

System for Electronic Disclosure by Insiders  
Système Électronique de Déclaration des Initiés

# User Guide

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Posted September 2008

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# Getting Started

Welcome to the System for Electronic Disclosure by Insiders (SEDI), the official on-line system for filing insider trading reports as required by Canadian securities legislation. SEDI allows you to easily file and view insider reports electronically, and facilitates timely and accurate disclosure of trading activity. Developed and operated for the Canadian Securities Administrators (CSA) by Canadian Depository for Securities (CDS INC.), SEDI is an on-line system that is available to anyone with Internet access. Using SEDI, filing and retrieving reports is more efficient and convenient than with conventional paper filings.

To enable insiders to file accurate trading reports, SEDI is also a repository for some issuer event information, such as reports about stock splits and consolidations. All issuers required to file information on the System for Electronic Document Analysis and Retrieval (SEDAR), except mutual funds, must report issuer events in SEDI. Issuers must also provide a list of the securities that they issue to their insiders. This information enables insiders to file trading reports based on the most current information about the issuer.

This chapter contains the following sections:

- ❑ [System Requirements](#)
- ❑ [Connecting to SEDI](#)
- ❑ [Navigating in SEDI](#)
- ❑ [Saving Data in SEDI](#)
- ❑ [Choosing Language](#)
- ❑ [Security Features](#)

# System Requirements

For optimum performance when using SEDI, your computer should meet the following system requirements:

- Windows 95, Windows 98, Windows NT 4.0, or Windows 2000 as an operating system



Screen resolution of 800 by 600 pixels or greater is highly recommended. Also set your monitor to view SEDI with at least 256 colours.

- 56K modem (minimum)
- An Internet connection
- Microsoft Internet Explorer 5.5x or 6.0x or Netscape 6.2.3x
- Adobe Acrobat Reader 5.0



Per-session cookies and Javascript should be enabled in your web browser. For more information, see the sections on Security in your browser's Help.

It is recommended that you maximize your browser window.

For information about downloading browser upgrades and Adobe Acrobat Reader, see the following web sites, as appropriate:

- [www.microsoft.com](http://www.microsoft.com)
- [www.netscape.com](http://www.netscape.com)
- [www.adobe.com](http://www.adobe.com)

# Connecting to SEDI

To connect to SEDI, access the [www.sedi.ca](http://www.sedi.ca) web site. On the opening screen, click **English** or **Français**. The *Welcome to SEDI* screen appears in the language you have chosen. From this screen, you can create a SEDI user account, log in, or view public reports. For more information, see:

- ❑ **Creating a SEDI User Account** on page 15
- ❑ **Logging In and Out** on page 24
- ❑ **Viewing Public Reports** on page 160



For convenient access to SEDI, add [www.sedi.ca](http://www.sedi.ca) to your browser bookmarks.

# Navigating in SEDI

The following sections contain some important tips on using SEDI interface tools, browser buttons and keyboard keys, and the Process tracker.

## Interface Tools

The SEDI interface includes the following tools:

- ❑ Navigation bars – Navigation bars appear along the top right corner, the bottom, and sometimes along the left side of the screen. Use the links in these navigation bars to move to different areas within SEDI.
- ❑ Scroll bars – Scroll bars are movable bars at the side or bottom of the screen. When you click and drag a scroll bar, the content in the area moves in the direction of the slide bar. You may need to use the scroll bars provided to view the entire SEDI screen.
- ❑ Fields – Fields are empty boxes into which you can type information. Fields are typically used to enter variable information, such as names.
- ❑ Drop-down list boxes – Drop-down list boxes allow you to enter information by selecting an item in a list. Click the drop-down list arrow to view the listed items. When you click an item in the list, it appears in the field.
- ❑ Check boxes – Check boxes are small, square fields that you can click to select options. If a check box is already selected, you can deselect it by clicking the check box.
- ❑ Radio buttons – Radio buttons are small, round fields that you can click to select or deselect options. Radio buttons are typically used to select an item in a list of search results.



Navigation bar

Insider: Doe.J Issuer: ABC Company Inc Security: Common Sha

### Amend insider transaction - Select security designation

Select a security designation from the list below:

**Outstanding securities**

Security designation	Underlying security designation
<input type="radio"/> Common Shares	
<input checked="" type="radio"/> Preferred Shares Series 14	

Next

Radio button

Button

Scroll bar

Drop-down list box

### File insider report - Enter transaction information

Security designation Common Shares

Date of transaction

Nature of transaction

Number or value of securities acquired  or Number or value of securities disposed of

Unit price or exercise price   Not Applicable Currency

General remarks (if necessary to describe the transaction)

Private remarks to securities regulatory authorities

Next

Check box

Field

## Using Browser Buttons and Keyboard Keys

During your SEDI session, you generally should not click Back or Stop on your browser. Clicking Back or Stop can cause SEDI to terminate, or to issue an error message.



In instances where you may need to go back to a previous screen, buttons are provided in SEDI. You can safely navigate backwards using SEDI buttons.

When you are viewing public reports, you can click **Back** on your browser.

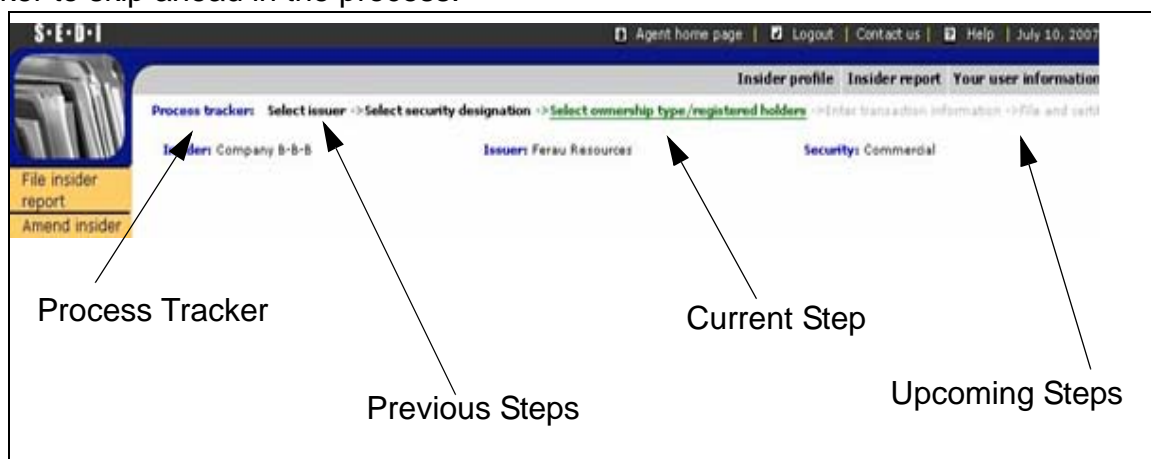
To move from one field to another, click a field with your mouse or press the Tab key. Do not press the Enter key.

Click the Next button provided in SEDI to proceed through your SEDI session. The Next button usually appears at the bottom of the SEDI screen. Do not press the Enter key to submit information.

## Using the Process Tracker

While you file information in SEDI (for example, an insider profile), the Process Tracker appears at the top of the page. The Process Tracker tracks your progress through the steps required to complete your task and indicates where you are in the process.

The Process Tracker displays the current step in the process underlined in green, completed steps are displayed in black and upcoming steps in the process are displayed in grey. The Process Tracker can be used to return to previous steps in the process, however any information entered in the process after the step you've returned to will be lost. You will need to complete these subsequent steps again. You cannot use the Process Tracker to skip ahead in the process.



# Saving Data in SEDI

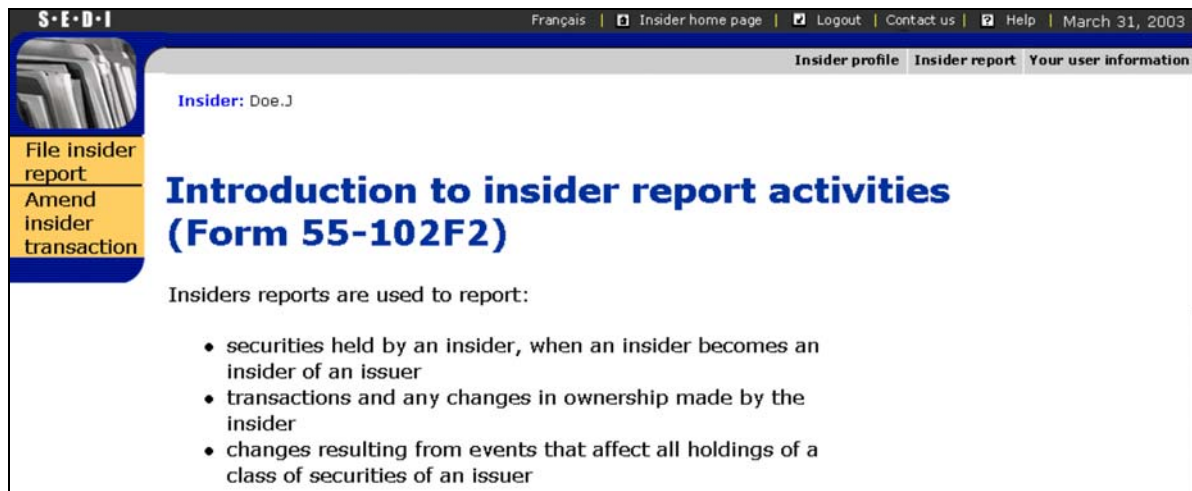
SEDI does not save data until you certify it. When you are finished entering information, the SEDI screen will generally contain a button called Accept or Certify, which you click to submit your data to the SEDI server.

