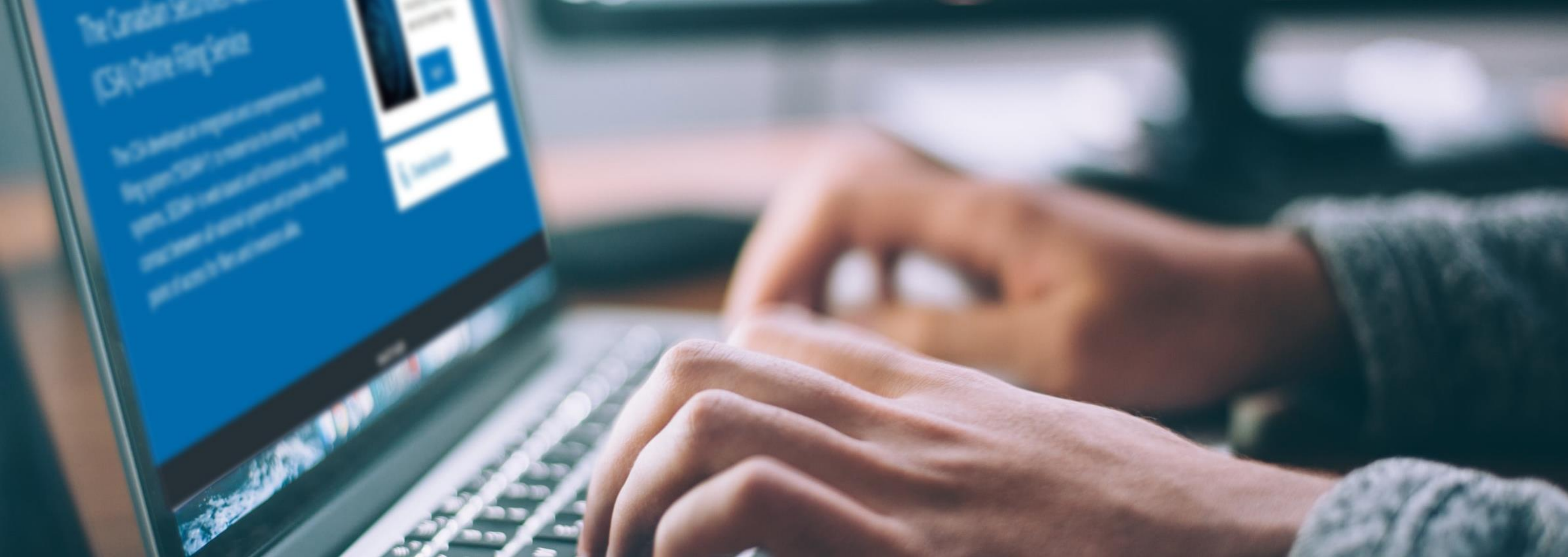
SEDAR+

FILER TRAINING- AUTHORITY MANAGEMENT



1. SESSION INTRODUCTION

Filer Training

WELCOME!

