAR main window displays.

- **Submit**—To send your user information now.

Chapter 2

Maintaining Filer Profiles

2.1 Overview

In order for a filer to submit their documents to the recipient agencies electronically using SEDAR, the filer must first have a filer profile on the SEDAR server. If the filer has not previously submitted documents, a profile must be created and submitted (see “About Filer Profiles”).

If the filer has previously submitted documents electronically through SEDAR, their profile must be retrieved from the SEDAR server and re-used for subsequent filings (see “Searching for Profiles”).

Each document to be included in an electronic filing must be assembled as a separate file and saved in PDF, XML or XLSX as described in the *SEDAR Filer Manual*.

Keeping the documents separate ensures that they can be retrieved individually.

About Filer Profiles

There are four different types of profiles, each of which must be completed by a different category of filer. The four types of profiles are shown below.

Profile type	To be completed and filed by...
Investment Fund Group	Each investment fund group
Investment Fund Issuer	Each investment fund issuer. A profile for the investment fund group that the investment fund issuer belongs to must first be created and submitted
Other Issuer	A non-investment fund issuer
Other Filer	Any electronic filer not covered by the other types

SEDAR assigns each filer profile a profile number. This number uniquely identifies each filer so that filings made by or on behalf of the filer can be tracked by the recipient agencies and the SEDAR server. A temporary number is first assigned to a profile. When the profile is submitted to the server, this number is then replaced with a permanent eight-digit number.

When you create and submit a new profile, it is confidential. Only you, the commissions and the market centres to which you have submitted the electronic filing and the secondary filers you have designated for that filing can view it while it is not public.

A filer profile is private until one of the following situations occurs:

- An agency who received the project makes public any documents in the project.
- The profile is submitted with a continuous disclosure filing for a filer in the Investment Fund Issuer or Other Issuer profile types. Filings in these categories are automatically made public other than the filing types “Other Filings”, “Personal Information Form and Authorization 51-105F3A”, “Personal Information Form and Authorization 51-105F3B” and “For Regulator’s Use Only” as described in the *SEDAR Filer Manual*.
- The profile is submitted with an exempt market offerings and disclosure filing that has an “auto-public” access level
- An electronic filer, or an authorized filing agent acting on their behalf, requests that the filer profile they have filed be made available to the public. For more information, refer to the *SEDAR Filer Manual*.

2.2 Starting a Profile

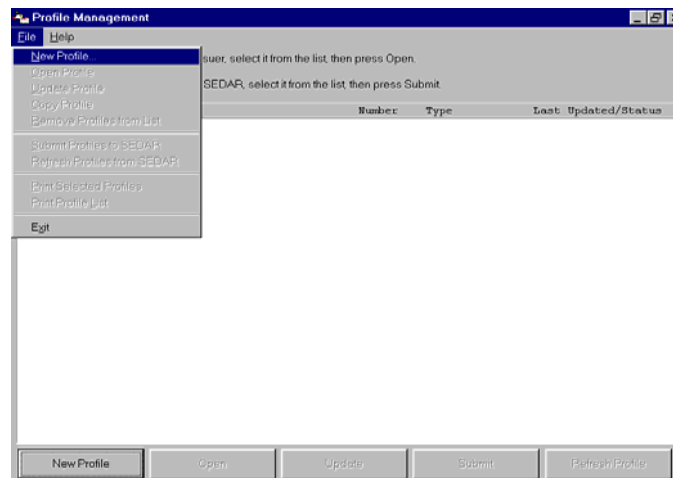
You can create a filer profile by entering prescribed information in electronic fields using the SEDAR Profile Management module. The information entered in the fields is transmitted to the SEDAR server where it is processed and stored in the Filer Profile database.

The profile information becomes accessible to all SEDAR users when any document in a filing containing that profile is made public or when the electronic filer, or a filing agent acting on their behalf, requests that the filer profile be made public. Therefore, it is very important that you make sure that all the information in your filer profile is current before submitting a filing to SEDAR.

The required fields for each profile vary according to the profile type. All fields with italicized names are mandatory and must be filled in as a minimum before the profile can be submitted to the server.

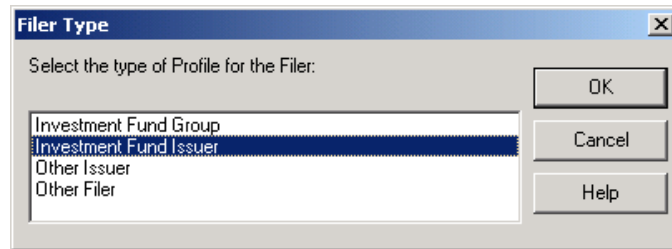
1. On the SEDAR main window, click Profile Management.

The Profile Management window opens, displaying all the profiles residing on your computer.



2. On the File menu, select New Profile or click the New Profile button.

The Filer Type dialog box displays, listing the four profile types.



3. Select a profile type.

Note: For Investment Fund Issuer profiles, you must first submit a profile for the investment fund group to which that investment fund issuer belongs before you can create a profile for an individual issuer.

Note: If there is more than one issuer within an investment fund group, you need to create a filer profile for each issuer. You can save time by using the Copy Profile command on the File menu.

4. Click OK. The [type of filer] Profile Information - New dialog box displays a temporary profile number assigned to the profile.

From this point on, the information required for the profile types varies.

For information on creating a specific profile, see one of the following sections:

- “Creating an Investment Fund Group Profile”
- “Creating an Investment Fund Issuer Profile”
- “Creating an Other Issuer Profile”
- “Creating an Other Filer Profile”

2.3 Creating an Investment Fund Group Profile

Access the Investment Fund Group Profile Information-New dialog box. For more information, see “Starting a Profile”.

1. On the Investment Fund Group Profile Information-New dialog box, click the Name and Manager tab at the top of the dialog box and fill in all mandatory fields.

Investment Fund Group Profile Information - New

Name and Manager | Principal Regulator

Name

Group Number: TMP00000

Name (E):

Name (F):

Manager

Name (E):

Name (F):

Mailing Address

Head Office Address

Manager Contact

Contact Name:

Telephone:

Fax:

Extension:

Submit Save Cancel Help

2. Click Mailing Address.

The Mailing Address dialog box displays.

The dialog box is titled "Investment Fund Group Profile Information - New". It has a tab labeled "Mailing Address". The form contains the following fields:

- Department: [Text Box]
- Street: [Text Box]
- City: [Text Box]
- Province: [Text Box]
- Country: [Text Box] (pre-filled with "Canada")
- Postal Code: [Text Box]
- Telephone: [Text Box] [Text Box]
- Extension: [Text Box]
- Fax: [Text Box] [Text Box]

Buttons: OK, Cancel, Help.

3. Fill in all mandatory fields and click OK when done to return to the Investment Fund Group Profile Information-New dialog box.
4. Click Head Office Address. The Head Office Address dialog box displays.
5. Fill in all mandatory fields and click OK when done to return to the Investment Fund Group Profile Information-New dialog box.
6. Click the Principal Regulator tab and select a principal regulator from the drop-down list. If the issuer is a non-reporting issuer, select "Non-Reporting Issuer".

The dialog box is titled "Investment Fund Group Profile Information - New". It has a tab labeled "Principal Regulator". The form contains the following fields:

- Name and Manager: [Text Box] (pre-filled with "Principal Regulator")
- Select the principal regulator: [Drop-down List]
- Is the basis for determining the principal regulator the location of the head office of the issuer or the mutual fund manager?
 - ☐ Yes
 - ☐ No
- Is the basis for determining the principal regulator an approved change of principal regulator?
 - ☐ Yes
 - ☐ No
- Select the connection for determining the principal regulator. The connecting factors in (e) to (g) of the drop down list below are not relevant for a Canadian issuer.
 - [Drop-down List]

Buttons: Submit, Save, Cancel, Help.

7. If "Non-Reporting Issuer" was selected, go to step 11.

8. Select Yes or No to indicate if the basis for determining the principal regulator is the location of its head office.

If you select Yes, no further action is required. Go to step 11.

If you select No, go to step 9.

9. Select Yes or No to indicate if the basis for determining the principal regulator is the result of an approved change.

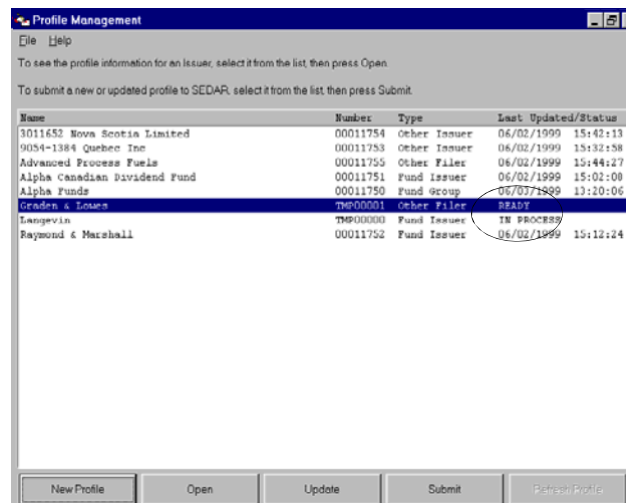
If you select Yes, no further action is required. Go to step 11.

If you select No, go to step 10.

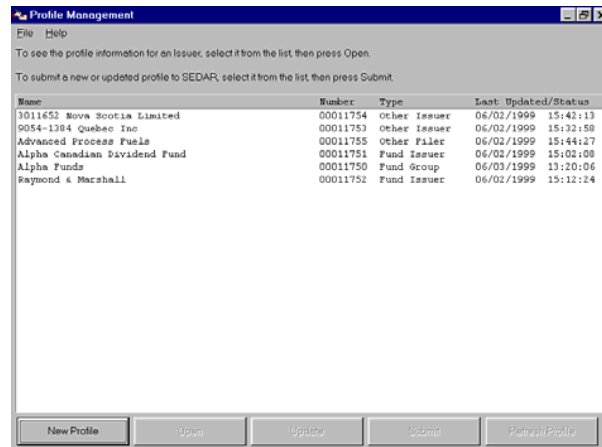
10. Select the connection for determining the principal regulator from the drop-down list.

11. Once you have completed all the mandatory fields, the Submit button becomes available. Do one of the following:

- Click Save to store the profile on your computer for submission at a later time. The Profile Management window displays with the profile listed with a READY status.



- Click Submit to send the profile to the server. Once the profile has been submitted, the Profile Management window displays showing the profile with a permanent profile number assigned to it. The date and time of the submission are also indicated.



2.4 Creating an Investment Fund Issuer Profile

For Investment Fund Issuer profiles, you must first submit a profile for the investment fund group to which that investment fund issuer belongs before you can create a profile for an individual issuer. If you have not already created an Investment Fund Group profile, see “Creating an Investment Fund Group Profile”.

If there is more than one issuer within an investment fund group, you need to create a filer profile for each issuer. You can save time by using the Copy Profile command on the File menu.

Note: If the issuer has selected “Ceased Reporting” in the Jurisdiction where Reporting Issuers field, you cannot use the Copy Profile command to create a filer profile.

If you are not on the Investment Fund Issuer Profile Information-New dialog box, see “Starting a Profile”.

1. On the Investment Fund Issuer Profile Information-New dialog box, click the Name tab at the top of the dialog box and fill in all mandatory fields.

Click Mailing Address and Head Office Address and complete mandatory information

2. Click Mailing Address. The Mailing Address, dialog box displays.

3. Fill in all mandatory fields and click OK when done to return to the Investment Fund Issuer Profile Information - New dialog box.
4. Click Head Office Address. The Head Office Address dialog box displays.
5. Fill in all mandatory fields and click OK when done to return to the Investment Fund Issuer Profile Information - New dialog box.
6. Click the Issuer Details tab and fill in all mandatory fields.

The screenshot shows the 'Investment Fund Issuer Profile Information - New' dialog box with the 'Issuer Details' tab selected. The 'Formation' section includes a dropdown for 'Manner of Formation' (set to 'Corporation'), a date field for 'Date of Formation' (set to '03/12/2004'), and a dropdown for 'Jurisdiction where formed' (set to 'Ontario'). The 'Fund Information' section includes a dropdown for 'Sales Compensation' (set to 'Front end or deferred load charge'), a dropdown for 'Investment Fund Type' (set to 'Balanced'), a date field for 'Financial year end date' (set to '12/31'), and radio buttons for 'Eligible for RRSP?' (set to 'No'). At the bottom are buttons for 'Submit', 'Save', 'Cancel', and 'Help'.

7. Click the Reporting tab and select the jurisdiction where the issuer is a reporting issuer in the list. If the issuer is a non-reporting issuer, select "Non-Reporting Issuer"

If Ceased Reporting is selected, a profile can no longer be used to submit filings or copied for use as a new profile

The screenshot shows the 'Investment Fund Issuer Profile Information - New' dialog box with the 'Reporting' tab selected. The 'Jurisdictions where Reporting Issuer' section contains a list box with the following options: 'Ceased Reporting', 'Non-Reporting Issuer', 'Not Applicable', 'All provinces and territories of Canada', 'British Columbia', 'Alberta', 'Saskatchewan', 'Manitoba', 'Ontario', 'Quebec', 'New Brunswick', 'Nova Scotia', 'Prince Edward Island', 'Newfoundland and Labrador', 'North West Territories', and 'Yukon'. At the bottom are buttons for 'Submit', 'Save', 'Cancel', and 'Help'.

8. Click the External Parties tab and select an item in the list on the left. Enter the required information in the fields on the right. Repeat for every item, then go to step 9.

The screenshot shows the 'Investment Fund Issuer Profile Information - New' window with the 'External Parties' tab selected. On the left, a list of roles is shown: Auditor, Custodian (principal), Distributor (principal), Investment Portfolio Manager, and Trustee. The 'Auditor' role is selected. On the right, there are input fields for the Auditor's information: Name (E), Name (F), Department, Street, City, Province, Country (pre-filled with 'Canada'), Postal Code, Telephone, Extension, and Fax. At the bottom are buttons for Submit, Save, Cancel, and Help.

9. Click the Previous Issuers tab and select the profiles contained in the history of the profile currently being added or updated.

Use this tab to include previous information about an issuer and facilitate your searches in the database

For example, in the case of a merger or amalgamation this tab displays (and is used to select) the issuers that were merged or amalgamated and made it necessary to create this profile

The screenshot shows the same window with the 'Previous Issuers' tab selected. It displays a table with two columns: 'Number' and 'Name'. Below the table are 'Add' and 'Delete' buttons. The bottom navigation buttons (Submit, Save, Cancel, Help) are also visible.

10. Once you have completed all the mandatory fields, the Submit button becomes available. Do one of the following:

- Click Save to store the profile on your computer for submission at a later time. The Profile Management window displays with the profile listed with a READY status.
- Click Submit to send the profile to the server. Once the profile has been submitted, the Profile Management window displays the profile with a permanent profile number assigned to it. The date and time of the submission are also indicated.

2.5 Creating an Other Issuer Profile

1. On the Other Issuer Profile Information - New dialog box, click the Name and Contact tab at the top of the dialog box and fill in all mandatory fields.

Click Mailing Address and Head Office Address and complete mandatory information

Other Issuer Profile Information - New

Name

Profile Number: TMP00001

Name (E):

Name (F):

Issuer Contact

Name:

Telephone: Extension:

Fax: Business e-mail address:

NOTE: This address will be replicated to the issuer's profile on www.sedar.com

2. Click Mailing Address. The Mailing Address, dialog box displays.
3. Fill in all mandatory fields. When done, click OK to return to the Other Issuer Profile Information - New dialog box.

4. Click Head Office Address. The Head Office Address dialog box displays.
5. Fill in all mandatory fields. When done, click OK to return to the Other Issuer Profile Information - New dialog box.
6. Click the Issuer Details tab and fill in all mandatory fields.

The screenshot shows the 'Other Issuer Profile Information - New' dialog box with the 'Issuer Details' tab selected. The dialog has several tabs: 'Name and Contact', 'Issuer Details', 'Reporting and Markets', 'Principal Regulator', 'External Parties', and 'Previous Issuers'. The 'Issuer Details' tab contains two main sections: 'Formation' and 'Other Issuer Information'. The 'Formation' section includes a 'Manner of Formation' dropdown, a 'Date of Formation' text field with a date format '(mm/dd/yyyy)' hint, and a 'Jurisdiction where formed' dropdown. The 'Other Issuer Information' section includes an 'Industry Classification' dropdown, a 'Size of Issuer (Assets)' dropdown, a 'CUSIP Number' text field, a 'Financial year end date' text field with a date format '(mm/dd)' hint, and a 'Short Form Prospectus Issuer?' section with 'Yes' and 'No' radio buttons. At the bottom of the dialog are 'Submit', 'Save', 'Cancel', and 'Help' buttons.

7. Click the Reporting and Markets tab
 - Select the jurisdiction where the issuer is a reporting issuer. If the issuer is a non-reporting issuer, select “Non-Reporting Issuer”
 - Select the jurisdiction where the issuer is an OTC Reporting Issuer
 - Select each stock exchange where the issuer’s securities are listed.

If Ceased Reporting is selected, a profile can no longer be used to submit filings or copied for use as a new profile

If the issuer is listed on a Canadian stock exchange, you must enter the appropriate stock symbol (maximum of 5 uppercase letters)

The screenshot shows the 'Other Issuer Profile Information - New' dialog box with the 'Reporting and Markets' tab selected. The dialog has the same tabs as the previous screenshot. The 'Reporting and Markets' tab contains two main sections: 'Jurisdictions where Reporting Issuers' and 'Stock Exchanges (or Markets)'. The 'Jurisdictions where Reporting Issuers' section includes a text area with instructions: 'Select each of the jurisdictions where the issuer is a reporting issuer. If the issuer is not a reporting issuer, select Non-Reporting Issuer. Select ALL to choose all the jurisdictions or Not Applicable if none apply.' Below this is a list box containing: 'Ceased Reporting', 'Non-Reporting Issuer', 'Not Applicable', 'All provinces and territories of Canada', 'British Columbia', 'Alberta', and 'Saskatchewan'. The 'Stock Exchanges (or Markets)' section includes a text area with instructions: 'Select each stock exchange (or market) where the issuer's securities are listed (or quoted)'. Below this is a list box containing: 'Not Applicable', 'Canada - TSX Venture', 'Canada - NEX', 'Canada - TSX', 'Canada - Aequitas Neo Exchange', 'Canada - CSE', 'Canada - Other', 'US - NYSE', 'US - AMEX', 'US - BSE, CBSE, CSE, Chx, ISE, Phlx, PCX', 'US - NASDAQ', 'US - Other', and 'Mexican'. At the bottom of the dialog is a 'Stock Symbol' text field and the same 'Submit', 'Save', 'Cancel', and 'Help' buttons.

8. Click the Principal Regulator tab and select a principal regulator from the drop-down list. If the issuer is a non-reporting issuer, select “Non-Reporting Issuer”.

The screenshot shows a software window titled "Other Issuer Profile Information - New". It has several tabs: "Name and Contact", "Issuer Details", "Reporting and Markets", "Principal Regulator" (which is selected), "External Parties", and "Previous Issuers".

Under the "Principal Regulator" tab, there is a section titled "Select the principal regulator:" with a drop-down menu. Below this are two questions, each with "Yes" and "No" radio buttons:

- "Is the basis for determining the principal regulator the location of the head office of the issuer or the mutual fund manager?"
- "Is the basis for determining the principal regulator an approved change of principal regulator?"

At the bottom of the form is a section titled "Select the connection for determining the principal regulator. The connecting factors in (e) to (g) of the drop down list below are not relevant for a Canadian issuer" with a drop-down menu. At the very bottom are four buttons: "Submit", "Save", "Cancel", and "Help".

9. If “Non-Reporting Issuer” was selected, go to step 13.

10. Select Yes or No to indicate if the basis for determining the principal regulator is the location of its head office.

If you select Yes, no further action is required. Go to step 13.

If you select No, go to step 11.

11. Select Yes or No to indicate if the basis for determining the principal regulator is the result of an approved change.

If you select Yes, no further action is required. Go to step 13.

If you select No, go to step 12.

12. Select the connection for determining the principal regulator from the drop-down list.
13. Click the External Parties tab and select an item in the list on the left. Enter the required information in the fields on the right. Repeat for every item then go to step 14.

Select every item in this list one after the other and complete the mandatory fields for each one

The screenshot shows a software window titled "Other Issuer Profile Information - New". It has several tabs: "Name and Contact", "Issuer Details", "Reporting and Markets", "Principal Regulator", "External Parties" (which is selected), and "Previous Issuers".

On the left side of the "External Parties" tab, there is a list box containing the following items: "Auditor", "General Partner", and "Transfer Agent". The "Auditor" item is currently selected and highlighted.

On the right side, there is a form titled "Auditor" with the following fields:

- Name (E):
- Name (F):
- Department:
- Street:
- City:
- Province:
- Country: (pre-filled with "Canada")
- Postal Code:
- Telephone: (with a separate field for Extension)
- Fax:

At the bottom of the window, there are four buttons: "Submit", "Save", "Cancel", and "Help".

14. Click the Previous Issuers tab and select the profiles contained in the history of the profile currently being added or updated.

Use this tab to include previous information about an issuer and facilitate your searches in the database

For example, in the case of a merger or amalgamation this tab displays (and is used to select) the issuers that were merged or amalgamated and made it necessary to create this profile

The screenshot shows a software window titled "Other Issuer Profile Information - Update". It features a tabbed interface with the following tabs: "Name and Contact", "Issuer Details", "Reporting and Markets", "Principal Regulator", "External Parties", and "Previous Issuers". The "Previous Issuers" tab is currently active. Within this tab, there is a section titled "Previous Issuer Information" containing a table. The table has two columns: "Number" and "Name". A single entry is visible in the table: "00011758" under "Number" and "Alphabet Issuer" under "Name". To the right of the table are two buttons: "Add" and "Delete". At the bottom of the window, there are four buttons: "Submit", "Save", "Cancel", and "Help".

15. Once you have completed all the mandatory (i.e., italicized) fields, the Submit button becomes available. Do one of the following:
 - Click Save to store the profile on your computer for submission at a later time. The Profile Management window displays with the profile listed with a READY status.

- Click Submit to send the profile to the server. The SEDAR server reviews the profile details to ensure that the stock symbol provided (for Other Issuer profile types only) is not already being used in another Other Issuer's profile. If a message displays indicating that the stock symbol is already in use, the profile update is not submitted and the Last Updated/Status column in the Profile Management window indicates the profile's status as ReSubmit. Click Update, correct the profile's stock symbol and click Submit. The profile cannot be submitted until the stock symbol has been corrected.
- If the message persists, contact the CSA Service Desk for additional assistance at 1-800-219-5381.
- Once the profile has been submitted, the Profile Management window displays, showing the profile with a permanent profile number assigned to it. The date and time of the submission are also indicated.

2.6 Creating an Other Filer Profile

1. On the Other Filer Profile Information - New dialog box, click the Name and Contact tab at the top of the dialog box and fill in all mandatory fields.

Click Head Office Address and complete the mandatory information

The screenshot shows a Windows-style dialog box titled "Other Filer Profile Information - New". It has two tabs: "Name and Contact" (which is active) and "Previous Issues". The "Name" group box contains a "Profile Number" field with the value "TMP00000", and three empty text fields labeled "Name (E)", "Name (F)", and "Head Office Address". The "Other Filer Contact" group box contains a "Contact Name" field, a "Telephone" field (split into area and number), an "Extension" field, and a "Fax" field (split into area and number). At the bottom of the dialog are four buttons: "Submit", "Save", "Cancel", and "Help".

2. Click Head Office Address. The Head Office Address dialog box displays.
3. Fill in all mandatory fields and click OK when done to return to the Other Filer Profile Information - New dialog box.

4. Click the Previous Issuers tab and select the profiles contained in the history of the profile currently being added or updated.

Use this tab to include previous information about an issuer and facilitate your searches in the database

For example, in the case of a merger or amalgamation this tab displays (and is used to select) the issuers that were merged or amalgamated and made it necessary to create this profile

The screenshot shows a software window titled "Other Filer Profile Information - New". It contains two tabs: "Name and Contact" and "Previous Issuers". The "Previous Issuers" tab is selected, displaying a table with two columns: "Number" and "Name". The table is currently empty. To the right of the table are two buttons: "Add" and "Delete". At the bottom of the window, there are four buttons: "Submit", "Save", "Cancel", and "Help".

5. Once you have completed all the mandatory fields, the Submit button becomes available. Do one of the following:
 - Click Save to store the profile on your computer for submission at a later time. The Profile Management window displays with the profile listed with a READY status.
 - Click Submit to send the profile to the server. Once the profile has been submitted, the Profile Management window displays showing the profile with a permanent profile number assigned to it. The date and time of the submission are also indicated.

2.7 Searching for Profiles

The Search Profiles module enables you to retrieve profiles from the SEDAR server by creating and submitting customized inquiries. Once you create an inquiry, you submit it to the server. The server sends back a report listing all profiles that satisfy the search criteria.

The following search tips will help you make your inquiries faster and more effective.

Using Indexed Fields

The SEDAR database contains indexed fields (fields for which an index exists) that allow faster retrieval of data. The database is much like a book. If you are looking for a topic, you turn to the book's index where you see the page number for that topic and you go directly to those pages. If you do not find the topic in the index, you may need to flip through every page of the book to find the topic. Clearly, it takes longer to go through each page of the book than it does to use the index.

Similarly, building inquiries using these indexed fields helps you locate data faster by speeding up the processing time in SEDAR. You build inquiries from the Build Issuer Profile Database Inquiry dialog box.

Only the Investment Fund Group Number and the Profile Number indexed fields are available for profile searches.

When choosing a field that is not indexed, avoid including more than one criterion in the Criteria field (e.g., B.C., British Columbia). Adding more criteria reduces the volume of retrieved data but increases the retrieval time.

Recommended Operators and Criteria

The operators and criteria you select affect whether an index is used to find the data. Use the operators and tips listed in the table below to build inquiries.

Operator	Tips
=	<ul style="list-style-type: none"> • Use the = operator instead of the >=, <=, > or < operators, whenever possible • Whenever possible, select or enter only one criterion for a field that is not indexed. Selecting more than one criterion reduces the volume of data retrieved but increases the time it takes to find the data
Like	<ul style="list-style-type: none"> • Do not place a wildcard character in the first position of a search criteria (for example, *Issuer Name) when using this operator. If a character exists for the field you selected, the index will not list the entry • To reduce the number of projects or profiles being returned and make your inquiry faster, enter as many characters as you can before placing a wildcard character as the last character. Do not place a character after a wildcard • Whenever possible, select or enter only one criterion for a field that is not indexed. Selecting more than one criterion reduces the volume of data retrieved but increases the time it takes to find the data

Using Operators Effectively

Before adding criteria to a profile search inquiry, always specify whether the type of profile you are searching for is one of the following:

- Other Issuer
- Investment Fund Group/Investment Fund Issuer
- Other Filer.

The table below shows the most efficient ways to retrieve information.

To search by...	Use...
Profile number	For the Profile Number field, use the = operator and enter: <ul style="list-style-type: none"> • the profile number excluding the zeros at the beginning of the number. A single profile is retrieved • more than one number separated by semicolons to search on multiple profiles (Note that only public profiles are retrieved)
A filer's full name	For the Issuer/Filer Name, English field, use the = operator and enter the full name of the company Note: Be sure to enter the exact name used when the profile was created or last updated. If you know the profile number, use it instead to reduce the search time
One or more words that the filer's name starts with	For the Issuer/Filer Name, English field, use the Like operator, type in as many of the words in the company name as possible and enter an asterisk (*) as the last character More than one profile may be retrieved, depending on the amount of information you entered in the Criteria field
The industry to which the company belongs	For the Industry Classification of Issuer field, use the = operator and select one of the choices. This reduces the number of profiles retrieved but may increase the retrieval time

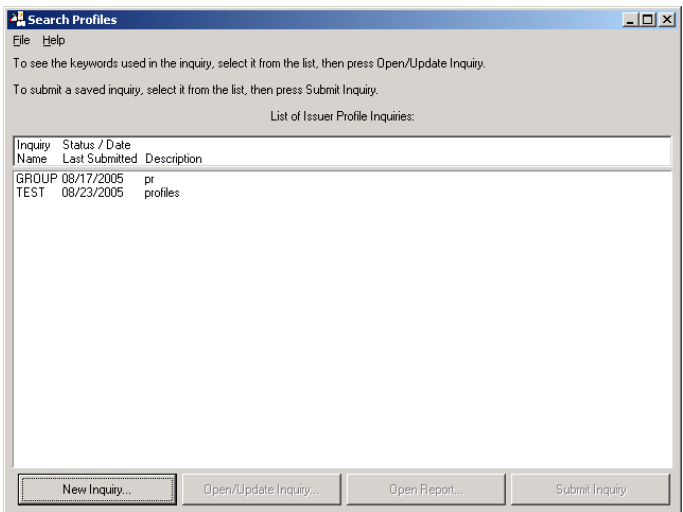
To search by...	Use...
The company's stock symbol	For the Stock Symbol field, use any operator except Not= and Not Like. Enter a maximum of five uppercase letters (A–Z)

2.7.1 Building a Search Inquiry

To build a search inquiry, you specify field, operators and criteria.

1. On the SEDAR main window, click the Search Profiles module.

The Search Profiles main window displays.



This is where the inquiries you create and submit are listed. The list is empty until you save or submit the first inquiry.

2. Click New Inquiry.

The Build Issuer Profile Database Inquiry dialog box displays.

3. In the Inquiry Name field, give a name to your inquiry of up to eight characters. Press TAB. In the Description field, enter additional information (up to 40 characters) to help you identify the inquiry. Both of these fields must be completed in order to save or submit the inquiry.
4. Select the profile types you would like to search on. The option All Profile Types is selected by default. Ensure that you have selected the correct profile types before you start adding criteria to the inquiry.
5. Select a field from the List of Fields to Search On. For each field you select, the available operators appear.
6. Select an operator. The operator determines the relationship between the field you are searching on and a specific criterion.

7. Enter a criterion. If you have selected the Like operator, type an asterisk at the end of your criterion, if you want to include all occurrences of the keyword followed by another word.

For more information on operators and criteria, see “Recommended Operators and Criteria”.

8. Once you have selected a field, operator and criteria combination you can either:
 - Add it to the inquiry, and view only the selection you added
 - Add more inquiries (field, operator and criteria combinations).

To add another query, click Add/Keep Adding and the selected field will be marked with an asterisk. Repeat steps three to eight to add more queries to your inquiry.

9. When you are finished building your inquiry, click Add and View after entering your last criterion.

The View Profile Database Inquiry dialog box displays.

The screenshot shows the 'View Profile Database Inquiry' dialog box. It features a title bar and a main area with several input fields and buttons. The 'Inquiry Name' field contains 'SEARCH'. The 'Description' field contains 'Get All Profiles'. The 'Profile Type(s) Selected' list box is open, showing 'All Profile Types', 'Investment Fund Group', 'Investment Fund Issuer', and 'Other Issuer'. The 'List of Fields Selected' list box contains 'Jurisdictions where Reporting Issuer'. The 'Operator' field contains '=', and the 'Criteria' list box contains 'Ontario'. On the right side, there are buttons for 'Submit', 'Save', 'Build...', 'Cancel', 'Help', and 'Clear Inquiry'. At the bottom, there are three buttons: 'Delete Selection', 'Change Operator', and 'Change Criteria'.

You can perform any of the actions shown below.

Click...	To...
Change Operator	Modify an operator if you are not satisfied with your selection
Change Criteria	Modify a criterion if you are not satisfied with your selection
Delete Selection	Delete unwanted lines if you are not satisfied with your selection
Clear Inquiry	Delete the entire inquiry
Build	Continue building your inquiry

10. Do either of the following:

- Click Save to save your inquiry in your database before submitting it to SEDAR. The Search Profiles window displays.
- Click Submit. Your inquiry is saved and displays in the list of inquiries.



For more information on submitting inquiries from the Search Profiles window, see “Submitting a Search Inquiry”.

2.7.2 Submitting a Search Inquiry

Before you submit an inquiry to SEDAR, first save it in your database and then submit it to SEDAR. Once the report has been submitted, you can view the report produced by SEDAR, using the Filer Profile Report Viewer.

Save the profiles contained in the inquiry in the Profiles database on your computer, using the following procedure:

- 1. On the View Profile Database Inquiry dialog box, click Save to store the inquiry on your computer.

View Profile Database Inquiry

Profile Type(s) Selected:

Inquiry Name: SEARCH1

Description: Get All Profiles

List of Fields Selected: Jurisdictions where Reporting Issuer

Operator: =

Criteria: Ontario

Buttons: Submit, Save, Build..., Cancel, Help, Clear Inquiry, Delete Selection, Change Operator, Change Criteria

- 2. The inquiry displays on the Search Profiles window, in the List of Issuer Profile Inquiries, with the status “Not Submitted.”

Search Profiles

File Help

To see the keywords used in the inquiry, select it from the list, then press Open/Update Inquiry.

To submit a saved inquiry, select it from the list, then press Submit Inquiry.

List of Issuer Profile Inquiries:

Inquiry Name	Status / Date Last Submitted	Description
PROFILE1	Not Submitted	Jurisdictions
PROFILE2	Not Submitted	classification
SEARCH1	Not Submitted	Get all profiles

Buttons: New Inquiry, Open/Update Inquiry..., Open Report..., Submit Inquiry

3. Click Submit Inquiry to send the inquiry to the SEDAR server. Once the submission has been made, a report is sent to your computer.

The Search Profiles window re-displays.

4. Click Open Report.

The Filer Profile Report Viewer window displays.

Filer Profile Report Viewer

List of Reports For Inquiry:

SEARCH1 Get all Profiles

Report Name	Report Date
SEARCH1	09/02/2005

Delete Report Cancel Help

List of Profiles in Selected Report:

Filer Profile Name	Profile Number	Issuer Type	Last Update
123 Co.	10000737	Other Issuer	11/18/2004
AAA	10000720	Other Filer	10/08/2004
aaaa	10000791	Issuer Fund	12/01/2004
ab	10000603	Other Issuer	08/24/2004
ABC Company	10000715	Other Issuer	10/08/2004
ABC Company	10000719	Other Issuer	06/28/2005
ABC Day Care	10000884	Other Filer	02/09/2005
ABC Ltd.	10001006	Other Issuer	07/08/2005
ABC Mining Corporation	10000930	Other Issuer	08/17/2005
ABC Overseas Fund	10000973	Issuer Fund	05/13/2005
ABC VLT	10000974	Other Issuer	10/08/2004

Open Profile... Print List of Profiles Print Profile

5. Under Report Name, highlight the inquiry that you submitted.

The List of Profiles in Selected Report displays the profiles that meet your criteria. The date shown under Last Update indicates the date when a profile was last modified by the filing service subscriber.

6. Select the profile you would like to view and click Open Profile.

The (type of) Profile Information - Open window displays the profile information for the selected filer.

7. To transfer the selected profile to your local Profiles database, click Transfer.

Once the profile has been added to your local database, SEDAR prompts you with a message confirming that the transfer was successful. If the profile being transferred already exists on your local profile database, it is replaced by the server version of that profile.



Other profiles are returned if they are related to profiles that match the inquiry criteria through a “previous profile” relationship. If you do not want to receive previous filer profile information, do not select either the Issuer/Filer Name or Profile Number fields in your search inquiry.

2.7.3 Modifying and Updating a Search Inquiry

The View Filer Profile Database Inquiry dialog box enables you to view or modify inquiries. The field, operator and criteria combination for the inquiry is displayed.

To delete a selection, or change an operator or a criterion, select it and select the corresponding button below the list field. You can also view or modify on the Build Filer Profile Database Inquiry dialog box. You can switch between the build and view modes by clicking OK to go to the View dialog box or clicking Build to go back to the Build dialog box when building or modifying an inquiry. You can also submit an inquiry to the server from the View dialog box.