SEDI does not save drafts. If you log out before you have certified the information you have entered, it is deleted.

# Choosing Language

You can view SEDI in English or French. Click [English](#) or [Français](#) on the SEDI opening screen before logging in.

If you want to change the language during your SEDI session, click [English](#) or [Français](#) in the top right navigation bar.



The screenshot shows the SEDI website interface. At the top, there is a navigation bar with the SEDI logo on the left and links for 'Français', 'Insider home page', 'Logout', 'Contact us', 'Help', and the date 'March 31, 2003'. Below the navigation bar, there is a user profile section with the text 'Insider: Doe.J' and three links: 'Insider profile', 'Insider report', and 'Your user information'. The main content area features a sidebar with a yellow background containing the links 'File insider report' and 'Amend insider transaction'. The main heading is 'Introduction to insider report activities (Form 55-102F2)'. Below the heading, there is a section titled 'Insiders reports are used to report:' followed by a bulleted list of activities:

- securities held by an insider, when an insider becomes an insider of an issuer
- transactions and any changes in ownership made by the insider
- changes resulting from events that affect all holdings of a class of securities of an issuer



You cannot change the language on all screens in SEDI. Where language selection is unavailable, the Français or English links do not appear in the navigation bar.

SEDI translates information in drop-down lists. Text you type in a field is not translated.

For example, when you file an issuer profile supplement, you only need to specify a security name in one language. SEDI will automatically translate the name. However, if you enter additional information in a field, it is not translated.

# Security Features

SEDI includes several security features that protect the information that you submit, and ensure that it is correct. Some of these features include:

- ❑ If you attempt to log in with an incorrect password three times in a row, you will be locked out of the system for 30 minutes.
- ❑ If you leave SEDI inactive for more than 20 minutes, you will be logged out.
- ❑ All information that has not yet been submitted to the system (certified) is deleted when you are logged out.
- ❑ Accounts and information in SEDI are controlled by passwords and access keys. For more information, see [Understanding Passwords and Access Keys](#) on page 103.
- ❑ All information passed between your computer and the SEDI server is encrypted.

# Managing SEDI User Accounts

Your SEDI user account contains information about you as a user. Every time you want to submit information in SEDI, you must log in with your SEDI user ID and password.

When you create your SEDI user account, you can choose from three account types:

- Insider – Files information on behalf of one insider
- Issuer – Files information on behalf of one issuer
- Agent – Files information on behalf of one or more insiders or issuers

This chapter contains the following sections:

- [Creating a SEDI User Account](#)
- [Viewing a SEDI User Account](#)
- [Amending a SEDI User Account](#)
- [Logging In and Out](#)
- [Changing your Password](#)

# Creating a SEDI User Account

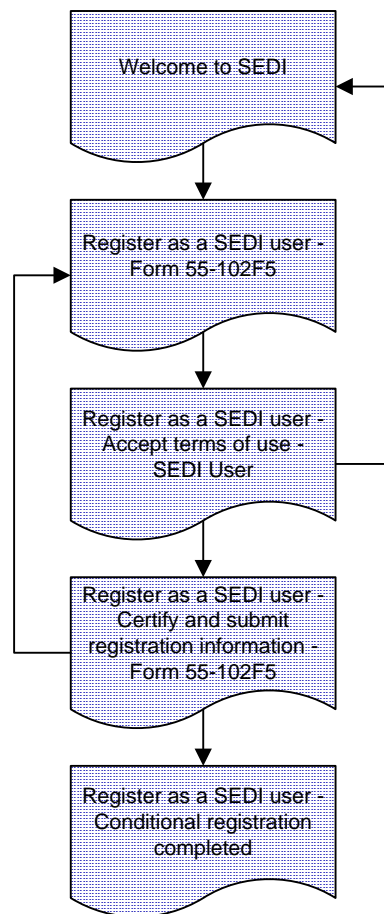
Before you begin, gather the following information:

- Family name, given names (in full) – Do not use initials, nicknames, or abbreviations.
- Employer name – If you are acting on behalf of an employer, use the full legal name of your employer and your position with that employer.
- Full address – If you are an insider, use your principal residential address. Otherwise, use the business address where you are employed. A post office box is not sufficient.
- Daytime telephone number
- Fax number – If available
- E-mail address – If available
- Type of user classification – Insider, Issuer, or Agent
- Prepared confidential question and answer – A confidential question and answer to which only you know the answer. For example, “What was my dog’s name when I was a child?” instead of “What colour is the sky?” The SEDI Operator will use this question to verify your identity if you request a new password.



For security purposes, you will be logged out of SEDI if you leave it inactive for more than 20 minutes. Any information that you have entered but not certified is deleted when you are logged out.

When you create a SEDI user account, you navigate through the following screens:



To create a SEDI user account:

*SCREEN: Welcome to SEDI*



1. Click **Register as a SEDI user** in the top right navigation bar.



**SCREEN: Register as a SEDI user - Form 55-102F5**

2. Enter your personal information in the fields provided.



Name – Use upper and lower case letters as applicable. Do not use initials, nicknames, or abbreviations.

Address – If you are registering as an insider, enter your principal residential address. If you are registering as an issuer or agent, enter the business address where you are employed.

Country – Use the drop-down list box to select Canada, U.S., or Other. If you select Other, a field appears in which you can type your country name.

Every field must be filled in or marked Not Applicable with the check box.

3. Click on a SEDI user classification (Insider, Issuer, or Agent) to select it.



You can only register once as a SEDI user. Depending on your needs, you can register as one, two, or three of the account types (insider, issuer, or agent). To select more than one SEDI user type, press and hold the Ctrl keyboard key and mouse-click your selections.

4. Enter a question to which only you know the answer in the **Confidential question** field.
5. Enter the answer to the question in the **Answer to confidential question** field.
6. Click **Next**.

**SCREEN: Register as a SEDI user - Accept terms of use - SEDI User**

7. Carefully review the TERMS OF USE - SEDI™ USER.



To print the Terms of Use, click the link on the screen to view a printer-friendly version in a new browser window, and then click **Print** to open your browser's Print dialog box.

8. Click **Accept**.

**OPTION**

If you click **Decline**, your SEDI user account is not created, and you return to the *Welcome to SEDI* screen.

SCREEN: Register as a SEDI user - Certify and submit registration information - Form 55-102F5

<b>Register as a SEDI user - Certify and submit registration information - Form 55-102F5</b>	
Family name	Doe
Given names (in full)	John James
Employer name and position	
Address (street name and number, etc.)	Line 1 123 Orchard Lane
	Line 2
Municipality (city, town, etc.)	Toronto
Province, territory or state	Ontario
Country	Canada
Postal code or zip code	T5T 5T5
Daytime telephone number	( 416 ) 777 - 7777
Fax number	( 416 ) 777 - 7778
E-mail address	jjdoe@home.com
SEDI user classification	Insider
<i>To certify and submit your registration information, click Certify.</i>	
<input type="button" value="Certify"/> <input type="button" value="Edit"/> <input type="button" value="Cancel"/>	

9. Ensure that the information you entered is correct.
10. Click **Certify** to submit your registration form.
11. Carefully review the statement in the **Certification** dialog box, and then click **OK**.

#### OPTIONS

##### Edit

To edit your SEDI account registration form, click **Edit** on the *Register as a SEDI user - Certify and submit registration information* screen. You return to the *Register as a SEDI User - Form 55-102F5* screen. Type over your previous entries to edit the registration.

##### Cancel

To cancel your registration, click **Cancel** on the *Register as a SEDI user - Certify and submit registration information* screen, and then click **OK** in the dialog box. Your SEDI user account is not created, and you return to a blank *Register as a SEDI User - Form 55-102F5* screen.

## SCREEN: Register as a SEDI user - Conditional registration completed

12. Make note of your SEDI user ID and password displayed on the screen.



The SEDI user ID and password are unique, and you need them to log into your account.

To print this screen for your reference, click **Print** on your browser's navigation bar to open the Print dialog box.

To print the details of your SEDI user account, click **Printer friendly version**. SEDI displays the details in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

## Activating Your Account

When you complete the above steps, you will have been registered conditionally as a SEDI user. Your registration as a SEDI user is not complete until activated by the SEDI Administrator (CDS INC.). To complete the registration process and activate your account, you must deliver a signed paper copy of your completed SEDI user registration form to CDS INC. by prepaid mail, courier, personal delivery, or fax at:

CDS INC.  
Attention: SEDI Administrator  
85 Richmond Street West  
Toronto, ON, Canada  
M5H 2C9  
Fax: 1-866-729-8011

In Quebec:  
CDS INC.  
Attention: SEDI Administrator  
600 boulevard de Maisonneuve Ouest  
Montreal, QC, Canada  
H3A 3J2  
Fax: 1-866-729-8011

After CDS INC. has performed the appropriate validations of the registration information provided by you (this generally takes 24 hours), your registration will be completed and you may proceed to file reports on SEDI.

You will not be able to access Insider, Issuer or Agent functionality within SEDI until the registration process has been completed. To check whether your registration has been completed, you should login as a SEDI user and click **Your user information** and then click **View your user information** to verify your "registration status".

For information about resetting passwords, see [Changing your Password](#) on page 26.

For information about logging in to your SEDI account, see [Logging In and Out](#) on page 24.