A few items before we begin…

LEARNING OBJECTIVES

- Learning Centre
- Authority Management
- SEDAR+ Access

AGENDA

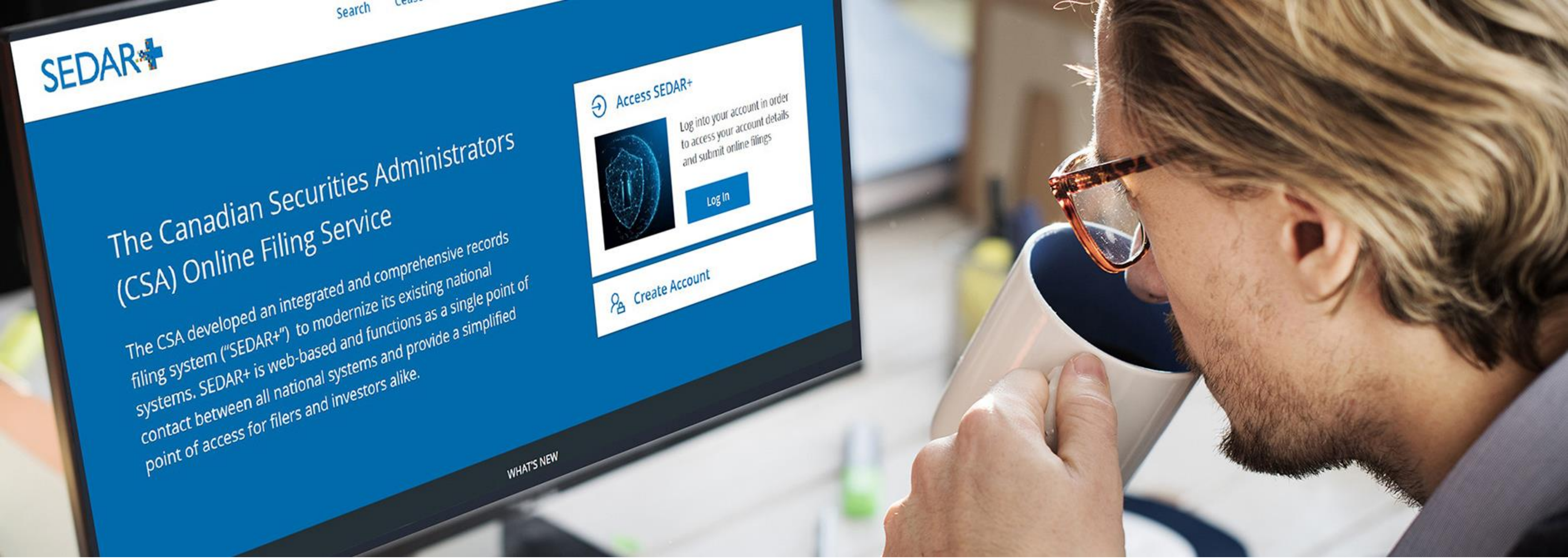
1: Session Introduction (5 min)

2: Learning Centre (20 min)

3: Authority Management (20 min)

4: SEDAR+ Access (10 min)

2. LEARNING CENTRE



3. AUTHORITY MANAGEMENT

AUTHORITY MANAGEMENT

SEDAR+ profile types:

Industry Participant:

- created by Regulators where no profile exists in SEDAR+ and a regulatory action has been levied against them

Company:

- referred to as 'Other issuer' on SEDAR

Investment Fund Group:

- a group of investment funds that have a common investment fund manager

Investment Fund:

- SEDAR+ will allow for 'stand alone fund' profile or the fund may be associated with a group

Third Party Filer:

- SEDAR term 'Other filer'; can be either an Individual or Organization

AUTHORITY MANAGEMENT

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

Organizations (subscribers) must have authority over the filer's profile in order to submit filing(s) on their behalf

For SEDAR+, authorization over the filer's profile to a filing agent is given via the Filing Agent Authorization Form (FAAF); the filer may authorize their agent to submit all categories of filings or only a subset (e.g. Continuous disclosure, Exempt market filings)