To change an inquiry that has already been saved or submitted, open and modify the inquiry as described above. When you submit an updated inquiry that was previously submitted, SEDAR prompts you to enter a new report name for the inquiry.

If you delete an inquiry that has been submitted, all associated reports are also deleted, including all the profiles. Profiles added to your local Profile Management database are not deleted.

2.8 Monitoring Profiles

From the Profile Management window, you can refresh profiles (to make sure that you have the latest information in your local database), and view the status of profiles.

Refreshing a Profile

As any filing service subscriber can update any public profile, it is important to ensure that your local database contains the current version of the profile before proceeding with a filing. To refresh a profile, click on the profile on the Profile Management window, then click Refresh Profile. To refresh more than one profile at a time, highlight the first profile to be refreshed, hold down the Shift key and highlight the last profile to be refreshed. After you click Refresh Profile, all of the profiles between and including the first and last profiles highlighted will be refreshed. Similarly, several profiles may be refreshed although they are not in sequential order in your Profile Management window. Highlight the first profile, hold down the Control key then highlight the remaining profiles to be refreshed by clicking on each profile. All the profiles highlighted will be refreshed.

The Last Updated/Status column in the Profile Management window will indicate the date the profile was last updated. To review the profile details, click Open. If, after reviewing the refreshed profile, you determine that some of the profile details have not been updated, click OK to return to the Profile Management window and click Update.

Updating a Profile

You can update a profile listed on the Profile Management window by highlighting the profile and clicking Update. Once you have updated the necessary fields, click Submit to update the SEDAR server version of this profile and your local copy.



The Submit button will not be highlighted (i.e., italicized) if you have not completed all the mandatory fields (indicated by the field names shown in italics).

The SEDAR server will undertake a review of profile details at the time of submission to ensure the stock symbol provided (in Other Issuer profile types only) is not currently indicated in another Other Issuer's profile. If a message displays indicating that the stock symbol is already in use, the profile update can be submitted by clicking Yes in the warning message box.

As well, if you attempt a profile update to the SEDAR server for any profile type, without first having refreshed that profile, you may receive a message informing you that your current local copy of the profile does not match the official copy on the SEDAR server. The Last Updated/Status column will indicate that profile's status as Resubmit. You must refresh the profile and review its details (see "Refreshing a Profile") prior to making any further changes.

A profile is updated only once submitted to the server. Changes that are made and saved but not submitted will not be reflected in the profile information included in an electronic filing.



When updating an Investment Fund Issuer or Other Issuer profile to indicate that the issuer has ceased reporting (select the Ceased Reporting option in the Jurisdictions where Reporting Issuer field), be aware of the following:

- The profile will display with the status “inactive” in lists of profiles for creating filings
- The profile cannot be used to send filings to SEDAR
- The profile cannot be copied and used as the basis for a new profile.

Viewing Profile Statuses

The status of profiles is shown in the Last Updated Status column on the Profile Management window. The statuses and their definitions are shown below.

Status	Definition
In Process	A new profile has been created and stored on your local database. However, not all of the mandatory fields have been filled in, so the profile is not ready to be submitted to the server
Ready	All mandatory fields have been filled in and the profile is ready for submission to the server
Resubmit	An error occurred during the submission to the server. Correct and select Submit again to resubmit the profile to the server
Date/Time	Once a profile has been submitted to the server, the date and time when the profile was stored on the SEDAR server is displayed in the Last Updated field

Chapter 3

Creating a Project

3.1 Overview

How a Filing Is Processed

Before filing electronically, you create issuer profiles which contain essential information, such as the name and address of the issuer and the type of filer (for more information, see “Overview”). For each filing, you create cover pages which also include essential name and address information (for more information, see “About Cover Pages”).

After you complete your cover page, you can assemble your filing by selecting recipient agencies, adding fees and attaching files (for more information, see “Completing the Project”). When you submit a document to SEDAR, the submission is assigned a permanent project number and a submission number.

Projects and Submissions

A project identifies a set of electronic filings that are all related to a particular matter. For example, all filings submitted for a prospectus are identified as part of one project. All documents submitted by the recipient agencies in response to that prospectus will also be identified as part of the same project. In this example, the electronic filings making up the project would include the preliminary prospectus, the final prospectus and all formal correspondence between the filer and the recipient agencies during the waiting period. A project enables both the filers and the recipient agencies to track a series of electronic filings and related regulatory responses.

To create a project, you must first ensure that your filer profile is in your local Profile database and it contains the most current information. When a new filing is created, the system generates a temporary project number that will be the same for all filings within that project. All filings within the same project are assigned a submission number, starting with 00000001 for each project. Until submitted, project numbers begin with TMP (temporary) and submission numbers with SUB (submission). Upon submission, the SEDAR server assigns the filing a permanent project and submission number.

3.2 About Cover Pages

To submit filings electronically using SEDAR, you must complete an electronic cover page. This SEDAR form is used to indicate the type of issuer, type of filing and the documents that are to be included in the filing. You enter the required information directly on the form, then electronically attach your filer profile, files and fees as applicable. The cover page contains all the information relating to a project. Once submitted, the cover page cannot be deleted from the server but certain fields can be amended by filers.

You can create your cover page if the filer profile for which you are filing is in your local Profile database.

SEDAR offers five types of cover pages. The cover page you complete depends on the category of filer and filing and the type of filing selected, as shown in the table below.

If the category of filer is...	And the category of filing is...	Use the...
Investment Fund Issuers	Securities Offering	Investment Funds Cover Page (see "Creating an Investment Funds Cover Page")

If the category of filer is...	And the category of filing is...	Use the...
Investment Fund Issuers	All types except Securities Offerings	General Investment Funds Cover Page (see "Creating a General Investment Funds Cover Page")
Other Issuers	Securities Offerings	Issuer Cover Page (see "Creating an Issuer Cover Page")
Other Issuers	All types except Securities Offerings	General Cover Page (see "Creating a General Cover Page")
Third Party Filers	All types	Third Party Cover Page (see "Creating a Third Party Cover Page")

You can save or modify a new filing before you submit it to the SEDAR server. Once a project's cover page is created and saved, you can add recipient agencies and fees and attach files later when you wish.

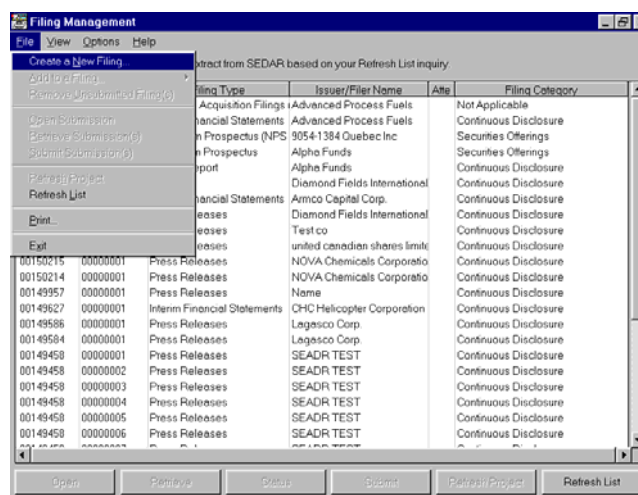
You can send a submission when all the mandatory (i.e. italicized) fields are filled on the cover page. All filings submitted by your organization are listed on the Filing Management window.

3.3 Creating an Investment Funds Cover Page

To create an Investment Funds cover page for a new filing:

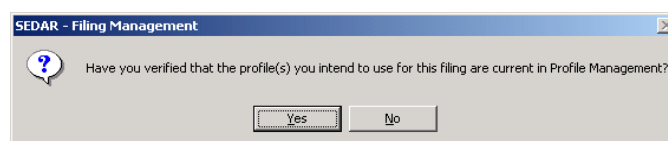
1. On the SEDAR main window, open the Filing Management module.

The Filing Management window displays.



2. On the File menu select Create a New Filing.

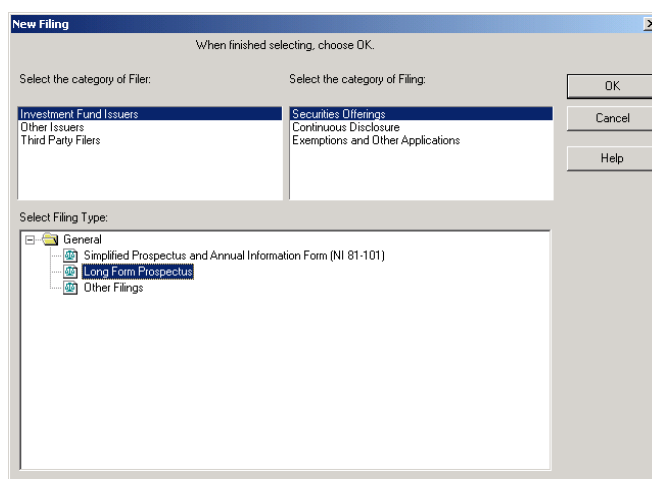
The following message displays:



Do not disregard this message, because, for example, if an issuer has ceased reporting, their profile will have been updated and you will no longer be able to use the old profile to send a filing. For more information on refreshing the list of profiles, see “Monitoring Profiles”.

3. Click OK if the profiles you intend to use are up to date.

The New Filing dialog box displays.



4. Select the following:
 - Category of Filer—Investment Fund Issuers
 - Category of Filing—Securities Offerings.

A list of possible filing types for your selection displays.

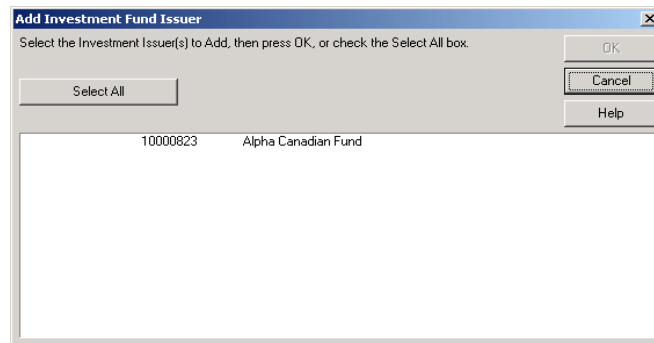
5. Select a filing type and click OK.

The Investment Funds Cover Page dialog box displays showing information specific to the filing type you selected.

6. Click List to display a list of investment fund group profiles that are stored on your profiles database.

The Available Investment Fund Groups dialogbox displays.

7. Select a profile and click OK. The Investment Funds Cover Page dialog box re-displays with the profile name in the Investment Fund Group Name field.
8. Click Add Fund beside the List of Investment Fund Issuers field to display a list of all investment fund issuers in the selected fund group whose profiles reside on your local Profile database.



9. Select one or more funds and click OK.

The fund names appear in the List of Investment Fund Issuers field.

Investment Funds Cover Page

Project #: TMP00002 Filing Type: Long Form Prospectus

Issuer Information

Investment Fund Group Name: 10000822 Alpha Funds List...

List of Investment Fund Issuers: 10000823 Alpha Canadian Fund Add Fund... Remove Fund

Contact Information

Name: John Smith

Tel: Area: 416 Number: 555-8799 Ext: Fax: Email ID:

To assign a file to a document in the list, select the document and then press "Attach File...". To add other documents, select "Other" and then press "Add Document...".

	Filing Subtype/Document Type	File Name
	Preliminary	
	Pro Forma	
	Amendment to Preliminary	
	Final	
	Amendment to Final	

Buttons on the right: Agencies..., Fees..., Submit, Save, Cancel, Page 2..., Help, Attach File..., Detach File, Duplicate, Add Document...

10. Click on a fund name. The Remove Fund button becomes available; click it if you need to delete a fund issuer from the list.
11. Fill in the Name and Telephone fields in the Contact Information section.

12. Click Page 2.

The second page of the cover page displays.
Complete the fields as applicable.

The screenshot shows a dialog box titled "Investment Funds Cover Page". It contains three sections for selecting jurisdictions:

- Application for Exemption Order in:** A list box with options: "No related application is necessary", "All provinces and territories of Canada", "British Columbia", "Alberta (ASC)", "Saskatchewan", and "Manitoba".
- Application for Registration in:** A list box with the same options as the first section.
- Prefiling or Waiver Application:** A list box with the same options as the first section.

To the right of these sections are two buttons: "Page 1..." and "Help".

13. Click Page 1 to return to the first page.

After you have completed the cover page, you can select recipient agencies and attach fee payment instructions and project files. Do one of the following:

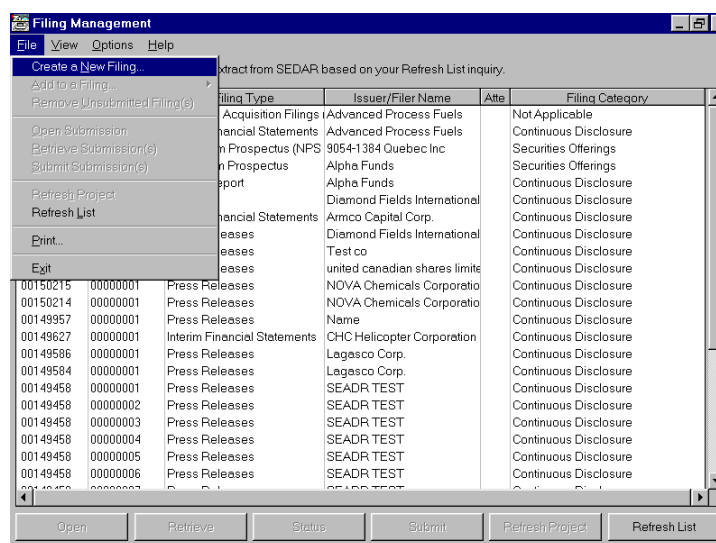
- To continue, do not exit the Investment Funds Cover Page dialog box. For more information, see "Completing the Project".
- To save your cover page on your PC workspace for later assembly, click Save. The project is assigned a temporary project number. Make note of the number for future reference.

3.4 Creating a General Investment Funds Cover Page

To create a General Investment Funds cover page for a new filing:

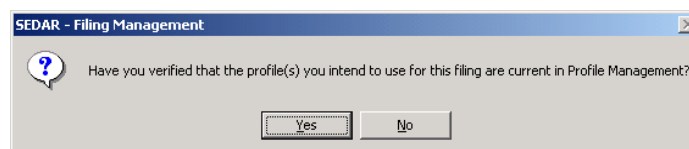
1. On the SEDAR main window, open the Filing Management module.

The Filing Management window displays.



2. From the File menu, select Create a New Filing.

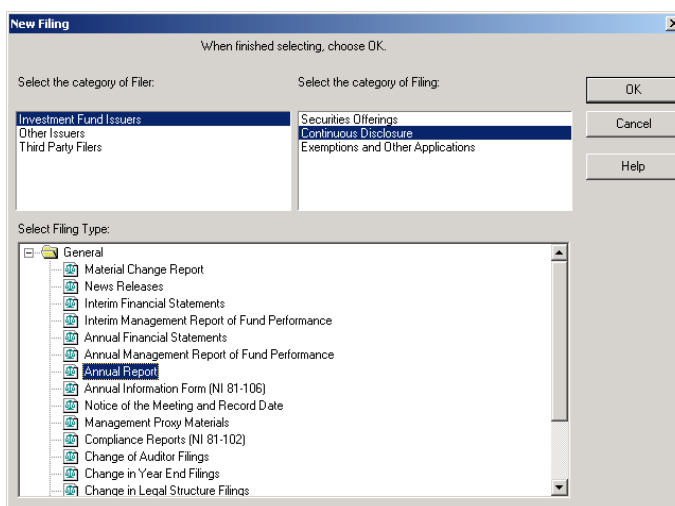
The following message displays:



Do not disregard this message, because, for example, if an issuer has ceased reporting, their profile will have been updated and you will no longer be able to use the old profile to send a filing. For more information on refreshing the list of profiles, see “Monitoring Profiles”.

3. Click OK if the profiles you intend to use are up to date.

The New Filing dialog box displays.



4. Select the following:
 - Category of Filer—Investment Fund Issuers
 - Category of Filing—Either Continuous Disclosure or Exemptions and Other Applications.

A list of possible filing types for your selection displays.

5. Select a filing type and click OK.

The General Investment Funds Cover Page dialog box displays, showing information specific to the filing type you selected.

General Investment Funds Cover Page

Project #: TMP00002 Filing Type: Annual Report

Issuer Information

Investment Fund Group Name: **List...**

List of Investment Fund Issuers:

Contact Information

Name:

Tel: Area: Number: Ext:

Fax: Area: Number:

Email ID:

To assign a file to a document in the list, select the document and then press "Attach File...", to add other documents, select "Other" and then press "Add Document..."

Filing Subtype/Document Type	File Name
<input type="checkbox"/> Cover letter	
<input type="checkbox"/> Letter concerning the addition of a recipient agency	
<input type="checkbox"/> Annual report - English	
<input type="checkbox"/> Annual report - French	
<input type="checkbox"/> Annual report (amended) - English	
<input type="checkbox"/> Annual report (amended) - French	
<input type="checkbox"/> Other	

6. Click List to display a list of profiles stored on your local Profile database.

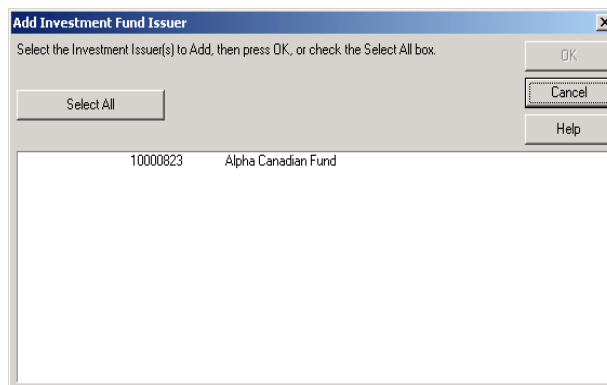
The Available Investment Fund Groups dialogbox displays.



7. Select a profile and click OK.

The General Investment Funds Cover Page Dialog box re-displays with the profile name in the Investment Fund Group Name field.

8. Click Add Fund beside the List of Investment Fund Issuers field to display a list of all investment fund issuers in the selected fund group whose profiles reside on your local profile database.



9. Select one or more funds and click OK.

Note: A separate project should be created for each report of exempt distribution report that is required to be filed. If filing for more than one investment fund, create a separate project for each investment fund that is required to file a report of exempt distribution.

The fund names appear in the List of Investment Fund Issuers field.

10. Click on a fund name. The Remove Fund button becomes available; click it if you need to delete a fund issuer from the list.

11. Fill in the Name and Telephone fields in the Contact Information section.

12. Click Page 2.

The second page of the cover page displays. Complete the fields as applicable for the filing type selected. These fields can be changed after submission.

13. Click Page 1 to return to the first page. After you have completed the cover page, you can select recipient agencies and attach fee payment instructions and project files. Do one of the following:

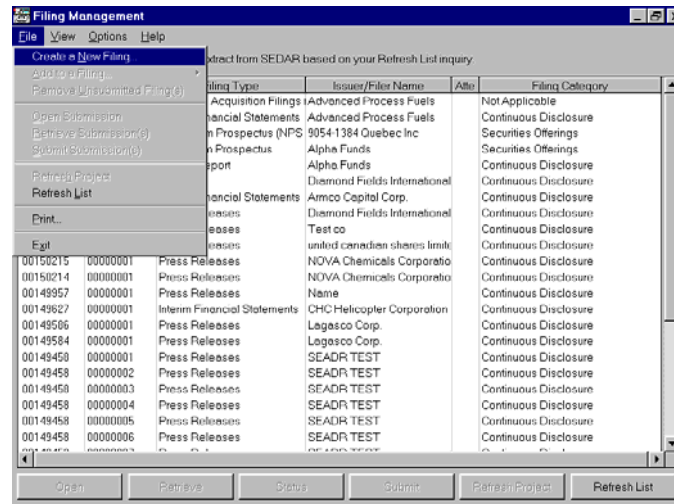
- To continue, do not exit the General Investment Funds Cover Page dialog box. For more information, see “Completing the Project”.
- To save your cover page on your PC workspace for later assembly, click Save. The project is assigned a temporary project number. Make note of the number for future reference.

3.5 Creating an Issuer Cover Page

To create an Issuer cover page for a new filing:

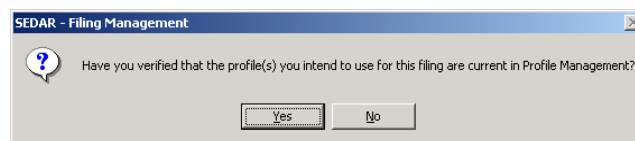
1. On the SEDAR main window, open the Filing Management module.

The Filing Management Window displays.



2. On the File menu select Create a New Filing.

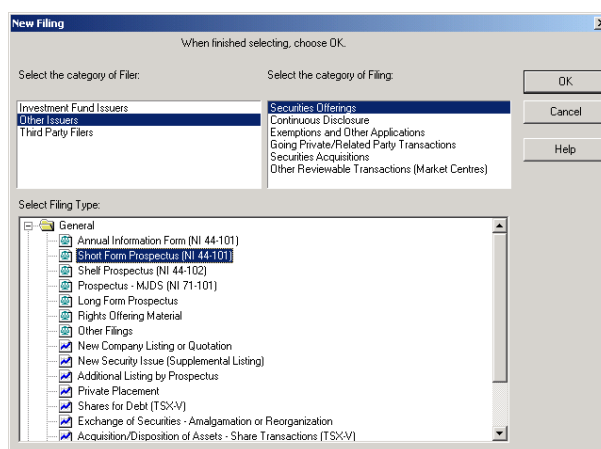
The following message displays:



Do not disregard this message, because, for example, if an issuer has ceased reporting, their profile will have been updated and you will no longer be able to use the old profile to send a filing. For more information on refreshing the list of profiles, see “Monitoring Profiles”.

3. Click OK if the profiles you intend to use are up to date.

The New Filing dialog box displays.



4. Select the following:
 - Category of Filer—Other Issuers
 - Category of Filing—Securities Offerings.



A list of possible filing types for your selection displays. The filing type selected here determines which recipient agencies can be selected later on the Add a Recipient Agency dialog box. Be careful to select the appropriate filing type within the correct folder. For example, if you select a filing type within the British Columbia folder, you will only be able to select British Columbia recipient agencies.

5. Select a filing type and click OK.

The Issuer Cover Page dialog box displays, showing information specific to the filing type you selected.

Filing Subtype/Document Type	File Name
Preliminary	
Amendment to Preliminary	
Final	
Amendment to Final	
Supplemented Short Form PREP Prospectus (NPS 44)	

6. Click List to display a list of profiles stored on your profiles database.

The Other Issuers and Other Filers dialogbox displays.

This issuer has ceased reporting. Select another profile.



Note: You cannot select the profile of an issuer that has ceased reporting. For more information on refreshing the list of profiles, see “Monitoring Profiles”.

7. Select a profile and click OK. The Issuer Cover Page dialog box re-displays with the profile name in the Issuer Name field.
8. Fill in the Name and Telephone fields in the Contact Information section.

9. Click Page 2. The second page of the cover page displays. Complete the fields as applicable.

10. Click Page 1 to return to the first page.

After you have completed the cover page, you can select recipient agencies and attach fee payment instructions and project files. Do one of the following:

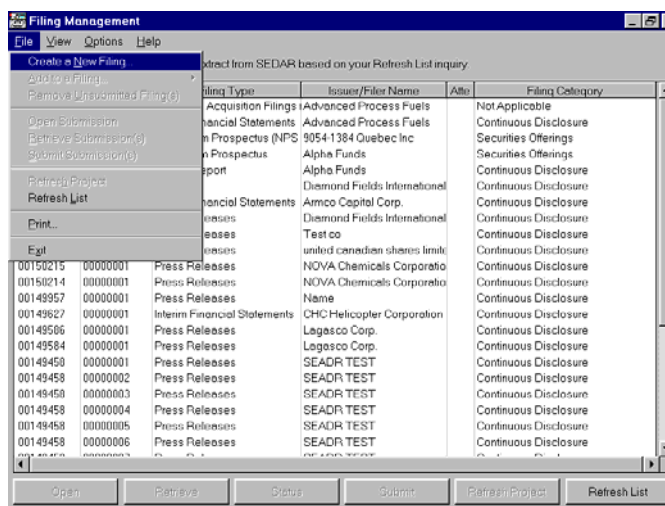
- To continue, do not exit the Issuer Cover Page dialog box. For more information, see “Completing the Project”.
- To save your cover page on your PC workspace for later assembly, click Save. The project is assigned a temporary project number. Make note of the number for future reference.

3.6 Creating a General Cover Page

To create a General cover page for a new filing:

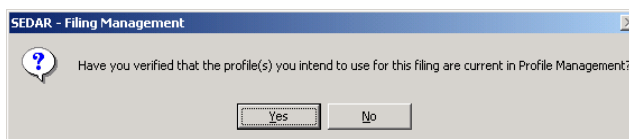
1. On the SEDAR main window, open the Filing Management module.

The Filing Management Window displays.



2. On the File menu, select Create a New Filing.

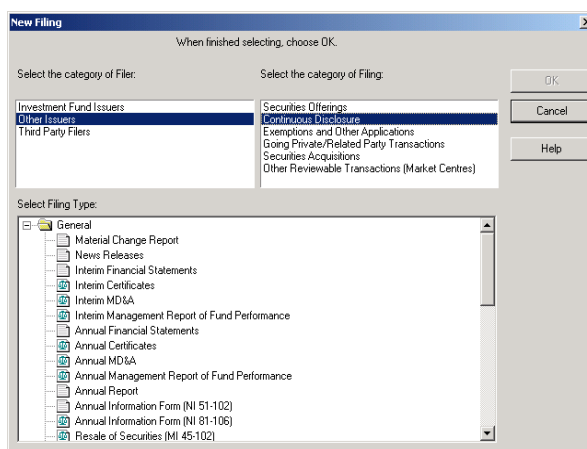
The following message displays:



Do not disregard this message, because, for example, if an issuer has ceased reporting, their profile will have been updated and you will no longer be able to use the old profile to send a filing. For more information on refreshing the list of profiles, see “Monitoring Profiles”.

3. Click OK if the profiles you intend to use are up to date.

The New Filing dialog box displays.



4. Select the following:
 - Category of Filer—Other Issuers
 - Category of Filing—Any category except Securities Offerings.



A list of possible filing types for your selection displays. The filing type selected here determines which recipient agencies can be selected later on the Add a Recipient Agency dialog box. Be careful to select the appropriate filing type within the pertinent folder. For example, if you select a filing type within the British Columbia folder, you will only be able to select British Columbia recipient agencies.

5. Select a filing type and click OK.

The General Cover Page dialog box displays, showing information specific to the filing type you selected.

General Cover Page

Project #: TMP00002

Filing Type: Annual Financial Statements

Issuer Name:

Contact Information

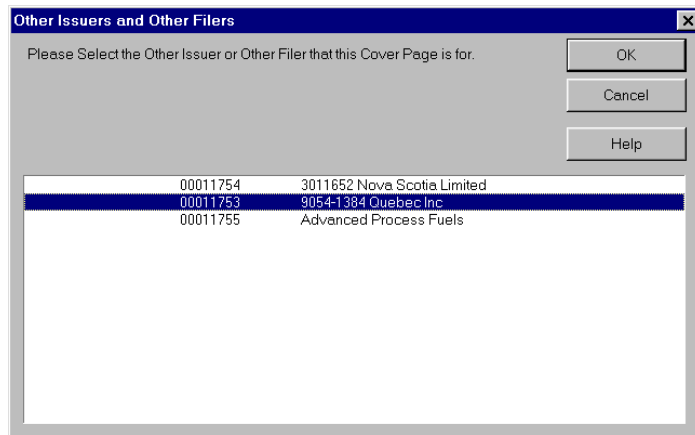
Name:	<input type="text"/>			
Tel:	Area Code:	Number:	Ext:	
Fax:	Area Code:	Number:		
Email ID:	<input type="text"/>			

To assign a file to a document in the list, select the document and then press "Attach File...", to add other documents, select "Other" and then press "Add Document..."

Filing Subtype/Document Type	File Name
<input checked="" type="checkbox"/> Cover letter	
<input type="checkbox"/> Audited annual financial statements - English	
<input type="checkbox"/> Audited annual financial statements - French	
<input type="checkbox"/> Confirmation of mailing	
<input type="checkbox"/> Form 61 (BC)	
<input type="checkbox"/> Report on number and value of securities distributed in Quebec (QC)	
<input type="checkbox"/> Other	

6. Click List to display a list of profiles that are stored on your local Profile database.

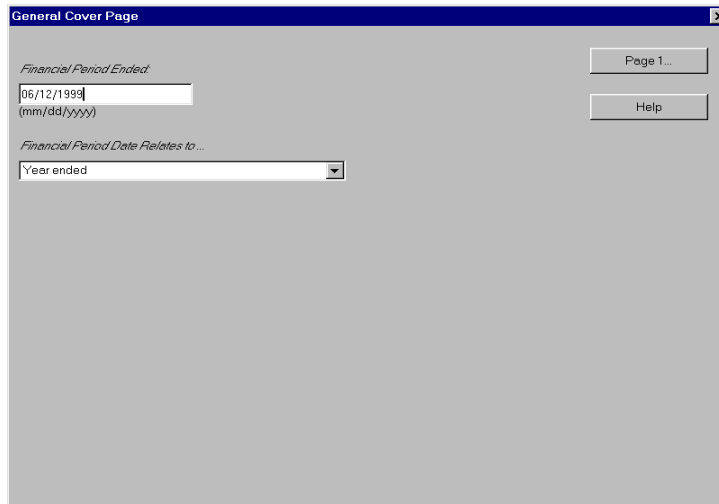
The Other Issuers and Other Filers dialog box displays.



7. Select a profile and click OK. The General Cover Page dialog box re-displays with the profile name in the Issuer Name field.
8. Fill in the Name and Telephone fields in the Contact Information section.

9. Click Page 2.

The second page of the cover page displays. Complete the fields as applicable for the filing type selected. These fields can be changed after submission.

The screenshot shows a dialog box titled "General Cover Page" with a standard Windows-style title bar (minimize, maximize, close buttons). The dialog has a light gray background. On the left side, there are two labels: "Financial Period Ended:" and "Financial Period Date Relates to:". Below the first label is a text input field containing "06/12/1999" with a small hint "(mm/dd/yyyy)" below it. Below the second label is a dropdown menu currently showing "Year ended". On the right side of the dialog, there are two buttons: "Page 1..." and "Help".

10. Click Page 1 to return to the first page.

After you have completed the cover page, you can select recipient agencies and attach fee payment instructions and project files. Do one of the following:

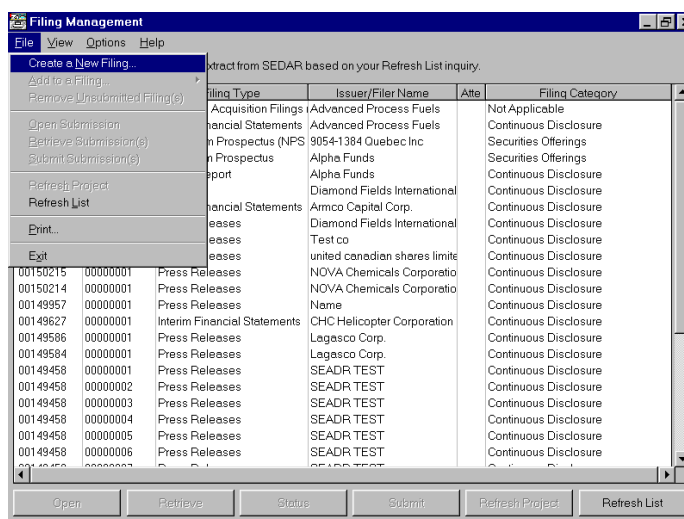
- To continue, do not exit the General Cover Page dialog box. For more information, see "Completing the Project".
- To save your cover page on your PC workspace for later assembly, click Save. The project is assigned a temporary project number. Make note of the number for future reference.

3.7 Creating a Third Party Cover Page

To create a Third Party cover page for a new filing:

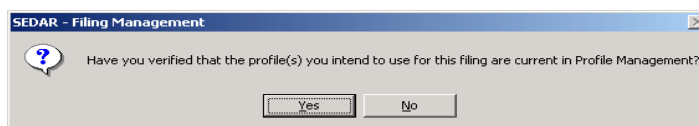
1. On the SEDAR main window, open the Filing Management module.

The Filing Management Window displays.



2. On the File menu, select Create a New Filing.

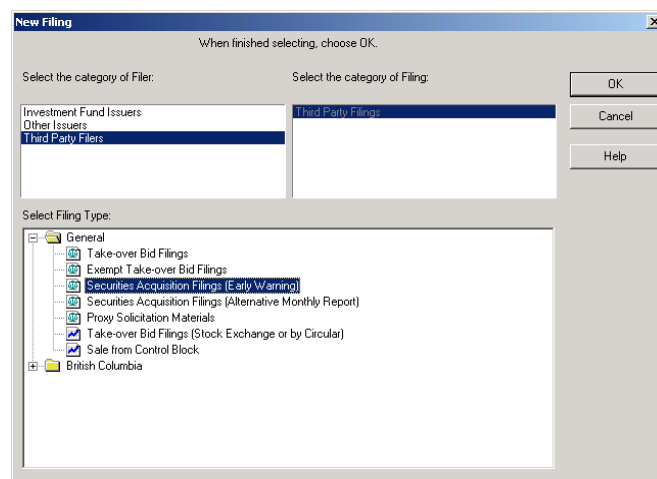
The following message displays:



Do not disregard this message, because, for example, if an issuer has ceased reporting, their profile will have been updated and you will no longer be able to use the old profile to send a filing. For more information on refreshing the list of profiles, see “Monitoring Profiles”.

3. Click OK if the profiles you intend to use are up to date.

The New Filing dialog box displays.



4. Select the following:

- Category of Filer—Third Party Filers
- Category of Filing—Any type.

A list of possible filing types for your selection displays.

5. Select a filing type and click OK.

The Third Party Cover Page dialog box displays, showing information specific to the filing type you selected.

Third Party Cover Page

Project #: TMP00005

Filing Type: Securities Acquisition Filings (Early Warning)

Issuer Name (Other): List...

Filer Name (Other): List...

Contact Information:

Name:

Tel: Area Code: Number: Ext:

Fax: Area Code: Number:

Email ID:

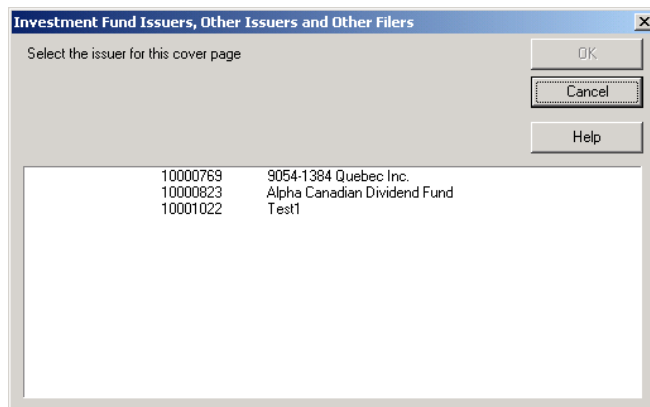
To assign a file to a document in the list, select the document and then press "Attach File...". To add other documents, select "Other" and then press "Add Document..."

Filing Subtype/Document Type	File Name
Press Release	
Early Warning Report	
Disqualification Report	

Attach File... Detach File Duplicate Add Document...

6. Click List beside the Issuer Name (Offeree) field to display a list of profiles that are stored on your local Profile database.