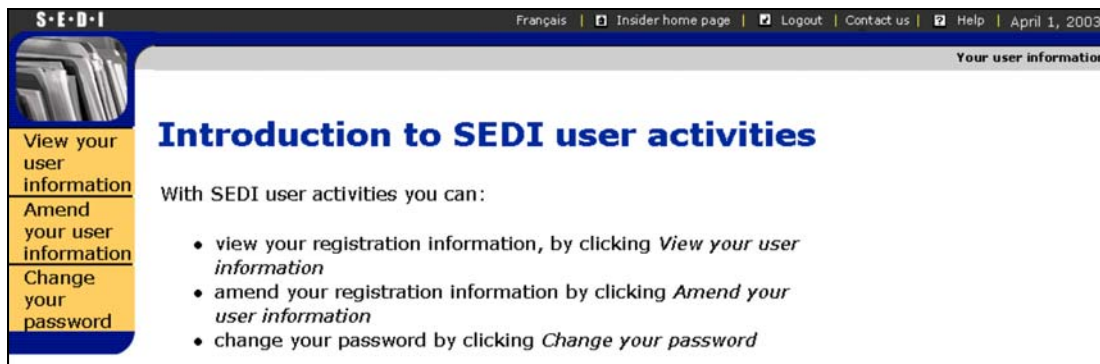
# Viewing a SEDI User Account

Once you have created a SEDI user account, you can view it at any point in your SEDI session.

To view the details of your SEDI account:

1. Click **Your user information** in the top right navigation bar at any point in your SEDI session.

*SCREEN: Introduction to SEDI user activities*



2. Click **View your user information** in the left navigation bar.

*SCREEN: View your user information*



To print a copy of your user information, click **Printer friendly version**. SEDI displays the user information in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (**NOT** on the browser) to return to SEDI.

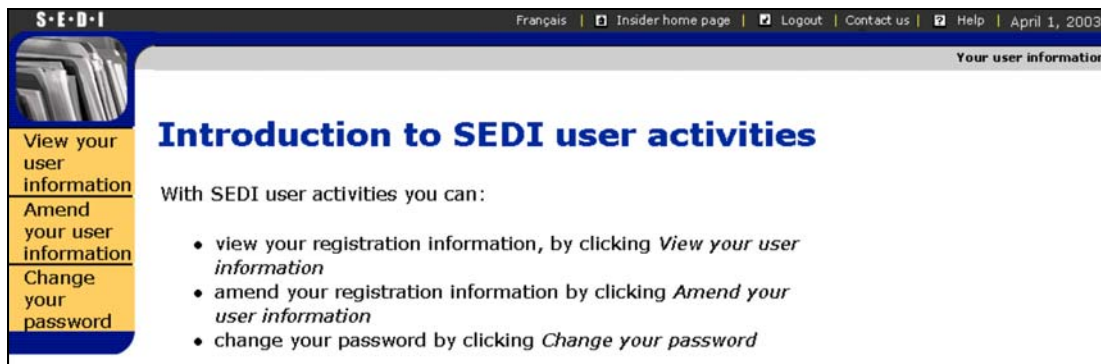
# Amending a SEDI User Account

Once you have created a SEDI user account, you can amend it at any point in your SEDI session.

To amend your SEDI user account:

1. Click **Your user information** in the top right navigation bar at any point in your SEDI session.

*SCREEN: Introduction to SEDI user activities*



2. Click **Amend your user information** in the left navigation bar.

*SCREEN: Amend your user information - Form 55-102F5*

3. Type over the information in the fields to amend it.
4. Click **Next**.

SCREEN: Amend your user information - Certify and submit information

<b>Amend your user information - Certify and submit information</b>	
SEDI user ID	JDOE005
Registration status	Conditional
Family name	Doe
Given names (in full)	John James
Employer name and position	
Address (street name and number, etc.)	Line 1 123 Orchard Lane
	Line 2
Municipality (city, town, etc.)	Toronto
Province, territory or state	Ontario
Country	Canada
Postal code or zip code	T5T 5T5
Daytime telephone number	( 416 ) 777 - 7777
Fax number	( 416 ) 777 - 8888
E-mail address	jjdoe@home.com
SEDI user classification	Insider
Confidential question	What is my favourite movie?
Answer to confidential question	Gone with the Wind
<i>To certify and submit your amended registration information, click Certify.</i>	
<input type="button" value="Certify"/> <input type="button" value="Cancel"/>	

- 5. Ensure that the displayed user information is correct.
- 6. Click **Certify**, and then click **OK** in the dialog box.

SCREEN: Amend your user information - Completed

**OPTION**

To cancel the amendment, click **Cancel**, and then click **OK** in the dialog box. You return to the *Amend your user information - Form 55-102F5* screen, and the amended information is deleted.

# Logging In and Out

To log in to your SEDI account:

*SCREEN: Welcome to SEDI*



1. Click **Login** in the top right navigation bar.

*SCREEN: SEDI user login*

## SEDI user login

*If you are a registered SEDI user, enter your SEDI user ID and your password.*

Entry of your password shall be deemed to constitute acceptance of the **Terms of Use - SEDI User**, last updated on April 7, 2003. For a printer friendly version of the complete **Terms of Use - SEDI User**, [click here](#).

SEDI user ID

Password

2. Enter your SEDI user ID and password in the fields provided.



The password is case-sensitive. Ensure that you type the correct upper- and lower-case letters, and that you do not have Caps Lock enabled on your keyboard.

If you attempt to log in three times with an incorrect user ID or password, SEDI locks you out of the system for 30 minutes. After 30 minutes, you can attempt to log in again.

3. Click **Next**.



To clear all fields, click **Reset**.



Depending on the type of SEDI account that you have, logging in opens one of the following screens:

- ❑ *Insider home page* – The first time you log in to your insider account after it has been activated, the *Insider home page* prompts you to create an insider profile or link your account to an existing insider profile. For more information, see [Using Insider Accounts](#) on page 28.

On subsequent logins, the *Insider home page* prompts you for your insider access key. Once you supply the correct access key, you can view or amend your insider profile, or file insider reports. For more information, see [Using Insider Accounts](#) on page 28 and [Filing and Amending Insider Reports](#) on page 106.

- ❑ *Issuer representative home page* – The first time you log in to your issuer account after it has been activated, the *Issuer representative home page* prompts you to create an issuer profile supplement or link your account to an existing issuer profile supplement. For more information, see [Using Issuer Accounts](#) on page 67.

On subsequent logins, the *Issuer representative home page* prompts you for your issuer access key. Once you supply the correct access key, you can view or amend your issuer profile supplement, or file information for the issuer. For more information, see [Using Issuer Accounts](#) on page 67 and [Filing and Amending Issuer Event Reports](#) on page 148.

- ❑ *Agent home page* – When you log in to your agent account after it has been activated, the *Agent home page* appears. For more information, see [Using Agent Accounts](#) on page 93.

To log out of your SEDI account at any time during your SEDI session, click [Logout](#) in the top right navigation bar.



If you log out of your SEDI account before you have certified information, the information is deleted.

You cannot view public reports while you are logged in. To view public reports, log out and then click [Access public filings](#) in the top right navigation bar.

# Changing your Password

Each SEDI user account is assigned a password. This password is linked to your SEDI user ID, and protects your account from use by others. SEDI issues your password when you create your SEDI user account (for more information, see [Creating a SEDI User Account](#) on page 15). Passwords are case-sensitive, and the SEDI Operator cannot retrieve your password for you. Ensure that you print it and keep it in a secure location.

Passwords expire 1 year + 90 days after they are generated. If you do not change your password before it expires, SEDI prompts you to change the password when you log in, before allowing you to proceed in the system.

To change your SEDI user account password:



1. Click [Your user information](#) in the top right navigation bar.

*SCREEN: Introduction to SEDI user activities*



2. Click [Change your password](#) in the left navigation bar.

*SCREEN: Change your password*

### Change your password

Enter your old password

Enter your new password

Enter your new password again

3. Enter your old (current) password in the field provided.
4. Enter a new password in the field provided.



Passwords must be 6-8 characters long. They can include letters or numbers, but cannot include special characters (e.g., an asterisk).

5. Enter the new password in the field provided to confirm it.
6. Click **Next**.

*SCREEN: Change your password - Completed*

# Using Insider Accounts

After you create a new insider account in SEDI, you should either create an insider profile or link your SEDI account to an existing insider profile. An insider profile contains personal information about you (for example, your name and address). The profile also contains information about the issuers of which you are an insider, and optional contact and registered holder information. Information in the insider profile is protected by an insider access key. Only SEDI users who supply the correct insider access key can access your insider profile or file any trades on your behalf.



You cannot file insider reports until you have activated your account and created an insider profile.

Only one insider profile can be associated with each insider account.

If you want to file information on behalf of more than one insider, or for a combination of insiders and issuers, re-classify your SEDI account as an agent account. For more information, see [Amending a SEDI User Account](#) on page 22 and [Using Agent Accounts](#) on page 93.

Once you have created your insider profile or linked your account to an existing profile, click **Next** to open the *Insider activities* screen, from which you can amend your insider profile or file and amend insider reports.

This chapter contains the following sections:

- [Creating an Insider Profile](#)
- [Linking your Account to an Existing Insider Profile](#)
- [Viewing an Insider Profile](#)
- [Amending an Insider Profile](#)
- [Changing your Insider Access Key](#)

# Creating an Insider Profile

The first time you log in using your SEDI user ID and password after your account has been activated, the *Insider home page* prompts you to either create an insider profile or link your user ID to an existing insider profile.