AUTHORITY MANAGEMENT

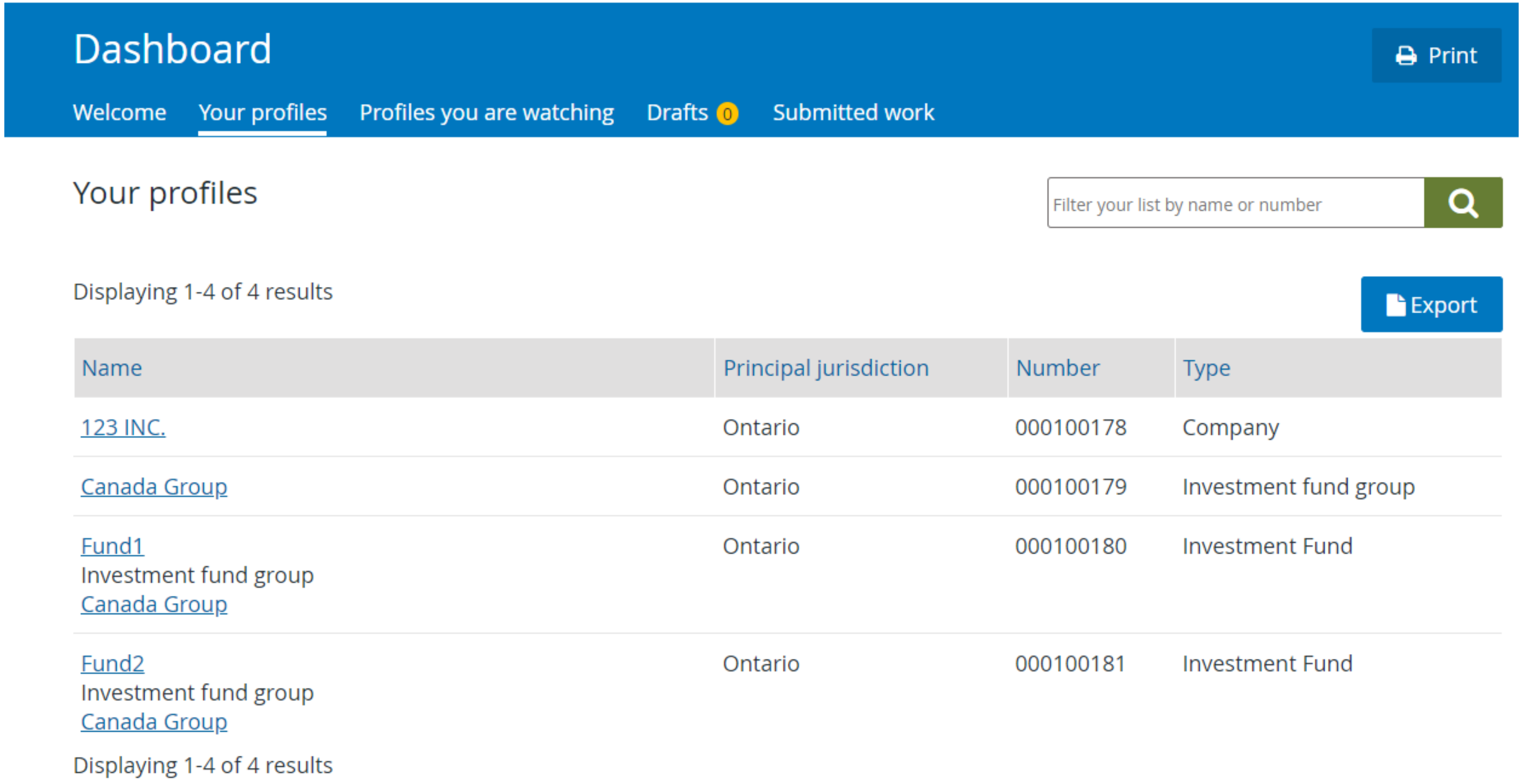
SEDAR+ provides additional permissioning vs SEDAR where each user account can be assigned all or a subset of filing authority (user account setup will be detailed in the next webinar)

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

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

AUTHORITY MANAGEMENT

- 'Your profiles' ('Profile management' screen on SEDAR); indicates the filer profiles the organization has authority to file against



Name	Principal jurisdiction	Number	Type
123 INC.	Ontario	000100178	Company
Canada Group	Ontario	000100179	Investment fund group
Fund1 Investment fund group Canada Group	Ontario	000100180	Investment Fund
Fund2 Investment fund group Canada Group	Ontario	000100181	Investment Fund

Displaying 1-4 of 4 results

SEDAR+

AUTHORITY MANAGEMENT

- The FAAF allows the filer to assign all or a subset of filing categories to their agent

