Canadian Securities Administrators
Autorités canadiennes en valeurs mobilières

# Creating a Project (Filing)

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**This document is designed as a quick reference guide.**

**For complete step-by-step instructions, please refer to the SEDAR Filer's User Guide**

**Section 3: Creating a Project (and) Section 4: Completing a Project**

# Creating a Project

This quick reference guide provides information on how to assemble and submit a project using the Filing Management module. As a pre-requisite to this guide, please ensure the profile(s) you intend to file against are available in your Profile Management and they are up to date.

Please review the following quick reference guides for assistance if your Profile Management is empty and/or your profiles require updating:

- Retrieving Existing Profiles (includes steps for updating an existing profile)
- Creating a Profile

## Pre-Filing Checklist

Before creating a project in SEDAR, please ensure the following:

- ✓ You have up to date profiles in your Profile Management
- ✓ You know the category of filer, the category of filing and the filing type
- ✓ You know the recipient agencies and principal regulator
- ✓ The document is saved in PDF format and adheres to SEDAR's electronic formatting requirements (see Section 7.2 of the SEDAR Filer Manual)
- ✓ The document name and file path does not include spaces or dashes
- ✓ The document name does not exceed a maximum of 32 characters including the .pdf
- ✓ You know the filing fees associated with this filing type (see CSA Fees and SEDAR System Fees)
- ✓ Your User Id has sufficient banking authority for the filing (please refer to the Getting Started quick reference guide)

## Summary Steps for Creating a Project

Below is a quick summary of how to create a project

- Select Create a New Filing in the Filing Management module
- Select your category of filer, filing and filing type
- Complete the required cover page and Page 2 if applicable to the Filing Type chosen
- Attach your profile(s), documents (pdf*) and (applicable) fees
- Submit, Authorize and Pay for fees as applicable

Once submitted, the project will display in your local Filing Management including a permanent project number and a time and date stamp.

## Project and Submission Numbers

A temporary project number is assigned to each new filing and will remain the same for all filings within that project. All filings within the same project are also assigned a submission number starting with 00000001.

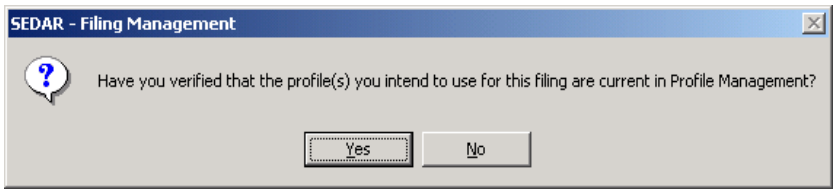
- Until submitted, project numbers begin with TMP (temporary) and submission numbers with SUB (submission).

- Upon submission, the SEDAR server assigns the filing a permanent project and submission number.

Note: If you wish to have copies of your organization's filings available in your local Filing Management, please refer to the Retrieving Existing Filings quick reference guide for assistance.

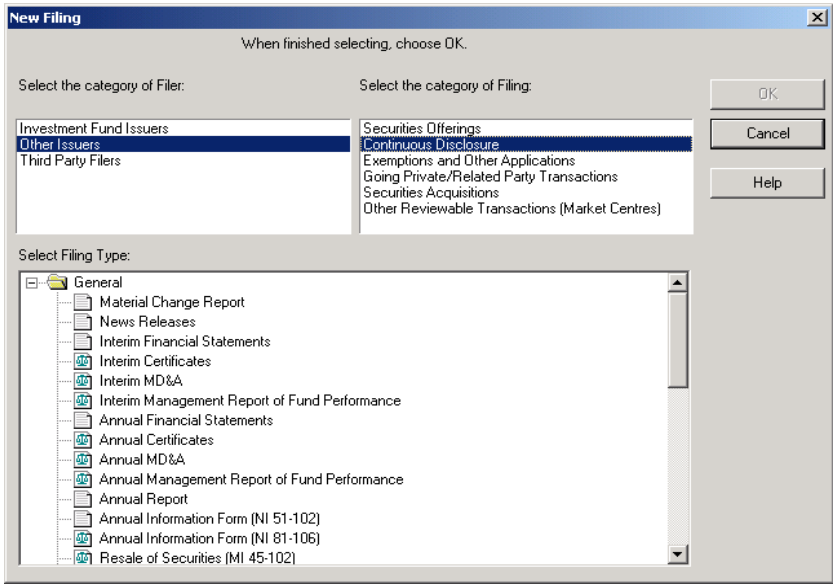
## Filing Management

1. On the SEDAR main window, click on Filing Management
   - On the File menu at the top of the Filing Management window, select Create a New Filing.
   - The following message displays :