You must create an insider profile if one has not been created for you. If your insider profile has already been created, see [Linking your Account to an Existing Insider Profile](#) on page 43.



If you are an agent, log in with your SEDI user ID and password, and then click [Create insider profile](#) on the *Agent home page*. For more information, see [Using Agent Accounts](#) on page 93.

Before you begin creating an insider profile, gather the following information:

- Family name, given names (in full) of the insider (if the insider is an individual)
  - Do not use initials, nicknames, or abbreviations.

OR

Insider company name and family name, given names (in full) of insider representative (if the insider is a company) – Do not use initials, nicknames, or abbreviations.

- Full address – If the insider is an individual, use a principal residential address. If the insider is a company, use the company's address. A post office box is not sufficient.
- Daytime telephone number
- Fax number – If available
- E-mail address – If available
- Prepared confidential question and answer – A confidential question and answer to which only you know the answer. For example, “What was my dog's name when I was a child?” instead of “What colour is the sky?” The SEDI Operator will use this question to verify your identity if you request a new insider access key.
- Issuer name or issuer number for which you are an insider
- Your insider relationship(s) to the issuer – For example, director or senior officer
  - Registered holder – If your shareholding is indirect, or if you have control or direction over a security that is not registered in your name, you need the name of the registered holder of the securities. For example, a holding company, family trust, or the person or company that owns the securities that you have control or direction over.

- Date on which you became an insider of the issuer – If you have not previously filed insider reports for this issuer

OR

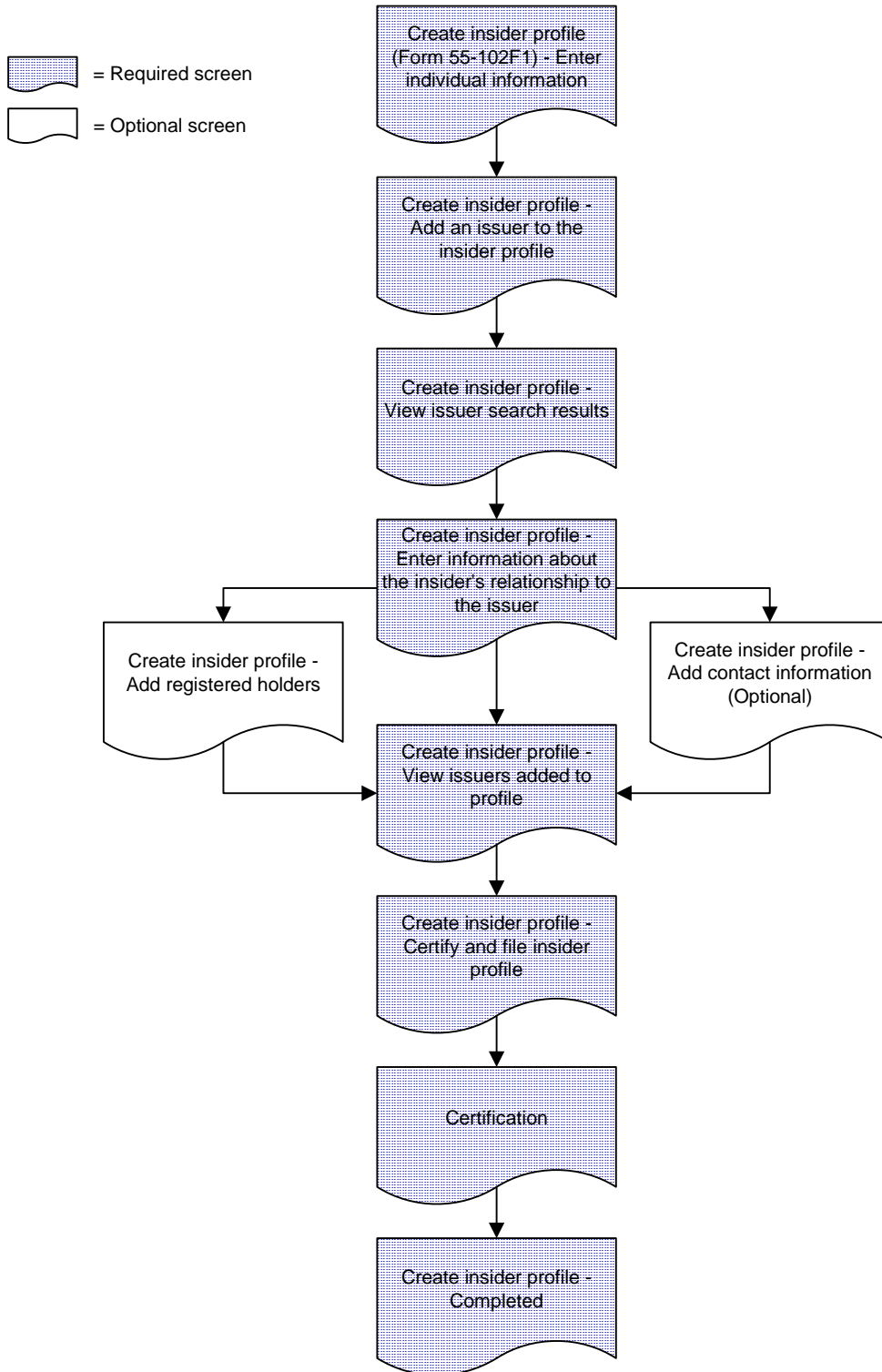
Opening balance date – If you have previously filed insider reports for this issuer

- Contact person – Optional
  - Family name, given names (in full) – Do not use initials, nicknames or abbreviations.
  - Full address – Use a principal residential address. A post office box is not sufficient.
  - Daytime telephone number
  - Fax number – If available
  - E-mail address – If available



For security purposes, you will be logged out of SEDI if you leave it inactive for more than 20 minutes. Any information that you have entered but not certified is deleted when you are logged out.

When you create an insider profile, you navigate through the following screens:



To create an insider profile:

SCREEN: *Insider home page*

## Insider home page

As an insider, you can:

- create or amend your insider profile (Form 55-102F1).
- file or amend insider reports (Form 55-102F2).
- amend your SEDI user registration form (Form 55-102F5).
- view SEDI filings that are available to the public, including insider reports.

You need an insider access key to update your insider profile, or to file or amend an insider report.

**If you don't have an insider access key**, you must create your insider profile. To do so, click here. [Create insider profile](#)

**If you already have an insider access key**, because someone else created your insider profile, you must link your SEDI user ID to your insider profile. To do so, click here. [Link your SEDI Account to your Insider Profile](#)

1. Click [Create insider profile](#).



The [Create insider profile](#) button only appears on the *Insider home page* if your SEDI account is not already associated with an insider profile.

If you are an agent, log in with your SEDI user ID and password, and then click [Create insider profile](#) on the *Agent home page*. For more information, see [Using Agent Accounts](#) on page 93.



*SCREEN: Create insider profile (Form 55-102F1) - Enter individual information*

2. Enter your personal information:

Click **Copy your user registration** to copy the information that you entered for your SEDI user account, or type the information in the fields.



To change information that you have copied, type over it in the fields.

The Copy your user registration button does not appear if you are logged in as an agent.

Name – Use upper and lower case letters as applicable. Do not use initials, nicknames, or abbreviations.

Country – You can select Canada, U.S., or Other. If you select Other, a field appears in which you can type your country name.

Every field must be filled in or marked Not Applicable with the check box.

OR

If the insider is a company:

a) Click **Enter company information**.

*SCREEN: Create insider profile (Form 55-102F1) - Enter company information*

b) Enter the company information in the fields provided.

3. Click the radio button beside your preferred language of correspondence.

This setting determines the language used in correspondence between you and the securities regulatory authority. Applicable to residents of Quebec, Ontario, New Brunswick, and Manitoba.

4. Enter a question to which only you know the answer in the **Confidential question** field.

5. Enter the answer to the question in the **Answer to confidential question** field.

6. Click **Next**.

SCREEN: Create insider profile - Add an issuer to the insider profile

### Create insider profile - Add an issuer to the insider profile

Search for an issuer using one of the following options:

**Option 1** Search for an issuer by entering the issuer number. Note you must enter all 8 digits including the leading zeros.

Issuer number

**Option 2** Search for an issuer by entering the issuer name.

Issuer name

Note: If you are unable to locate the issuer, try to refine your search or contact the issuer as the issuer profile supplement may not have been created.

- 7. Search for an issuer to add to your profile using one of the following options:
  - Option 1 – Enter the SEDAR profile number in the **Issuer number** field.
  - Option 2 – Enter the issuer’s name in the **Issuer name** field.



When searching, use the drop-down list boxes beside the fields to further define your search parameters. Choose from:

- Starts with – Searches for items that begin with your entry in the field
- Contains – Searches for items that contain your entry in the field
- Exact match – Searches for items that exactly match your entry in the field

- 8. Click **Search**.



To reset all fields, click **Reset**.

SCREEN: Create insider profile - View issuer search results

**Create insider profile - View issuer search results**

*The following issuers met your search criteria. Select the issuer you wish to add to the insider profile from the list below:*

Issuer number	Issuer name (English)	Issuer name (French)
<input checked="" type="radio"/> 00019040	ABC Company Inc.	Compagnie ABC Inc.

9. Click the radio button beside your issuer.



You can only select one issuer. If you are unable to locate your issuer, click **New Search** to return to the *Create insider profile - Add an issuer to the insider profile* screen, and change or refine your search.