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

• (i) Sign the Electronic Filer Agreement on behalf of Filer, and (ii) Provide consent to the Alberta Securities Commission (the "**ASC**"), on behalf of the Authorized Representative and Authorized Super User, for the ASC (whether through itself or its designee) to take such steps as the ASC may determine to validate the Authorized Representative and Authorized Super User to the ASC's satisfaction (including validation of their identity which may include a credit check). This includes consent to use the information provided under Part A of the Electronic Filer Agreement, any additional information subsequently requested by the ASC, and any other information available to the ASC.	☐
• Updates to Filer Profile	☐
• Securities Offerings	☐
• Continuous Disclosure	☐
• Applications	☐
• Exempt Market Offerings	☐
• Third Party Filings and Securities Acquisitions	☐

- SEDAR+ reflects the filing categories selected on the FAAF

Actions

Maintain profile
Maintain company profile

Filings
Exempt market offerings
Securities offerings
Applications, pre-filings and waivers
Continuous disclosure
Third party filings and securities acquisitions

Authority
Grant authority

SEDAR+

QUESTIONS?

4. SEDAR+ ACCESS

ONBOARDED ORGANIZATIONS

The Authorized Super User (ASU) (from your submitted Electronic Filer Agreement (EFA)) will receive their SEDAR+ user account and one time password close to June 13

As of June 13, the ASU will be able to log in to SEDAR+, update their permanent password, create new users, setup their PAD account in order to pay filing fees via EFT

The organization's 'Your profiles' list will display the filers the organization submitted EFA/FAAF and profile supplementary information details

- legacy filings (last 7 years) will be viewable and maintainable from the filer's profile