The Investment Fund Issuers, Other Issuers and Other Filers dialog box displays.



7. Select a profile and click OK. The Third Party Cover Page dialog box re-displays with the profile name in the Issuer Name (Offeree) field.
8. Click List beside the Filer Name (Offeror) field to display a list of profiles that are stored on your local Profile database.

The Investment Fund Issuers, Other Issuers and Other Filers dialog box re-displays.

9. Select a profile and click OK.

The Third Party Cover Page dialog box re-displays with the profile name in the Filer Name (Offeror) field.

Third Party Cover Page

Project #: TMP00005

Filing Type: Securities Acquisition Filings (Early Warning)

Issuer Name (Offeree): 10000823 Alpha Canadian Fund

Filer Name (Offeror): 10000930 ABC Mining Corporation

Contact Information

Name: _____

Tel: _____ Area Code: _____ Number: _____ Ext: _____

Fax: _____ Area Code: _____ Number: _____

Email ID: _____

To assign a file to a document in the list, select the document and then press "Attach File...". To add other documents, select "Other" and then press "Add Document..."

Filing Subtype/Document Type	File Name
Press Release	
Early Warning Report	
Disqualification Report	

Buttons: Agencies..., Fees..., Submit, Save, Cancel, Help, Attach File..., Detach File, Duplicate, Add Document...

10. Fill in the Name and Telephone fields in the Contact Information section.
11. After you have completed the cover page, you can select recipient agencies and attach fee payment instructions and project files. Do one of the following:
- To continue, do not exit the Third Party Cover Page dialog box. For more information, see "Completing the Project".
 - To save your cover page on your PC workspace for later assembly, click Save. The project is assigned a temporary project number. Make note of the number for future reference.

Chapter 4

Completing the Project

4.1 Overview

You use the SEDAR Filing Management module to assemble and submit your filings, monitor the status of your filings, add documents to your filings and exchange formal correspondence with the agencies reviewing your filings.

You can start assembling your filing submission once:

- The filer profile for which you are filing is in your local Profile Management database
- You have created a cover page.

After you create a cover page, you assemble your filing by:

- Selecting recipient agencies
- Adding fees
- Attaching files.

You can save or modify the filing at any time before you submit it to the server. Therefore, you may want to add recipient agencies and fees ahead of time and attach files later when they are ready. You can send a submission when all the mandatory fields are filled in on the cover page. All filings sent by your filing service subscriber company are listed on the Filing Management window.

4.2 Selecting Recipient Agencies

Before selecting the agencies to which you will submit the project, you must first create the cover page. For more information, see “Creating a Project”.

After all Issuer Information fields have been completed on the cover page, the Agencies button becomes available.

Note that after the initial submission, you can only add recipient agencies of the type selected initially and only using the Add to a Filing, Document function.

To select the agencies that receive a copy of the filing:

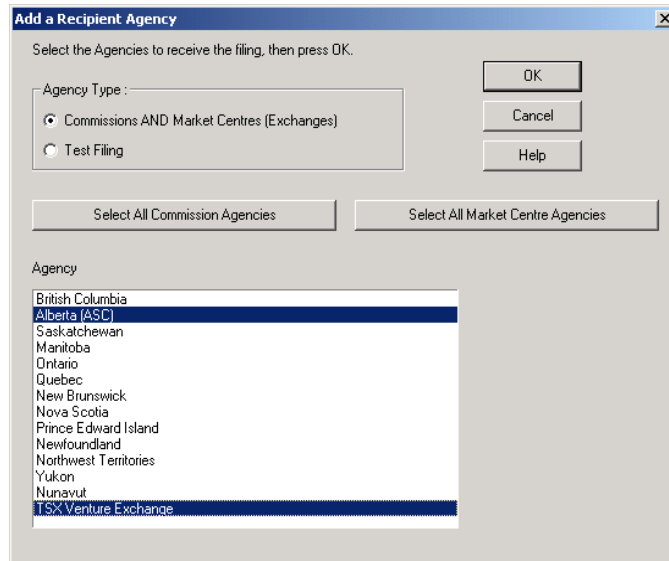
1. If you are already on the project cover page, go to step 2.

If you are not on the project cover page, open the Filing Management window and select the filing for which you want to select recipient agencies, and click Open.

The [type of filing] Cover Page dialog box displays.

2. Click Agencies.

The Add a Recipient Agency dialog box displays listing the available agencies.



Depending on the category of filer, the category of filing and the filing type, and the folder in which it is located, one of the following options displays in the Agency Type field:

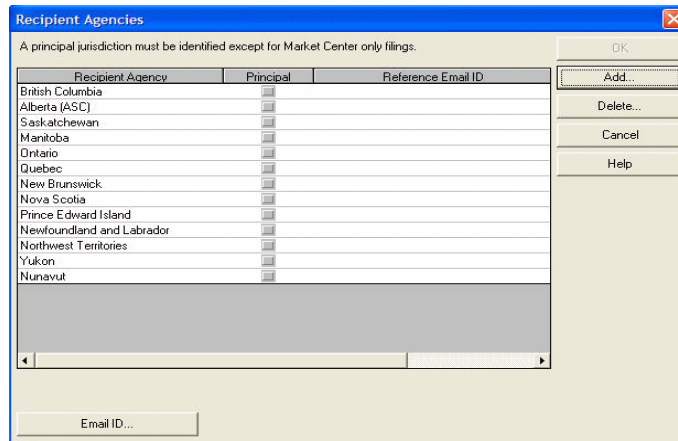
- Commissions
- Market Centres (Exchanges)
- Commissions and Market Centres (Exchanges).

The Test Filing option is always available.

Note: To become familiar with SEDAR, you can submit a file as a test by clicking Test Filing. Your submission is sent to the SEDAR server but no agency receives it.

3. In the Agency Type field, click the agency type for your filing or test filing.
4. In the Agency field, select the required agencies.
5. Click OK.

The Recipient Agencies dialog box displays with the agencies selected in step 4.



6. Click the Principal column beside the name of a commission to designate it as the principal regulator. For non-reporting issuers, the principal column will display as N/A (Not Applicable).



You cannot designate a market centre as the principal regulator.

7. If you want to include the SEDAR e-mail ID of the contact person at the agency who can be contacted by the filer via SEDAR email when the filing is received by an agency, do the following:
 - a. Click Email ID to open the Email ID dialogbox.

- b. Select the recipient agency and enter the user ID.
 - c. Click OK. The Recipient Agencies dialogbox re-displays showing the selected email ID in the Reference Email ID box.
8. Click OK. The [type of filing] Cover Page dialog box re-displays.
 9. You may add fees and attach files to the project. Select one of the actions below.

To...	Do this...
Add fees	Do not close the window. See "Adding Fees"
Attach files	Do not close the window. See "Attaching a New Document", or "Attaching a Previously Filed Document"
Save the cover page information on your database for later submission	Click Save. The Filing Management window displays

4.3 Adding Fees

After all Issuer Information fields have been completed on the cover page, the Fees button becomes available. It can be used if you have already selected recipient agencies. If you have not done so, see “Selecting Recipient Agencies”.

To indicate the amount of fees owed to the recipient agencies (if applicable for your filing):

1. If you are already on the project cover page, go to step 2.

If you are not on the project cover page, open the Filing Management window, select the filing to which you want to add fees, and click Open. The [type of filing] Cover Page dialog box displays.

2. Click Fees. The Add/Modify Fees dialog box displays, showing the fee schedule for the first recipient agency on the list.

3. Select the agency to which you want to submit fees.

The fee schedule for the selected agency displays in the Filing Fees field.

Fee Description	Code	Amount \$
9 (a) Subject to paragraphs (b) and (c), for filing a preliminary prospectus, a preliminary base shelf prospectus under NI 44-102, a preliminary base PREP prospectus under NI 44-103 or a pro forma prospectus (\$2500)	SPROS/1	0.0
9 (b) For filing a preliminary or pro forma prospectus for a mutual fund (\$1500)	SMFP	0.0
10(a) For filing a prosp., the amnt. if any, by which .02% of proceeds realized by issuer/security holders from the dist. under the prosp. to purch. in B.C. exceeds agg. fees paid under item 9, which amnt must be paid according to sec 24 & 25	SPROS+	0.0
10(b) As in 10(a), except in the case of a money market mutual fund, as defined in NI 81-102, use 0.01% in place of 0.02%	SPROS+M	0.0
11. For filing an annual information form by an issuer other than a mutual fund (\$1000)	SAIF	0.0
12. For filing an amendment to a preliminary prospectus, prospectus or annual information form (\$250)	SAMEND	0.0
13 (a) For filing a technical or engineering report with a preliminary prospectus, pro forma prospectus, prospectus, annual information form, amendment to a preliminary prospectus or prospectus (\$500)	STECH	0.0
13 (b) For filing a technical or engineering report with an application under section 171 of the Act	STECHDD	0.0

4. Enter the fee amounts in the Amount\$ column beside the corresponding fee descriptions.

Note: Taxes are charged on all applicable market centre filing fees. They are calculated in the columns beside the Amount\$ column. Taxes are calculated automatically based on the Subject To line of the User Information dialog box. For more information see “Entering Your User Information”.



If you are creating the cover page for an investment fund group, there may be more than one fund issuer in the group. If this is the case, the name of every issuer is shown in the Issuer/Filer field. You must select each issuer, in turn, to enter fees for the filings done by each one.

5. To submit fees to other agencies, select another agency from the Agencies field. The Filing Fees list displays for that agency. Enter the fee amounts in the Amount\$ column beside the corresponding fee description.

Repeat this process for each agency to which you want to submit fees.

6. When you have entered all the required fees, click OK. The Summary of Filing Fees dialog box displays, showing the details of fees submitted as follows:

- Total Project Fees (to date)
- SEDAR System Fees (to date)
- Agency Fees (to date).

The Agency Fees (to date) are for the agency selected in the field at the top left of the Agency section, and for the issuer or filer selected in the Issuer/Filer Name field in the case of Investment Funds which have multiple issuers.

WIP (work in progress)-
Fees entered but not
submitted to SEDAR

Submitted – Total project
fees submitted to SEDAR

Paid – Submitted to SEDAR
and confirmed as paid by a
financial institution

Rejected – Submitted to
SEDAR but rejected by a
financial institution (for
example, for insufficient
funds). All fees include
applicable taxes.

If the agency is a market centre, all amounts in this section include the applicable taxes. The breakdown of the taxes displays at the bottom of the section.

7. To add or delete fees, click Add/Modify. The Add/Modify dialog box re-displays.
 - To add fees, repeat steps 3 to 6.
 - To delete fees, repeat steps 3 to 6, but delete the fees in the Amount\$ column instead of entering them.

Note: You cannot delete fees that have already been submitted to the server.

- Click OK to save the payment instructions. The [type of filing] Cover Page displays.

9. Select one of the actions from the following table.

To...	Do this...
Attach files	Do not close the window. See "Attaching a New Document" or "Attaching a Previously Filed Document"
Submit the project	Do not close the window. See "Submitting the Project"
Save the cover page information on your database for later submission	Click Save. The Filing Management window displays

4.4 Attaching a File

Before attaching a file, you must first create a cover page. If you have not done so, see “Creating a Project”.

Once your cover page is created, you are ready to attach files. Note that the document you attach can be located in:

- Your PC workspace
- Your SEDAR workspace
- The SEDAR server database.

The procedure for attaching a document to your filing varies depending on its location. See the table below to find out which procedure you should follow.

If your document is on...	See...
Your PC workspace	“Attaching a New Document”
Your SEDAR workspace	“Attaching a New Document”
The SEDAR server database	“Attaching a Previously Filed Document”

4.4.1 Attaching a New Document

To attach a previously filed document, see “Attaching a Previously Filed Document”.

All documents that have not been previously filed must be saved in the format called PDF, XML or XLSX as applicable. For more information on this format, refer to section 7 of the *SEDAR Filer Manual*.

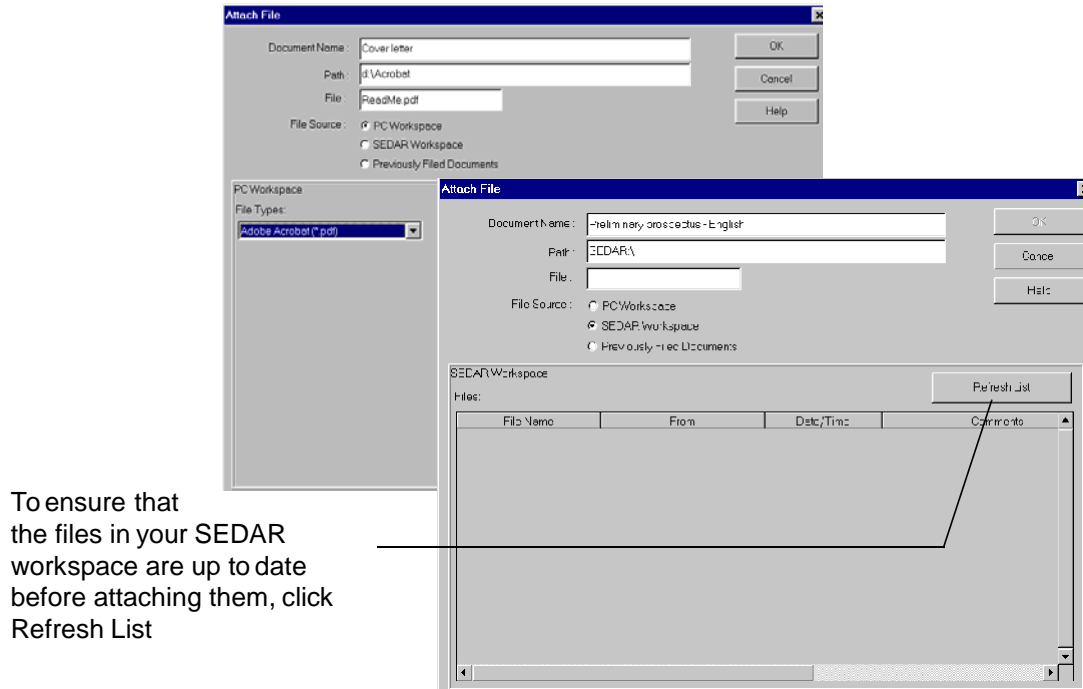
To attach a document that has never been filed and is located on your PC or SEDAR workspace:

1. If you are already on the project cover page, go to step 2.

If you are not on the project cover page, open the Filing Management window and select the filing to which you want to attach a file. From the File menu, select Add to a Filing, Documents. The [type of filing] Cover Page dialog box displays.

2. On the [type of filing] Cover Page dialog box, select a document type in the Filing Subtype/Document Type field and click Attach File.

The Attach File dialog box displays.



3. Select the following:

- The location of the file you want to attach (PC workspace or SEDAR workspace)
- The file type
- The drive
- The directory
- The name of the file, with the accepted extension.

The Document Name, Path and File fields at the top of the dialog box are completed automatically.

4. Click OK to return to the [type of filing] Cover Page dialog box.

Note: If you attempt to send a file which contains annotations, such as attached files or embedded objects, the following message displays:

“The file cannot contain annotations (attached files or embedded objects). Please remove them and resave the file.”

For more information, see “File Messages”

You can take any of the actions shown below or go directly to step 5.

To...	Do this...
Attach many files to the same document type	Select the document type in the Filing Subtype/Document Type list and click Duplicate to create a copy of that document type in the list. Repeat steps 3 and 4
Attach files to a different document type	Repeat steps 2 to 4
Detach a file from the cover page	From the [type of filing] Cover Page dialog box, select a document in the Filing Subtype/Document Type list and click Detach File

To...	Do this...
Add a document type that does not appear on the list	<p>Scroll down the Filing Subtype/ Document Type list, select the document type Other and click Add Document. The Add Document dialog box displays. Complete all fields. Click either:</p> <ul style="list-style-type: none"> • OK—To return to the [type of filing] Cover Page dialog box • Add Document—To add a document immediately and enter another document type

5. From the [type of filing] Cover Page, select one of the actions below when you have attached all the files you need to include in your submission.

To...	Do this...
Select recipient agencies	Do not close the window. See "Selecting Recipient Agencies"
Submit the project	Do not close the window and see "Submitting the Project"
Save the cover page information on your database for later submission	Click Save. The Filing Management window displays

4.4.2 Attaching a Previously Filed Document

It is possible to reuse certain documents already submitted to SEDAR. For example, in the case of a take-over bid filing, as the filer, you may want to use the issuer's financial statements to submit to agencies.

The filings you are allowed to search in for documents are restricted to the filings associated with the profile number of the issuer for the filing you are creating. You can search on this issuer's:

- Public filings
- Private filings for which you are the primary filer or a secondary filer with the Retrieve or Submit privilege.

You cannot reuse documents sent as formal correspondence or with one of the following private access levels:

- Private – Draft
- Private – Virus
- Private – Incorrect Filing
- Private – Incorrect Format
- Private – Nonpublic
- Private – Nonpublic – Incorrect.



Before the implementation of Release 6.0, accepted file formats were:

- For WordPerfect documents – .w51, .w52, .w60 and .w61
- For Word for Windows – .doc
- For PDF documents – .pdf.

You can attach a pre-release 6.0 document saved in any of these formats because the document on the SEDAR server is not actually resubmitted to the server.

To attach a previously filed document:

1. If you are already on the project cover page, go to step 2.

If you are not on the project cover page, open the Filing Management window and select the filing to which you want to attach a file. From the File menu, select Add to a Filing, Documents.

The [type of filing] Cover Page dialog box displays.

General Cover Page

Project #
TMP00002

Filing Type:
Annual Financial Statements

Issuer Name:
00011753 9054-1304 Quebec Inc.

Contact Information:
Name: John Dozy
Tel: 514 Area Code: 234 Number: 1234 Ext: 111
Fax: 514 Area Code: 234 Number: 1235
Email ID: jdozy@internet.ca

To assign a file to a document in the list, select the document and then press "Attach File...". To add other documents, select "Other" and then press "Add Document...".

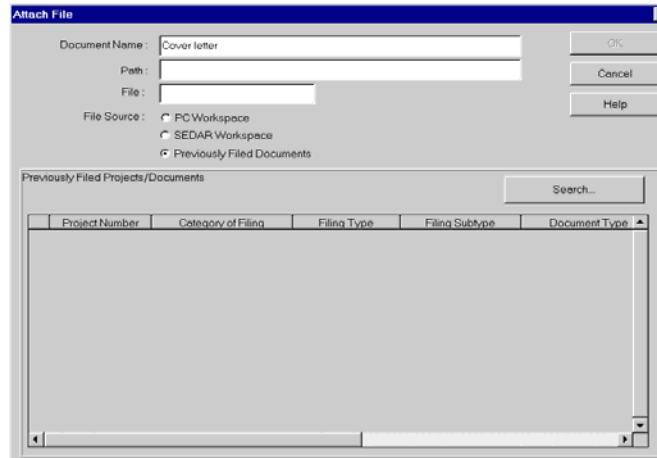
Filing Subtypes/Document Types	File Name
Cover letter	
Audited annual financial statements - English	
Audited annual financial statements - French	
Confirmation of mailing	
Form 61 (BC)	
Report on number and value of securities distributed in Quebec (QC)	
Other	

Buttons: Agencies..., Fees..., Submit, Save, Cancel, Page 2, Help, Attach File..., Detach File, Dup. 229, Add Document...

2. On the [type of filing] Cover Page dialog box, select the document type in the Filing Subtype/Document Type field and click Attach File. The Attach File dialog box displays.

- Click Previously Filed Documents. You are prompted to select an issuer profile if you did not do so on the cover page.

The Previously Filed Projects/Documents section displays.



- Click Search.

The Search for Previously Filed Documents dialog box displays.

SEDAR displays only the documents associated with that profile number. In the case of an Investment Fund Issuer filing, the profile number used is that of the Investment Fund Group

The date range fields are unavailable when you enter a project number

5. To narrow your search, you can:
 - Enter a project number
 - Select a Category of Filing or a Filing Type, or both. You can also change the Date range if desired (the default is one year).
6. Click Submit. After the search is done:
 - If there are no projects matching your search criteria, the Search for Previously Filed Documents dialog box re-displays. Change your search criteria or click cancel to return to the Attach File dialog box.
 - If there are filings matching your search criteria, the Attach File dialog box displays showing the search results.

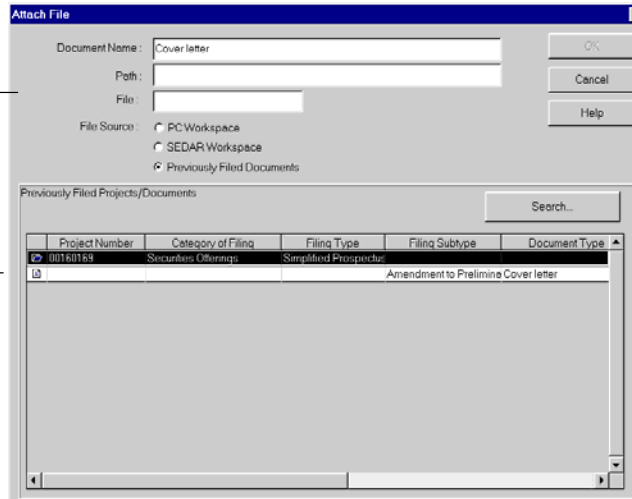
The list of projects and documents displayed remains available until you save, submit or cancel the submission from the cover page.

7. Select the document to attach and click OK.

The [type of filing] Cover Page dialog box re-opens.

The Path and File are automatically updated

Expand the folder to display each document



The access level of the newly attached document is private, regardless of its access level in the original project, until an agency changes the access level in the current project (except for filings which are automatically made public upon submission to SEDAR.) If an agency changes the access to this document in your current project, it does not change the access of the document in the original project.

From the [type of filing] Cover Page, you can take any of the actions shown below or go directly to step 8.

To...	Do this...
Attach other previously filed documents to the same document type	Select the document type in the Filing Subtype/Document Type list and click Duplicate to create a copy of that document type in the list. The Attach File dialog box displays. Repeat steps 3 to 5
To attach previously filed documents to a different document type	Repeat steps 2 to 5
To detach a file from the cover page	From the [type of filing] Cover Page dialog box, select a document in the Filing Subtype/Document Type list and click Detach File
To add a document type that does not appear on the list	<p>Scroll down the Filing Subtype/Document Type list, select the document type Other and click Add Document. The Add Document dialog box displays. Complete all fields. Click either:</p> <ul style="list-style-type: none"> • OK—To return to the [type of filing] Cover Page dialog box • Add Document—To add a document immediately and enter another document type

8. From the [type of filing] Cover Page, select one of the actions below when you have attached all files you need to include in your submission.

To...	Do this...
Select recipient agencies	Do not close the window. See "Selecting Recipient Agencies"
Submit the project	Do not close the window. See "Submitting the Project"
Save the cover page information on your database for later submission	Click Save. The Filing Management window displays

4.5 Submitting the Project

Once you have completed your cover page, attached the files to be sent to the recipient agencies you selected, and added your fees, you are ready to submit your project.

This section explains how to monitor the status of your unsubmitted filings and how to transmit your project. It also includes a short description on viewing the status of your submitted filings.

Before submitting your project, note the following:

- You should save the project on your local workspace before submitting it. The Save button becomes available after all the fields in the Issuer Information section on the cover page have been completed.
- You can detach files only before submitting the project to the SEDAR server. If you want to detach a file from a project, follow the procedure for attaching files, but from the [type of filing] Cover Page dialog box, click Detach File instead of Attach File.
- Ensure that all details of your submission are accurate before you send it to the SEDAR server.
- You can submit the filing from the [type of filing] Cover Page dialog box. However, this method does not allow you to save the filing in your database first.

4.5.1 Monitoring the Status of Unsubmitted Filings

You can view the status of your unsubmitted filings in the Date column on the Filing Management window. A list of statuses is shown below.

Status	Indicates that...
In Process	<p>A new filing was created and stored on your database but is not ready for submission to SEDAR because:</p> <ul style="list-style-type: none">• Not all mandatory fields have been completed, or• The profile used to create it is no longer active
Ready	<p>All mandatory fields have been completed and the filing is ready for submission to SEDAR</p>
Resubmit	<p>An error occurred during the submission to SEDAR or the file transfer was aborted before it was completed. See "File Messages"</p>

4.5.2 Transmitting the Project

To submit the project:

1. If you are on the Filing Management window, go to step 2.

If you are on the project cover page, click Save to save the new filing submission in your database, if you have not already done so.

The Filing Management window re-displays showing the filing identified by temporary project and submission numbers.

When a new filing is submitted, the date and time of reception at SEDAR (Eastern Time) replaces the READY status

SUB prefix—
Documents included in an additional filing, not yet submitted

Project	Submissi	Filing Type	Filing Category	Issuer/Filer Name	Date	Time	
00160046	00000001	Simplified Prospectus and Annu	Securities Offering Pre-MRRS Mutual Fund C04/21/1999		04/21/1999	15:27:24	N
00160046	00000002	Simplified Prospectus and Annu	Securities Offering Pre-MRRS Mutual Fund C06/14/1999		06/14/1999	10:48:01	M
00160046	00000003	Simplified Prospectus and Annu	Securities Offering Pre-MRRS Mutual Fund C06/17/1999		06/17/1999	15:25:13	M
00160057	00000001	Short Form Prospectus - Shelf	Securities Offering Pre-MRRS Other Issuer # 04/22/1999		04/22/1999	11:00:51	C
00160057	00000002	Short Form Prospectus - Shelf	Securities Offering Pre-MRRS Other Issuer # 06/14/1999		06/14/1999	09:07:31	C
00160057	00000003	Short Form Prospectus - Shelf	Securities Offering Pre-MRRS Other Issuer # 06/14/1999		06/14/1999	10:45:37	C
00160062	00000001	Short Form Prospectus (NPS 4	Securities Offering Pre-MRRS Other Issuer # 04/22/1999		04/22/1999	11:02:09	C
00160062	00000002	Short Form Prospectus (NPS 4	Securities Offering Pre-MRRS Other Issuer # 06/15/1999		06/15/1999	10:54:35	C
00160086	00000001	Long Form Prospectus	Securities Offering name		06/10/1999	10:43:46	C
00160086	00000004	Long Form Prospectus	Securities Offering name		06/11/1999	16:01:04	C
00160087	00000001	Simplified Prospectus and Annu	Securities Offering Pre-MRRS Mutual Fund C06/10/1999		06/10/1999	11:38:09	M
00160087	00000003	Simplified Prospectus and Annu	Securities Offering Pre-MRRS Mutual Fund C06/11/1999		06/11/1999	15:57:27	M
00160087	00000004	Simplified Prospectus and Annu	Securities Offering Pre-MRRS Mutual Fund C06/16/1999		06/16/1999	13:21:28	M
00160093	00000001	Short Form Prospectus (NPS 4	Securities Offering eng		06/14/1999	09:14:02	C
00160094	00000001	Short Form Prospectus (NPS 4	Securities Offering eng		06/14/1999	09:15:28	C
00160094	00000002	Short Form Prospectus (NPS 4	Securities Offering eng		06/16/1999	13:14:46	C
00160095	00000001	Short Form Prospectus (NPS 4	Securities Offering Mel- Ol-no filings		06/14/1999	09:16:46	C
00160096	00000001	Short Form Prospectus (NPS 4	Securities Offering eng		06/14/1999	09:17:46	C
00160097	00000001	Long Form Prospectus	Securities Offering Pre-MRRS Mutual Fund C06/14/1999		06/14/1999	09:20:37	M
00160098	00000001	Long Form Prospectus	Securities Offering Pre-MRRS Mutual Fund C06/14/1999		06/14/1999	09:21:58	M
00160099	00000001	Annual Information Form (NPS	Securities Offering eng		06/14/1999	09:24:17	C
00160099	00000002	Annual Information Form (NPS	Securities Offering eng		06/16/1999	19:13:56	C

2. Select the filing and click Submit. See the table below for further instructions based on the type of cover page and documents you are using.

If you are filing...	This happens...	Go to...
Filings for which no SEDAR or agency fees are charged	The filing is sent directly to the SEDAR server (the Charge Summary dialog box does not display)	"Viewing Completed Submissions"

If you are filing...	This happens...	Go to...
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Any other types of filings	The Charge Summary dialog box displays (see the illustration in Step 3)	Step 4
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3. The Charge Summary dialog box displays.

Before authorizing payment, click Print to print this dialog box for auditing or other purposes

Agency	Amount	GST	QST	HST
Ontario	0.00	0.00	0.00	0.00
TSX Venture Exchange	100.00	0.00	0.00	13.00

SEDAR (CDS Inc.) Fees: \$ 705.00
 G.S.T.: \$ 0.00
 H.S.T.: \$ 91.65
 FI # TRANSIT #: 0001-11111
 Account #: 111111111111

Total Agency Fees: \$ 113.00
 Total SEDAR (CDS Inc.) Fees: \$ 796.65
 Total Amount Payable: \$ 909.65

In the Agency section, the GST, QST or HST columns show the applicable taxes on market centre filing fees. The applicable taxes depend on the Subject To line of the User Information dialog box. For more information, see “Entering Your User Information”.

The Total Agency Fees, Total SEDAR System Fees and Total Amount Payable fields in the bottom right of the dialog box are calculated as shown below.

Total Agency Fees = Agency Fees + GST + QST + HST

Total SEDAR System Fees = SEDAR System Fees

Total Amount Payable = Agency Fees + SEDAR System Fees + applicable taxes

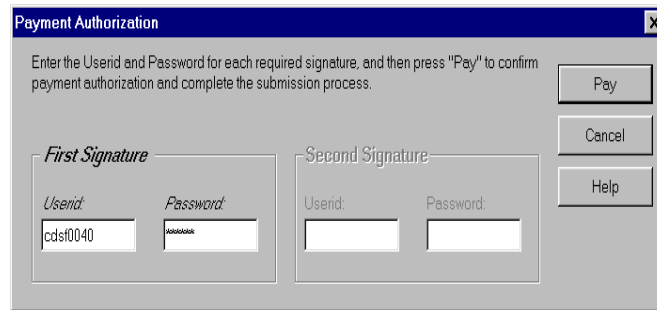
4. Complete the Matter Number field if desired. This field is optional; it is a number you assign for your reference only.

The Matter Number can be a maximum of 20 characters in any of the following combinations:

- Letters—a to z, upper and lowercase
- Digits—0 to 9
- Punctuation—period, hyphen, parentheses.

5. Click Authorize.

The Payment Authorization dialog box displays.



6. On the Payment Authorization dialog box, enter the required user IDs and passwords and click Pay.

Either of the following occurs:

- If the user IDs are valid, the files are submitted to the agencies and the payment instructions to the financial institution.
- If the user IDs are not valid, the SEDAR Filing Management dialog box displays.

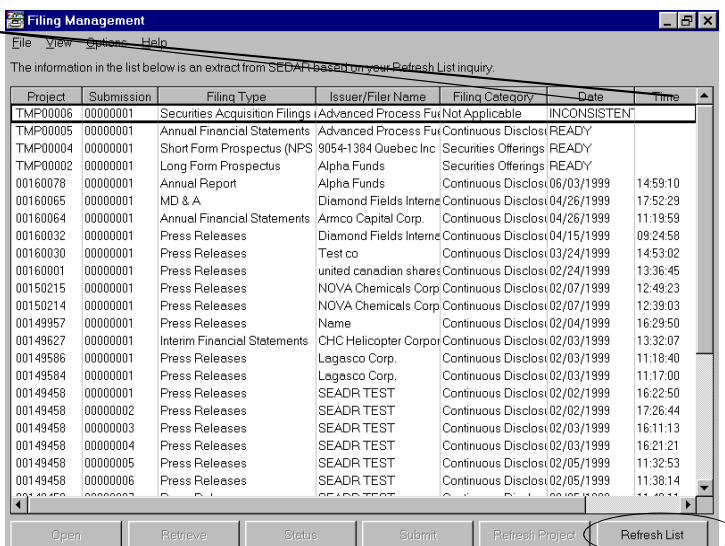


Click OK, then enter the correct user IDs and passwords and click Pay. Or, if your banking authorization user ID and password are not set up correctly, contact the CSA Service Desk for assistance at 1-800-219-5381.

4.5.3 Viewing Completed Submissions

Completed submissions appear in the Filing Management window showing the filing with permanent project and submission numbers, and the date and time of reception at SEDAR.

Date and time
(Eastern Time) of
reception at SEDAR



The information in the list below is an extract from SEDAR based on your Refresh List inquiry.

Project	Submission	Filing Type	Issuer/Filer Name	Filing Category	Date	Time
TMP00006	00000001	Securities Acquisition Filings (Advanced Process Filings)	Not Applicable	INCONSISTENT		
TMP00005	00000001	Annual Financial Statements	Advanced Process Filings	Continuous Disclosure	READY	
TMP00004	00000001	Short Form Prospectus (NPS)	9054-1384 Quebec Inc.	Securities Offerings	READY	
TMP00002	00000001	Long Form Prospectus	Alpha Funds	Securities Offerings	READY	
00160078	00000001	Annual Report	Alpha Funds	Continuous Disclosure	06/03/1999	14:59:10
00160065	00000001	MD & A	Diamond Fields International	Continuous Disclosure	04/26/1999	17:52:29
00160064	00000001	Annual Financial Statements	Armco Capital Corp.	Continuous Disclosure	04/26/1999	11:19:59
00160032	00000001	Press Releases	Diamond Fields International	Continuous Disclosure	04/15/1999	09:24:58
00160030	00000001	Press Releases	Test co	Continuous Disclosure	03/24/1999	14:53:02
00160001	00000001	Press Releases	united canadian shares	Continuous Disclosure	02/24/1999	13:36:45
00150215	00000001	Press Releases	NOVA Chemicals Corp.	Continuous Disclosure	02/07/1999	12:49:23
00150214	00000001	Press Releases	NOVA Chemicals Corp.	Continuous Disclosure	02/07/1999	12:39:03
00149957	00000001	Press Releases	Name	Continuous Disclosure	02/04/1999	16:29:50
00149627	00000001	Interim Financial Statements	CHC Helicopter Corporation	Continuous Disclosure	02/03/1999	13:32:07
00149586	00000001	Press Releases	Lagasco Corp.	Continuous Disclosure	02/03/1999	11:18:40
00149584	00000001	Press Releases	Lagasco Corp.	Continuous Disclosure	02/03/1999	11:17:00
00149458	00000001	Press Releases	SEADR TEST	Continuous Disclosure	02/02/1999	16:22:50
00149458	00000002	Press Releases	SEADR TEST	Continuous Disclosure	02/02/1999	17:26:44
00149458	00000003	Press Releases	SEADR TEST	Continuous Disclosure	02/03/1999	16:11:13
00149458	00000004	Press Releases	SEADR TEST	Continuous Disclosure	02/03/1999	16:21:21
00149458	00000005	Press Releases	SEADR TEST	Continuous Disclosure	02/05/1999	11:32:53
00149458	00000006	Press Releases	SEADR TEST	Continuous Disclosure	02/05/1999	11:38:14

Buttons at the bottom: Open, Retrieve, Status, Submit, Refresh Project, Refresh List (circled).

To monitor the status of filings:

1. On the Filing Management window, click Refresh List to ensure that the files are up to date, or select a filing and click Refresh Project.
2. Click Status. The first status, Filed with SEDAR, is automatically set by the server. For more details on viewing the status of filings, see "Viewing the Status of Filings".

For information on viewing the status of fee payments, see "Viewing the Status of Fee Payments".

Chapter 5

Assigning Secondary Filers to a Project

5.1 Overview

SEDAR enables the designation of one primary and several secondary filers for any filing.

The primary filer is the filing service subscriber who initiates the filing. Secondary filers are all other filing service subscribers assigned to that filing. Both the primary and the secondary filers can participate directly in the filing, which means that a filing can comprise many documents which are prepared by different filing service subscribers and submitted under the same project number.