If you are unable to locate your issuer after several searches, confirm that the issuer has created an issuer profile supplement. The issuer is required to create an issuer profile supplement before you create your insider profile and file insider reports.

10. Click **Next**.

SCREEN: Create insider profile - Enter information about the insider's relationship to the issuer

## Create insider profile - Enter information about the insider's relationship to the issuer

Select the insider's relationships to the issuer from the list below:

Insider's relationship to issuer  
(To select more than one relationship, press the "Ctrl" key while clicking the mouse.)

- 1 - Issuer
- 2 - Subsidiary of Issuer
- 3 - 10% Security Holder of Issuer
- 4 - Director of Issuer
- 5 - Senior Officer of Issuer

If the insider has not previously filed an insider report for this issuer, provide the date on which this insider became an insider of this issuer. Otherwise, provide the opening balance date. The opening balance date will be used for all your opening balances for this issuer. This date should be prior to the date of any transactions that you will report for this issuer in SEDI.

Date the insider became an insider of this issuer

or

Opening balance date

To reset dates press Reset

Optional information:

If you wish to be contacted at another address, or you wish to name a contact person, check this box.

If you wish to specify one or more registered holders for other than direct holdings, check this box.

11. Use the drop-down list box to select a relationship in the **Insider's relationship to issuer** field.



To select more than one relationship, press and hold the Ctrl keyboard key, and mouse-click your selections.

12. Specify the date on which the insider became an insider of the issuer OR the opening balance date in the field provided.

Use the drop-down list boxes to enter a month and day in the **Date the insider became an insider of this issuer** fields. Enter a 4-digit year.

OR

Use the drop-down list boxes to enter a month and day in the **Opening balance date** fields. Enter a 4-digit year.



If you have not previously filed insider reports, enter a **Date the insider became an insider of this issuer**.

If you have previously filed insider reports, enter an **Opening balance date**. If you specify an opening balance date, the date you enter must be prior to the dates of any transactions that you intend to file for this issuer in SEDI. For example, if your first SEDI report is a transaction that occurred on January 10, enter January 9 as the opening balance date.

To clear all fields, click **Reset**.

13. If desired, indicate that you want to provide another address or contact person, or you want to specify one or more registered holders for other than direct holdings by clicking the check boxes at the bottom of the screen. These are optional steps.
14. Click **Next**. If you did not click the check boxes to add contact information or registered holders, skip to Step 19.

*SCREEN: Create insider profile - Add contact information (Optional)*

### Create insider profile - Add contact information (Optional)

Family name	<input type="text" value="Doe"/>
Given names (in full)	<input type="text" value="Jane"/>
Address (street name and number, etc.)	Line 1 <input type="text" value="123 Granville Street"/>
	Line 2 <input type="text" value="Suite 201"/>
Municipality (city, town, etc.)	<input type="text" value="Vancouver"/>
Country	<input type="text" value="Canada"/>
Province, territory or state	<input type="text" value="British Columbia"/>
Postal code or zip code	<input type="text" value="L9N 2P9"/>
Daytime telephone number	( <input type="text" value="604"/> ) <input type="text" value="333"/> - <input type="text" value="3333"/> ext. <input type="text"/>
Fax number	( <input type="text" value="604"/> ) <input type="text" value="333"/> - <input type="text" value="3334"/>
E-mail address	<input type="text" value="jdoe@business.com"/>
	<input type="button" value="Next"/> <input type="button" value="Cancel"/>



This screen is optional. To skip this screen, click **Next**.

When you provide optional contact information, any correspondence regarding your SEDI filings is sent to the address entered here rather than to your personal address. If you indicated that you want to provide another address or contact person on the *Create insider profile - Enter information about the insider's relationship to the issuer* screen:

15. Enter the contact's personal information in the fields provided.



You do not need to fill in all the fields. For example, if you want to receive correspondence at an address that is not your principal address, simply fill in the address fields. When you fill in some of the address fields (e.g., Province, territory, or state), you must fill in the remaining address fields.

If you want to be contacted at a different telephone number, fill in only the **Daytime telephone number** fields.

If you want correspondence to be sent to a different person, fill in all the fields.

Name – Use upper and lower case letters as applicable. Do not use initials, nicknames, or abbreviations.

Country – You can select Canada, U.S., or Other. If you select Other, a field appears in which you can type your country name.

#### OPTION

To cancel the contact information, click **Cancel**. You return to the *Create insider profile - Enter information about the insider's relationship to the issuer* screen.

16. Click **Next**.

*SCREEN: Create insider profile - Add registered holders*

## Create insider profile - Add registered holders

*If this insider holds securities of this issuer in the name of a registered holder for other than direct holdings, you must provide the name of the registered holder.*

*To add a registered holder for this issuer, either select an existing registered holder from the Master list of registered holders or enter a new registered holder. Each registered holder that you add will appear in your list of registered holders for this issuer and will also appear in your master list of registered holders. When you have finished adding registered holders for this issuer, click Next.*

Registered holder

To continue creating the insider profile, click *Next*.



This screen is optional. To skip this screen, click **Next**.

If you indicated that you want to specify one or more registered holders for other than direct holdings on the *Create insider profile - Enter information about the insider's relationship to the issuer* screen:

17. Add a registered holder to the current issuer's Local list.



Registered holders appear in Master and Local lists. The Master list contains all registered holders that you have saved, and the Local list contains all registered holders that you have added to the current issuer. Until you have added a registered holder to your Master or Local list, neither list will appear on the screen.

To add a registered holder to your Master and Local lists, enter the holder name in the **Registered holder** field, and then click **Add registered holder**. The *Create insider profile - Add registered holders* screen re-opens, the registered holder is added to your Master and Local lists, and both lists are displayed on the screen.

To copy a registered holder from the Master list to the Local list, click the registered holder in the **Master list of registered holders**, and then click **Select from master list**.

To remove a registered holder from the Local list, click the radio button beside the registered holder and then click **Remove**. Click **Confirm removal** on the *Create insider profile - Confirm removal* screen. Note: If an insider report has been filed about a security held by a registered holder, you cannot remove that registered holder. In addition, you cannot remove a registered holder from the Master list.

18. Click **Next**.

SCREEN: Create insider profile - View issuers added to profile

**Create insider profile - View issuers added to profile**

To add another issuer to this insider profile, click Add issuer, otherwise click *Next*.

Issuer number	Issuer name	Issuer relationships
00019040	ABC Company Inc.	Senior Officer of Issuer

19. Ensure that the list of issuers is correct.

20. Click **Next**.

**OPTION**

---

To add another issuer to the insider profile, click **Add issuer**. You return to the *Create insider profile - Add an issuer to the insider profile* screen.



## SCREEN: Create insider profile - Certify and file insider profile

21. Ensure that the information you entered is correct.
22. Click **Certify**.

### OPTIONS

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#### Edit

To edit the insider profile, click **Edit**. On the *Create insider profile - Edit information* screen, click one of the following options:

- **Edit profile information** – Returns you to the *Create insider profile (Form 55-102F1) - Enter individual information* screen
- **Add issuer information** – Returns you to the *Create insider profile - Add an issuer to the insider profile* screen. To return to the *Create insider profile - Edit information* screen without editing the insider profile, click **Go Back**.
- **Edit issuer information** – Opens the *Create insider profile - Edit issuer information* screen. Click the radio button beside the issuer you want to edit and then click **Edit** or **Remove**. To return to the *Create insider profile - Edit information* screen without editing the insider profile, click **Go Back**.

When you have finished editing the insider profile, click **Next** to proceed to the *Create insider profile - Certify and file insider profile* screen.

#### Print

To print the insider profile, click **Printer friendly version**. SEDI displays the profile in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI window (NOT in the browser) to return to SEDI.

#### Cancel

To cancel the insider profile, click **Cancel**, and then click **OK** in the dialog box. The insider profile is not created, and you return to a blank *Create an insider profile (Form 55-102F1) - Enter individual information* screen.

## SCREEN: Certification

23. Review the certification information carefully.
24. Click **Accept**.



To print the insider profile with a date and time stamp, click the check box provided. When you click **Accept**, SEDI displays the profile in a format that is easily printed, and your browser's Print dialog box opens. Click **Next** in SEDI to proceed to the *Create Insider Profile - Completed* screen.

### OPTION

---

To decline the Certification, click **Decline**. You return to the *Create insider profile - Certify and file insider profile* screen.

*SCREEN: Create insider profile - Completed*

25. Make note of your Insider number and access key displayed on the screen.



The insider number and insider access key are unique and you need the insider access key to access the insider profile or file trades for the insider.

To print this screen for your reference, click **Print** on your browser's navigation bar to open the Print dialog box.

26. Click **Next**.

*SCREEN: Insider activities*

After you create your insider profile, a letter is sent to you at your personal address. The letter confirms that you have created an insider profile, and includes your insider number and insider access key.

Once you have created your insider profile, the *Insider activities* screen is displayed from which you can:

- Amend your insider profile – See page 47.
- File and amend insider trades – page 106.

# Linking your Account to an Existing Insider Profile

If an insider profile has already been created for you, you can link your SEDI user ID and password to that profile.

**!** To link to an existing insider profile, you must provide the correct insider access key. The insider access key is created when you create an insider profile. For more information, see [Creating an Insider Profile](#) on page 29.