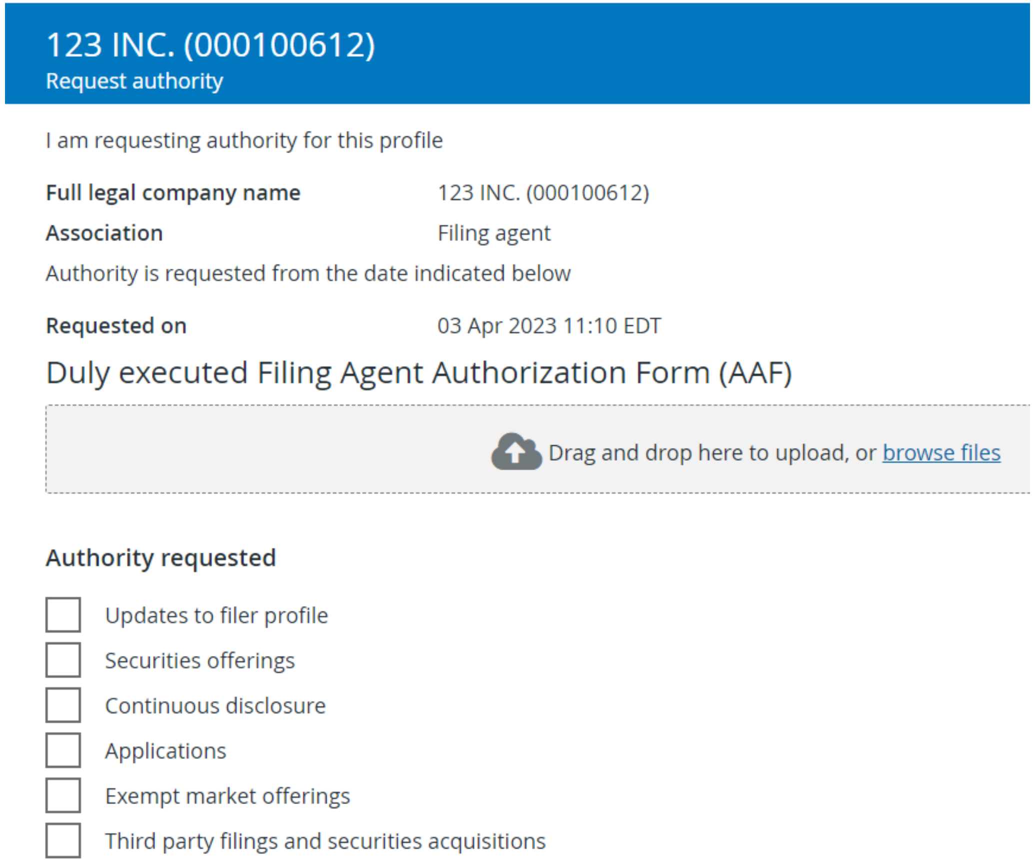
ORGANIZATIONS NEW TO SEDAR+

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

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

REQUESTING AUTHORITY OVER FILER(S) PROFILES

- Complete online request and attach the authorized FAAF from the filer
- The user will receive an email confirming their authorization over the profile after validation by the CSA Service Desk
- The profile will then display on the organization's 'Your profiles' list


123 INC. (000100612)
Request authority

I am requesting authority for this profile

Full legal company name 123 INC. (000100612)
Association Filing agent
Authority is requested from the date indicated below

Requested on 03 Apr 2023 11:10 EDT

Duly executed Filing Agent Authorization Form (AAF)

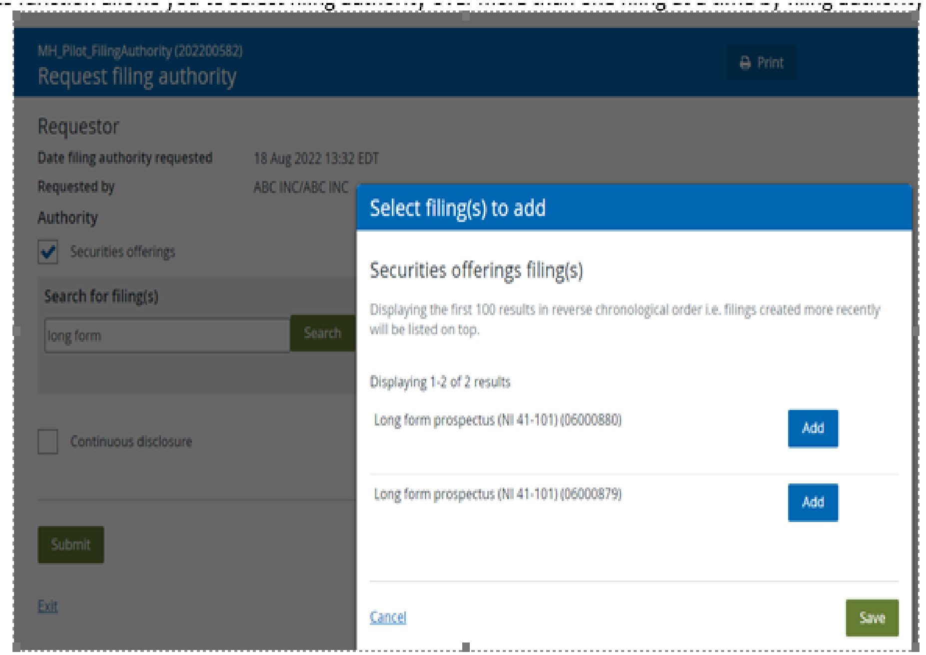
Drag and drop here to upload, or browse files

Authority requested

- [ ] Updates to filer profile
- [ ] Securities offerings
- [ ] Continuous disclosure
- [ ] Applications
- [ ] Exempt market offerings
- [ ] Third party filings and securities acquisitions

REQUESTING AUTHORITY OVER FILER'S FILINGS

- Once the organization has authority over the filer's profile, if the organization needs access to the filer's previously submitted filings, the user can 'request filing authority'
  - At least one document on the filing must be public in order for the filing to be included in the search results
  - Exception: Not required to request authority over each continuous disclosure filing once the organization has authority over the continuous disclosure filings category.



QUESTIONS?

SEDAR+ SUPPORT

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

Email: SEDARPlus.Transition@acvm-csa.ca

Phone: 1-800-219-5381