As a filer, you can create a list of filers from which to select secondary filers. As primary filer, you assign secondary filers to the filing and determine which of the following three functions they can use: View, Retrieve or Submit. Agencies can view the list of secondary filers and the functions assigned to each filer.

To create your list of filers and assign them to filings, use the Filer List dialog box. To indicate the functions they can use, go to the Secondary Filer Access dialog box. The procedures for doing these tasks are in the following pages.

5.2 Maintaining Your Filer List

In SEDAR, you maintain a general list of filers, much like keeping a special address book of filers. As primary filer for a project, you select filers from this general list to create a list of secondary filers specific to the project.

You maintain the general list on your local workspace, not in the SEDAR server. Your filer list is independent from the secondary filer list you create for a project. Consequently:

- You do not submit the general list of filers to the SEDAR server.
- You do not share the general list with any other SEDAR users.
- For every project, you create a specific list of secondary filers that you submit to the SEDAR server.
- Changes you make to the information on a filer in the general filer list are not automatically made to the lists for the projects the filer has been assigned to. You must select each associated project and update the information on that secondary filer.
- Deleting filers from the general filer list does not delete them from the project lists.
- You can delete filers from a project list without deleting them from the general filer list.

5.2.1 Adding Filers to Your Filer List

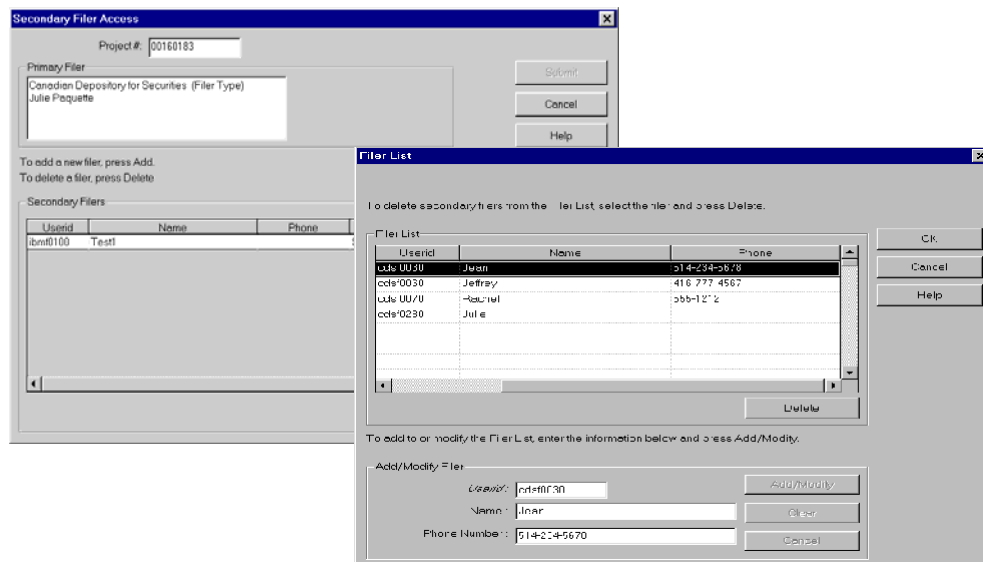
You can add up to 100 filers to your filer list.

Create your filer list on the Filer List dialog box, which you access from the Filing Management window or the Secondary Filer Access dialog box.

To add filers to your filer list:

1. On the Filing Management window, select Filer List from the Options menu.
or,
On the Filing Management window, select a filing and select Secondary Filer Access from the View menu. When the Secondary Filer Access dialog box displays, click Add.

The Filer List dialog box displays.



Filer List dialog box accessed from the Filing Management window

Filer List dialog box accessed from the Secondary Filer Access dialog box. Note the additional procedure for adding secondary filers to projects

The user ID is mandatory

The name and phone number are optional

Filer List

To add secondary filers to the project, select each filer in the Add column and press OK.

To delete secondary filers from the Filer List, select the filer and press Delete.

Add	Userid	Name	Phone
<input type="checkbox"/>	cdsf0010	Stephen Wark	618-234-4567
<input type="checkbox"/>	cdsf0280	Julie Paquette	514-555-1212
<input checked="" type="checkbox"/>	ibmf0100	Test1	
<input type="checkbox"/>	IBMF0100	Test1	

OK Cancel Help

Filer List

To add to or modify the Filer List, enter the information below and press Add/Modify.

Add/Modify Filer

Userid:

Name:

Phone Number:

Add/Modify Clear Cancel

2. Enter the information on the filers you want to add to your list in the Add/Modify Filer field.
3. Click Add/Modify. Each filer added is displayed in the Filer List field.
4. If you accessed the Filer List dialog box from the Filing Management window, click OK to return to that window.
or,
If you accessed the Filer List dialog box from the Secondary Filer Access dialog box, do either of the following:

- Assign the new filers as secondary filers to the project. For more information, see “Adding Secondary Filers to a Project”.
- Click OK to return to the Secondary Filer Access dialog box without assigning the new filers as secondary filers to the project.

5.2.2 Updating Filer Information in Your Filer List

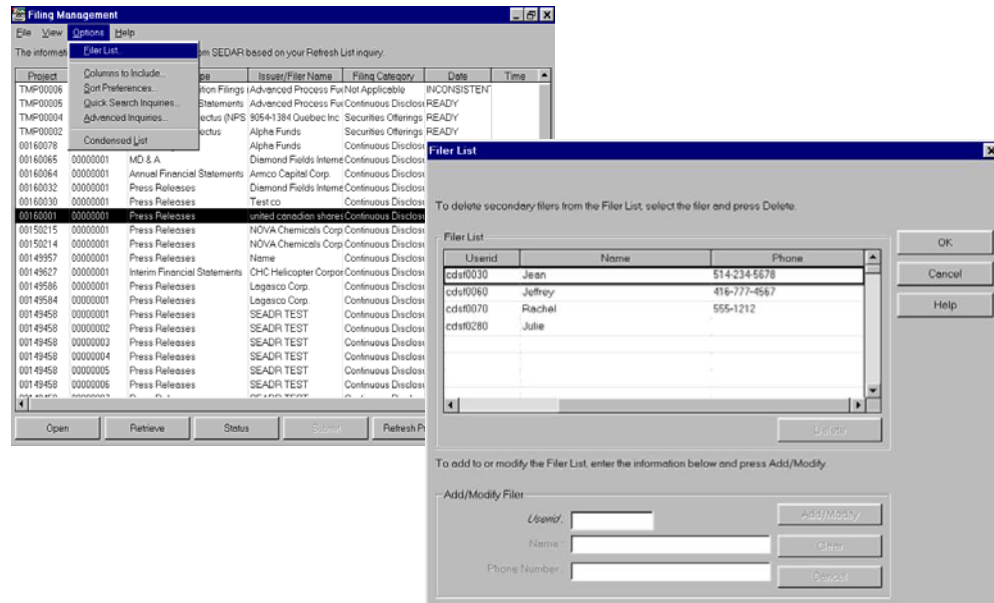
Update the information on filers in the filer list on the Filer List dialog box, which you access from the Filing Management window.

Changes made to filers in the Filer List dialog box are made to the general list on your local workspace only. If you want the changes to be effective for a project, you must also make the changes to the project's secondary filer list. For more information, see “Updating Secondary Filer Information in a Project”.

To update filer information in your filer list:

1. On the Filing Management window, from the Options menu select Filer List.

The Filer List dialog box displays.



2. Select the filer you want to modify and enter the changes in the Add/Modify Filer field.
3. Click Add/Modify. A message displays asking you if you really want to make the changes.
4. Click either:
 - Yes—To save the changes.
 - No—To verify that you have made the correct changes, then click Add/Modify and Yes.
5. Click OK to return to the Filing Management window.

5.2.3 Deleting Filers from Your Filer List

You delete filers from your list of filers on the Filer List dialog box, which you access from the Filing Management window.

To delete filers from your filer list:

1. On the Filing Management window, select Filer List from the Options menu.

The Filer List dialog box displays.

Filer List

To delete secondary filers from the Filer List, select the filer and press Delete.

Usend	Name	Phone
cdstf0010	Stephen Wark	618-234-4567
cdstf0280	Julie Paquette	514-555-1212
ibmf0100	Test1	
IBMF0100	Test1	

Delete

To add to or modify the Filer List, enter the information below and press Add/Modify.

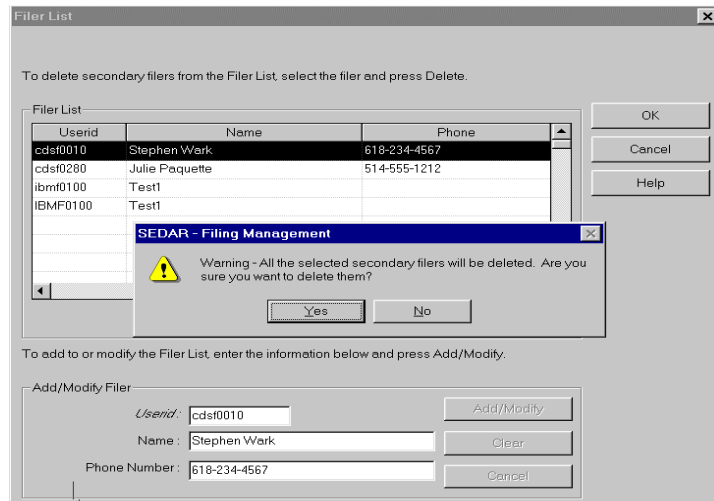
Add/Modify Filer

Usend: Add/Modify

Name: Clear

Phone Number: Cancel

2. Select the filer you want to delete and click Delete. A message displays asking you if you really want to delete the selected filer.



3. Select one of the following:
 - Yes—To delete.
 - No—To verify that you have selected the correct filer, then click Delete and Yes.

The selected filer is immediately removed from the list.

4. Click OK to return to the Filing Management window.

5.3 About Secondary Filers

You can add up to 50 secondary filers to a project.

As primary filer, you can grant and revoke access to secondary filer functions at any time, even while the secondary filer is using those functions.

For each filer added, you must determine the functions they can use (the default setting is None). The definitions and table below will help you understand the use of each of function.

- **View**—Enables the user to see all document titles and access, status details, fees, issuer and filer profiles, recipients and authorizations, and secondary filer access.
- **Retrieve**—Enables the user to download filing documents for viewing.
- **Submit**—Enables the user to transmit filings, make fee payments, and update cover pages (contact information and other changeable fields), provided they were previously granted the additional required access.

**If you enable the
secondary filer to use... They can use...**

View	View
Retrieve	Retrieve View
Submit	Submit View Retrieve

5.3.1 Adding Secondary Filers to a Project

To add secondary filers to a project:

1. On the Filing Management window, select the required filing. From the View menu, select Secondary Filer Access.

The Secondary Filer Access dialog box displays.

Secondary Filer Access

Project #: 00160078

Primary Filer

Canadian Depository for Securities (Filer Type)

Submit
Cancel
Help

To add a new filer, press Add.
To delete a filer, press Delete.

Secondary Filers

Usrid	Name	Phone	Current Access	New Access
-------	------	-------	----------------	------------

Add Delete

2. Click Add.

The Filer List dialog box displays.

Filer List

To add secondary filers to the project, select each filer in the Add column and press OK.
To delete secondary filers from the Filer List, select the filer and press Delete.

Filer List

Add	Usrid	Name	Phone
<input type="checkbox"/>	cds0010	Stephen Work	618-234-4567
<input type="checkbox"/>	cds0280	Julie Paquette	514-555-1212
<input checked="" type="checkbox"/>	ibm0100	Test1	
<input type="checkbox"/>	IBM0100	Test1	

OK
Cancel
Help

Delete

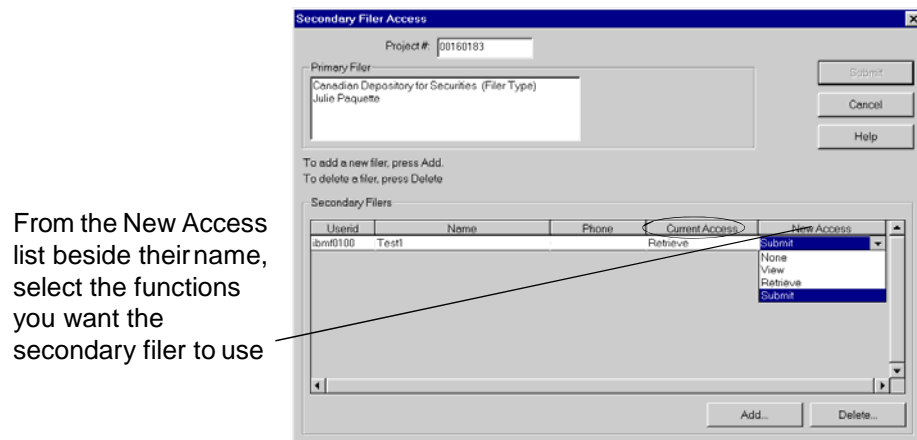
To add to or modify the Filer List, enter the information below and press Add/Modify.

Add/Modify Filer

Usrid: ibm0100 Add/Modify
Name: Test1 Clear
Phone Number: Cancel

- Click the check field under the Add column beside the filers you want to add to the project and click OK.

The Secondary Filer Access dialog box redisplay showing the selected filers and their current access as None. (If there are no filers in your list, see “Adding Filers to Your Filer List” to create a list.)



- For each secondary filer you added, select the functions you want them to use from the New Access list beside their name (the default setting is None).

Note: You can click Cancel before submitting your changes to the server to return to the Filing Management window without making changes.

5. Click Submit to send your changes to the server. The server is updated immediately and the Filing Management window displays.
6. Contact the secondary filer and provide them with the following information:
 - The project number
 - The user ID
 - The functions they can use.

5.3.2 Deleting Secondary Filers from a Project

To delete a secondary filer from a project:

1. On the Filing Management window, select the required filing. From the View menu, select Secondary Filer Access.

The Secondary Filer Access dialog box displays.

Secondary Filer Access

Project #: 00160183

Primary Filer

Canadian Depository for Securities (Filer Type)
Julie Paquette

Submit
Cancel
Help

To add a new filer, press Add.
To delete a filer, press Delete

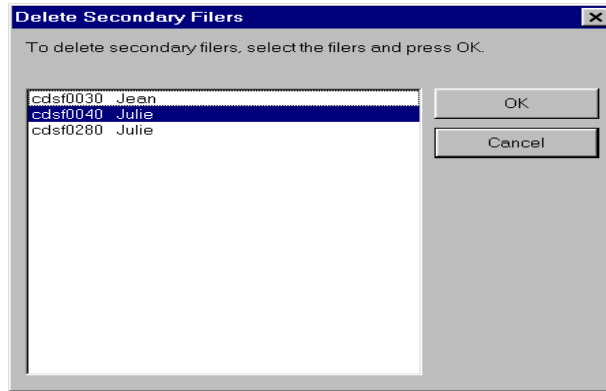
Secondary Filers

Userid	Name	Phone	Current Access	New Access
lbmf0100	Test1		Submit	None View Retrieve Submit

Add... Delete...

2. Click Delete.

The Delete Secondary Filers dialog box displays.



3. Select the filer you want to delete from the project and click OK. A message displays asking you if you really want to delete the selected filer.

4. Click either:

- Yes—To delete
- No—To verify that you have selected the correct filers, then click Delete and Yes.

The Secondary Filer Access dialog box re-displays showing the updated list of secondary filers.

Note: You can click Cancel before submitting your changes to the server to return to the Filing Management window without making changes.

5. Click Submit to send your changes to the server. The server is updated immediately and the Filing Management window displays.

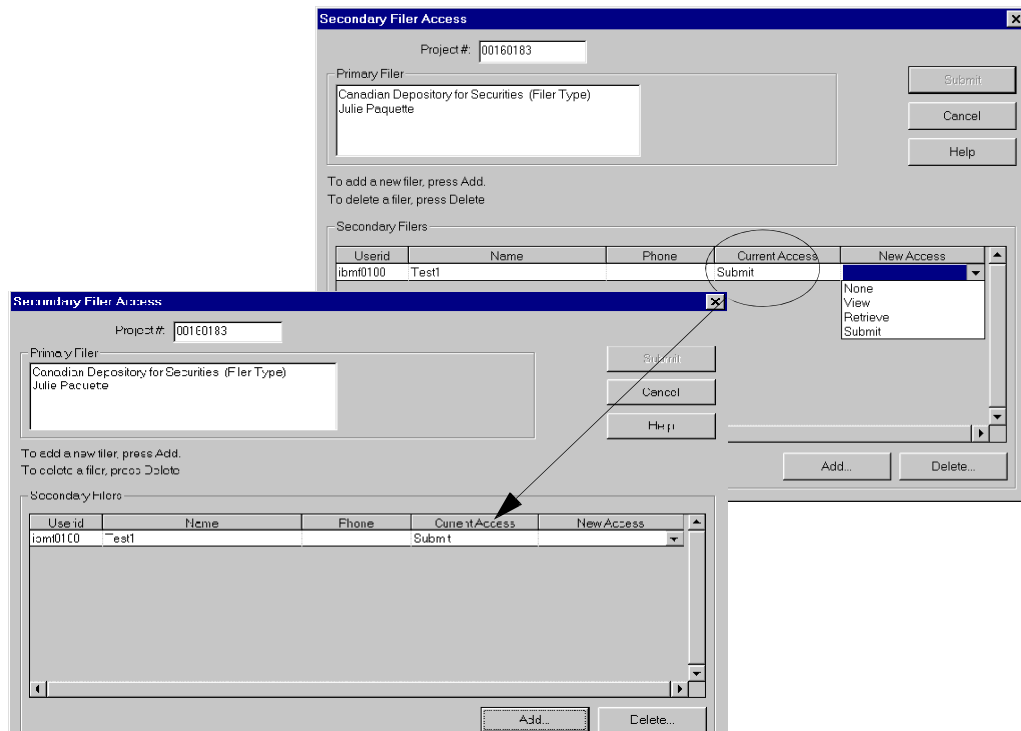
5.3.3 Changing the Secondary Filer Functions

At any time, you can change the functions a secondary filer can use. For a definition of the functions and user access, see “About Secondary Filers”.

To change the functions a secondary filer can use:

1. On the Filing Management window, select the required filing. From the View menu, select Secondary Filer Access.

The Secondary Filer Access dialog box displays.



2. Select the desired filer, then the function you want them to use from the New Access list beside their name.

Note: You can click Cancel before submitting your changes to the server to return to the Filing Management window without making changes.

3. Click Submit twice to send your changes to the server. The server is updated immediately and the Filing Management window displays.

5.3.4 Updating Secondary Filer Information in a Project

You can update the information (name and phone number) of a secondary filer in a project through the Filer List dialog box.



Changes made to filers in the Filer List dialog box are made to the general list on your local workspace only. For the changes to be effective for a project, you must also make the changes to the project's secondary filer list.

To update the information on a secondary filer in a project:

1. On the Filing Management window, select the required filing. From the View menu, select Secondary Filer Access.

The Secondary Filer Access dialog box displays.

2. Click Add.

The Filer List dialog box displays.

Filer List

To add secondary filers to the project, select each filer in the Add column and press OK.

To delete secondary filers from the Filer List, select the filer and press Delete.

Add	Userid	Name	Phone
<input checked="" type="checkbox"/>	cdsf0030	Jean	514-234-5678
<input checked="" type="checkbox"/>	cdsf0060	Jeffrey	416-777-4567
<input checked="" type="checkbox"/>	cdsf0280	Julie	
<input type="checkbox"/>			
<input type="checkbox"/>			
<input type="checkbox"/>			

OK
Cancel
Help

Delete

To add to or modify the Filer List, enter the information below and press Add/Modify.

Add/Modify Filer

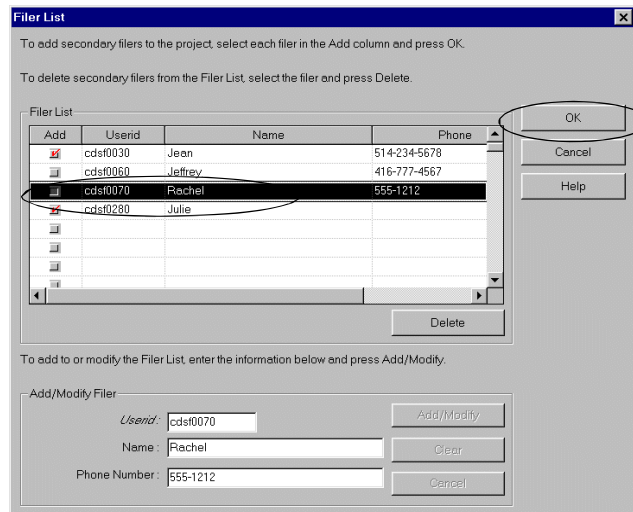
Userid: Add/Modify

Name: Clear

Phone Number: Cancel

3. In the Filer List field, select the secondary filer for whom you want to change the information and update the information in the Add/Modify Filer field.
4. Click Add/Modify. A message displays asking if you really want to save your changes.
5. Click either:
 - Yes—To save
 - No—To verify the information you have changed, then click Add/Modify and Yes.

The changes display in the Filer List field.



6. Click OK. A message displays asking you if you want to replace the secondary filer information, since the filer you want to add is already assigned to a project.
7. Click either:
 - Yes—To replace the information in the project
 - No—To keep the current information in the project filer list (the changes are still made in the Filer List dialog box).

The Secondary Filer Access dialog box displays with or without the changes, depending on the action you took.

8. Click either:
 - **Submit (twice)** —To submit the changes to the server. The server is updated immediately and the Filing Management window displays.
 - **Cancel**—To return to the Filing Management window without updating the information on the secondary filer for that project (the changes made to that filer in the general filer list are saved).
9. If you want to update the information on the secondary filer in other projects they were assigned to, repeat this procedure for each project.

5.4 Accessing a Project as a Secondary Filer

When informed by the primary filer that your organization is a secondary filer for a project:

- Write down the project number and the user ID assigned to the filing
- Download the new project
- Verify the functions you are allowed to use for that project.

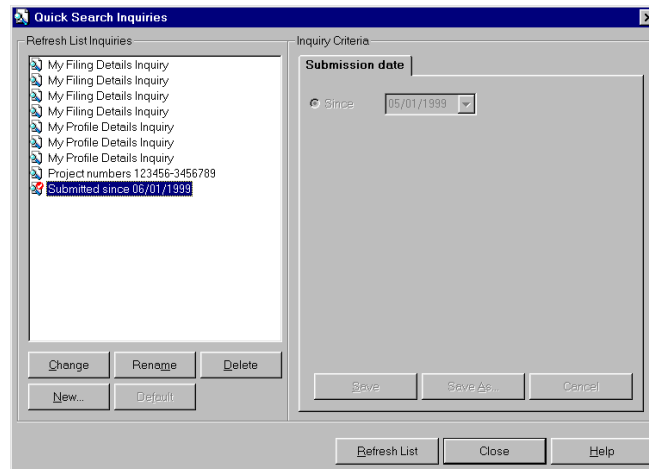
5.4.1 Downloading a New Project

Before you can contribute to the project, you must have it in your list of filings. To make the project display in your list of filings, follow the procedure below.



Ensure that you have logged in with the user ID assigned by the primary filer.

1. On the Filing Management window, from the Options menu select Quick Search Inquiries. The Quick Search Inquiries dialog box displays.



2. Verify if there is an inquiry in the list that will retrieve the new project.

If there is, go to step 3.

If there is not, click New to create the appropriate search inquiry.

The Quick Search Inquiries wizard displays. Follow the instructions on the screen or see “Using the Quick Search Inquiries Function”. When done go to step 3.

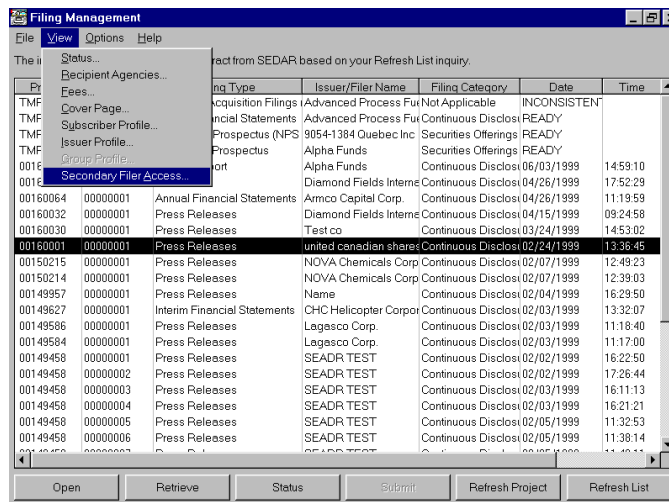
3. Click Refresh List. The information on all filings in the list is updated and the Filing Management window re-displays showing the new project.

5.4.2 Verifying the Functions You Can Use

Before you access the project for the first time to view, retrieve or submit files, verify what functions you are allowed to use. This way, you will not waste time trying to use a function you are not allowed to use. For example, if you submit a file to be added to the project for which you cannot use the Submit function, the server will load the entire file before rejecting it and telling you that you cannot use that function for the project.

To find out what functions you can use:

1. On the Filing Management window, select the required filing.



2. On the View menu, Select Secondary Filer Access.

The Secondary Filer Access dialog box displays showing the list of all secondary filers for the project selected and the functions they can use.

Secondary Filer Access

Project #: 01001032

Primary Filer

SEDAR Filer
Ramsay, Steven

Submit
Cancel
Help

To add a new filer, press Add.
To delete a filer, press Delete

Secondary Filers

Userid	Name	Phone	Current Access	New Access
cdsf0100	Test filer		Submit	

Add... Delete...

If the primary filer has assigned to you one of the View, Retrieve and Submit functions, the access you have remains the same for all submissions you make for the project. For example, if you have access to the Submit function for project 01001032 you can submit documents and fees for that project.

Chapter 6

Modifying a Submitted Project

6.1 Overview

After you have submitted a filing to the server, you can add to it by submitting documents, recipient agencies (only when you are adding documents) and fees to the server. These additions are all part of the same project and have the same project number assigned to them.



You can add documents to filings created for the category of filer Other Issuers or Investment Fund Issuers, even if the issuer has ceased reporting since the initial submission was made.

6.2 Adding Documents and Formal Correspondence

Whenever you add documents or formal correspondence to an existing filing, it generates a new submission number that is displayed in the list of submissions on the Filing Management window. The project number, filer name and list of documents for the category of filing and the recipient agencies have already been captured by SEDAR when the new project was submitted.

You can attach a new document, a previously filed document or formal correspondence to your filing.

See the table below to find out which procedure you should follow.

To attach...	See...
A new document	"Adding a New Document"
A previously filed document	"Adding Previously Filed Documents"
Formal correspondence	"Adding Formal Correspondence"

6.2.1 Adding a New Document

To add documents to a filing:

1. On the Filing Management window, select the filing you want to add files to.

2. On the File menu, select Add to a Filing, then Documents.

The [type of filing] Cover Page dialog box displays.

General Cover Page

Project #: 00160194

Filing Type: Annual Financial Statements

Issuer Name: 0001892 Georges & Lambert

Contact Information:

Name: John O'Leary

Tel: 514 555-1212

Fax: 514 555-1212

Email ID:

To assign a file to a document in the list, select the document and then press "Attach File...". To add other documents, select "Other" and then press "Add Document..."

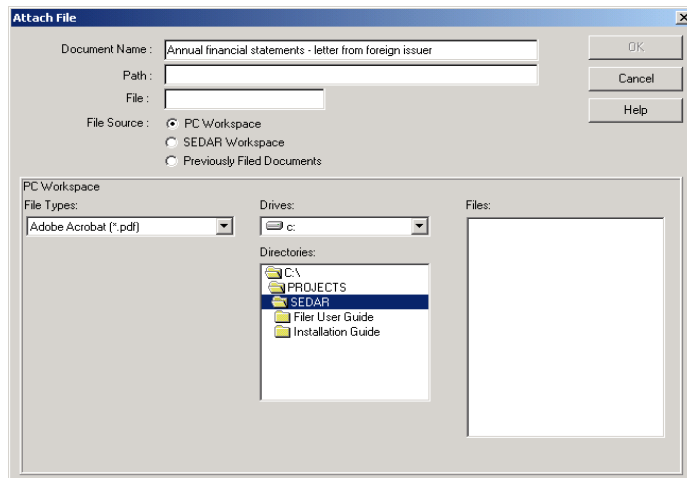
	Filing Subtype/Document Type	File Name
<input checked="" type="checkbox"/>	Cover letter	
<input type="checkbox"/>	Audited annual financial statements - English	
<input type="checkbox"/>	Audited annual financial statements - French	
<input type="checkbox"/>	Confirmation of mailing	
<input type="checkbox"/>	Form 61 (B/C)	
<input type="checkbox"/>	Report on number and value of securities distributed in Quebec (QC)	
<input type="checkbox"/>	Other	

Buttons: Agencies..., Fees..., Submit, Save, Cancel, Page 2..., Help, Attach File..., Detach File, Duplicate, Add Document

3. Select a document type. (If you select the document type Other, the Add Document button becomes available.)
4. Depending on the type of document you select, do either of the following:
 - Click Attach File. The Attach File dialog box displays. Go to step 6.
 - Click Add Document. The Add Document dialog box displays. Go to step 5.

5. Enter the required information and click Attach File.

The Attach File dialog box displays.



6. Select the following:
 - The location of the file you want to attach (PC workspace or SEDAR workspace)
 - The file type
 - The drive
 - The directory
 - The name of the file, with the accepted extension.

Note: If you want to attach a file from your SEDAR workspace and want to view the most up-to-date files, click Refresh List to connect to SEDAR.

7. After you select the file, click OK.

If you attempt to send a file which contains annotations, such as attached files or embedded objects, the following message displays:

“The file cannot contain annotations (attached files or embedded objects). Please remove them and resave the file.”

Follow the instructions in the message. For more information, see “File Messages”.

Depending on the type of document you select, either of the following occurs:

- The [type of filing] Cover Page dialog box re-displays with the file attached.
- The Add Document dialog box displays. Click OK. The [type of filing] Cover Page dialog box re-displays with the file attached.

The Agencies, Detach File and Duplicate buttons become available.

If a message displays, follow the instructions in the message. For more information, see “File Messages”.

You can take any of the actions shown below or go directly to step 8.

To...	Do the following...
Attach many files to the same document type	Select the document type in the Filing Subtype/Document Type list and click Duplicate to create a copy of that document type in the list. Repeat steps 6 and 7
To attach files to a different document type	Repeat steps 3 to 7
To detach a file from the cover page*	From the [type of filing] Cover Page dialog box, select a document in the Filing Subtype/Document Type list and click Detach File. The file is detached and removed from the list on the [type of filing] Cover Page

* Only files which have not been submitted to the SEDAR server can be detached from a project.

Note: Remember that in SEDAR, one paper document corresponds to one electronic file. You cannot submit the electronic equivalent of one paper document in more than one electronic file. For more information, refer to the *SEDAR Filer Manual*.

8. After you have attached the files, select one of the actions below.

To...	Do the following...
Modify the cover page	Do not close the dialog box. See “Modifying Cover Pages”
Add recipient agencies	Click Agencies. The Add a Recipient Agency dialog box displays. See “Adding Recipient Agencies to a Submitted Filing”
Add fees	If there are additional fees, add the fees before submitting the filing (for more information, see “Adding Fees”)
Save the cover page information on your database for later submission	Click Save. The Filing Management window displays
Submit the filing to SEDAR now without adding fees or saving the filing first	Click Submit. The document is sent to the SEDAR server. Depending on the document type selected, the Submit button becomes available only after you have entered the applicable fees

Once submitted, the filing displays in the list of submissions on the Filing Management window. The filing in the list bears the same project number as the original filing, but has its own unique submission number.

6.2.2 Adding Previously Filed Documents

It is possible to reuse certain documents already submitted to SEDAR. For example, in the case of a take-over bid filing, as the filer, you may want to use the issuer's financial statements to submit to agencies.

The filings you are allowed to search in for documents are restricted to the filings associated with the profile number of the issuer for the filing you are creating. On the SEDAR server, you can search on this issuer's:

- Public filings
- Private filings for which you are the primary filer or a secondary filer with the Retrieve and Submit privilege.

You cannot reuse documents sent as formal correspondence or with one of the following private access levels:

- Private – Draft
- Private – Virus
- Private – Incorrect Filing
- Private – Incorrect Format
- Private – Nonpublic
- Private – Nonpublic – Incorrect.

Before the implementation of Release 6.0, accepted file formats were:

- For WordPerfect documents – .w51, .w52, .w60 and .w61

- For Word for Windows – .doc
- For PDF documents – .pdf.

You can attach a pre-release 6.0 document saved in any of these formats since the document on the SEDAR server is the same as the original one and is not actually resubmitted to the server.

To attach a previously filed document:

1. On the Filing Management window, select the filing you want to add files to.
2. On the File menu, select:

Add to a Filing > Documents.

The [type of filing] Cover Page dialog box displays.

General Cover Page

Project #: TMP00002

Filing Type: Annual Financial Statements

Issuer Name: 00011753 90541384 Quebec Inc

Contact Information:

Name: John Dozy

Tel: Area Code: 514 Number: 234-1234 Ext: 111

Fax: Area Code: 514 Number: 234-1235

Email ID: jdozy@internet.cc

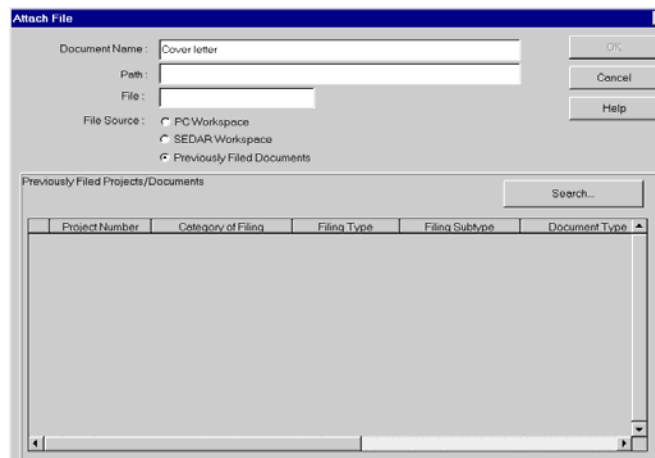
To assign a file to a document in the list, select the document and then press "Attach File...". To add other documents, select "Other" and then press "Add Document..."

Filing Subtype/Document Type	File Name
<input checked="" type="checkbox"/> Cover letter	
<input type="checkbox"/> Audited annual financial statements - English	
<input type="checkbox"/> Audited annual financial statements - French	
<input type="checkbox"/> Confirmation of mailing	
<input type="checkbox"/> Form 61 (BC)	
<input type="checkbox"/> Report on number and value of securities distributed in Quebec (OC)	
<input type="checkbox"/> Other	

Buttons: Agencies..., Fees..., Submit, Save, Cancel, Page 2..., Help, Attach File..., Detach File, Duplicate, Add Document.

3. Select the document type in the Filing Subtype/ Document Type field. (If you select the document type Other, the Add Document button becomes available.)
4. Depending on the type of document you chose, do either of the following:
 - Click Attach File. The Attach File dialog box displays. Go to step 6.
 - Click Add Document. The Add Document dialog box displays. Go to step 5.
5. Enter the required information and click Attach File. The Attach file dialog box displays.
6. Click Previously Filed Documents.

The Previously Filed Projects/Documents section displays on the Attach File dialog box.



7. Click Search.

The Search for Previously Filed Documents dialog box displays.

SEDAR displays only the documents associated with that profile number. In the case of an Investment Fund Issuer filing, the profile number used is that of the Investment Fund Group

The date range fields are unavailable when you enter a project number

8. To narrow your search, you can:

- Enter a project number
- Select a Category of Filing or a Filing Type, or both. You can also change the Date range if desired (the default is one year).