To link your account to an existing insider profile:

*SCREEN: Insider home page*

## Insider home page

As an insider, you can:

- create or amend your insider profile (Form 55-102F1).
- file or amend insider reports (Form 55-102F2).
- amend your SEDI user registration form (Form 55-102F5).
- view SEDI filings that are available to the public, including insider reports.

You need an insider access key to update your insider profile, or to file or amend an insider report.

**If you don't have an insider access key**, you must create your insider profile. To do so, click here. [Create insider profile](#)

**If you already have an insider access key**, because someone else created your insider profile, you must link your SEDI user ID to your insider profile. To do so, click here. [Link your SEDI Account to your Insider Profile](#)

1. Click [Link your SEDI Account to your Insider Profile](#).

SCREEN: Link your SEDI User ID to your insider profile

## Link your SEDI User ID to your insider profile

Select one of the following options:

**Option 1** Search for your insider profile by entering your insider number.

Insider number

**Option 2** Search for your insider profile by entering your name.

Insider family name  Starts with

Insider given names  Starts with

2. Search for an insider profile using one of the following options:

- Option 1 – Enter the insider number in the **Insider number** field. The insider number is issued when the insider profile is created. For more information, see [Creating an Insider Profile](#) on page 29.
- Option 2 – Enter the insider’s family and given names in the **Insider family name** and **Insider given names** fields.



When searching, use the drop-down list boxes beside the fields to further define your search parameters. Choose from:

- Starts with – Searches for items that begin with your entry in the field
- Contains – Searches for items that contain your entry in the field
- Exact match – Searches for items that exactly match your entry in the field

3. Click **Search**.



To clear all fields, click **Reset**.

*SCREEN: Link your SEDI user ID to your insider profile - View search results*

4. Click the radio button beside the insider profile to which you want to link your SEDI user ID.
5. Click **Next**.



If your insider profile does not appear in the search results, click **New Search** to return to the *Link your SEDI Account to your Insider Profile* screen, and change or refine your search.

*SCREEN: Link your SEDI user ID to your insider profile - Enter insider access key*

6. Enter the correct insider access key in the field.

The access key is assigned when you create the insider profile. For more information, see **Creating an Insider Profile** on page 29.

7. Click **Next**.

*SCREEN: Insider activities page*

Once you link your insider account to an insider profile, the *Insider activities* screen is displayed from which you can:

- Amend your insider profile – See page 47.
- File and amend insider trades – See page 106.

# Viewing an Insider Profile

You can view the details of your insider profile at any time while you are logged in after your account has been activated.



If you are an agent, choose an insider from your Insider list and enter the correct insider access key. For more information, see [Performing Insider Activities](#) on page 95.

To view the details of your insider profile:

1. Click [Insider profile](#) in the top right navigation bar.

*SCREEN: Introduction to insider profile activities (Form 55-102F1)*

The screenshot shows the SEDI website interface. At the top, there is a navigation bar with links for 'Français', 'Insider home page', 'Logout', 'Contact us', 'Help', and the date 'April 1, 2003'. Below this, a secondary navigation bar contains 'Insider profile', 'Insider report', and 'Your user information'. On the left side, there is a vertical menu with three options: 'View insider profile', 'Amend insider profile', and 'Change insider access key'. The main content area displays the title 'Introduction to insider profile activities (Form 55-102F1)' and a sub-header 'Insider: Doe.J'. Below the title, it states 'With insider profile activities you can:' followed by a bulleted list: 'view the insider profile, which includes the insider's name, address, phone number, the name of the issuer, the relationship of the insider to the issuer, and the date the insider became an insider or the date of previous paper filing, by clicking *View insider profile*', 'amend insider profile by clicking *Amend insider profile*', and 'change the insider access key by clicking *Change insider access key*'.

2. Click [View insider profile](#) in the left navigation bar.



To print a copy of the insider profile, click [Printer friendly version](#). SEDI displays the profile in a format that is easily printed, and your browser's Print dialog box opens. Click [Back](#) in the SEDI screen (NOT on the browser) to return to SEDI.

# Amending an Insider Profile

To reflect changes to your personal information, or changes to your relationships with issuers, you may need to amend your insider profile. You can amend the details of an insider profile at any time while you are logged in.

**!** If you are an agent, choose an insider from your Insider list and enter the correct insider access key. For more information, see [Performing Insider Activities](#) on page 95.

To amend your insider profile:

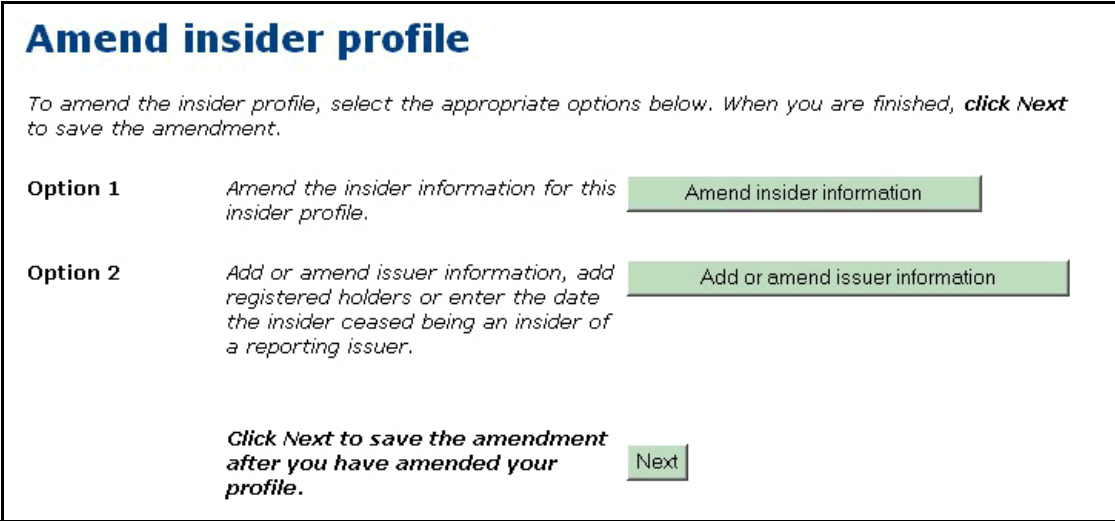
1. Click [Insider profile](#) in the top right navigation bar.

*SCREEN: Introduction to insider profile activities (Form 55-102F1)*

The screenshot shows a web browser window with the URL 'S-E-D-I'. The page title is 'Introduction to insider profile activities (Form 55-102F1)'. The page content includes a navigation bar with 'Insider profile', 'Insider report', and 'Your user information'. A left sidebar contains 'View insider profile', 'Amend insider profile', and 'Change insider access key'. The main content area features the title 'Introduction to insider profile activities (Form 55-102F1)' and a list of activities: view the insider profile, amend insider profile, and change the insider access key.

2. Click [Amend insider profile](#) in the left navigation bar.

SCREEN: Amend insider profile



3. On the *Amend insider profile* screen, select one of the following options:

Option 1 – Amend insider information

Allows you to amend individual or company insider information, such as your address, phone number, or confidential question and answer. See “Amend insider information” below.

Option 2 – Add or amend issuer information; add registered holders or enter the date the insider ceased being an insider of a reporting issuer

Allows you to amend issuer information. See page 50.

## Amend insider information

From the *Amend insider profile* screen, you can choose to amend insider information in the insider profile.

1. Click **Amend insider information**.



*SCREEN: Amend insider profile - Amend insider information*

2. Type over information in the fields to amend it.



Name – Use upper and lower case letters as applicable. Do not use initials, nicknames, or abbreviations.

Country – You can select Canada, U.S., or Other. If you select Other, a field appears in which you can type your country name.

Every field must be filled in or marked Not Applicable with the check box.

3. Click **Next**.

*SCREEN: Amend insider profile*

When you finish amending the insider information, you return to the *Amend insider profile* screen. From this screen, you can add or amend issuer information, or click **Next** to certify the amendment.



Your amendment is not saved until you certify it.

4. Click **Next**.

*SCREEN: Amend insider profile - File amended information*

5. Ensure that the information you entered is correct.

6. Click **Certify**.

#### OPTIONS

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##### Edit

To edit the amendment, click **Edit**. On the *Amend insider profile - Edit Amendment* screen, click one of the following options:

- **Amend insider information** – Opens the *Amend insider profile (Form 55-102F1) - Amend insider information* screen. See **Amend insider information** on page 48.
- **Add or amend issuer information** – Opens the *Amend insider profile - Add or amend issuer information* screen. See “Add or amend issuer information” below.

##### Print

To print a copy of the insider profile, click **Printer friendly version**. SEDI displays the profile in a format that is easily printed, and your browser’s Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

##### Cancel

To cancel the amendment, click **Cancel**, and then click **OK** in the dialog box. The insider profile is not amended, and you return to the *Amend insider profile* screen.

#### SCREEN: Certification

7. Review the certification information carefully.

8. Click **Accept**.



To print the insider profile with a date and time stamp, click the check box provided. SEDI displays the profile in a format that is easily printed, and your browser’s Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

#### OPTION

---

To decline the Certification, click **Decline**. You return to the *Amend insider profile - File amended information* screen.

#### SCREEN: Amend insider profile - Completed

Your insider profile has been amended.

## Add or amend issuer information

From the *Amend insider profile* screen, you can choose to add or amend issuer information in the insider profile. For information about the *Amend insider profile* screen, see page 48.

Click **Add or amend issuer information**.