IMPORTANT: Please do not disregard this message! If your profile has been updated to a Ceased Reporting status, you will be unable to file against the profile. If you file against a profile that is 'out of date', you will receive an error message when you attempt to submit the filing.

   - Click OK if the profile(s) you intend to use is up to date
2. The New Filing dialog box displays
   - Select the Category of Filer
   - Select the Category of Filing
   - Select the Filing Type and click OK



## Creating the Cover Page

SEDAR offers five types of cover pages:

1. Investment Funds Cover Page
2. General Investment Funds Cover Page
3. Issuer Cover Page
4. General Cover Page
5. Third Party Cover Page

### *From this point on, the information required for the project varies*

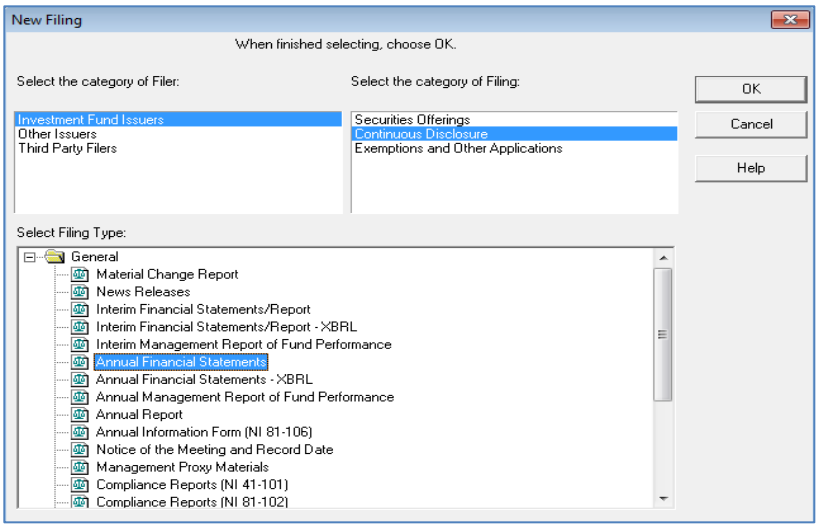
The cover page you are presented with depends on the selections you make in regards to category of filer, category of filing and the type of filing.

For this example, we will be creating a general cover page for Investment Fund Issuers (below) and one for Other Issuers (page 6). For information regarding the other cover pages, please refer to the Filer's User Guide:

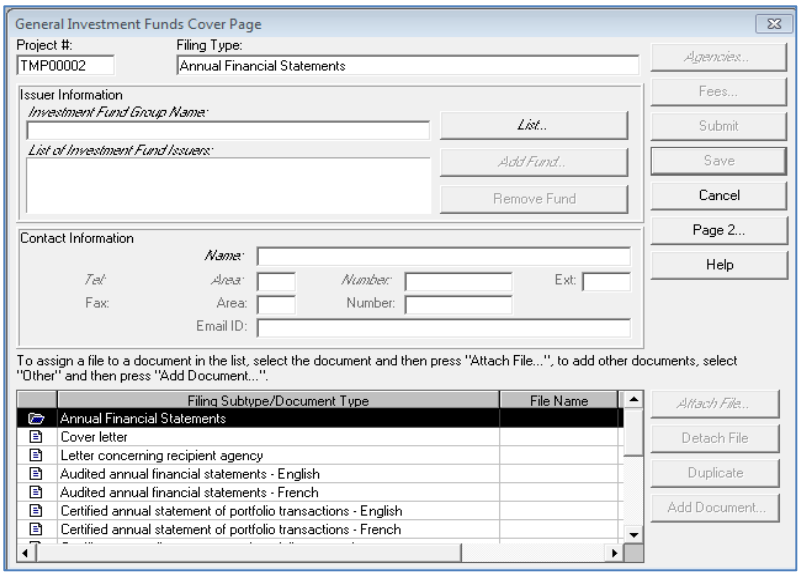
- Section 3.3 - Creating an Investment Funds Cover Page
- Section 3.5 - Creating an Issuer Cover Page
- Section 3.7 - Creating a Third Party Cover Page