9. Click Submit.

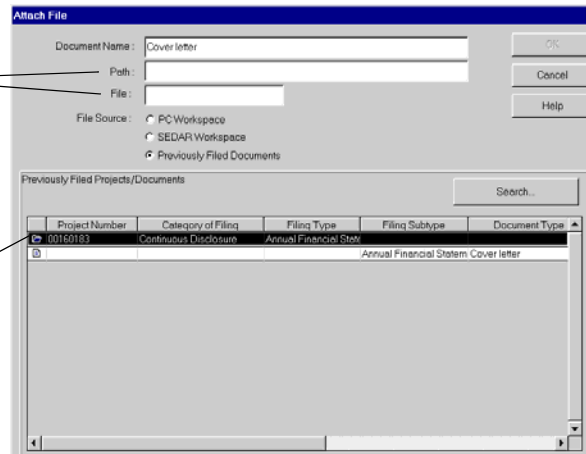
After the search is complete:

- If there are no projects matching your search criteria, the Search for Previously Filed Documents dialog box re-displays. Change your search criteria or click cancel to return to the Attach File dialog box.

- If there are filings matching your search criteria, the Attach File dialog box displays listing the search results.

The Path and File are automatically updated

Expand the folder to display each document



The list of projects and documents displayed remains available until you save, submit or cancel the submission from the cover page.

10. Select the document to attach and click OK. Depending on the type of document you select, either of the following displays:
 - The [type of filing] Cover Page re-displays with the file attached.
 - The Add Document dialog box displays. Click OK. The [type of filing] Cover Page dialog box re-displays with the file attached.

The Agencies, Detach File and Duplicate buttons become available.



The access level of the newly attached document is private, regardless of its access level in the original project, until an agency changes the access level in the current project.

The exception is for continuous disclosure filings (other than the filing types “Other Filings”, “Personal Information Form and Authorization 51-105F3A”, “Personal Information Form and Authorization 51-105F3B” and “For Regulator’s Use Only”) and exempt market offerings and disclosure filings (other than “Schedule 1 of report of exempt distribution (45-106F1) and “Schedule 1 of report of exempt distribution Form 5”), as described in the *SEDAR Filer Manual*,) which are automatically made public upon submission to SEDAR.

If an agency changes the access to this document in your current project, it does not change the access of the document in the original project.

You can take any of the actions shown below or go directly to step 11.

To...	Do the following...
Attach many files to the same document type	Select the document type in the Filing Subtype/Document Type list and click Duplicate to create a copy of that document type in the list. Repeat step 10
To attach files to a different document type	Repeat steps 3 to 10

To...	Do the following...
To detach a file from the cover page*	From the [type of filing] Cover Page dialog box, select a document in the Filing Subtype/Document Type list and click Detach File. The file is detached and removed from the list in the [type of filing] Cover Page

* Only files which have not been submitted to the SEDAR server can be detached from a project.

11. After you have attached the files, select one of the actions below.

To...	Do the following...
Modify the cover page	Do not close the window. See "Modifying Cover Pages"
Add recipient agencies	Click Agencies. The Add a Recipient Agency dialog box displays. See "Adding Recipient Agencies to a Submitted Filing"
Add fees	If there are additional fees, add the fees before submitting the filing (for more information, see "Adding Fees")
Save the cover page information on your database for later submission	Click Save. The Filing Management window displays
Submit the filing to SEDAR now without adding fees or saving the filing first	Click Submit. The document is sent to the SEDAR server. For more information on the transmission process, see "Transmitting the Project" Depending on the document type selected, the Submit button becomes available only after you have entered the applicable fees

6.2.3 Adding Formal Correspondence

You cannot add a recipient agency to a submission when adding formal correspondence using the following method. To add an agency to the list, see “Adding Recipient Agencies to a Submitted Filing”.

To add formal correspondence to a filing:

1. On the Filing Management window, select the filing you want to add files to.
2. On the File menu, select Add to a Filing, then Formal Correspondence.

The Formal Correspondence dialog box displays.

Filing Subtype/Document Type	File Name
Formal Correspondence	
First Response Letter	
Second Response Letter	
Subsequent Response Letter	
Other	
Other Correspondence	

3. Select a document type. (If you select the document type Other, the Add Document button becomes available.)

4. Depending on the type of document you chose, do either of the following:
 - Click Attach File. The Attach File dialog box displays. Go to step 6.
 - Click Add Document. The Add Document dialog box displays. Go to step 5.
5. Enter the required information and click Attach File. The Attach File dialog box displays.
6. Select the following:
 - The location of the file you want to attach (PC workspace or SEDAR workspace)
 - The file type
 - The drive
 - The directory
 - The name of the file with the .pdf extension.

If you select to attach a file from your SEDAR workspace and want to view the most up-to-date files, click Refresh List to connect to SEDAR.

After you select the file, click OK.

If you attempt to send a file which contains annotations, such as attached files or embedded objects, the following message displays:

“The file cannot contain annotations (attached files or embedded objects). Please remove them and resave the file.”

Follow the instructions in the message.

The Formal Correspondence dialog box displays and the Submit and Detach File buttons become available.

If a message displays, follow the instructions in the message. For more information, see “File Messages”.

You can take any of the actions shown below or go directly to step 7.

To...	Do the following...
To attach files to a different document type	Repeat steps 3 to 6
To detach a file	From the Formal Correspondence dialog box, select a document in the Filing Subtype/Document Type list and click Detach File. The file is detached and removed from the list

* Only files which have not been submitted to the SEDAR server can be detached from a project.

Note: Remember that in SEDAR, one paper document corresponds to one electronic file. You cannot submit the electronic equivalent of one paper document in more than one electronic file. For more information, refer to the *SEDAR Filer Manual*.

7. After you have attached the files, click Submit. The document is sent to the SEDAR server. For more information on the transmission process, see “Transmitting the Project”.

Once submitted, the filing displays in the list of submissions on the Filing Management window. The filing in the list bears the same project number as the original filing, but has its own unique submission number.

6.3 Modifying Cover Pages

Once a filing has been submitted, you can modify information on page 2 of the Investment Funds, General Investment Funds, General, Issuer and Issuer (Annual Information Form) coverpages.

There are two ways you can access the cover page of a submitted filing to modify information: using the Add to a Filing option on the File menu or the Cover Page option on the View menu.

6.3.1 Using the Add to a Filing Option

1. On the Filing Management window, select a filing. On the File menu, select Add to a Filing, then Documents.

The [type of filing] Cover Page dialog box displays.

2. Modify the information as required.

The modifiable cover page types and fields are listed in the following table:

Cover Page Type	Modifiable Fields
General	<ul style="list-style-type: none"> • Contact Information • Continuous Disclosure Rule • Financial Period Ended • Financial Period Date Relates to • Date of Meeting • Date of Meeting Relates to • Confirmation that schedule 1 was prepared using the template available on www.sedar.com • Warning to remove Schedule 1 from the report of exempt distribution
General Investment Funds	<ul style="list-style-type: none"> • Contact Information • Financial Period Ended • Financial Period Date Relates to • Date of Meeting • Date of Meeting Relates to • Confirmation that Schedule 1 was prepared using the template available on www.sedar.com • Warning to remove Schedule 1 from the report of exempt distribution
Investment Funds	<ul style="list-style-type: none"> • Contact Information
Issuer	<ul style="list-style-type: none"> • Contact Information • Type of Securities • Initial Public Offering • Primary Offering • Secondary Offering • MJDS offering in the United States • Inclusion of Future Oriented Financial Information ("FOFI") • Aggregate Gross Proceeds • Underwriter Info – Underwriter name (E) and (F) • Underwriter Info – Underwriter Counsel (all fields) • Promoter Info (all fields)
Third Party	<ul style="list-style-type: none"> • Contact Information

3. Select a document type and a file, and click Attach File.
4. Continue adding files to a filing following the usual procedures.

6.3.2 Using the Cover Page Option

1. On the Filing Management window, select a filing for which you want to modify the cover page. From the View menu, select Cover Page.

The [type of filing] Cover Page dialog box for the selected filing displays, showing any previously saved information.

2. Modify the information as required. See the table in “Using the Add to a Filing Option” for a list of modifiable cover pages and fields.
3. When all modifications have been made, click either of the following:
 - Submit—To send the changes to the SEDAR server and update the information in your local workspace.
 - Cancel—To remove any changes you made to the cover page and return to the Filing Management window.



You cannot add recipients, add or modify fees, save the information or modify documents from the Cover Page option on the View menu. To add or modify fee amounts, use the Fees function on the View menu. To add recipient agencies, use the Add to a Filing > Document function on the File menu.

6.4 Adding Recipient Agencies to a Submitted Filing

The types of agencies available for a project are determined by the filing type. Therefore, once a project has been submitted to a type of agency, you can submit it to additional agencies of the same type only. For example, you cannot add a market centre to a project if its original recipient agency type was commissions. To send the documents to a recipient agency of a different type, you must create a new project and select the appropriate filing type in the appropriate folder.

To add recipient agencies:

1. Open the Filing Management module. Select the filing from the list of submissions to which you want to add agencies and on the File menu, point to Add to a Filing and click Documents. The [type of filer] Cover Page displays.
2. To add more agencies, click Agencies. The Agencies dialog box displays.
3. Click Add. The Add a Recipient Agency dialog box displays listing the available agencies.

Depending on your category of filer, the category of filing and the type of filing, and the folder in which it is located, one of the following displays in the Agency Type field:

- Commissions
- Market Centres (Exchanges)
- Commissions and Market Centres (Exchanges).

The Test Filing option is always shown.

The Agency Type field is not available because you cannot modify the agency type once the filing has been submitted. To change the agency type, you must create a new project

Add a Recipient Agency

Select the Agencies to receive the filing, then press OK.

Agency Type :

☒ Commissions AND Market Centres (Exchanges)

☐ Test Filing

OK

Cancel

Help

Select All Commission Agencies

Select All Market Centre Agencies

Agency

British Columbia

Alberta (ASC)

Saskatchewan

Manitoba

Ontario

Quebec

New Brunswick

Nova Scotia

Prince Edward Island

Newfoundland

Northwest Territories

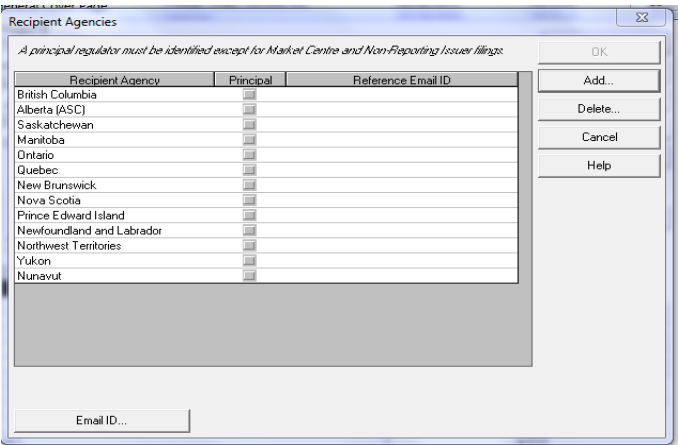
Yukon

Nunavut

TSX Venture Exchange

4. In the Agency field, select any additional agencies and click OK.

The Recipient Agencies dialog box re-displays with the additional agencies listed.



5. Select one of the following actions:

Click...	To...
OK	Go back to the cover page. Go to step 6
Add	Send the filing to more agencies
Delete	Delete agencies that you just selected to receive the filing; agencies cannot be deleted once the filing has been submitted
Click Email ID	Include the SEDAR e-mail ID of the contact person at the agency, if applicable, who can be contacted by the filer using SEDAR e-mail when the filing is received by an agency

6. On the [type of filer] Cover Page, highlight the document type “Letter concerning recipient agency” and click Attach File (see “Attaching a File”).

Once the document has been attached, the Submit button will be highlighted on the Cover Page screen.

7. Click Submit to send this project to the additional recipient agency.

Note: Only certain filing types provide the document type noted above. If you are adding a recipient agency to a filing that does not provide this document type, select the document type “Cover letter.”

Note: All documents previously submitted on the project will be available to the newly added recipient agency. It is not necessary to re-attach all documents submitted with the initial filing of this project.

6.5 Adding Fees

You can add fees to a project that has already been submitted to the server.

To add fees to a submitted filing:

1. Open the Filing Management module and select the project from the list of submissions to which you want to add fees.
2. On the View menu, select Fees. One of the following occurs:
 - If fees have been submitted, the Summary of Filing Fees dialog box displays, showing the total project fees submitted to date, including both agency filing fees and SEDAR System fees (SEDAR System fees do not apply to most documents).
Go to step 3.
 - If no fees have been submitted, the Add/Modify dialog box displays.
Go to step 4.

- On the Summary of Filing Fees dialog box, select Add/Modify.

The Add/Modify Fees dialog box displays.

Fee Description	Code	Amount \$
9.(a) Subject to paragraphs (b) and (c), for filing a preliminary prospectus, a preliminary base shelf prospectus under NI 44-102, a preliminary base PREP prospectus under NI 44-103 or a pro forma prospectus (\$2500)	SPROS/1	0.0
9.(b) For filing a preliminary or pro forma prospectus for a mutual fund (\$1500)	SMFP	0.0
10(a) For filing a prosp., the amnt, if any, by which .02% of proceeds realized by issuer/security holders from the dist. under the prosp. to purch. in B.C. exceeds agg. fees paid under item 9, which amnt must be paid according to sec 24 & 25	SPROS+	0.0
10(b) As in 10(a), except in the case of a money market mutual fund, as defined in NI 81-102, use 0.01% in place of 0.02%	SPROS+M	0.0
11. For filing an annual information form by an issuer other than a mutual fund (\$1000)	SAIF	0.0
12. For filing an amendment to a preliminary prospectus, prospectus or annual information form (\$250)	SAMEND	0.0
13.(a) For filing a technical or engineering report with a preliminary prospectus, pro forma prospectus, prospectus, annual information form, amendment to a preliminary prospectus or prospectus (\$500)	STECH	0.0
13.(b) For filing a technical or engineering report with an application under section 171 of the Act	STECHDD	0.0

- Select the agency to which you want to submit fees.

For commissions and market centres, a fee schedule for that organization displays.

- Enter the fee amount in the Amount\$ column beside the corresponding fee description. The GST and QST or HST, if applicable (no taxes are paid on filings sent to commissions and on test-filings), are calculated automatically. Select the next recipient agency, if applicable, and repeat this process for all intended agencies.

6. When done, click OK. The Summary of Filings Fees dialog box displays showing the fees in the WIP (work in progress) field, in both the Total Project Fees and Agency Fees sections.

When fees have been submitted to SEDAR, you can view the status of fees for the project by clicking Payment Status Detail

You can change the size of columns on the Payment Status Detail dialog box, and print the dialog box for audit purposes

7. Do one of the following:

- To add more fees, click Add/Modify, and repeat steps 4 to 6.
 - To delete fees, click Add/Modify. Follow steps 4 to 6, but delete the fees in the Amount\$ column, instead of entering them.
- Note:** You cannot delete fees that have already been submitted to the server.
- To submit the fees once the required fees have been entered, go to step 8.

8. Click Submit. The Charge Summary dialog box displays showing the added fees entered per recipient agency. The SEDAR System Fees field will indicate \$0.00. If additional SEDAR System Fees are due, click within this field and enter the amount.

The QST and HST fields only display if applicable

Agency	Amount	GST	QST	HST
Saskatchewan	0.00	0.00	0.00	0.00
Quebec	0.00	0.00	0.00	0.00

SEDAR System Fees: \$ 0.00

FI # TRANSIT #: 0003-00002

Account #: 0004200

Total Agency Fees: \$ 0.00

Total SEDAR System Fees: \$ 0.00

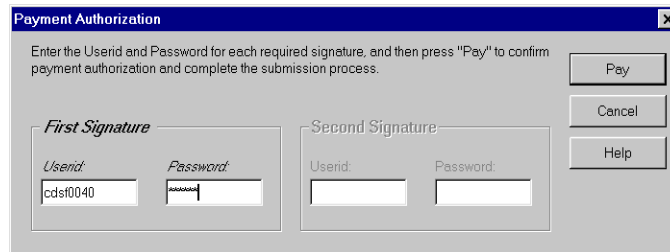
Total Amount Payable: \$ 0.00

Note: SEDAR System Fees are determined by the filing type, subtype and number of recipients. GST and QST or HST are calculated on market centre filing fees depending on your location. For more information, see “Entering Your User Information”.

Adding more fees to an existing project does not generate a separate submission for the project, but simply adds to the cover page information for that project.

9. Click Authorize to submit the fees.

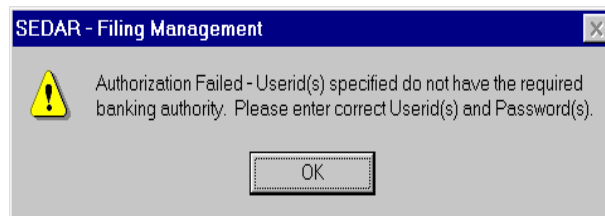
The Payment Authorization dialog box displays.



The **Payment Authorization** dialog box has a title bar with a close button. The main area contains the instruction: "Enter the Userid and Password for each required signature, and then press 'Pay' to confirm payment authorization and complete the submission process." Below this are two sections: **First Signature** and **Second Signature**. Each section has a **Userid** and **Password** label with corresponding text input fields. The **First Signature** fields contain the text "cdsf0040" and "*****" respectively. To the right of the input fields are three buttons: **Pay**, **Cancel**, and **Help**.

10. Enter the required user IDs and passwords and click Pay.

- If the user IDs and passwords are valid, the files are submitted to the agencies and the payment instructions to the financial institution.
- If the user IDs and passwords are not valid, the SEDAR-Filing Management dialog box displays.



The **SEDAR - Filing Management** dialog box has a title bar with a close button. It features a yellow warning triangle icon on the left. To the right of the icon is the message: "Authorization Failed - Userid(s) specified do not have the required banking authority. Please enter correct Userid(s) and Password(s)." At the bottom center is an **OK** button.

Click OK, then enter the correct user IDs and passwords and click Pay. Or, if your banking authorization user ID and password are not set up correctly, contact the CSA Service Desk for assistance at 1-800-219-5381.

The SEDAR File Transfer dialog box displays while the files are being submitted to the agencies and the payment instructions sent to the financial institution.

Chapter 7

Monitoring the Progress of Projects

7.1 Overview

When you submit a project to SEDAR, it is moved to the recipient agencies' space in the SEDAR database to be retrieved by the commissions and market centres you selected as recipients.

Commissions and market centres review an electronic filing in the same way they review a paper filing.

Therefore, you monitor the status of your electronically submitted projects the same way you would follow up on projects submitted in paper form.

To monitor the progress of a project, use the Filing Management module to:

- Populate your list of filings
- Customize your view of the list of filings
- Refresh your filing list
- View the access level of documents
- View the status of filings
- Retrieve formal correspondence
- View the status of fee payments.

7.2 Using the Quick Search Inquiries Function

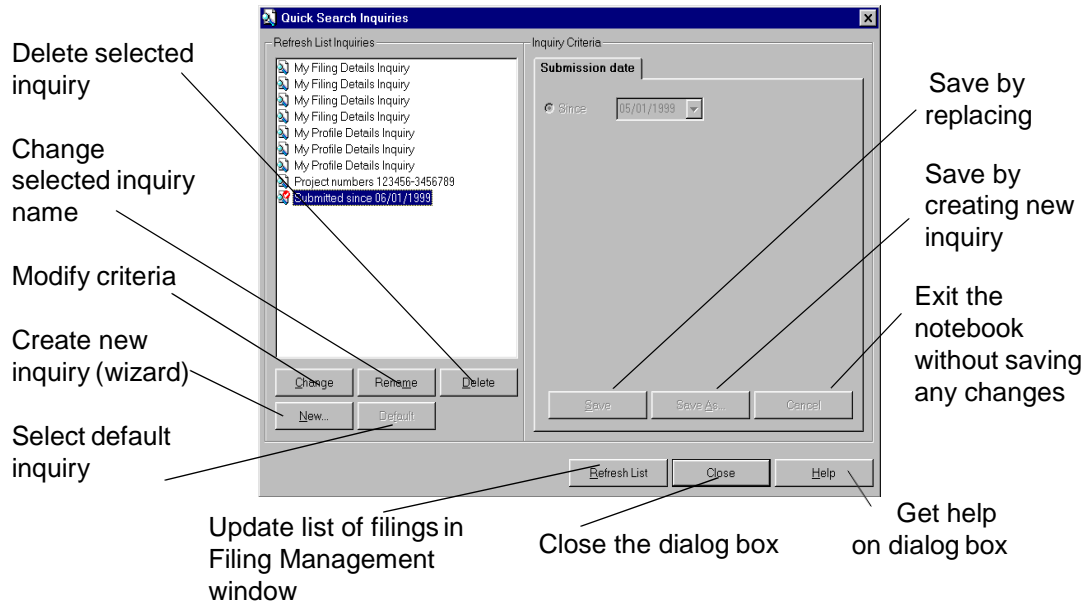
To populate the list of filings appearing in the Filing Management window, you create search inquiries and send them to the SEDAR server to search the filings database. A search inquiry consists of a combination of fields, operators and criteria that you define in SEDAR using the Quick Search Inquiries or the Advanced Inquiries function (for more information, see “About Fields, Operators and Criteria”).

The Quick Search Inquiries function uses a wizard to help you easily create most of the inquiries you need to complete your daily tasks. It is recommended to use this function for quick retrieval of filings.

The Advanced Inquiries function (formerly the Customize List function) enables you to create customized searches for special needs; use it only if the Quick Search Inquiries function does not give you the required results. For more information on this function, see “Using the Advanced Inquiries Function”.

About the Quick Search Inquiries Dialog Box

The Quick Search Inquiries dialog box is divided into three sections as indicated in the illustration below.



For information on creating search inquiries, see “About the Quick Search Inquiry Wizard”.

For a summary of the actions you can take from each section, see the following table.

To...	Do the following...
Modify an inquiry	<ol style="list-style-type: none"> 1. Select the inquiry to modify. 2. Click Change or type ALT+C. The Inquiry Criteria notebook displays on the right of the dialog box. 3. Make the changes and click Save or Save As. 4. Click Close to return to the Filing Management window or Refresh List to refresh the list of filings in the Filing Management window.
Rename an inquiry	<ol style="list-style-type: none"> 1. Select the inquiry to rename. 2. Click Rename or type ALT+M. The Inquiry Criteria notebook displays on the right of the dialog box. 3. Type the new name and click Save or Save As. 4. Click Close to return to the Filing Management window or Refresh List to refresh the list of filings in the Filing Management window.
Delete an inquiry	<ol style="list-style-type: none"> 1. Select the inquiry to delete. 2. Click Delete or type ALT+D. 3. Click Close to return to the Filing Management window or Refresh List to refresh the list of filings in the Filing Management window.
Create an inquiry	<ol style="list-style-type: none"> 1. Click New or type ALT+N. The Quick Search Inquiries wizard application launches. 2. Follow the instructions in the dialog boxes or see “About the Quick Search Inquiry Wizard”.
Select an inquiry as the default inquiry	<ol style="list-style-type: none"> 1. Select the inquiry you want to use as the default inquiry. For more information, see “Default Inquiry for the Refresh List Function”. 2. Click Default or type ALT+F. 3. Click Close to return to the Filing Management window or Refresh List to refresh the list of filings in the Filing Management window.

To...	Do the following...
Close the notebook	Click Cancel. No changes are saved and you remain on the Quick Search Inquiries dialog box.
Close the entire dialog box	Click Close. No changes are saved, unless previously saved in the notebook, and you return to the Filing Management window.

Default Inquiry for the Refresh List Function

The Refresh List function, accessible on the Filing Management window, is a quick way to update the information on the list of filings on your Filing Management window.

This function sends the default inquiry of your choice to the server. To select the default inquiry, you must:

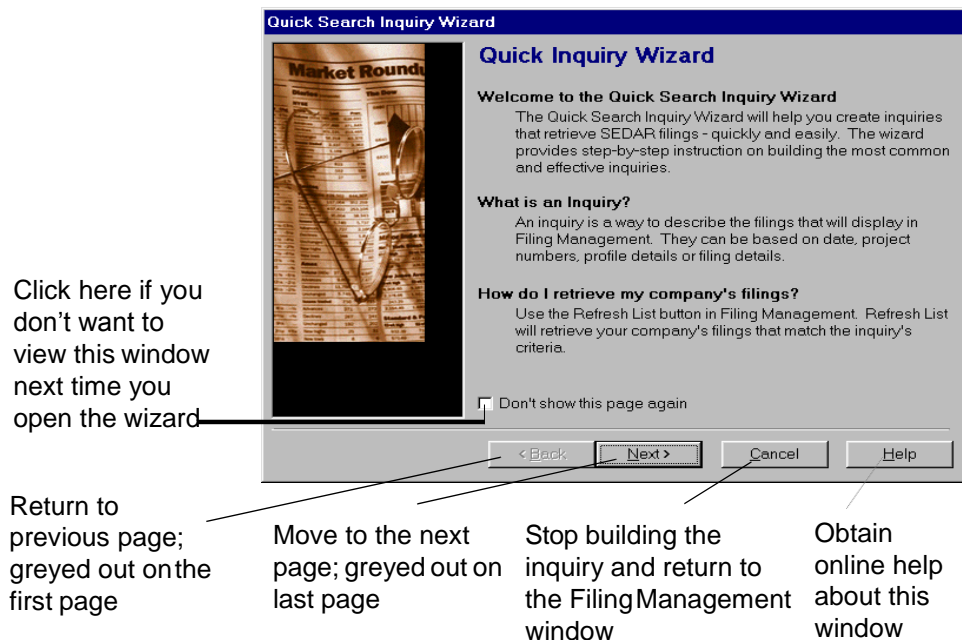
- Select Quick Search Inquiry as your default search method in the User Profile and Defaults dialog box (see “Setting Up SEDAR”)
- Select one of the inquiries in your list of inquiries as the default.

About the Quick Search Inquiry Wizard

The Quick Search Inquiry function uses a wizard to help you build search inquiries quickly and effortlessly. The Quick Search Inquiry wizard is launched automatically the first time you access SEDAR. Thereafter, you launch it from the Quick Search Inquiries window which is accessed from the Options menu.

Here are a few things that are useful to know about the wizard:

- To bypass the welcome page, click Don't Show This Page Again at the bottom of the welcome page.
- To stop creating an inquiry at any time and return to the Filing Management window, click Cancel.
- To return to the previous window, click Back.
- To go to the next window, click Next.
- For help on the window, click Help.



To populate your list of filings using the Quick Search Inquiries function:

1. On the Filing Management window, from the Options menu select Quick Search Inquiries. One of the following windows displays:
 - If you are building a search inquiry for the first time, the Quick Search Inquiry Wizard welcome window displays (see illustration above). Read it and click Next.
 - If this is not the first time you are building an inquiry using the wizard, the Quick Search Inquiries dialog box displays. Click New to start the wizard.

The Quick Search Inquiry Wizard displays.



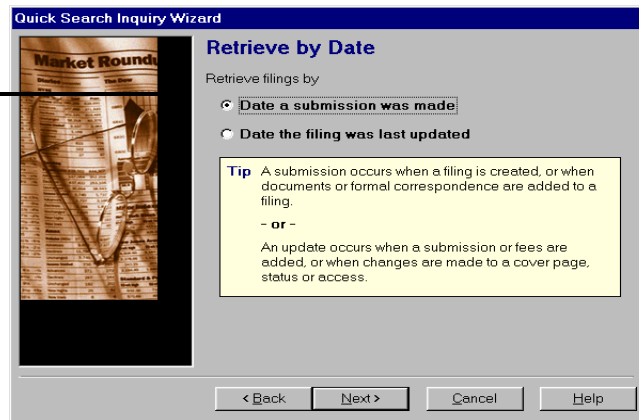
2. To select the filings that you want to retrieve, follow the instructions below.

To retrieve filings by the...	Click...	See...
Date the submissions were made or the date the filings were last updated	Date and Next	"Retrieving Filings by Date"
Project Number	Project Number and Next	"Retrieving Filings by Project Number"
Profile number, Investment fund group number, issuer/ filer name or investment fund group name	Profile Details and Next	"Retrieving Filings by Profile Details"
Category of filing, filing type or filing subtype	Filing Details and Next	"Retrieving Filings by Filings Details"

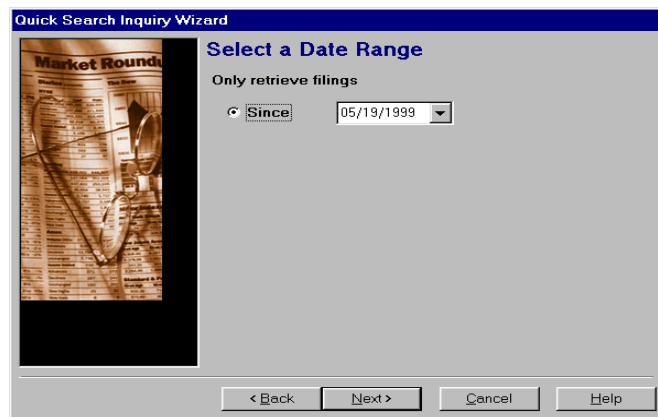
7.2.1 Retrieving Filings by Date

1. On the Retrieve by Date dialog box, click the date by which you want to retrieve filings and click Next.

The date is changed when a submission or fee instructions are added to the project or when the cover page, the status of the filing or the access to a document is changed



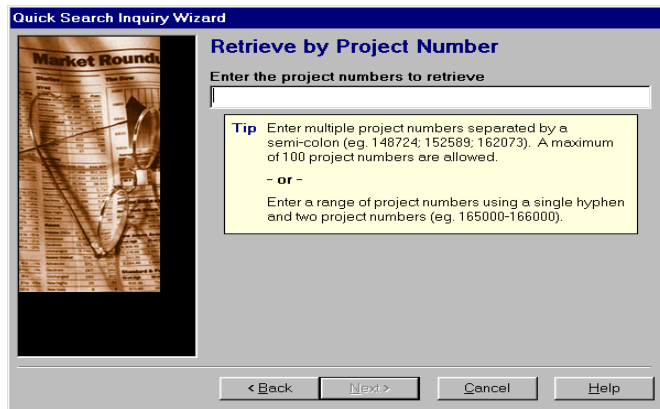
The Select a Date Range dialog box displays.



2. Enter the date from which you want to retrieve your filings and click Next. The final dialog box displays. For instructions on the final dialog box, see “Completing the Search Inquiry”.

7.2.2 Retrieving Filings by Project Number

1. On the Retrieve by Project Number dialog box, enter the project number of the projects that you want to see in your Filing Management window.

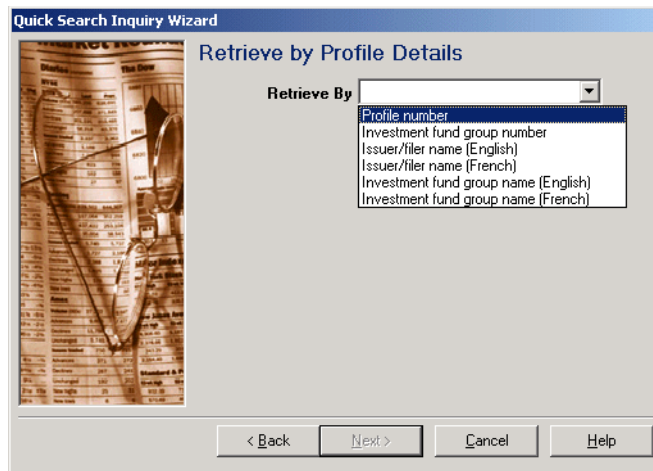


Follow these guidelines:

- Maximum of 100 numbers.
 - Leading zeros of the project number are not required.
 - May be individual numbers, separated by a comma
 - May be a range of numbers separated by a hyphen (for example, 16500–16600).
2. When done, click Next. The final dialog box displays. For further instructions on the final dialog box, see “Completing the Search Inquiry”.

7.2.3 Retrieving Filings by Profile Details

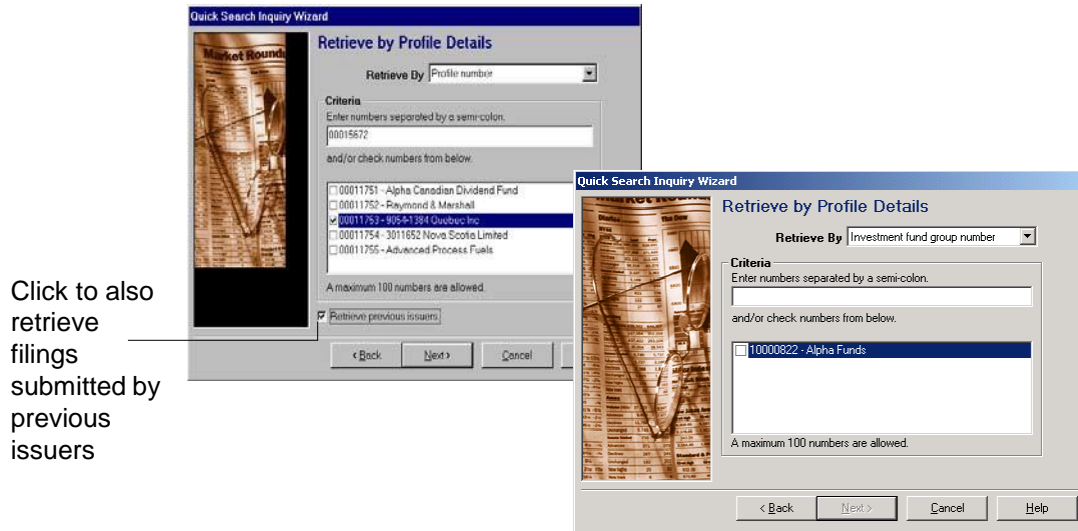
On the Retrieve by Profile Details dialog box, the Retrieve By list field offers six criteria to build your inquiry, as indicated in the illustration below.



The table below indicates under which subheading you will find instructions on how to build your inquiry with these criteria.

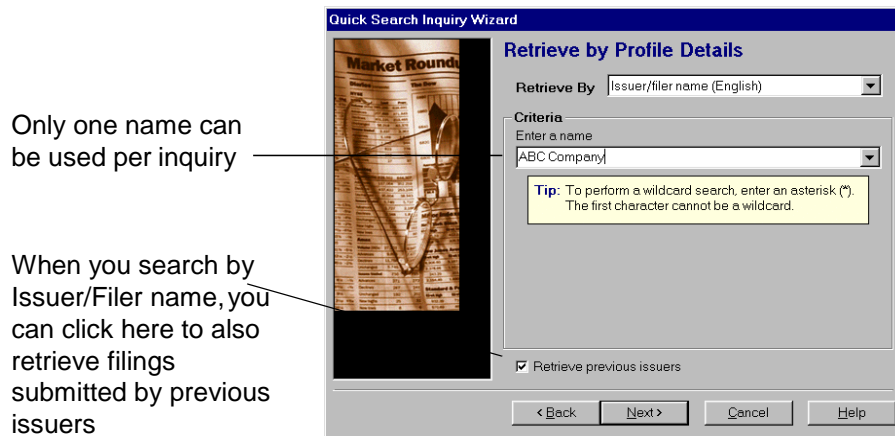
To use a...	See...
Number	"Profile or Investment Fund Group Number"
Name	"Issuer/Filer or Investment Fund Group Name"

Profile or Investment Fund Group Number



1. On the Retrieve by Profile Details dialog box, select Profile Number or Investment fund group number and enter the numbers you want to include in the search (maximum of 100, separated by a semicolon).
2. When done, click Next. The Select a Date Range dialog box displays. For an illustration, see “Retrieving Filings by Date”.
3. Enter the date from which you want to retrieve your filings and click Next. The final dialog box displays. For instructions on the final dialog box, see “Completing the Search Inquiry”.