SCREEN: Amend insider profile - Add or amend issuer information

**Amend insider profile - Add or amend issuer information**

To add an issuer, click  Add issuer to profile.

To amend or remove issuer information listed below, select the corresponding button and click either Amend or Remove.

Issuer number	Issuer name
<input type="radio"/> 00019040	ABC Company Inc.

From this screen, you can:

- Add an issuer – See “Add issuer to profile” below.
- Amend or remove information about an issuer already linked to the insider profile – See page 58.

**Add issuer to profile**

To add an issuer to the profile:

1. Click **Add issuer to profile** on the *Amend insider profile - Add or amend issuer information* screen.

SCREEN: Amend insider profile - Add an issuer to the insider profile

**Amend insider profile - Add an issuer to the insider profile**

Search for an issuer using one of the following options:

**Option 1** Search for an issuer by entering the issuer number. Note you must enter all 8 digits including the leading zeros.

Issuer number

**Option 2** Search for an issuer by entering the issuer name.

Issuer name

Note: If you are unable to locate the issuer, try to refine your search or contact the issuer as the issuer profile supplement may not have been created.

2. Search for an issuer to add to your profile using one of the following options:

- Option 1 – Enter the SEDAR profile number in the **Issuer number** field.
- Option 2 – Enter the issuer’s name in the **Issuer name** field.



When searching, use the drop-down list boxes beside the fields to further define your search parameters. Choose from:

- Starts with – Searches for items that begin with your entry in the field
- Contains – Searches for items that contain your entry in the field
- Exact match – Searches for items that exactly match your entry in the field

3. Click **Search**.



To clear all fields, click **Reset**.

#### OPTION

To return to the *Amend insider profile - Add or amend issuer information* screen, click **Go Back**.

*SCREEN: Amend insider profile - View issuer search results*

### Amend insider profile - View issuer search results

*The following issuers met your search criteria. Select the issuer you wish to add to the insider profile from the list below:*

Issuer number	Issuer name (English)	Issuer name (French)
<input checked="" type="radio"/> 00000000	XYZ Company Inc.	Compagnie XYZ Inc.

4. Click the radio button beside your issuer.



You can only select one issuer at a time. If you are unable to locate your issuer, click **New Search** to return to the *Amend insider profile - Add an issuer to the insider profile* screen, and refine your search.

5. Click **Next**.

*SCREEN: Amend insider profile - Amend issuer information*

6. Use the drop-down list box to select a relationship in the **Insider's relationship to issuer** field.

To select more than one relationship, press and hold the Ctrl keyboard key, and mouse-click your selections.

7. Specify the date the insider became an insider of the current issuer OR the opening balance date in the field provided.

Use the drop-down list boxes to enter a month and day in the **Date the insider became an insider of this issuer** fields. Enter a 4-digit year.

OR

Use the drop-down list boxes to enter a month and day in the **Opening balance date** fields. Enter a 4-digit year.



If you have not previously filed insider reports, enter a **Date the insider became an insider of this issuer**.

If you have previously filed insider reports, enter an **Opening balance date**. If you specify an opening balance date, the date you enter must be prior to the dates of any transactions you intend to file in SEDI. For example, if your first SEDI report is a transaction that occurred on January 10, enter January 9 as the opening balance date.

To clear all fields, click **Reset**.

8. If desired, indicate that you want to provide another address or contact person, or you want to specify one or more registered holders for other than direct holdings by clicking the check boxes at the bottom of the screen. These are optional steps.
9. Click **Next**. If you did not click the check boxes to add contact information or registered holders, you return to the *Amend insider profile* screen. Skip to Step **14**.

SCREEN: Amend insider profile - Add contact information (optional)

**Amend insider profile - Add contact information (optional)**

Family name	<input type="text" value="Doe"/>
Given names (in full)	<input type="text" value="Jane"/>
Address (street name and number, etc.)	Line 1 <input type="text" value="123 Granville Street"/>
	Line 2 <input type="text" value="Suite 201"/>
Municipality (city, town, etc.)	<input type="text" value="Vancouver"/>
Country	<input type="text" value="Canada"/>
Province, territory or state	<input type="text" value="British Columbia"/>
Postal code or zip code	<input type="text" value="L9N 2P9"/>
Daytime telephone number	<input type="text" value="(604) 333 - 3333"/> ext. <input type="text"/>
Fax number	<input type="text" value="(604) 333 - 3334"/>
E-mail address	<input type="text" value="jdoe@business.com"/>



This screen is optional. To skip this screen, click **Next**.

When you provide optional contact information, any correspondence regarding your SEDI filings is sent to the address entered here rather than to your personal address. If you indicated that you want to provide another address or contact person on the *Amend insider profile - Amend issuer information* screen:

10. Enter the contact's personal information in the fields provided.



You do not need to fill in all the fields. For example, if you want to receive correspondence at an address that is not your principal address, simply fill in the address fields. When you fill in some of the address fields (e.g., Province, territory, or state), you must fill in the remaining address fields.

If you want to be contacted at a different telephone number, fill in only the **Daytime telephone number** fields.

If you want correspondence to be sent to a different person, fill in all the fields.

Name – Use upper and lower case letters as applicable. Do not use initials, nicknames, or abbreviations.

Country – You can select Canada, U.S., or Other. If you select Other, a field appears in which you can type your country name.

**OPTION**

To cancel the contact information, click **Cancel**. You return to the *Amend insider profile - Amend issuer information* screen.

11. Click **Next**.

SCREEN: Amend insider profile - Add registered holders

### Amend insider profile - Add registered holders

To add a registered holder for this issuer, either select an existing registered holder from the Master list of registered holders or enter a new registered holder. Each registered holder that you add will appear in your list of registered holders for this issuer and will also appear in your master list of registered holders. When you have finished adding registered holders for this issuer, click Next.

**Master list of registered holders**

Master list of registered holders

**or**

Registered holder

To continue with the amendment, click



This screen is optional. To skip this screen, click [Next](#).

If you indicated that you want to specify one or more registered holders for other than direct holdings on the *Amend insider profile - Amend issuer information* screen:



12. Add a registered holder to the current issuer's Local list.



Registered holders appear in Master and Local lists. The Master list contains all registered holders that you have saved, and the Local list contains all registered holders that you have added to the current issuer. Until you have added a registered holder to your Master or Local list, neither list will appear on the screen.

To add a registered holder to your Master and Local lists, enter the holder name in the **Registered holder** field, and then click **Add registered holder**. The *Amend insider profile - Add registered holders* screen re-opens, the registered holder is added to your Master and Local lists, and both lists are displayed on the screen.

To copy a registered holder from the Master list to the Local list, click the registered holder in the **Master list of registered holders**, and then click **Select from master list**.

To remove a registered holder from the Local list, click the radio button beside the registered holder and click **Remove**. Click **Confirm removal** on the *Amend insider profile - Confirm removal* screen. Note: If an insider report has been filed about a security held by a registered holder, you cannot remove that registered holder. In addition, you cannot remove a registered holder from the Master list.

13. Click **Next**.

*SCREEN: Amend insider profile*

When you finish adding the issuer information, you return to the *Amend insider profile* screen. From this screen, you can add or amend issuer information, or click **Next** to certify the amendment.



Your amendment is not saved until you certify it.

14. Click **Next**.

*SCREEN: Amend insider profile - File amended information*

15. Ensure that the information you entered is correct.

16. Click **Certify**.

#### OPTIONS

---

##### Edit

To edit the amendment, click **Edit**. On the *Amend insider profile - Edit Amendment* screen, click one of the following options:

- **Amend insider information** – Opens the *Amend insider profile (Form 55-102F1) - Amend insider information* screen. See **Amend insider information** on page 48.
- **Add or amend issuer information** – Opens the *Amend insider profile - Add or amend issuer information* screen. See **Add or amend issuer information** on page 50.

##### Print

To print a copy of the insider profile, click **Printer friendly version**. SEDI displays the profile in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

##### Cancel

To cancel the amendment, click **Cancel**, and then click **OK** in the dialog box. The insider profile is not amended, and you return to the *Amend insider profile* screen.

#### SCREEN: Certification

17. Review the certification information carefully.

18. Click **Accept**.



To print the insider profile with a date and time stamp, click the check box provided. SEDI displays the profile in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

#### OPTION

---

To decline the Certification, click **Decline**. You return to the *Amend insider profile - File amended information* screen.

#### SCREEN: Amend insider profile - Completed

Your insider profile has been amended.

### Amend or remove information about a linked issuer



You cannot remove an issuer if insider reports have been filed about it, or if it is the only issuer associated with the profile.

To amend or remove information about a linked issuer:

1. On the *Amend insider profile - Add or amend issuer information* screen, click the radio button beside the issuer and click **Amend** or **Remove**. For information about the *Amend insider profile - Add or amend issuer information* screen, see page **51**.

If you click **Remove**, click **Confirm removal** on the *Amend insider profile - Confirm removal of issuer* screen. You can only remove an issuer if no insider reports have been filed for it.

If you click **Amend**, proceed to Step 2.

*SCREEN: Amend insider profile - Amend issuer information*

## Amend Insider Profile - Amend issuer information

Select the insider's relationships to the issuer from the list below:

Insider's relationship to issuer  
*(To select more than one relationship, press the "Ctrl" key while clicking the mouse.)*

1 - Issuer
2 - Subsidiary of Issuer
3 - 10% Security Holder of Issuer
4 - Director of Issuer
5 - Senior Officer of Issuer

If the insider has not previously filed an insider report for this issuer, provide the date on which this insider became an insider of this issuer. Otherwise, provide the opening balance date. The opening balance date will be used for all your opening balances for this issuer. This date should be prior to the date of any transactions that you will report for this issuer in SEDI.