## Creating a General Investment Funds Cover Page

3. Under Filing Management, in the New Filing Dialogue box, select the following and click OK:
   - Category of Filer: **Investment Fund Issuers**
   - Category of Filing: Continuous Disclosure
   - Filing type: Annual Financial Statements




4. The General Investment Funds Cover Page dialog box displays, showing information specific to the filing type you selected. The temporary project number is also displayed.



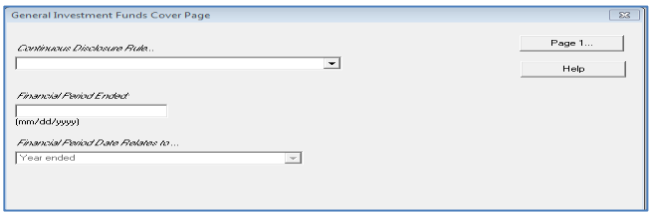

5. Click List (beside the Investment Fund Group Name field) to add the applicable profile(s) from your Profile Management
   - Select the applicable group profile and click OK - The group name appears in the Investment Fund Group Name field

Note: If your List is empty, it means your Profile Management is empty or does not contain the applicable profile type you require. Please refer to the introductory paragraph of this quick reference guide for assistance.

6. 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 are also listed in your Profile Management.
   - Select one or more funds as applicable and click OK (The selected funds must be the same as those mentioned in the prospectus/application)
   - The fund names appear in the List of Investment Fund Issuers field

Note: If you added a fund in error, highlight the fund name and click Remove Fund.

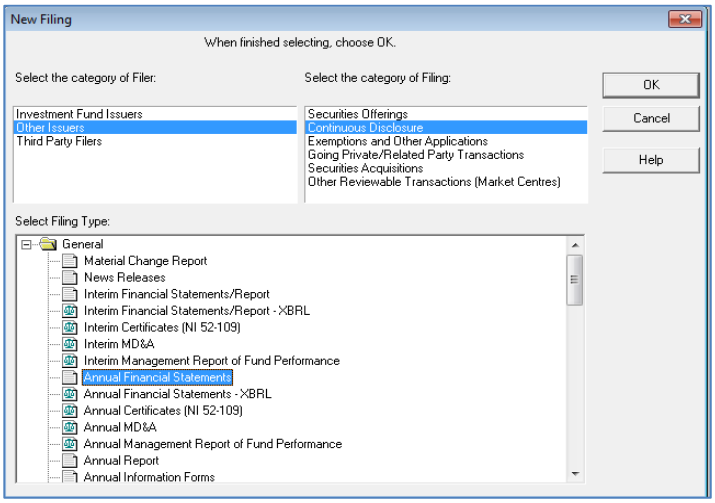
7. In the Contact Information section, enter the applicable contact name and telephone number
   - Although not required, it is a best practice to enter the contact's email ID (email address)
8. Click Page 2; the second page of the cover page displays
   - Complete the required fields and click Page 1 to return to the first page of the cover letter