Issuer/Filer or Investment Fund Group Name



1. On the Retrieve by Profile Details dialog box, in the Retrieve By field select one of the following:
 - Issuer/filer name (English)
 - Issuer/filer name (French)
 - Investment Fund Group name (English)
 - Investment Fund Group name (French)
2. In the Enter a name field, enter or select a name.

Follow these guidelines:

 - Use only one name per inquiry.
 - Type an asterisk as a wildcard character anywhere in the name, except at the beginning.
3. When done, click Next. The Select a Date Range dialog box displays. For an illustration, see “Retrieving Filings by Date”.

4. Enter the date from which you want to retrieve your filings and click Next. The final dialog box displays. For further instructions on the final dialog box, see “Completing the Search Inquiry”.

7.2.4 Retrieving Filings by Filings Details

On the Retrieve by Filings Details dialog box, the Retrieve By list field offers three criteria to build your inquiry. The table below indicates what subsection to go to for instructions depending on the criterion selected.

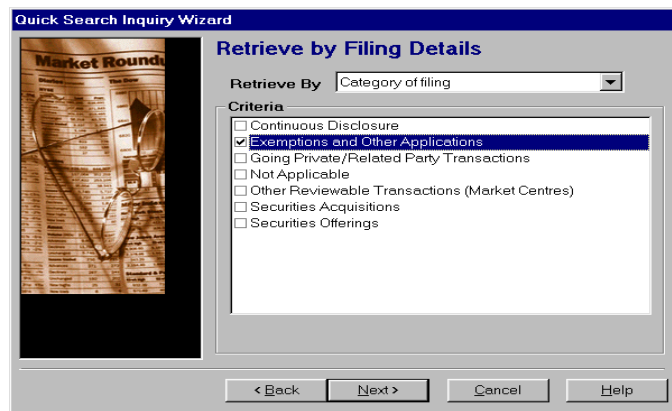


To use the...	See...
Category of filing	“Searching by Category of Filing”
Filing type	“Searching by Filing Type” Filing
subtype	“Searching by Filing Subtype”

Searching by Category of Filing

1. On the first Retrieve by Filing Details dialog box, select Category of Filing in the Retrieve By list.

The Criteria field displays in the dialog box.



2. Under Criteria, click the required category and click Next.

The Select a Date Range dialog box displays. For an illustration, see "Retrieving Filings by Date"

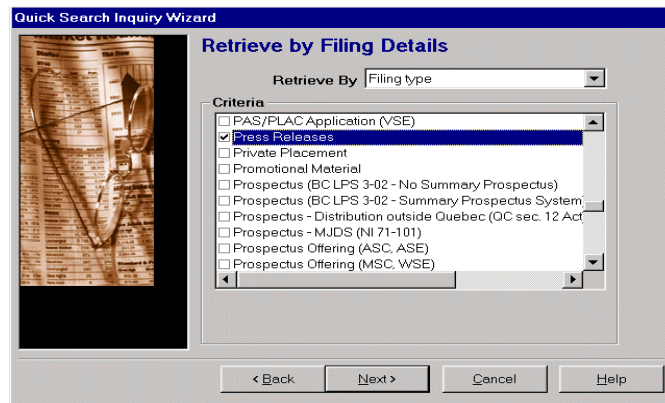
3. Enter the date from which you want to retrieve your filings and click Next.

The final dialog box displays. For instructions on the final dialog box, see "Completing the Search Inquiry".

Searching by Filing Type

1. On the Retrieve by Filing Details first dialog box, select Filing Type in the Retrieve By list.

The Criteria field displays in the dialog box.



2. Under Criteria, click the required filing types and click Next.

The Select a Date Range dialog box displays. For an illustration, see “Retrieving Filings by Date”.

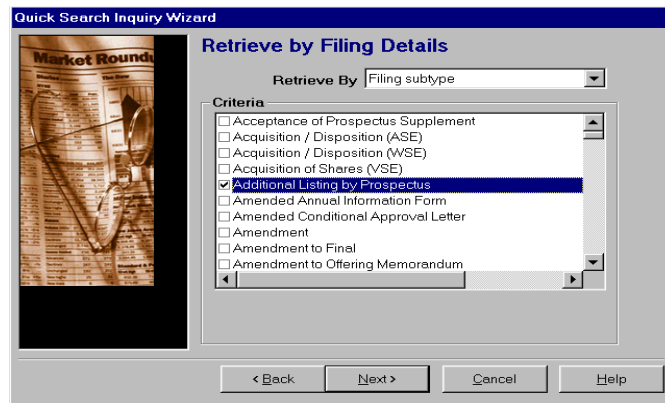
3. Enter the date from which you want to retrieve your filings and click Next.

The final dialog box displays. For instructions on the final dialog box, see “Completing the Search Inquiry”.

Searching by Filing Subtype

1. On the Retrieve by Filing Details first dialog box, select Filing Subtype in the Retrieve By list.

The Criteria field displays in the dialog box.



2. Under Criteria, click the required subtypes and click Next.

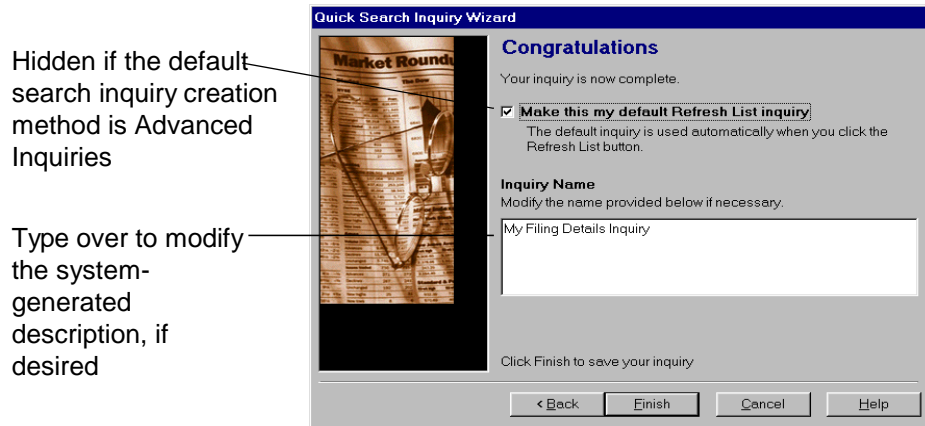
The Select a Date Range dialog box displays. For an illustration, see “Retrieving Filings by Date”.

3. Enter the date from which you want to retrieve your filings and click Next.

The final dialog box displays. For further instructions on the final dialog box, see “Completing the Search Inquiry”.

7.2.5 Completing the Search Inquiry

Regardless of the criteria used in your search inquiry, when you are done entering them click Next. The final wizard window displays.



1. On the final window, you can perform the following actions:
 - Make the inquiry your default inquiry by selecting the Make This My Default Refresh List Inquiry.
 - Change the short system-generated description of the inquiry in the Inquiry Name field to make it more meaningful to you for later use.
2. When done, click Finish.

The Quick Search Inquiries dialog box displays showing the newly created inquiry in the list of inquiries to be used with the Refresh List function. For information see “About the Quick Search Inquiries Dialog Box”.

7.3 Using the Advanced Inquiries Function

To populate the list of filings displaying in the Filing Management window, create search inquiries and send them to the SEDAR server to search the filings database. A search inquiry consists of a combination of fields, operators and criteria that you define in SEDAR using the Advanced Inquiries or the Quick Search Inquiries function (for more information, see “About Fields, Operators and Criteria”).

The Advanced Inquiries function (formerly the “Customize List” function) enables you to create customized searches for special needs; use it only if the Quick Search Inquiries function does not give you the required results.

The Quick Search Inquiries function uses a wizard to help you easily create most of the inquiries you need to complete your daily tasks. Use this function for quick retrieval of information. For further instructions, see “Using the Quick Search Inquiries Function”.

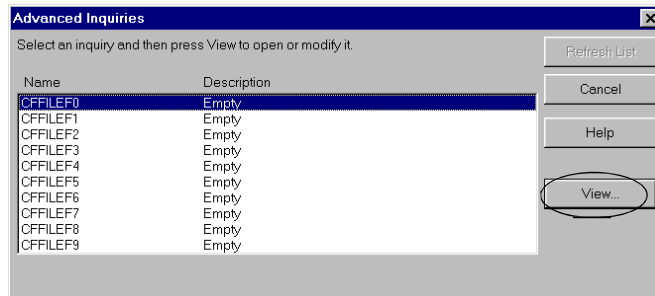


To use the quick search inquiries as default inquiries for the Refresh List function, you must select Quick Search Inquiries as the default search method in the User Profile and Defaults dialog box (see “Setting Up SEDAR”).

To populate your list of filings using the Advanced Inquiries function:

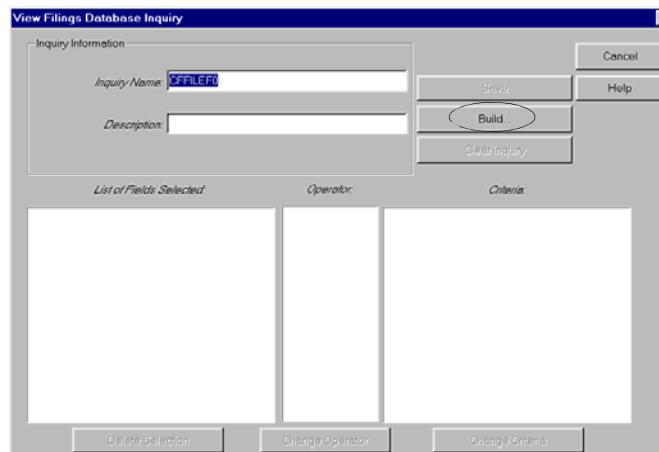
1. On the Filing Management window, from the Options menu, select Advanced Inquiries.

The Advanced Inquiries dialog box displays.



2. Select an empty inquiry and click View.

The View Filings Database Inquiry dialog box displays.



3. Click Build.

The Build Filings Database Inquiry dialog box displays. You can now start creating your inquiry.

Build Filings Database Inquiry

Inquiry Information

Inquiry Name: CFFILEF0

Description:

OK
Cancel
Help

List of Fields to Search on

- Access Level of Document
- Age (in days) of Submission
- Age (in days) since Project last updated
- Agency Contact
- Aggregate gross proceeds
- Application for Exemption Order in Province
- Application for Registration in Province
- Attention
- Category of Filing
- Date of Meeting
- Date of Meeting Relates to
- Date of Submission
- Date Project was Last Updated
- Filing Procedures
- Filing Service Subscriber Contact
- Filing Service Subscriber Name, English
- Filing Service Subscriber Name, French

Operator: Not =

Criteria:

- Securities Offerings
- Securities Registrations
- Exemptions and Other Applications
- Going Private/Related Party Transactions
- Securities Acquisitions
- Other Reviewable Transactions (Market Centres)

Add/Keep Adding
Add and View
Clear Criteria

4. In the Description field, enter additional information (up to 40 characters) to help you identify the inquiry. This field must be completed in order to save or submit the inquiry.
5. Select a field from the List of Fields to Search on. For each field you select, the available operators display.
6. Select an operator. The operator determines the relationship between the field you are searching on and a specific criterion.

7. Select a criterion. If you have selected the Like operator, type an asterisk at the end of your criterion if you want to include all occurrences of the keyword followed by another word.

For more information, see “Recommended Operators and Criteria”.

Note: Text criteria searches are not case-sensitive. For example, “the general management company” would match “The General Management Company.”

When entering multiple words in your criterion, make sure you type a single space between them.

8. Once you have selected a field, operator and criteria combination, click Add/Keep Adding to add that selection to the inquiry and continue building. Once a field has been added, an asterisk displays beside it in the List of Fields to Search on field.
 - To add more fields to your inquiry, repeat steps 5 to 8.
 - To delete a criterion for a particular field and operator combination, click Clear Criteria.

9. To view your inquiry or modify an existing field, operator and criteria combination, click either OK, or Add and View.

The View Filings Database Inquiry dialog box displays.

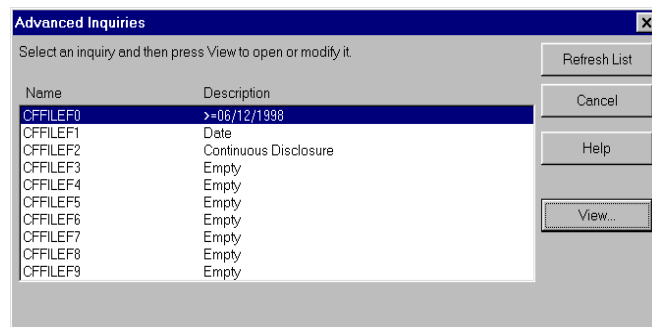
List of Fields Selected	Operator	Criteria
Category of Filing	=	Continuous Disclosure
Date of Submission	>=	06/12/1998

Note: All the combinations you have selected are listed on the View Filings Database Inquiry dialog box. The AND condition is implied between each field in the inquiry, even if a field is selected many times.

10. Select one of the actions shown in the following table.

Click...	To...
Change Operator	Modify an operator in an inquiry
Change Criteria	Modify a criterion in an inquiry
Clear Inquiry	Delete the entire inquiry
Build	Return to the Build Filings Database Inquiry dialog box and continue building your inquiry
Save	Save the inquiry and return to the Advanced Inquiries dialog box

Note: On the Advanced Inquiries dialog box, the name of the inquiry displays in the Inquiry to Use for the Refresh List field.



To refresh your list, see “Refreshing Information on Filings”.

7.3.1 General Tips for Customizing Lists

As you build inquiries in the Filing Management module, the following general tips will help you make your inquiry more precise and effective.

Using Indexed Fields

The SEDAR database contains indexed fields (fields for which an index exists) that enable faster retrieval of data. Building inquiries using these indexed fields helps you locate data faster by speeding up the processing time in SEDAR.

The indexed fields are shown in the table below.

Module Type	Indexed Fields
Filing Management	Access Level of Document Age (in days) of Submission Age (in days) since Project last updated Category of Filing Date of Submission Date Project was Last Updated Filing Type Issuer/Filer Name, English Recipient SEDAR Project Number



When searching for filings based on an issuer's name, other profile data (e.g., the jurisdiction of the issuer) or any type of cover page data (e.g., Initial Public Offering), specify whether the issuer is an Investment Fund or Other Issuer in the Profile Type field. By specifying this, you reduce the number of projects being retrieved and make your inquiry faster.

When choosing a field that is not indexed, avoid including more than one criterion in the Criteria field (e.g., B.C., British Columbia). Adding more criteria reduces the volume of retrieved data but increases the retrieval time.

Recommended Operators and Criteria

The operators and criteria you select affect whether an index is used to find the data. Use the operators and tips listed in the table below to build inquiries.

Operator	Tips
=	<ul style="list-style-type: none"> • Use the = operator instead of the >=, <=, > or < operators, whenever possible • Whenever possible, select or enter only one criterion for a field that is not indexed. Selecting more than one criterion reduces the volume of data retrieved but increases the time it takes to find the data

Operator	Tips
Like	<ul style="list-style-type: none">• Do not place a wildcard character in the first position of a search criterion (e.g., *Issuer Name) when using this operator. If a character exists for the field you selected, the index will not list the entry• To reduce the number of projects or profiles being returned and make your inquiry faster, enter as many characters as you can before placing a wildcard character as the last character. Do not place a character after a wildcard• Whenever possible, select or enter only one criterion for a field that is not indexed. Selecting more than one criterion reduces the volume of data retrieved but increases the time it takes to find the data

Customizing Your List Effectively

As you make more filings, your filing list will get longer. It is recommended to customize your filing list to better manage your filings.

The table below shows the most efficient ways to view certain filings and to filter out those you may not want to see.

To search by...	Use...
A specific company	<p>For the Issuer/Filer Name, English field, use the = operator and type the full name of the company</p> <p>Note: If this is the only criterion in your inquiry, all filings ever made for that company or associated companies are displayed as well as the ones filed under the previous or new name of that company or investment fund group</p> <p>If you know either of the following, follow the procedures below to narrow the search and reduce the retrieval time:</p> <ul style="list-style-type: none"> • The issuer type—For the Profile Type field, use the = operator and enter the issuer type (e.g., Other Issuer or Investment) • The filing type—For the Filing Type field, use the = operator and select the filing type(s) from the criteria list
The date of submission	<p>For the Date of Submission field, use the >= operator and type in the date in the mm/dd/yy format. When the list has been refreshed, only these filings submitted on or after the date specified are listed</p>
The project number	<p>For the SEDAR Project Number field, use the = operator and type the project number (or numbers separated by a semicolon). The search results are returned relatively quickly since you selected an indexed field</p>
The company's stock symbol	<p>For the stock symbol field, you can use any operator except Not = and Not Like. Enter a maximum of five uppercase letters</p>

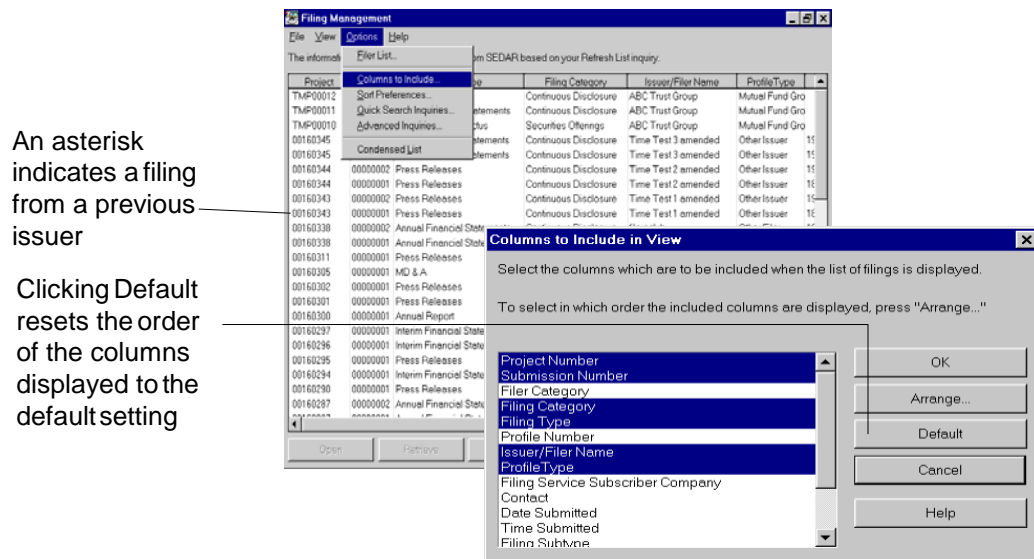
7.4 Customizing Your View of the Filings List

On the Filing Management window, you can decide which columns of information to display in the list of submissions and arrange the positioning of the columns.

To customize the view:

1. On the Filing Management window, from the Options menu select Columns to Include.

The Columns to Include View dialog box displays.



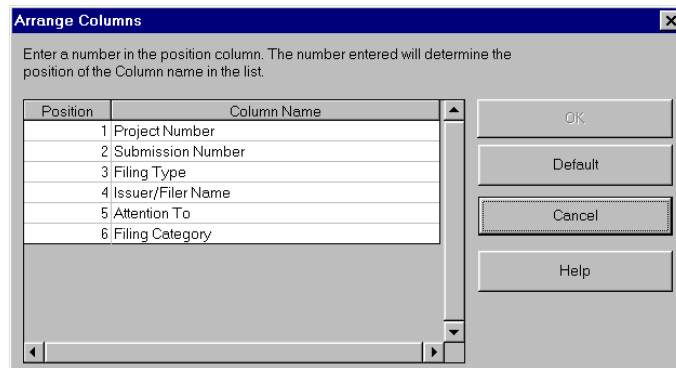
2. Select the columns you want displayed on the Filing Management window and click OK. The column selections are saved from session to session.

Note: The Date Submitted and Time Submitted columns are useful to display the status of projects.

3. Select one of the actions shown below.

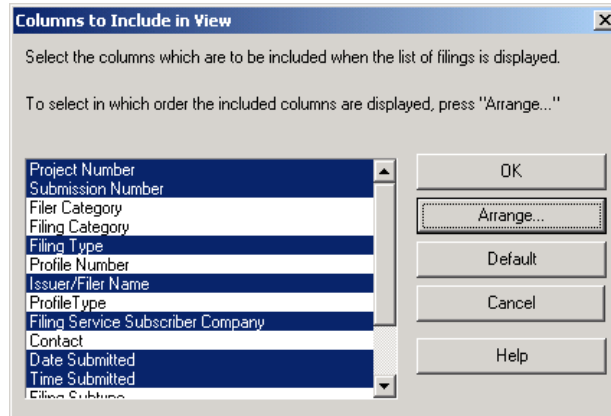
To...	Do the following...
Return to the Filing Management window	Click OK
Arrange the columns	Click Arrange. The Arrange Columns dialog box displays. Go to step 4
Return the columns to the default settings	Click Default
Cancel your selection	Click Cancel

4. Enter the number representing your intended position for the column name in the list. Click beside the name. The other columns automatically renumber themselves accordingly.



5. After you have completed arranging the columns, click OK.

The Columns to Include in View dialog box displays.

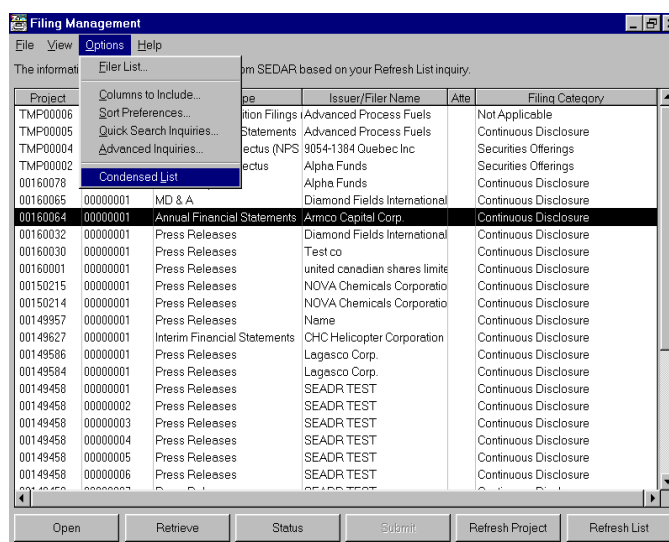


6. Click either:

- OK—To return to the Filing Management window to view your new columns setting. The column arrangement is saved from session to session.
- Default—To reset the columns to the default setting.

Showing the Condensed List

If you want to see only the most recent submissions in a project, select Condensed List from the Options menu in the Filing Management window as shown below.

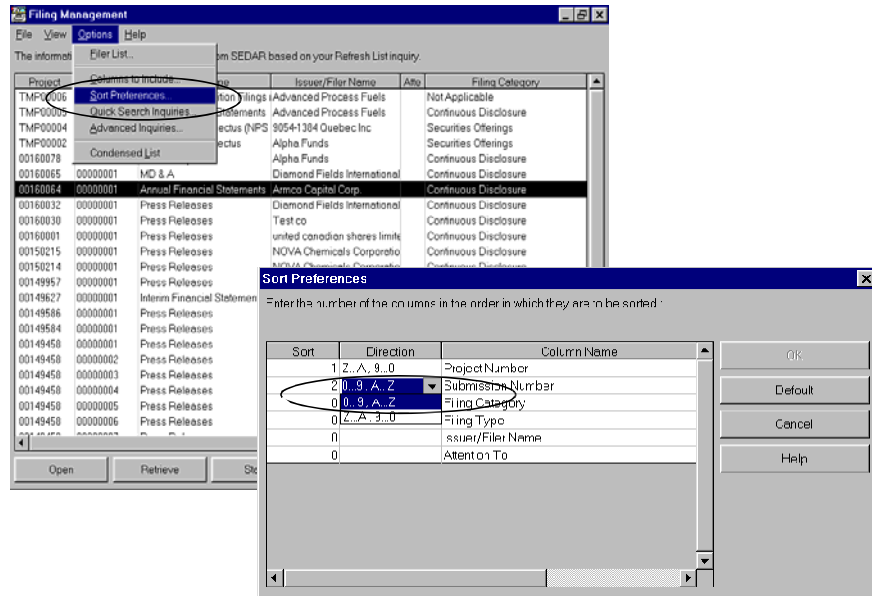


Sorting Entries in a Column

To sort the submissions list:

1. On the Options menu, select Sort Preferences.
(Notice, in the following example, the order of the project numbers.)

The Sort Preferences dialog box displays.



2. Select the column for which you want to change the sorting order and, in the Direction column, select your preference (in either ascending or descending order).

Once you have made all of your choices, click OK for the changes to take effect on the Filing Management window. Only the columns selected for display are sorted.

7.5 Refreshing Information on Filings

In Filing Management, the following two functions can be used to refresh information relating to filings (i.e., fee payment status):

- **Refresh Project**—To refresh information on up to 10 projects.
- **Refresh List**—To refresh the list of filings on the Filing Management windows.

Project	Submission	Filing Type	Issuer/Filer Name	Filing Category
TMP00006	00000001	Securities Acquisition Filings	Advanced Process Fuels	Not Applicable
TMP00005	00000001	Annual Financial Statements	Advanced Process Fuels	Continuous Disclosure
TMP00004	00000001	Short Form Prospectus (NPS)	9054-1384 Quebec Inc	Securities Offerings
TMP00002	00000001	Long Form Prospectus	Alpha Funds	Securities Offerings
00160078	00000001	Annual Report	Alpha Funds	Continuous Disclosure
00160065	00000001	MD & A	Diamond Fields International	Continuous Disclosure
00160064	00000001	Annual Financial Statements	Armco Capital Corp.	Continuous Disclosure
00160032	00000001	Press Releases	Diamond Fields International	Continuous Disclosure
00160030	00000001	Press Releases	Test co	Continuous Disclosure
00160001	00000001	Press Releases	united canadian shares limite	Continuous Disclosure
00150215	00000001	Press Releases	NOVA Chemicals Corporatio	Continuous Disclosure
00150214	00000001	Press Releases	NOVA Chemicals Corporatio	Continuous Disclosure
00149957	00000001	Press Releases	Name	Continuous Disclosure
00149627	00000001	Interim Financial Statements	CHC Helicopter Corporation	Continuous Disclosure
00149586	00000001	Press Releases	Lagasco Corp.	Continuous Disclosure
00149584	00000001	Press Releases	Lagasco Corp.	Continuous Disclosure
00149458	00000001	Press Releases	SEADR TEST	Continuous Disclosure
00149458	00000002	Press Releases	SEADR TEST	Continuous Disclosure
00149458	00000003	Press Releases	SEADR TEST	Continuous Disclosure
00149458	00000004	Press Releases	SEADR TEST	Continuous Disclosure
00149458	00000005	Press Releases	SEADR TEST	Continuous Disclosure
00149458	00000006	Press Releases	SEADR TEST	Continuous Disclosure

Refreshing Information on Projects

You can refresh the information on up to ten projects.

On the Filing Management window, select the projects for which you want to refresh information and click Refresh Project. The information is updated.

Refreshing the List of Filings

You are able to select an inquiry from either the Advanced Inquiries or the Quick Search function to use as your Refresh List default.

If you select Quick Search Inquiries as your default function, the default inquiry indicated on the Quick Search Inquiry list will be used when you select the Refresh List button on the Filing Management window.

For more information, see “Setting Up SEDAR” and “Completing the Search Inquiry”.

SEDAR will connect to the server, retrieve all projects submitted by your subscriber company matching the selected inquiry and send them to your computer to create the list of submissions on the Filing Management window.

Alternatively, if you have selected Advanced Inquiries as your default Refresh List function or wish to execute an ad hoc inquiry using an inquiry created in Advanced Inquiries, follow the steps below:

1. On the Advanced Inquiries dialog box, select an inquiry and click OK. The Filing Management window displays.

Note: You can only refresh one list at a time. The inquiry selected in the Inquiry to Use for the Refresh List is saved from session to session.

2. Click Refresh List. SEDAR connects to the server, retrieves all projects submitted by your subscriber company matching the selected inquiry and sends them to your computer to create the list of submissions on the Filing Management window.

7.6 Viewing the Access Level of Documents

When a document has been added to a filing, you can view the access level in order to find out whether the document is public or private and, in certain cases, the reason it is private.

To view the access level of a document:

1. On the Filing Management window, select a filing and select Open Submission from the File menu.

The Open [Submission type] window displays, displaying the access level of the document within the filing.

The screenshot shows the 'Open General Submission' window with the following details:

- Project #:** 00143470
- Submission #:** 000000001
- Filing Type:** Annual Report
- Filing Subtype:** Annual Report
- Issuer Name:** 00002993 Cogeco Cable Inc.
- Filing Subscriber Name:** Canadian Depository for Securities (Filer Type)

Buttons on the right side include: OK, Fees..., Page 2..., Help, Issuer Profile..., and Subscriber Profile....

Filing Subtype/Document Type	Access	File Name
Annual report - English	Private	cbaw51

A 'Retrieve' button is located at the bottom right of the table area.

The following table shows the private access levels and what action you can take, if any, to make documents public.

Access level	Explanation	Action to take
Private	The file should remain private	Take no action
Private – Draft	The file: <ul style="list-style-type: none"> • Contains erroneous or inaccurate information • Is submitted as a draft for review purposes only 	Take no action Note: This submission will never be made public
Private – Virus	The file contains a virus that was not detected by the SEDAR anti-virus program	Disinfect or recreate the file and resubmit it
Private – Incorrect Filing	Something is wrong in the submission, for example, the filing type	Make corrections and resubmit the file
Private – Incorrect Format	The file format is wrong	Save the file in an accepted format and resubmit it
Private – Nonpublic	The file will never be made public	Take no action
Private – Nonpublic – Incorrect	The file will never be made public	Take no action

When an agency changes the access level of a document in a specific project, the access level of the same document attached to another project is not affected.

7.7 Viewing the Status of Filings

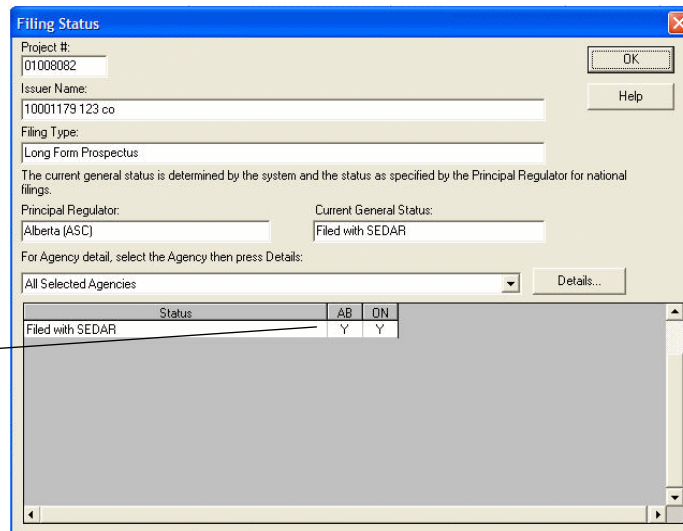
When a project has been submitted, you can check the status of a particular filing for that project with the principal jurisdiction or a recipient agency if no principal jurisdiction was selected.

To view the status of a filing:

1. On the Filing Management window, select a filing and click Refresh Project.
2. When the refresh is complete, click Status.

The Filing Status dialog box displays.

A “Y” indicates that the filing was received by SEDAR for that agency



Filing Status

Project #: 01008082

Issuer Name: 10001179 123 co

Filing Type: Long Form Prospectus

The current general status is determined by the system and the status as specified by the Principal Regulator for national filings.

Principal Regulator: Alberta (ASC) Current General Status: Filed with SEDAR

For Agency detail, select the Agency then press Details:

All Selected Agencies

Status	AB	ON
Filed with SEDAR	Y	Y

3. Click Details.

The Filing Status Details dialog box displays with detailed status information.

The date the status was set and agency contact information display here for a specific agency or for all recipient agencies, depending on your selection for the Agency detail list

Status	Date/Time	Agency	Contact 1	Contact 2
Filed with SEDAR	01/24/2008 09:15:17	AB		
Filed with SEDAR	01/24/2008 09:15:17	ON		

The Current General Status field displays the status of the filing as set by the principal jurisdiction and serves as an indicator of the overall status of the filing in the approval process if applicable.

For the list of statuses and their descriptions, refer to Chapter 10 of the *SEDAR Filer Manual*.



Certain statuses are automatically set by SEDAR (e.g., Filed with SEDAR) while others are set by the principal jurisdiction (e.g., Under Review).

7.8 Retrieving Formal Correspondence

When a recipient agency sends formal correspondence (e.g., a receipt or letter of acceptance) you can retrieve all the attached documents in that or any other submission appearing on the listing of submissions on the Filing Management window. You can also select multiple submissions at the same time to download their attached documents.



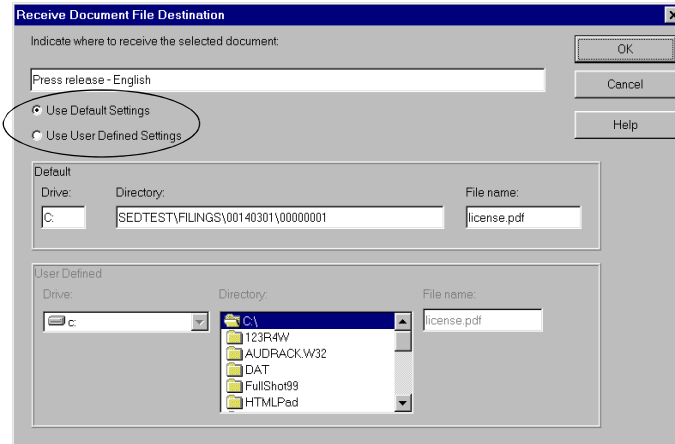
Certain market centres do not use this function. To find out which ones do, contact each market centre.

With the implementation of Release 6.0, recipient agencies will always submit formal correspondence in PDF format.

To retrieve a document:

1. On the Filing Management window, select a project and click Refresh Project to update the submission list with any formal correspondence sent by the project's recipient agencies.
2. Select the required submission and click Retrieve.

The Receive Document File Destination dialog box displays.



3. Select the settings that will be used to receive the selected documents from the server.
 - If you select the Use Default Settings, you will only be able to change the name of the file.
 - If you select Use User Defined Settings, you are able to specify the drive, directory and filename for the retrieved documents.
4. After you have made your selection, click OK. SEDAR connects to the server and downloads the documents according to the specified settings.
5. If there are multiple documents to be downloaded, a message displays asking you if you want to save all documents to their specified directories. Click Yes.

Note: If an error message displays, follow the instructions in the message. For more information, see “File Messages”.

6. Once the retrieval has been completed, a confirmation dialog box displays. Click OK.
7. Click OK to return to the Filing Management window.



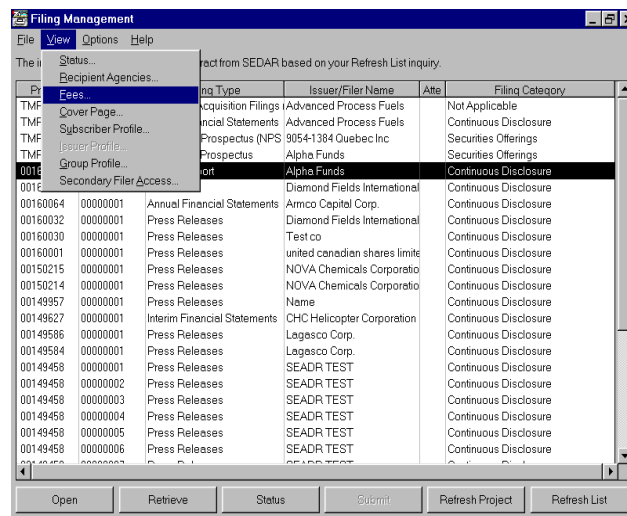
You can also retrieve the documents attached to a submission by selecting the submission from the list of submissions on the Filing Management window and clicking Open. The cover page for the submission opens, displaying the document type list and file names of the attached documents. If you select multiple documents in an open submission, the Retrieve button is still available. After clicking Retrieve, the retrieval process is the same as described in steps 1 to 7.