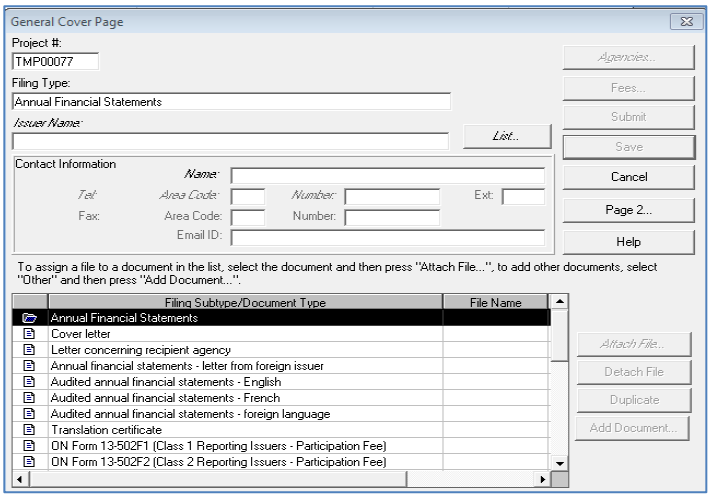

Note: Go to Page 7 'Attaching the Documents to your Project' unless you would like to review the steps for 'Creating a General Cover page' which is covered next

## Creating a General Cover page

9. Under Filing Management, in the New Filing Dialogue box, select the following and click OK:
   - Category of Filer: **Other Issuers**
   - Category of Filing: Continuous Disclosure
   - Filing type: Annual Financial Statements



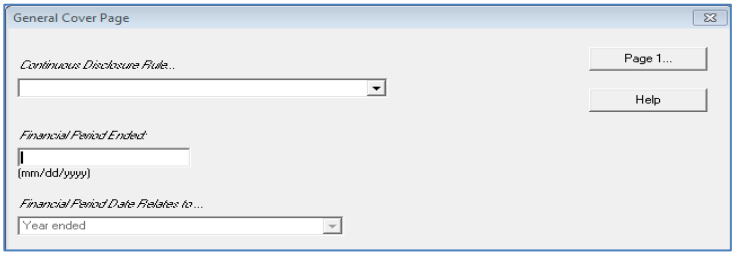

10. The General Cover Page dialog box displays, showing information specific to the filing type you selected. The temporary project number is also displayed.




11. Click List (beside the Issuer Name field) to add the applicable profile from your Profile Management
    - Select the applicable profile and click OK
    - The name appears in the Issuer name field

Note: If your List is empty, it means your Profile Management is empty or does not contain the applicable profile type you require. Please refer to the introductory paragraph of this quick reference guide for assistance.

12. In the Contact Information section, enter the applicable contact name and telephone number
    - Although not required, it is a best practice to enter the contact's email ID (email address)
13. Click Page 2; the second page of the cover page displays
    - Complete the required fields and click Page 1 to return to the first page of the cover letter




## Attaching the Document(s) to your Project

14. Once your cover page is created, you are ready to attach your document(s)
    - Select the document type in the Filing Subtype/Document Type field and click Attach File
    - The list of documents saved to your PC Workspace (SEDAR's default directory) will display
    - Once you highlight the document you wish to attach, the Document Name, Path and File fields at the top of the dialog box will populate automatically
    - Click OK to return to the General Cover Page

Note: If you attach a document in error, click Detach File and repeat steps 1-4. If you need to attach a previously filed document, see section 4.4.2 Attaching a Previously Filed Document in the Filer's User Guide.

## Selecting the Recipient Agencies

15. After all the Issuer Information fields have been completed on the cover page, the Agencies button becomes available
    - Click Agencies
    - In the Agency Type field, click the agency type for your filing

Note: The Test Filing agency type is used during initial set up to validate banking information and is not to be used when creating a real project. The test submission is sent only to the SEDAR server, no agency receives it.

16. In the Agency field, select the required agencies or Select All Commission Agencies if applicable and click OK
17. In the Principal column, click on the gray box beside the name of the commission designated as the Principal Regulator for this profile