7.9 Viewing the Status of Fee Payments

After a project has been submitted, you can check the status of the fee payments for a particular filing or for the entire project. The Payment Status Detail dialog box shows if the payment instructions you submitted to your financial institution have been accepted and followed, or if they were rejected, for example, because of insufficient funds.

To monitor the status of fee payments:

1. On the Filing Management window, select the required filing and click Refresh Project.
2. When the refresh is complete, select Fees from the View menu.



One of the following occurs:

- If fees have been submitted, the Summary of Filing Fees dialog box displays, showing the status of fee payments for the entire project. The dialog box also indicates whether your financial institution has accepted or rejected your payment instructions. For detailed information on the Summary of Filing Fees dialog box, see “Adding Fees”.

These fields indicate the status of fee payments as set by your financial institution (FI)

The screenshot shows the 'Summary of Filing Fees' dialog box. It has a title bar with the text 'Summary of Filing Fees' and a close button. The main area is divided into several sections:

- Total Project Fees (to date):** This section contains four input fields: 'WIP \$' (0.00), 'Submitted \$' (105.00), 'Paid \$' (0.00), and 'Rejected \$' (0.00). There is a 'Payment Status Detail...' button below these fields.
- SEDAR System Fees (to date):** This section contains three input fields: 'Submitted \$' (0.00), 'Paid \$' (0.00), and 'Rejected \$' (0.00).
- Agency Fees (to date):** This section includes a dropdown menu for selecting a province (currently set to 'British Columbia'), a dropdown for 'WIP \$' (0.00), and input fields for 'Submitted \$' (0.00), 'Paid \$' (0.00), and 'Rejected \$' (0.00). Below these is an 'Issuer/Filter Name' field with the text 'PROD CGI'.
- Fee Table:** At the bottom, there is a table with columns: 'Fee Description', 'Code', 'Amount \$', 'GST \$', 'QST \$', and 'HST \$'. The table is currently empty.

Buttons on the right side of the dialog box include 'Submit', 'Add/Modify...', 'Cancel', and 'Help'.

- If no fees have been submitted, the Add/Modify dialog box displays. To add the fees, see “Adding Fees”.

3. Click Payment Status Detail to view more detailed information. The Payment Status Detail dialog box displays, showing details for all fee payments made for the project and applicable GST and QST or HST. You can view:

- The date and time that the payment instructions were submitted to SEDAR and to the financial institution (FI)
- The date and time that the FI sent their answer to SEDAR
- The reason the payment instructions were rejected, if applicable.

GST and QST or HST
are only charged on
market centre filing
fees

Payment	To SEDAR	T	F	FI	i	Payee	Amount \$	GST	QST \$	HST
0001143097	10/18/2013	16				SEDAR System Fees:	705.00	0.00	0.00	
						Submitted to date:	705.00	0.00	0.00	
						Paid to date:	0.00	0.00	0.00	
						Rejected to date:	0.00	0.00	0.00	

4. When you have finished viewing the status of fee payments for a project, click OK to return to the Summary of Filing Fees dialog box.
5. Click Cancel to return to the Filing Management window.

Chapter 8

Searching for Filings

8.1 Overview

The Search Filings module enables you to search the SEDAR filings database on the server for public filings, and to retrieve the filings that are of interest to you. The server sends back a report to your local database listing all of the filings corresponding to the search criteria of the inquiry. You can retrieve the documents attached to the filings by downloading them to your computer.

8.1.1 Useful Definitions

- Wildcard character—A character (in SEDAR, an asterisk) which represents any number or combination of characters, symbols and spaces valid for a field type, including no characters. If you select the Like operator in a field-operator-criterion combination, type an asterisk at the end of your criterion, to include all occurrences of the criterion followed by another word, for example, Like Somervil*.

- **OR condition**—When you use the operators Like or =, all information returned as a result of a search satisfies at least one of the alternatives in the multiple criteria specified in the same line of the inquiry. For example, in the following illustration, where the operator Like is used for the field “Auditor Name”, the OR condition is implied between the three criteria selected (McDougal, Eisen and Bradshaw). This means that the system will search for filings for which the auditing firm is McDougal or Eisen or Bradshaw.

OR condition implied between the operators Like and =

For a date field, the operators >=, >, <= and < can only be selected once

AND condition implied between the operators Not Like and Not =, and between all lines of the inquiry

The screenshot shows a window titled "View Filings Database Inquiry". It contains a form with the following fields:

- Inquiry Name:** COMM1E
- Description:** Sedar Project

Below these fields is a table with three columns: **List of Fields Selected**, **Operator**, and **Criteria**.

List of Fields Selected	Operator	Criteria
Auditor Name, English	Like	"McDougal"; "Eisen"; "Bradshaw"
Date of Formation	>=	12/31/1990
Date of Submission	>=	12/31/1990
Distributor (principal) Name, English	Not Like	"Amherst"; "Bell"; "Crane"
SEDAR Project number	<=	200

At the bottom of the window are three buttons: **Delete Selection**, **Change Operator**, and **Change Criteria**.

- **AND condition**—When you use the operators Not Like and Not =, the AND condition is implied. Consequently, all information returned as a result of a search satisfies all the alternatives in the multiple criteria specified in the same line of the inquiry for the operators Not Like and Not =, and between the criteria specified with the operators Not Like and Not in all the lines of an inquiry. For example, in the previous illustration, the AND condition is implied between the criteria (Amherst, Bell and Crane) for the field Distributor (principal) Name and the operator Not Like. This means that the search will not include filings for which the distributor is Amherst and Bell and Crane.

The AND condition is also implied between all the lines of the inquiry. This means that in the example above, the search will include filings for which the Auditor Name is McDougal, Eisen or Bradshaw, and the Date of Formation is from December 31, 1990 to December 31, 1995 inclusively, and the Distributor Name is not Amherst, Bell and Crane, and the SEDAR Project Number is 200 or less.

8.1.2 About Fields, Operators and Criteria

A search inquiry consists of a combination of fields, operators and criteria that you define in SEDAR. The following table shows the different types of fields possible to search on in SEDAR and the rules that apply to each type when building search inquiries.

Field type	Field example	Operators to use	Method of criteria entry
Text	General Partner Name, English	Like, Not Like, =, Not =, >=, <=, >, <	<ul style="list-style-type: none"> • Free-form text entry up to 40 characters • Space-sensitive; type a single space between words to get best results; e.g., if you insert two spaces between Bell_ _Canada and the entry was created with one space (for example, Bell_Canada), the search is not successful • Not case-sensitive. For example, the general management company would match The General Management Company • Operators can be selected up to 10 times for an inquiry • Multiple criteria permitted • Use wildcard character (*) for the Like operator • For =, not =, like and not like, separate each criterion by a semicolon • OR condition implied between operators Like and = • AND condition implied between operators Not Like and Not =
Age	Age (in days) of Submission	<=	<ul style="list-style-type: none"> • Digits and date separators up to a maximum value • No decimals permitted • No multiple criteria permitted

Field type	Field example	Operators to use	Method of criteria entry
Date	Date of Submission	=, Not =, <=, >=, <, >	<ul style="list-style-type: none"> • Digits and date separators (for example, mm/dd/yyyy) • Operators can be selected up to 10 times for an inquiry • No multiple criteria permitted. You cannot define a search to include all filings with two date-range periods using the same operator <i>more than once</i>. For example, to do a search using a Date of Submission between Dec. 31, 1990 and Dec 31, 1992 <i>and</i> between Dec. 31, 1994 and Dec 31, 1995, you must use all operators (>=, >, <= and <) once <p>Consequently, you cannot use: > 12/31/1990 and < 12/31/1992 >12/31/1994 and <12/31/1995</p> <p>But you can use: > 12/31/1990 and < 12/31/1992 >=12/31/1994 and <= 12/31/1995</p>
Amount	Aggregate Gross Proceeds	=, Not =, <=, >=, <, >	<ul style="list-style-type: none"> • You may be requested to select a criterion from the list • If you do not select a criterion from a list, use the format: #####.##### (where # is a digit from 0 to 9) At least one digit must be entered; if the decimal is omitted, it is assumed to be at the end • Operators can be selected up to 10 times for an inquiry
Option Buttons	RRSP Eligibility	=	Single option to be selected (Yes or No)

Field type	Field example	Operators to use	Method of criteria entry
List field	Manner of Formation	=, Not =	<ul style="list-style-type: none"> • You may select a criterion from the list • Multiple criteria permitted • Some selections may cause other selections to become deselected (e.g., by selecting "All" or "Not applicable")

8.2 Searching Effectively in SEDAR

The following search tips help reduce your waiting time when searching in the SEDAR databases by making your inquiry more precise and effective.

8.2.1 Using Indexed Fields

The SEDAR database contains indexed fields (fields for which an index exists) that enable faster retrieval of data. The database is much like a book. If you are looking for a topic, you turn to the book's index where you see the page numbers that relate to that topic and you go directly to those pages. If you do not find the topic in the index, you may need to flip through every page of the book to find the topic. Clearly, it takes longer to go through each page of the book than it does to use the index.

Similarly, building inquiries using these indexed fields helps you locate data faster by speeding up the processing time in SEDAR. You build inquiries from the Build Filings Database Inquiry dialog box.

The indexed fields are shown in the table below.

Module type	Indexed fields
Search Filings	Access Level of Document Age (in days) of Submission Age (in days) since Project last updated Category of Filing Date of Submission Date Project was Last Updated Filing Type Issuer/Filer Name, English Recipient SEDAR Project Number



When searching for filings based on an issuer's name, other profile data (e.g., the jurisdiction of the issuer) or any type of cover page data (for example, Financial Period Ended), specify whether the issuer is an Investment Fund or Other Issuer in the Profile Type field. By specifying this, you reduce the number of projects being retrieved and make your inquiry faster.

When choosing a non-indexed field that enables the entry of free-form text in the criteria field, avoid entering more than one criterion in the Criteria field (e.g., B.C., British Columbia). Adding more criteria reduces the volume of retrieved data but increases the retrieval time.

8.2.2 Using Operators and Criteria Effectively

The operators and criteria you select affect whether an index is used to find the data. Use the operators and tips listed in the table below to build inquiries.

Operator	Tips
=	<ul style="list-style-type: none"> • Use the = operator instead of the >=, <=, > or < operators, whenever possible • Select or enter only one criterion for a field that is not indexed (see the table in “Using Indexed Fields”). This reduces the volume of data retrieved but increases the time it takes to find the data
Like	<ul style="list-style-type: none"> • Do not place a wildcard character in the first position of a search criteria (e.g., *Issuer Name) when using this operator. If a character exists for the field you selected, the index will not list the entry • To reduce the number of projects or profiles being returned and make your inquiry faster, enter as many characters as you can before placing a wildcard character as the last character. Do not place a character after a wildcard • Select only one criterion for a field that is not indexed (see the table in “Using Indexed Fields”). This reduces the volume of data retrieved but increases the time it takes to find the data

8.2.3 Optimizing Your Search Inquiries

The table below shows the most efficient ways to retrieve filings.

To search by...	Use...
A specific company	<p>For the Issuer/Filer Name, English field, use the = operator and type the full name of the company</p> <p>If you use only this criterion in your inquiry, all filings ever made for that company are retrieved as well as the ones filed under the previous or new name of that company or investment fund group</p> <p>To narrow the search and reduce the retrieval time specify:</p> <ul style="list-style-type: none"> • The issuer type—For the Profile Type field, use the = operator and enter the issuer type (for example, Other Issuer or Investment Fund Group) • The filing type—For the Filing Type field, use the = operator and select the filing type(s) from the criteria list
One or more words that the filer's name starts with	<p>For the Issuer/Filer Name, English field, use the Like operator, type in as many of the words in the company name as possible, and enter an asterisk (*) as the last character</p> <p>If you use only this criterion in your inquiry, all filings ever made for that company under their current and other names are retrieved, which can result in an exhaustive but longer search</p> <p>To narrow the search and reduce the retrieval time specify:</p> <ul style="list-style-type: none"> • The issuer type—For the Profile Type field, use the = operator and enter the issuer type (e.g., Other Issuer or Investment Fund Group) • The filing type—For the Filing Type field, use the = operator and select the filing type(s) from the criteria list

To search by...	Use...
A specific date	<p>For the Date of Submission field, use the = operator and enter the date in the mm/dd/yy format. All filings made on the specified date are retrieved</p> <p>If you also know the filing type, in the Filing Type field, use the = operator and select the filing type from the criteria list</p> <p>Note: You can select more than one entry</p>
The age (in days) of the submission	<p>For the Age (in days) of Submission field, use the <= operator and type the number of days (for example, 30). The filings which were submitted in the specified time period are retrieved</p> <p>Note: You cannot use this field and the Date of Submission field in the same inquiry</p>
The project number	<p>For the SEDAR Project Number field, use the = operator and enter the project number (or numbers separated by a semicolon). The search results are returned relatively quickly since you selected an indexed field</p>
The company's stock symbol	<p>For the stock symbol field, you can use any operator except Not = and Not Like. Enter a maximum of five uppercase letters (A–Z)</p>

For more information on building search inquiries, see “Building a Search Inquiry”.

8.3 Building a Search Inquiry

To build a search inquiry you specify fields, operators and criteria.

1. On the SEDAR main window, select Search Filings.

The Search Filings window displays. This is where the inquiries you create and submit are listed. This list is empty until you have saved or submitted the first inquiry.

2. Click New Inquiry.

The Build Filings Database Inquiry dialog box displays.

Build Filings Database Inquiry

Inquiry Information

Inquiry Name: SEARCH2

Description: Profile Number

List of Fields to Search on:

- MJDS offering in the United States
- National Policy Number 1 Receipt required
- Notice of Principal Regulator MI 11-101
- Other Filer Contact Name
- Other Issuer Contact Name
- Prefiling or Waiver application
- Primary Offering
- Principal Regulator
- Profile Number**
- Profile Type
- Recipient
- RRSP Eligibility
- Sales Compensation Type
- Secondary Offering
- Security Type(s) being offered
- SEDAR Project number
- Size of Issuer (Assets)

Operator:

- =**
- Not =
- >=
- <=
- >
- <

Criteria: 12345678

Add/Keep Adding

Add and View

Clear Criteria

OK

Cancel

Help

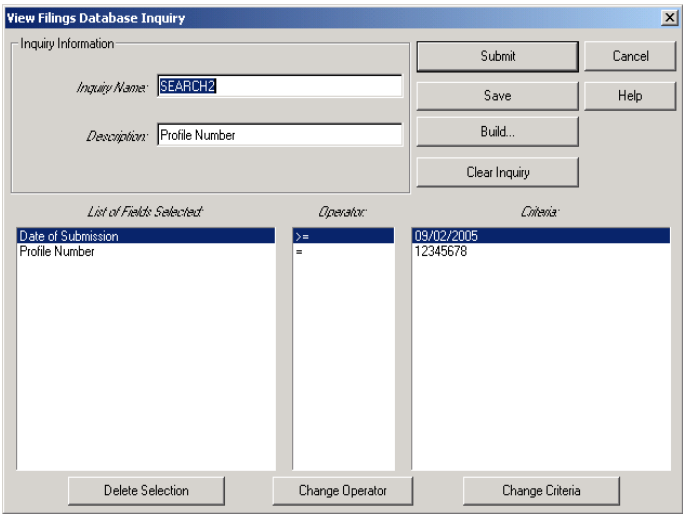
3. In the Inquiry Name field, enter a name for your inquiry (up to eight characters).

4. Press TAB. In the Description field, enter additional information (up to 40 characters) to help you identify the inquiry. Both these fields must be completed in order to save or submit the inquiry.
5. Select a field from the List of Fields to Search On. For each field you select, the available operators display.
6. Select an operator. The operator determines the relationship between the field you are searching on and a specific criterion.
7. Type or select a criterion. For information on criteria rules, see “About Fields, Operators and Criteria”.
8. Once you have selected a field, operator and criteria combination, click Add/Keep Adding to add that selection to the inquiry and continue building. When a field has been selected, an asterisk displays beside it in the List of Fields to Search On.

To delete a criterion for a particular field and operator combination, select the criterion and click Clear Criteria if you have not yet added it to the inquiry.

9. When you have finished defining your inquiry, click Add and View.

The View Filings Database Inquiry dialog box displays showing the combination you have chosen.



10. Select one of the following actions shown below.

To...	Do the following...
Continue building your inquiry	Click Build
Delete the entire inquiry	Click Clear Inquiry
Delete a combination in your inquiry	Select a field and click Delete Selection
Modify a combination	Select it from the list and click either Change Operator or Change Criteria

11. When done, click either:

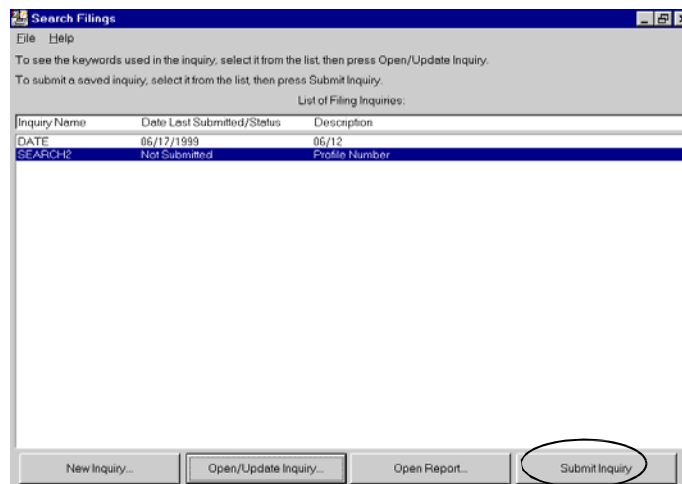
- **Save**—To save your inquiry in your database before submitting it to SEDAR. The Search Filings window displays.
- **Submit**—To submit the inquiry now.

Note: It is recommended that you first save an inquiry to your database before submitting it. See “Submitting an Inquiry”.

8.4 Submitting an Inquiry

1. If you are not already in the Search Filings module, open it from the SEDAR main window.

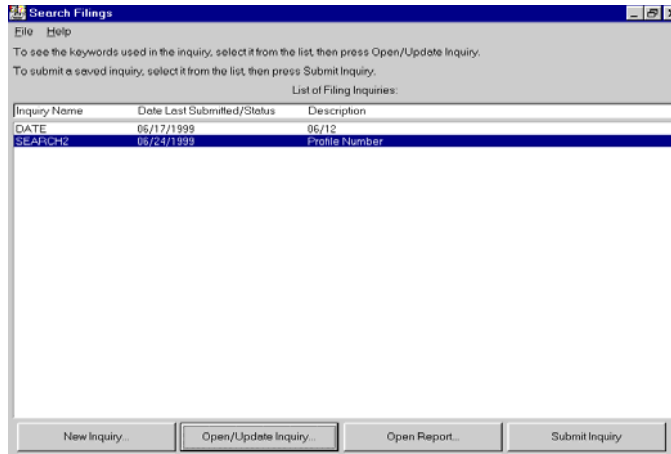
The Search Filings window displays.



2. Select an inquiry and click Submit Inquiry.
3. When prompted by SEDAR, enter a report name or select one from the list in the window. The report name is automatically assigned the first time an inquiry is submitted. Click OK.

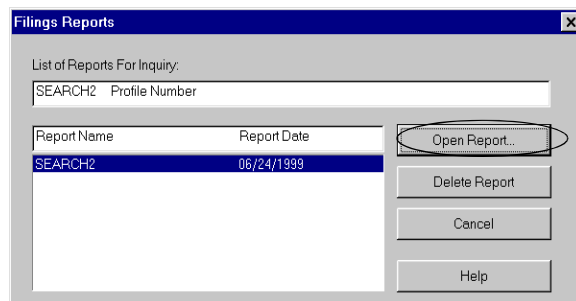
The inquiry is sent to the SEDAR server. The search is done in the Search Filings database for all filings matching your search criteria that are public or that are private but were sent by your company or filing agent, or for which you are a secondary filer.

After some time, depending on the complexity of the search, SEDAR downloads a report to your computer and the Search Filings window displays.



If you use Issuer/Filer Name or Profile Number as search criteria, projects submitted by previous issuers are included in your search results and are indicated with an asterisk beside the Issuer/Filer Name.

4. Select the inquiry and click Open Report. The Filings Reports dialog box displays with reports listing the filings found and sent by SEDAR for search inquiries.



5. Select a report and click Open Report.

The Filing Database Report window displays.

If an asterisk appears in this column, it indicates that the filing is from a previous filer

Issuer/Filer Name	Profile Type	Project #	Filing Type	Last Update Date
*sw_tests	Investment Fund Grou	01001159	Annual Report	08/31/2005 08:47:54
*sw_tests	Investment Fund Grou	01001160	Annual Information Form (NI 81-106)	08/31/2005 08:48:13
*sw_tests	Investment Fund Grou	01001161	Notice of the Meeting and Record Date	08/31/2005 08:48:27
*sw_tests	Investment Fund Grou	01001167	Management Proxy Materials	08/31/2005 14:03:16
*sw_tests	Investment Fund Grou	01001176	Notice of Principal Regulator MI 11-101	08/31/2005 14:31:16
test_mh	Other Issuer	01000611	Interim Management Report of Fund Perfo	08/29/2005 19:37:24
test_mh	Other Issuer	01000632	Interim Management Report of Fund Perfo	08/29/2005 18:32:47
test_mh	Other Issuer	01000659	Management Proxy Materials	08/29/2005 16:37:25
test_mh	Other Issuer	01001067	Material Change Report	08/29/2005 14:31:00
test_mh	Other Issuer	01001068	News Releases	08/29/2005 15:28:01
test_mh	Other Issuer	01001069	Interim Financial Statements	08/29/2005 14:31:58
test_mh	Other Issuer	01001071	Interim Management Report of Fund Perfo	08/29/2005 15:17:27
test_mh	Other Issuer	01001072	Annual Management Report of Fund Perfo	08/29/2005 15:17:55
test_mh	Other Issuer	01001073	Annual Management Report of Fund Perfo	08/29/2005 15:18:26

6. Select Display Documents List from the Options menu to view the names of all of the individual documents sent as part of that report.

Note: Other filings that were filed with profiles matching the inquiry will be returned, as well as filings using profiles that are related to matching profiles through a previous profile relationship. This applies if the Issuer/Filer Name or Profile Number fields are selected in the inquiry.

7. Select a document from the list and click Retrieve.

8. The Receive Document File Destination window displays and you are prompted to specify where you want to store the retrieved documents.

Select either Default Settings (C:\SEDAR\Filings\project number\submission number\file name) or User Defined Settings* and click OK.

*If you select User Defined Settings, you are prompted to enter the new path for storing the documents. When done, click OK.

9. Once the retrieval process has been completed, a confirmation dialog box displays. Click OK.



The report also contains all confidential documents that you are authorized to view (e.g., a filing submitted by you or another user belonging to your organization). For more information on a filing or related documents, select the filing from the list on the Filing Database Report and select the appropriate command.

8.5 Modifying a Search Inquiry

The View Filings Database Inquiry dialog box is used to view or modify inquiries. Each field, operator and criteria combination for the inquiry is displayed.

You can delete a selection or change an operator or a criterion by selecting it and choosing the corresponding command button below the list for that selection.

Inquiries can also be modified from the Build Filings Database Inquiry dialog box. You can switch between the build and view modes when building or modifying an inquiry. You can submit an inquiry to the server from the view mode only.

Updating a Search Inquiry



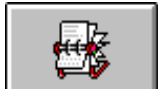


You can change an existing inquiry that was previously saved or submitted. You can open and modify the inquiry as described above. When you submit an updated inquiry that was previously submitted, SEDAR prompts you to enter a new report name for the inquiry.

Note: If you delete an inquiry that was previously submitted, all associated reports and their lists of filings are also deleted.

Chapter 9

Exchanging Mail

SEDAR provides all users with a means of informal communications. This form of communication is separate from the formal process of electronic filing or formal correspondence. The table below lists the functions available in the Mail Functions module.

Click...		To do this...
	New Note	Create and send e-mail to other SEDAR users
	Review Mail	Open and read e-mail sent by SEDAR users
	Address Book	Create an address book for storing the names, user IDs and other address information for other SEDAR users
	Send Files	Send files to SEDAR users
	Receive Files	Download files sent to SEDAR users

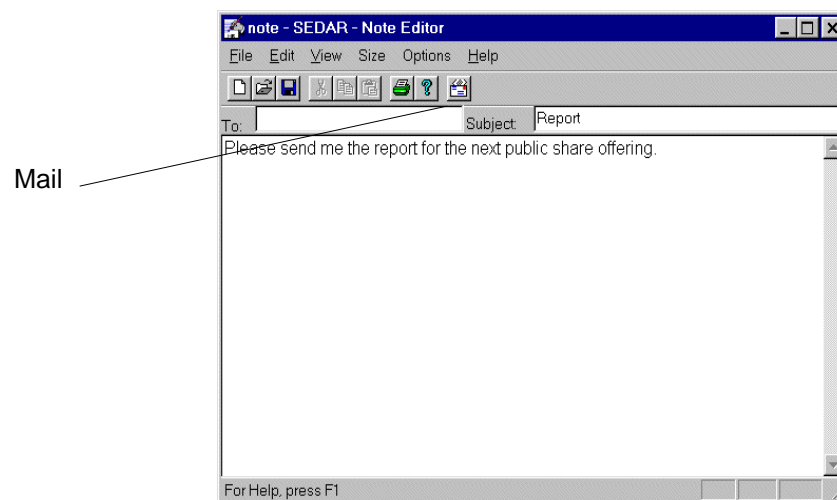
9.1 Creating Mail

The New Note function enables you to send informal correspondence to other SEDAR users. This function can only be used to create and send notes. When you use it, the messages you create and send are retrieved and read using the Review Mailfunction.

To create and send a note:

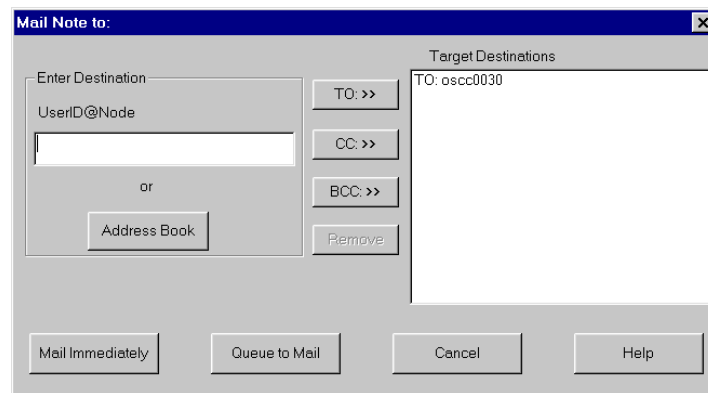
1. On the Mail Functions window, click New Note.

The SEDAR – Note Editor-Note window displays.



2. Enter the name of the person you want to send the note to in the To field and the subject in the Subject field, then enter the body of your note into the main edit note window or paste the text from another file.
3. Click Mail on the toolbar.

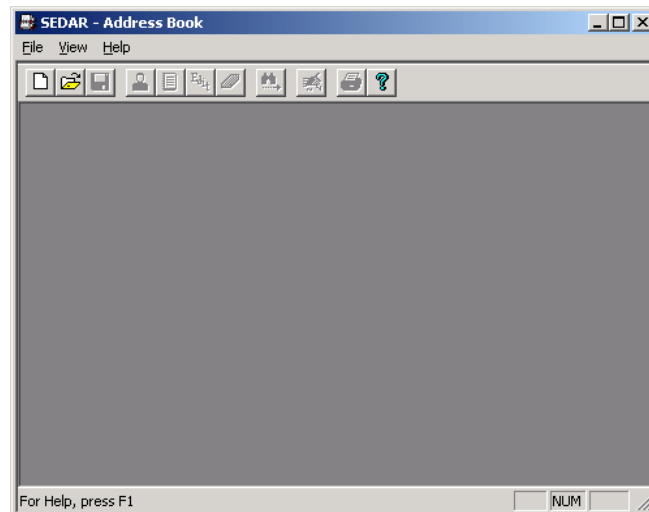
The Mail Note To dialog box displays.



4. Do one of the following:

- If you know the user ID, type it in the UserID@Node field. Go to step 9.
- If you do not know the user ID and you have created address books, click Address Book.

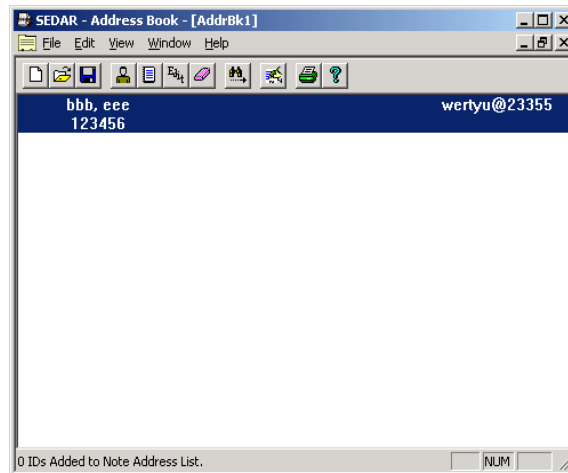
The SEDAR – Address Book window displays. Go to step 5.



Note: To create an address book, see “Using Address Books”.

5. On the File menu, select the appropriate address book.

The SEDAR – Address Book—AddrBK1 (or 2, 3, and so on) dialog box displays. Click OK.



6. Double-click the name of the appropriate user.

The Add/Update Entry dialog box displays.

7. Click the Selected for Mailing field (bottom right of the window), then click OK. The SEDAR – Address Book—AddrBK1.ADD window displays with an envelope beside the user's name.

8. Select Add IDs to Note Address List from the File menu. Click Exit. The Mail Note To dialog box displays showing the user ID of the selected user in the Target Destinations field.
9. Select the recipient user ID and select To (primary recipient), CC (carbon copy) or BCC (blind carbon copy). For more information on using address books, see "Using Address Books".
10. Click one of the following:
 - Mail Immediately—To send the note right away. The note is sent to SEDAR and you receive a confirmation message.
 - Queue to Mail—To send the note later. The note is held for mailing at a later time using the Review Mail module, and you receive a confirmation message that the note has been queued.

9.2 Reviewing Mail

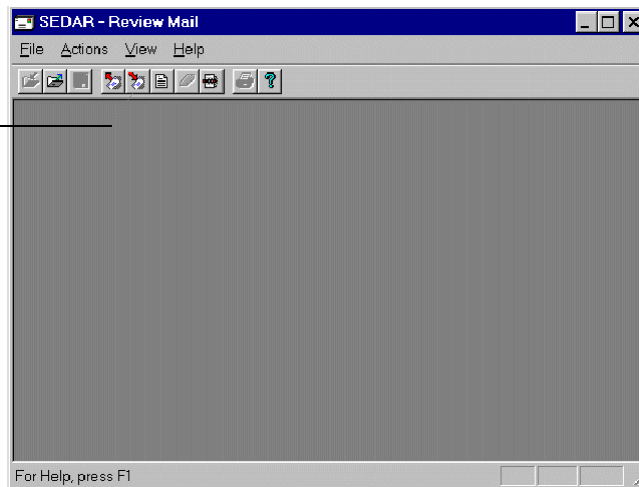
The Review Mail function enables you to open and read any notes sent to you by other SEDAR users. You can also access the other SEDAR Mail functions from Review Mail.

To review mail sent to you:

1. On the Mail Functions window, click Review Mail.

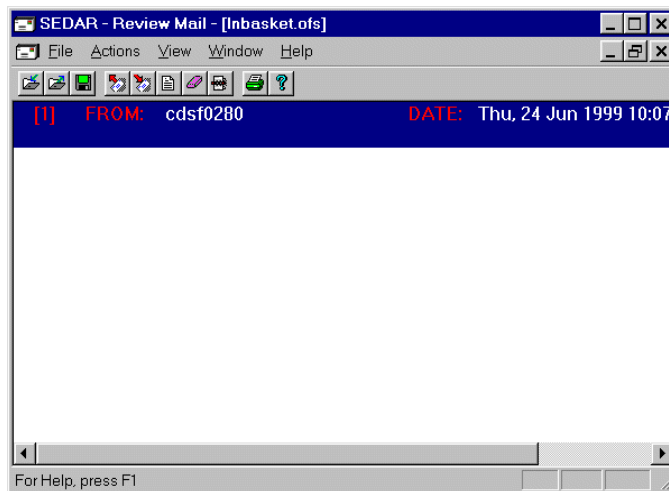
The Review Mail window displays.

Click Get New Mail to connect to SEDAR and download any new mail



2. Click Get New Mail on the toolbar. SEDAR connects to the server and downloads any mail sent to your inbasket. SEDAR prompts you with a confirmation message as to whether or not any new mail has been received.

3. To open your inbasket, from the View menu select View Inbasket. A list of all notes sent to you are displayed. Notes appearing in red have not been read yet. To read the contents of a particular note, double-click that note. The Contents of a Note dialog box displays.



4. After reading the note, select any of the actions shown below.











Click...	To do this...
OK	Save the note in your inbasket and return to your inbasket
Delete	Delete the note from your inbasket
File	Save the note as a file on your computer
Forward	Forward a copy of the note to another SEDAR user ID
Reply	Answer the note by composing a new note using the New Note function

Your outbasket lists all notes you have composed and mailed. It can be opened by choosing View Out-basket from the View menu. The command buttons at the bottom of Contents of a Note dialog box are the same as those for your inbasket.

With the Review Mail function, you can also send any notes saved or queued to mail.

9.3 Using Address Books

The Address Book function enables you to create and store contact mailing information and mailing lists. Each window in Address Book stores an address list. You can link address lists.

Click...	To...
	Create an address book
	Open an address book. SEDAR Address Book displays the Open dialog box in which you can open the desired file
	Save the active address book or template with its current name. If you have not named the address book, SEDAR Address Book displays the Save As dialog box
	Add a person to the mailing list for that address book. An envelope icon displays beside entries selected for mailing
	Link this address book with another
	Modify or edit an entry in your address book (e.g., a person's address, phone number)
	Erase an entry from your address book
	Find an entry in the address book
	Print the active address book
	Display instructions on how to use help. (To access help on the Address Book function, press F1)

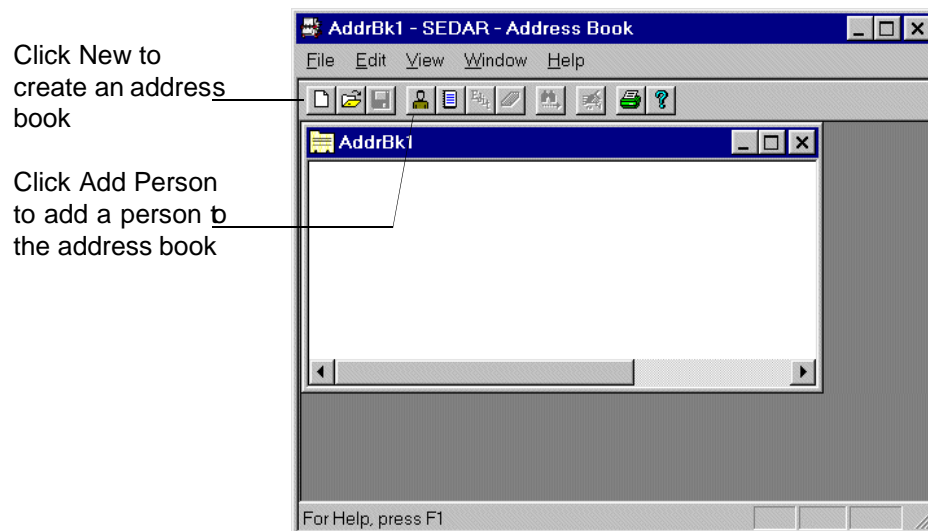
To create an address book:

1. On the Mail Functions window, click Address Book.

The SEDAR – Address Book window displays.