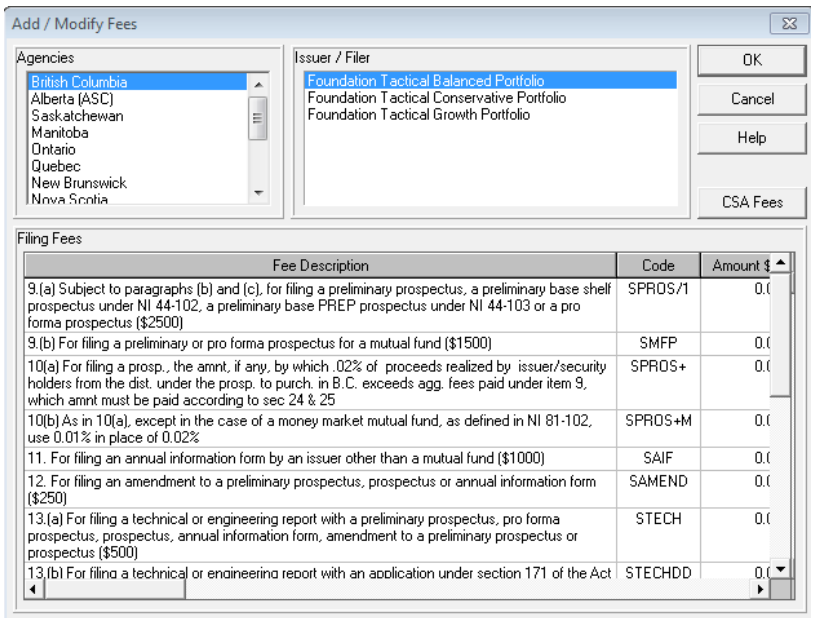
Note: If the profile you are filing against is a Non Reporting Issuer, the Principal column will shows as NA (Not Applicable).

18. Click OK to return to the cover page

IMPORTANT: If you have confirmed that your filing does not have fees (see CSA Fees and SEDAR System Fees), please skip the Adding Fees section below and move to the Submitting your Project section on page 9.

## Adding Fees

19. After all the Issuer Information fields have been completed and the recipient Agencies have been identified, the Fees button becomes available
    - Click Fees
    - The Add/Modify Fees dialog box displays, showing the first recipient agency in the list and their respective fee schedule in the Filing Fees field at the bottom




20. The CSA Fee link is available (on the right below Help) to help you enter the fee amounts in the Amount$ column beside the corresponding fee descriptions

IMPORTANT: 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.

21. Select the next agency from the Agencies field and enter the fee amounts in the Amount$ column beside the corresponding fee description
    - Repeat this process for each agency to which you need to submit fees
    - When you have entered all the required fees, click OK
22. The Summary of Filing Fees dialog box displays, showing the fee details as follows:
    - Total Project Fees (to date)
    - SEDAR System Fees (to date)
    - Agency Fees (to date)

Note: To add fees, click Add/Modify and repeat steps 19-21. To delete fees, click Add/Modify and repeat steps 19-21 but delete the fees in the Amount$ column instead of adding them.

23. Click OK to save the payment instructions and return to the cover page

## Submitting your Project

Once you have completed the cover page, attached the documents, selected the recipient agencies and added the fees (as applicable), you are ready to submit your project

Before submitting your project, please note the following best practices:

- ✓ Confirm you have attached the right document(s)
- ✓ Review the filing to ensure all details are accurate - including spelling and fee amounts
- ✓ Save the project first, then Submit

When ready, highlight the filing and click **Submit**

## Projects without Fees

If you are filing Continuous disclosure filings, for which no SEDAR or agency fees are charged, the filing is sent directly to the SEDAR server

- You will see a Working window followed by a File Transfer window
- The project appears in your Filing Management list with a permanent project number and a date and time stamp

## Projects with Fees

If you are filing any other types of filings, the Charge Summary dialog box displays

Note: The Matter Number field is optional and can be used to document internal reference numbers at your discretion. The Matter Number can be a maximum of 20 characters including letters, both upper and lower case, numbers 0-9 and punctuation (ie periods, hyphens and parentheses).

Note: Before authorizing payment, click Print if you would like a copy of the Charge Summary dialogue box for auditing or other purposes.

24. When ready, click Authorize
25. The Payment Authorization dialogue box displays
26. Enter the required user IDs and passwords and click Pay
    - You will see a Working window followed by a File Transfer window
    - The files are submitted to the agencies and the payment instructions are sent to the financial institution
    - The project appears in your Filing Management list with a permanent project number and a date and time stamp