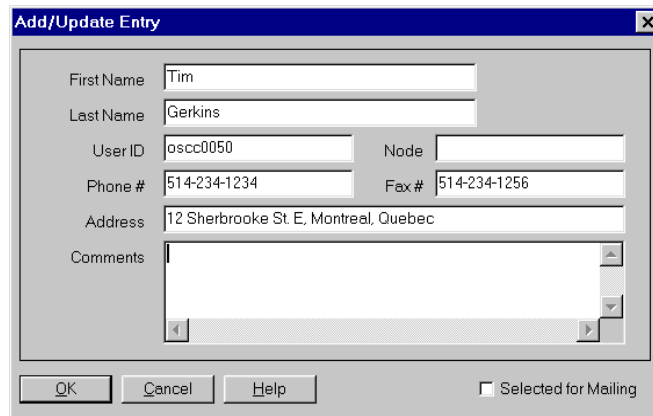
2. Click New on the toolbar.

The dialog box for ADDR.BK1 (BK2, or BK3, and so on, depending on the number of address books you have created) displays.



3. To add a person to the address book, click Add Person on the toolbar.

The Add/Update Entry dialog box displays.



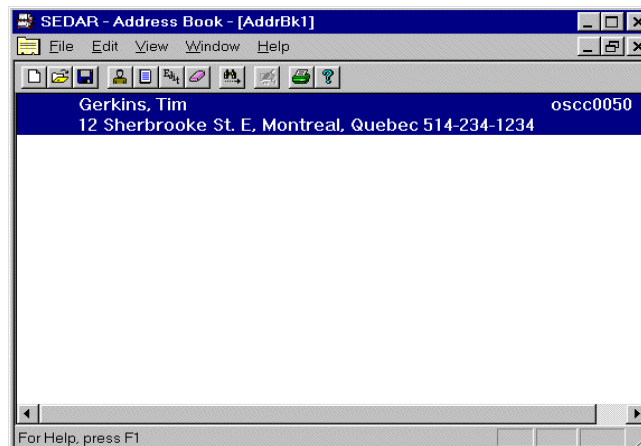
The Add/Update Entry dialog box is a standard Windows-style window with a title bar that says "Add/Update Entry". It contains several text input fields for user information. The fields are arranged in a form-like layout. At the bottom, there are three buttons: "OK", "Cancel", and "Help". To the right of these buttons is a checkbox labeled "Selected for Mailing".

First Name	Tim		
Last Name	Gerkins		
User ID	oscc0050	Node	
Phone #	514-234-1234	Fax #	514-234-1256
Address	12 Sherbrooke St. E, Montreal, Quebec		
Comments	<div></div>		

OK Cancel Help ☐ Selected for Mailing

4. Complete the First Name, Last Name and User ID fields, which are mandatory, as well as any other fields desired. Click OK.

The SEDAR – Address Book window displays showing the name of the person you just added.



The SEDAR - Address Book window is a standard Windows-style window with a title bar that says "SEDAR - Address Book - [AddrBk1]". It has a menu bar with "File", "Edit", "View", "Window", and "Help". Below the menu bar is a toolbar with various icons. The main area of the window displays a list of entries. The first entry is highlighted in blue and contains the following information: "Gerkins, Tim", "12 Sherbrooke St. E, Montreal, Quebec", and "oscc0050".

Gerkins, Tim oscc0050
12 Sherbrooke St. E, Montreal, Quebec 514-234-1234

For Help, press F1

5. Click one of the following buttons on the toolbar:

- **Save**—To save your entry and remain in the SEDAR – Address Book window you are in.
- **Close**—To save your entry and open another SEDAR – Address Book window. From that window you can exit the Address Book function or create a new address book.
- **Edit Entry**—To modify a person's address, phone number, etc.
- **Delete Entry**—To erase an entry from your address book.

Or, select either of the following options from the Edit menu:

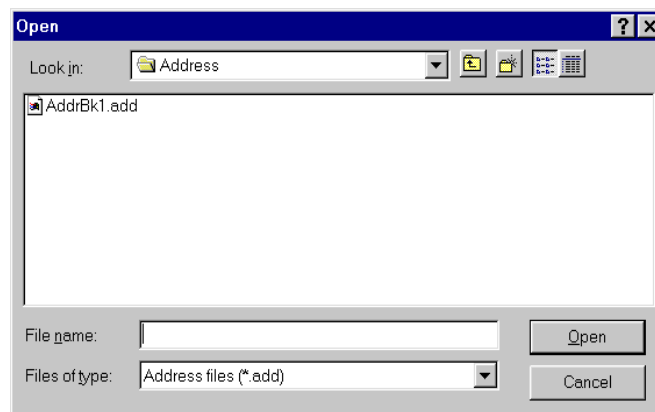
- **Select All for Mailing**—To add entries to the mailing list for that address book. An envelope displays beside entries selected for mailing.
- **Deselect All for Mailing**—To remove entries from the mailing list for that address book.

Searching for an Address

To find an address in a particular address book:

1. Click Address Book on the Mail Functions window.
The SEDAR – Address Book window displays.
2. Click Open on the toolbar.

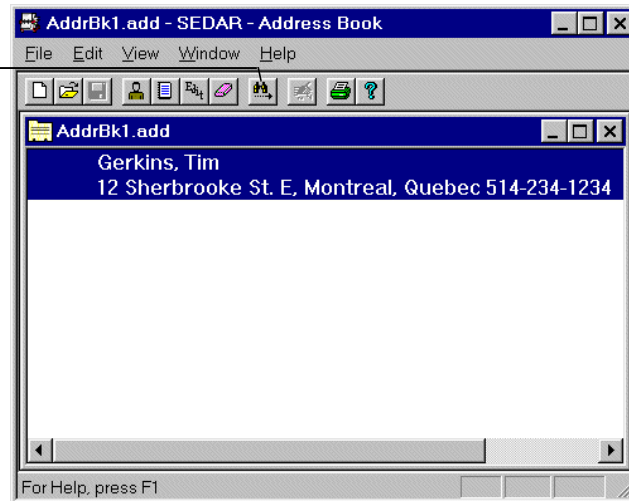
The Open dialog box displays.



3. Select the address book you want to search in and click OK.

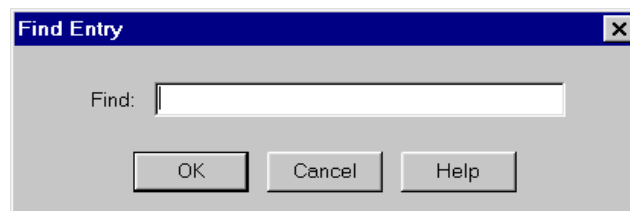
The desired address book displays.

Click Find to find an entry in the address book



4. Click Find on the toolbar.

The Find Entry dialog box displays.



5. Enter the last name of the entry you want to locate in the address book and click OK. If the entry is in the address book, it is highlighted in the list in the SEDAR – Address Book window.

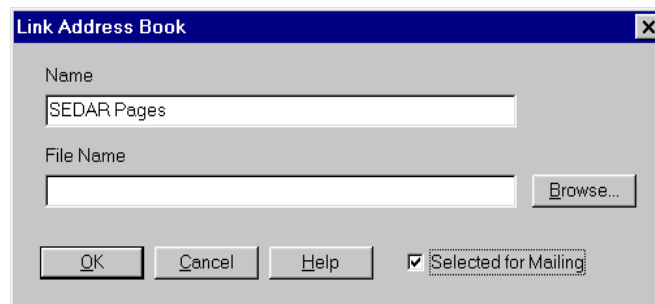
Linking Address Books

You can link up to 10 address books so that you have separate address lists within an address book.

To link address books:

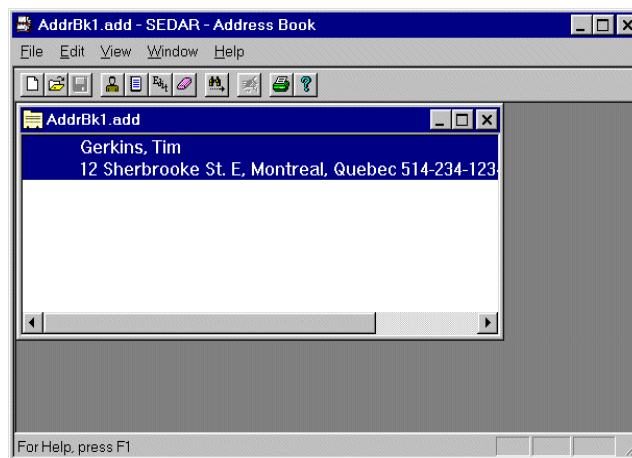
1. On a SEDAR – Address Book window (ADDR.BK1, 2 or 3, and so on), select Link Another Address Book from the Edit menu.

The Link Address Book dialog box displays.



2. In the Name field, enter the title for the address list that will be added to this address book.

3. Enter the file name for the address list you want to attach to the host address book by doing one of the following:
 - If you know the file name and path, type it in the File Name field. Go to step 5.
 - If you do not know the file name and path, click Browse. The File Open dialog box displays. Go to step 4.
4. Select the file name from the appropriate directory and click OK. The Link Address Book dialog box redisplay with the file name and path.
5. Click Selected for Mailing to have this address list included in the mailing list and click OK. The address list is attached to the other address book and displays in its listing.



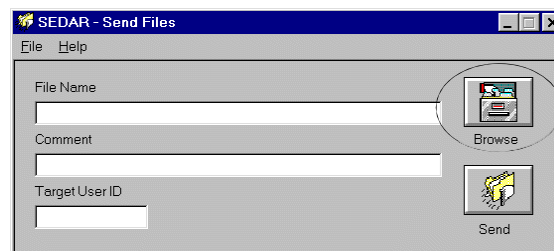
9.4 Sending Files

The Send Files function enables you to send files to yourself or other SEDAR users using your SEDAR workspace, outside of the formal filing process. Each SEDAR user ID is assigned a “personal” workspace on the SEDAR server which may be used as a storage space for exchanging files with other SEDAR users.

To send a file:

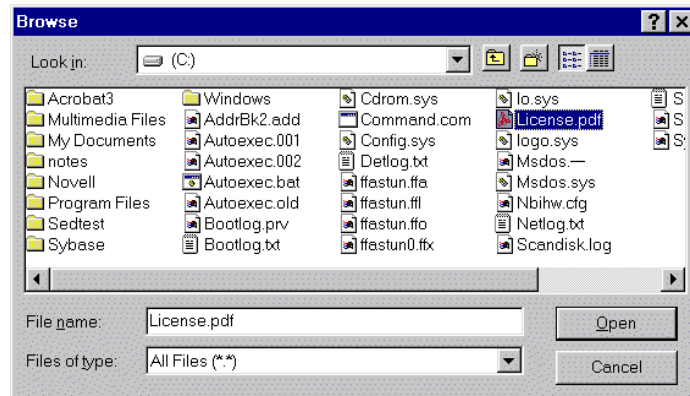
1. Click Send Files on the Mail Functions window.

The SEDAR - Send Files dialog box displays.



2. To attach a file to send, do either of the following:
 - Enter the directory, the drive where the file is stored and the file name. Go to step 5.
 - Click Browse.

The Browse dialog box displays. Go to step 3.



3. Select the directory, the drive and the file you want to send.

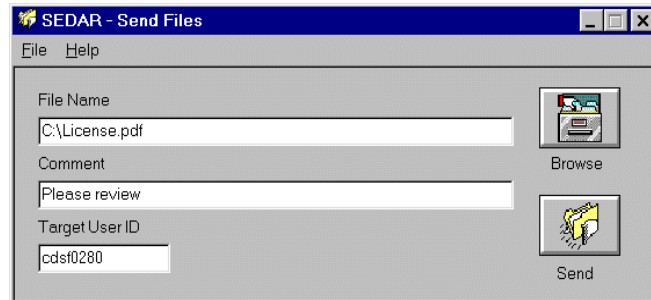
Note: If you attempt to send a file which contains annotations, such as attached files or embedded objects, the following message displays:

“The file cannot contain annotations (attached files or embedded objects). Please remove them and resave the file.”

Follow the instructions in this message. For more information, see “File Messages”.

4. Click OK.

The SEDAR – Send Files window re-opens with the file name you entered.



5. Enter the user ID of the recipient. You can also enter a comment to attach to the file in the Comment field. Click Send.
 - The SEDAR File Transfer dialog box displays, indicating the size (in bytes) of the file being transferred.

If you want to stop the transmission once it has started, click Abort on the SEDAR File Transfer dialog box before the transmission is completed.

Once the file has been submitted to the server, a confirmation dialog box displays. Click OK to return to the SEDAR – Send Files window. Go to step 6.

- If a message displays, follow the instructions in the message. For more information, see “File Messages”.
6. Select Exit from the File menu to return to the Mail Functions window.

9.5 Retrieving Files

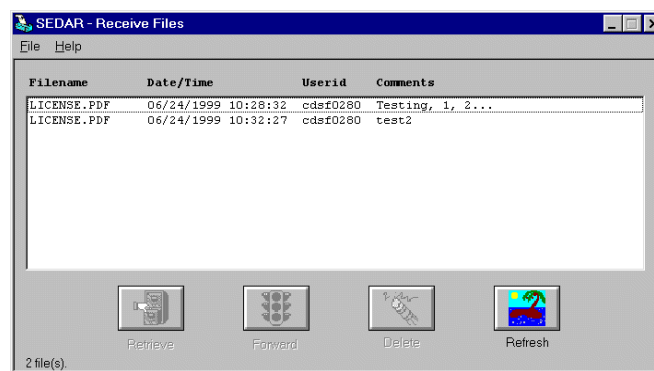
The Receive Files function enables you to retrieve files residing on your SEDAR workspace and perform other tasks with these files.



Ensure that you have logged in with the user ID corresponding to the workspace from which you want to retrieve files.

To retrieve files:

1. Click Receive Files on the Mail Functions window. The SEDAR – Receive Files window displays listing the files sent to your user ID and currently residing on your SEDAR workspace.
2. To make sure that you are looking at the most recent list from the SEDAR server, click Refresh.
3. When the list has been refreshed, select a file from the listing. After you select a file, the command buttons at the bottom of the window become available.



4. Select one of the actions in the following table.

Click...	To...
Retrieve	Download a file to your computer. Files retrieved from your SEDAR workspace are sent to your default directory (usually, C:/SEDAR/Download/file name) and are deleted from the workspace
Forward	Send a copy of a file to another SEDAR user. After clicking Forward, you enter the recipient's user ID in the Forward Files dialog box. When the file has been forwarded, the file is still listed on SEDAR – Receive Files window, but it is shaded. You must select it if you want to do something else with it
Delete	Delete a file from your workspace
Refresh	See if any new files have been sent to your workspace while the SEDAR – Receive Files window is open

5. Select Exit from the File menu to return to the Mail Functions window.

Chapter 10

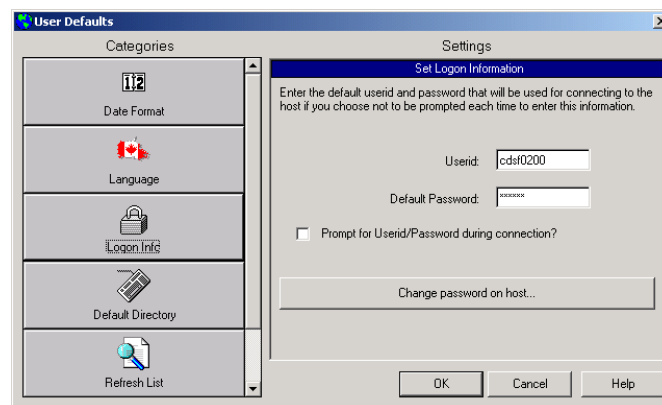
General Information

10.1 Changing Your Password

To change your password:

1. Open the User Profile and Defaults module from the SEDAR main window and click User Defaults.

The User Defaults dialog box displays.



2. Under Categories, click Logon Info. The Set Logon Information dialog box displays.
3. Click Change Password on Host.

The Change Password dialog box displays.

A screenshot of a Windows-style dialog box titled "Change Password". The dialog box has a blue title bar with a close button (X) in the top right corner. Below the title bar, there is a text area with the instruction: "Enter the userid, password, and new password for the user whose password you would like to change." Below this instruction, there are four text input fields. The first field is labeled "userid:" and contains the text "cdsf0050". The second field is labeled "Old Password:". The third field is labeled "New Password:". The fourth field is labeled "Retype New Password:". At the bottom of the dialog box, there are two buttons: "OK" and "Cancel".

4. Enter the user ID for the password that you want to change.

Note: You can change the password for the default user ID (the user ID you accessed this dialog box with) or any other user ID sharing the same account.

5. Enter the current password in the Old Password field, then press TAB to move to the next field.
6. Enter the new password (six to eight characters, in lowercase) in the New Password field, then press TAB to move to the next field.

Note: If you receive the message "The last character (x) is invalid. Select another one, see "Common Problems".

7. Retype the new password in the Retype New Password field (the field is case-sensitive, so be sure to retype the password exactly as you typed it the first time), then click OK.

8. Click OK to change the password. The User Defaults dialog box displays informing you that the change was successful.
9. Click OK. The User Profile and Defaults window displays.
10. Click User Information. The User Information dialog box displays. Select Submit

Note: To change the password for another user ID, repeat the previous steps.

11. Click OK. The User Profile and Defaults window displays.
12. Select Exit to return to the SEDAR main window.



When the password changes are complete, give the new passwords to your agency Access Coordinator (or whoever your agency determines will manage passwords), in case you forget them.

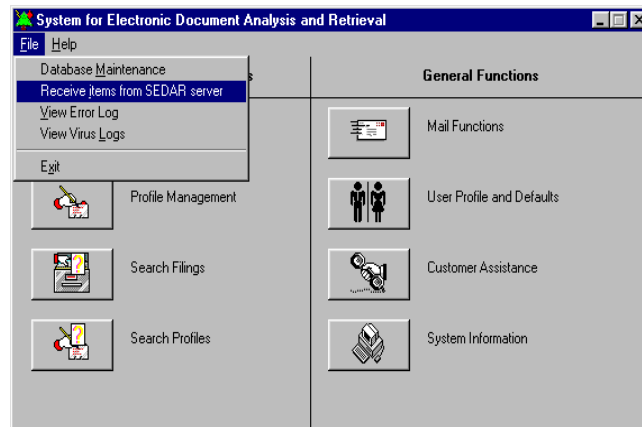
10.2 Updating SEDAR Code

SEDAR-related software updates can be distributed to all users from the SEDAR server via the Code Update function. There are two ways to initiate code updates:

- Before opening SEDAR, by choosing Receive Items from SEDAR Server in the File menu on the SEDAR main window. See “Initiating a Code Update before Opening SEDAR”.
- After opening SEDAR, when trying to access the SEDAR server. See “Initiating a Code Update after Opening SEDAR”.

10.2.1 Initiating a Code Update before Opening SEDAR

1. On the SEDAR main window, from the File menu select Receive Items from SEDAR Server.



Once a connection to the server has been made, a dialog box displays with the message “Items received successfully. Please close all SEDAR windows and select Code Update to update the SEDAR application.” The download time varies depending on the size of the files transferred to your computer, and the type and speed of your connection.

2. Close the SEDAR main window.
3. From the Start menu, point to Programs, then SEDAR, and select Code Update to activate the code update. A confirmation dialog box displays.
4. Click OK to close the dialog box.
5. After the code update has been completed, reopen SEDAR.

If you have any problems with a code update, call the CSA Service Desk at 1-800-219-5381.

10.2.2 Initiating a Code Update after Opening SEDAR

1. Open the module you want to work in. SEDAR automatically detects that a code update is required when you try to access the server.

Once the code update has been downloaded, a dialog box displays with the message “Items received successfully. Please close all SEDAR windows and select Code Update to update the SEDAR application.”

2. Exit the module to return to the SEDAR main window.
3. Close the SEDAR main window.
4. From the Start menu, point to Programs, then SEDAR, and click Code Update to activate the code update. A confirmation dialog box displays.
5. Click OK to close the dialog box.
6. After the code update has been completed, reopen SEDAR.

If you have any problems with a code update, call the CSA Service Desk at 1-800-219-5381.

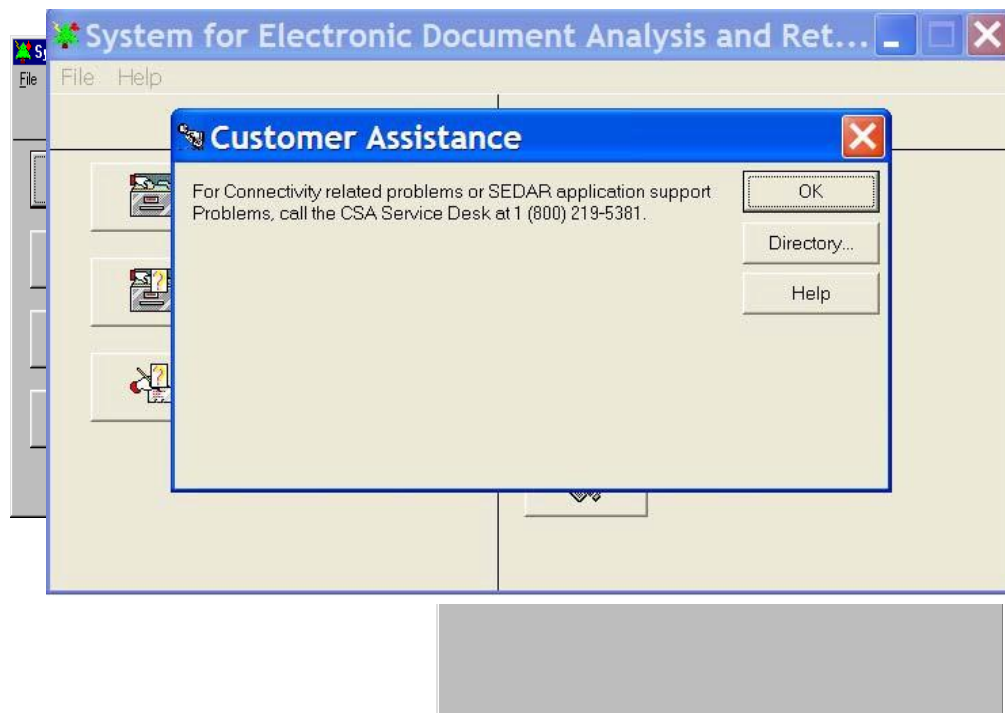
10.3 Obtaining Customer Assistance

The Customer Assistance dialog box displays the phone number to call for technical support for using SEDAR or accessing the network.

To access the Customer Assistance dialog box:

1. On the SEDAR main window, click Customer Assistance.

The Customer Assistance dialog box displays.



2. If the on-screen help, user manual and applicable rules pertaining to the filing of securities documents do not answer your questions, you have the following options:
 - For questions about a particular filing (e.g., about rules, status, fees), click Directory to consult a telephone directory of each agency. You can call the applicable agency if you have any questions.
 - For questions about technical problems related to the SEDAR environment (for example, filer software or connectivity), call the CSA Service Desk at 1-800-219-5381.

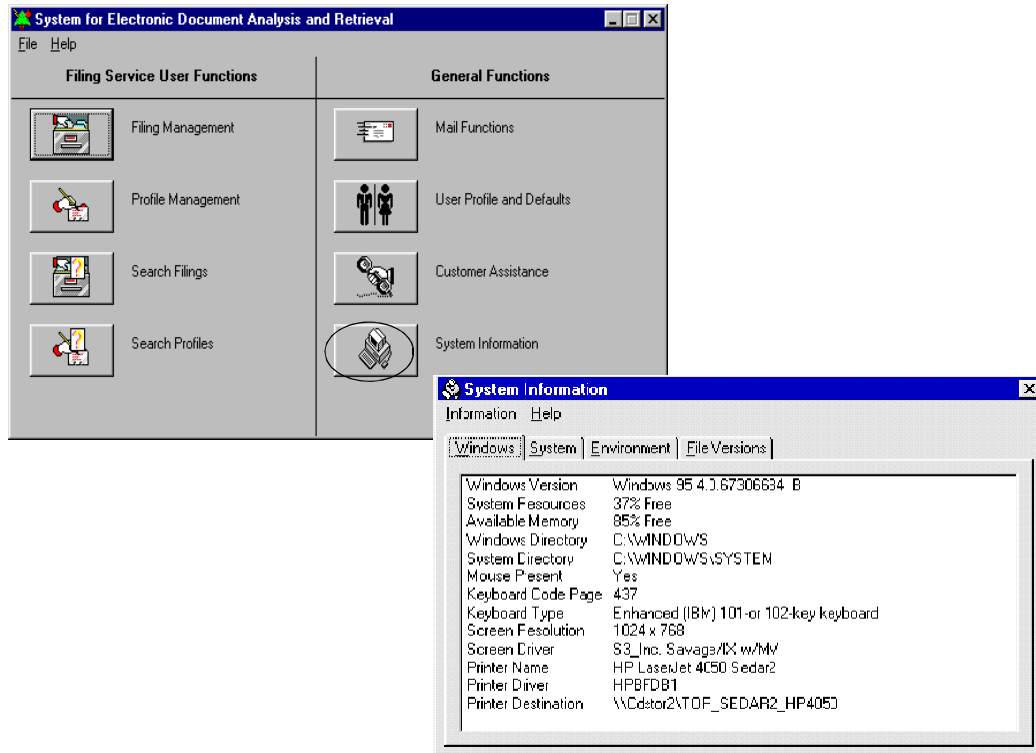
10.4 Obtaining System Information

You can obtain hardware and software information about your computer using the System Information module. This information can help you customize your environment, and identify and solve problems.

To access the System Information window:

1. On the SEDAR main window, click System Information.

The System Information window displays.



2. Click the desired tab name to view the contents of the tab.
 - Windows—For information about your Microsoft Windows environment.
 - System—For information about the system that you are currently using.
 - Environment—For information about your system environment.
 - File Versions—For information on the file name, path and version number.

On the Information menu, you can also select:

- Print—To print the contents of the information window.
- Exit—To return to the SEDAR main window.

Chapter 11

Troubleshooting

11.1 Troubleshooting Tips

In an effort to offer you better, faster service, the CSA Service Desk has documented the most common problems and error messages you may encounter while using SEDAR and has provided you with possible solutions.

If a problem occurs or an error message displays while you are using SEDAR, please try the solutions listed in this chapter before calling the CSA Service Desk. If the problem persists, call the CSA Service Desk at 1-800-219-5381.

The documented topics are grouped in the following two categories:

- Common Problems
- File Messages.

11.2 Common Problems

Below are some documented problems found in this chapter.

Problem/Error Message
You cannot connect to the SEDAR server
You submitted wrong filing information
You cannot access SEDAR Help
You get a yellow triangle with an exclamation mark inside
Error 18:bad login/password combination
Either an error has occurred on the server or you are not authorized to access the server
Error type 68: device unavailable
An error occurred during the code update. Return code=2
The last character (x) is invalid. Select another one.



You cannot connect to the SEDAR server

If your connection type is...	Do this...
Standard Internet (high-speed or dial)	<ul style="list-style-type: none"> • Ensure that your workstation is connected to the internet. • Ensure that your workstation is <i>not</i> in the subnet of 172.17.32.0. • Confirm that your workstation has the SEDAR Internet Connectivity Engine installed or is connected to a SEDAR site-to-site Internet VPN. • Verify that your workstation does not have any other VPN client software installed, i.e., software other than the SEDAR Internet Connectivity Engine (Checkpoint SecureClient software version 54.1.0.2) which was provided with the Release 8.0 installation program. • If a personal or corporate firewall is installed on your workstation, then ensure that it is configured so that IPSec and IKE ports are not blocked. • If Internet gateways (such as Netgear, Linksys, or D-Link) are used, please make sure that IPSec and IKE ports are allowed.
Site-to-site Internet VPN	Contact the CSA Service Desk at 1-800-219-5381 for assistance.



You submitted wrong filing information

Once a filing has been submitted, it cannot be deleted from the server. If you have included incorrect or incomplete information, you must correct it by filing another submission for that project.

If you submitted...	Do this...
A wrong profile	You can update the profile to include the correct information. For instructions on updating profiles, see “Updating a Profile”
A wrong cover page or attached file	It is your responsibility to contact the appropriate agency. You may be asked to submit a request for withdrawal of that filing and to submit a new filing in its place or to file another submission using the Add to a Filing feature in Filing Management. For instructions, see “Adding Documents and Formal Correspondence” or “Modifying Cover Pages”



You cannot access SEDAR Help

If you cannot access Help when you are working with a SEDAR module, it may be because you have more windows open than can be supported by Windows.

To access SEDAR Help, try either:

- Closing other applications and accessing Help again
- Closing the SEDAR main window and choosing SEDAR Help from the SEDAR group.



You get a yellow triangle with an exclamation mark inside

Your computer has a memory management problem.

1. Close all applications and restart your computer.
2. Reopen SEDAR and resume work.



Error 18:bad login/password combination

The SEDAR version installed on your computer is not the current version.

Install, or have someone install, the most current version of SEDAR on your computer and retrieve all code updates from the SEDAR server. For information on retrieving code updates, see “General Information”.



Either an error has occurred on the server or you are not authorized to access the server

The password or user ID used to access the SEDAR system has been entered incorrectly.

1. Open the User Profile and Defaults module from the SEDAR main window and click User Defaults. The User Defaults dialog box displays.
2. Click Logon Info. The Set Logon Information dialog box displays.

3. If the user ID appearing in the User ID field is correct, retype your password in the Default Password field. Type the password exactly as you usually enter it; this field is case-sensitive.

If the user ID appearing in the User ID field is incorrect, enter the appropriate user ID and, in the Default Password field, enter the corresponding password.

4. Click OK. The User Profile and Defaults window displays.
5. Return to the SEDAR main window and resume working.



Error type 68: device unavailable

The default directory selected in the User Default is not accessible to your system. Change the default directory to a more easily accessible one, for example, a directory on your local drive.

To change your default directory, do the following:

1. Open the User Profile and Defaults module from the SEDAR main window and click User Defaults. The User Defaults dialog box displays.
2. Click Default Directory. The Set Default Word Processing Files Directory dialog box displays.
3. Select the drive and the directory and click OK. The User Profile and Defaults window displays.

4. Return to the SEDAR main window and resume working.



An error occurred during the code update. Return code=2

You get this message if SEDAR is open while you are running the code update program.

To remedy the situation, close SEDAR and try running the code update again. For information on activating code updates, see “General Information”.



The last character (x) is invalid. Select another one.

This message displays if you try to assign an invalid character as the last character in your SEDAR password.

The length of the password determines which characters are invalid, as shown in the table below.

If your password is...	The last character cannot be...
six characters long	4, 5, 6, 7, 8, or K
seven characters long	+
eight characters long	é, ê, ë, ì, or í

11.3 File Messages

This section is intended to help you with certain error messages you may encounter when using SEDAR. Below are some common error messages found in this chapter.

Problem/Error Message

An error message of the 3000 series (Error 3021, Error 3040 and so on) displays

The file extension is not one of the supported file extensions. Please select another file or rename the file

The file has already been assigned to a document in the list. Please select a different file

An error occurred while sending a submission for project <number>...

Warning – A file by the name specified already exists on your PC and will be replaced by the file being downloaded. Do you want this file replaced?
C:\SEDAR\directory\file name

The stock symbol is identical to that of another profile in SEDAR. You cannot create this profile. Review existing profile

The issuer has ceased reporting. The profile cannot be used to create a filing unless the profile is updated

A virus has been found



An error message of the 3000 series (Error 3021, Error 3040 and so on) displays

The database you are working in is corrupted.

1. Close the module.
2. On the SEDAR main window, select Database Maintenance from the File menu. The Database Maintenance dialog box displays.

3. Close the module.
4. On the SEDAR main window, select Database Maintenance from the File menu. The Database Maintenance dialog box displays.
5. Select the faulty database and click Repair. The system attempts to repair the database.

If the repair is successful, a message displays telling you so. Go to step 4.

If the repair is not successful, a message displays telling you so. Exit SEDAR and scan your hard drive to eliminate other types of computer problems. For help, contact the CSAS Service Desk at 1-800-219-5381. When other types of computer problems have been eliminated, repeat step 2.

6. Click OK on the message window and on the Database Maintenance dialog box to return to the SEDAR main window.
7. Reopen the module and resume working.



The file extension is not one of the supported file extensions. Please select another file or rename the file.

You must follow the naming convention and limit the entire path and file name to 60 characters. This means that you must limit the file name to eight characters and the extension to three characters, as indicated in the *SEDAR Filer Manual*.

1. Click OK to close the dialog box.
2. Select another file or save the file.
3. Click OK to continue with the usual procedure.



The file has already been assigned to a document in the list. Please select a different file.

There have been some problems with file retrieval when the same file names were used for files in different directories. Therefore, you cannot send two files with the same name within the same filing.

This situation can arise when you are attaching files on a cover page. You need to select a unique file name.

1. Click OK to close the dialog box.
2. Exit SEDAR, go to the folder where the file is located and rename the file.
3. When the file has been renamed, access SEDAR and follow the usual procedure for attaching files.



An error occurred while sending a submission for project <number>...

If any problems occur while transmitting a submission to the SEDAR server, the above message displays.

1. Click OK to close the dialog box. The Filing Management window redisplays.
2. Click Refresh List to refresh your local database.

If the submission was successful, two submissions with the same project type, filer name, date and time of submission appear in the list (not necessarily following one another). Go to step 3.

If the submission was not successful, only the submission with the label “Inconsistent” displays in the list. Recreate the filing and resubmit it. Go to step 3.

3. Remove the filing labelled “Inconsistent” from the Filing Management list.
4. Continue with the usual procedure.



Warning – A file by the name specified already exists on your PC and will be replaced by the file being downloaded. Do you want this file replaced?

C:\SEDAR\directory\file name

There have been some problems with file retrieval when the same file names were used for files in different directories. Therefore, you can no longer send two files with the same name within the same filing. However, some filings already submitted may contain files with the same file names.

If a file has the same name as a previously retrieved file, SEDAR gives you the option to move the file to another directory or to rename the file to be retrieved.

This situation can arise when you are retrieving files that were previously submitted. You need to select a unique file name.

1. When you see this error message, click either:
 - Yes—To overwrite the file already in your directory.
 - No—To go back to the Receive Document File Destination window and select another file name or directory.
2. Continue with the usual procedure.



The stock symbol is identical to that of another profile in SEDAR. You cannot create this profile. Review existing profile.

You cannot duplicate Other Issuer profiles if the stock symbol is the same. You must do one of the following:

- Update the existing profile
- Change the profile you are creating.



The issuer has ceased reporting. The profile cannot be used to create a filing unless the profile is updated.

This message displays upon submission of a filing using the Other Issuer or Investment Fund Issuer cover page and the profile of an issuer who has selected “Ceased Reporting” on the Jurisdiction where Reporting Issuer field.

The submission is saved as a temporary filing and displays on the Filing Management main window with the status “In Process.” Do the following:

1. Update your profile database.
2. Open the filing, select another profile and submit the filing.



A virus has been found.

A scan of files being submitted has identified a virus. Please contact the CSA Service Desk at 1-800-219-5381 for assistance.

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