Date the insider became an insider of this issuer           

or

Opening balance date           

If the insider has ceased to be an insider for this issuer, provide the cease date in the fields below.

Date the insider ceased being an insider of this issuer           

To reset dates press Reset   

Optional information :

If you wish to be contacted at another address, or you wish to name another contact person, check this box.

If you wish to specify one or more registered holders for other than direct holdings, check this box.

2. Use the drop-down list box to select a relationship in the **Insider's relationship to issuer** field.

To select more than one relationship, press and hold the Ctrl keyboard key, and mouse-click your selections.

3. Use the drop-down list boxes and fields to amend one of the following, as appropriate:

- Amend the **Date the insider became an insider of this issuer** or the **Opening balance date**.



**Date the insider became an insider of this issuer** – Use the Date the insider became an insider of this issuer if you have not previously filed insider reports.

**Opening balance date** – Use the Opening balance date if you have previously filed insider reports. The Opening balance date you enter must be prior to the dates of any transactions you intend to file for this issuer in SEDI. For example, if your first SEDI report is a transaction that occurred on January 10, enter January 9 as the opening balance date

- Enter a Date the insider ceased being an insider of this issuer if you are no longer an insider for this issuer, and then click OK in the dialog box. After you enter a date that you have ceased to be an insider and file the amendment, you cannot amend your profile as it relates to this issuer, or add a new registered holder for this issuer if you file an insider report for this issuer.

If you need to add a registered holder for this issuer in order to file an insider report, and you have already begun to enter a date in the Date the insider ceased being an insider of this issuer field, click OK in the dialog box and then click "Amend insider profile" in the left navigation bar to return to the "Amend insider profile" screen. Any changes you have made to the issuer information are not saved. Add the registered holder, and then provide the Date the insider ceased being an insider of this issuer.



To clear all fields, click **Reset**.

- If desired, indicate that you want to provide another address or contact person, or you want to specify one or more registered holders for other than direct holdings by clicking the check boxes at the bottom of the screen. These are optional steps.
- Click **Next**. If you did not click the check boxes to add contact information or registered holders, you return to the *Amend insider profile* screen. Skip to Step **11**.

6. Amend insider profile - Add contact information (optional)

**Amend insider profile - Add contact information (optional)**

Family name	<input type="text" value="Doe"/>
Given names (in full)	<input type="text" value="Jane"/>
Address (street name and number, etc.)	Line 1 <input type="text" value="123 Granville Street"/>
	Line 2 <input type="text" value="Suite 201"/>
Municipality (city, town, etc.)	<input type="text" value="Vancouver"/>
Country	<input type="text" value="Canada"/>
Province, territory or state	<input type="text" value="British Columbia"/>
Postal code or zip code	<input type="text" value="L9N 2P9"/>
Daytime telephone number	( <input type="text" value="604"/> ) <input type="text" value="333"/> - <input type="text" value="3333"/> ext. <input type="text"/>
Fax number	( <input type="text" value="604"/> ) <input type="text" value="333"/> - <input type="text" value="3334"/>
E-mail address	<input type="text" value="jdoe@business.com"/>



This screen is optional. To skip this screen, click **Next**.

When you provide optional contact information, any correspondence regarding your SEDI filings is sent to the address entered here rather than to your personal address. If you indicated that you want to provide another address or contact person on the *Amend insider profile - Amend issuer information* screen:

7. Enter the contact's personal information in the fields provided.



You do not need to fill in all the fields. For example, if you want to receive correspondence at an address that is not your principal address, simply fill in the address fields. When you fill in some of the address fields (e.g., Province, territory, or state), you must fill in the remaining address fields.

If you want to be contacted at a different telephone number, fill in only the **Daytime telephone number** fields.

If you want correspondence to be sent to a different person, fill in all the fields.

Name – Use upper and lower case letters as applicable. Do not use initials, nicknames, or abbreviations.

Country – You can select Canada, U.S., or Other. If you select Other, a field appears in which you can type your country name.

**OPTION**

To cancel the contact information, click **Cancel**. You return to the *Amend insider profile - Amend issuer information* screen.

8. Click **Next**.

SCREEN: Amend insider profile - Add registered holders

## Amend insider profile - Add registered holders

To add a registered holder for this issuer, either select an existing registered holder from the Master list of registered holders or enter a new registered holder. Each registered holder that you add will appear in your list of registered holders for this issuer and will also appear in your master list of registered holders. When you have finished adding registered holders for this issuer, click Next.

**Master list of registered holders**

Master list of registered holders

**or**

Registered holder

To continue with the amendment, click

---

**Local list of the registered holders for this issuer**

To remove a registered holder for this issuer, select the corresponding button and click Remove. If you remove a registered holder from this list, previous filings will not be affected.

Doe Holdings Inc.



This screen is optional. To skip this screen, click **Next**.

If you indicated that you want to specify one or more registered holders for other than direct holdings on the *Amend insider profile - Amend issuer information* screen:

9. Add a registered holder to the current issuer's Local list.



Registered holders appear in Master and Local lists. The Master list contains all registered holders that you have saved, and the Local list contains all registered holders that you have added to the current issuer. Until you have added a registered holder to your Master or Local list, neither list will appear on the screen.

To add a registered holder to your Master and Local lists, enter the holder name in the **Registered holder** field, and then click **Add registered holder**. The *Amend insider profile - Add registered holders* screen re-opens, the registered holder is added to your Master and Local lists, and both lists are displayed on the screen.

To copy a registered holder from the Master list to the Local list, click the registered holder in the **Master list of registered holders**, and then click **Select from master list**.

To remove a registered holder from the Local list, click the radio button beside the registered holder and click **Remove**. Click **Confirm removal** on the *Amend insider profile - Confirm removal* screen. Note: If an insider report has been filed about a security held by a registered holder, you cannot remove that registered holder. In addition, you cannot remove a registered holder from the Master list.

10. Click **Next**.

*SCREEN: Amend insider profile*

When you finish amending the issuer information, you return to the *Amend insider profile* screen. From this screen, you can amend insider information, add or amend issuer information, or click **Next** to certify the amendment.



Your amendment is not saved until you certify it.

11. Click **Next**.



*SCREEN: Amend insider profile - File amended information*

12. Ensure that the information you entered is correct.
13. Click **Certify**.

**OPTIONS**

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**Edit**

To edit the amendment, click **Edit**. On the *Amend insider profile - Edit Amendment* screen, click one of the following options:

- **Amend insider information** – Opens the *Amend insider profile (Form 55-102F1) - Amend insider information* screen. See **Amend insider information** on page 48.
- **Add or amend issuer information** – Opens the *Amend insider profile - Add or amend issuer information* screen. See **Add or amend issuer information** on page 50.

**Print**

To print a copy of the insider profile, click **Printer friendly version**. SEDI displays the profile in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

**Cancel**

To cancel the amendment, click **Cancel**, and then click **OK** in the dialog box. The insider profile is not amended, and you return to the *Amend insider profile* screen.

*SCREEN: Certification*

14. Review the certification information carefully.
15. Click **Accept**.



To print the insider profile with a date and time stamp, click the check box provided. SEDI displays the profile in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

**OPTION**

---

To decline the Certification, click **Decline**. You return to the *Amend insider profile - File amended information* screen.

*SCREEN: Amend insider profile - Completed*

Your insider profile has been amended.



# Changing your Insider Access Key

SEDI assigns an insider access key to each insider profile. To file information about an insider, SEDI users must supply the correct insider access key.

Because the insider access key is assigned to the insider profile, it is not specific to one SEDI user. Two users can use the same access key as long as they have both logged in with their own unique SEDI user ID and password.

If you feel that your insider access key is no longer secure, you can generate a new one.

If you forget or lose your insider access key, contact CDS INC. at 1-800-219-5381. The SEDI Operator will verify your identity and then issue you a single-use insider access key. A letter is sent to you containing the single-use insider access key. After logging in once with the single-use insider access key, you must change it.



If you are an agent, choose an insider from your Insider list and enter the correct insider access key. For more information, see [Performing Insider Activities](#) on page 95.

To change your insider access key:

1. Click **Insider profile** in the top right navigation bar.

*SCREEN: Introduction to insider profile activities (Form 55-102F1)*

The screenshot shows the SEDI website interface. At the top, there is a navigation bar with links for 'Français', 'Insider home page', 'Logout', 'Contact us', 'Help', and the date 'April 1, 2003'. Below this, there is a sub-navigation bar with 'Insider profile', 'Insider report', and 'Your user information'. The main content area displays the title 'Insider: Doe.J' and the heading 'Introduction to insider profile activities (Form 55-102F1)'. A list of activities is provided: 'View insider profile', 'Amend insider profile', and 'Change insider access key'. The 'Change insider access key' option is highlighted in blue. The text below the list states: 'With insider profile activities you can: view the insider profile, which includes the insider's name, address, phone number, the name of the issuer, the relationship of the insider to the issuer, and the date the insider became an insider or the date of previous paper filing, by clicking *View insider profile*; amend insider profile by clicking *Amend insider profile*; change the insider access key by clicking *Change insider access key*'.

2. Click **Change insider access key** in the left navigation bar.

*SCREEN: Change insider access key*

### Change insider access key

*To change the insider access key, enter the current insider access key and click Next.*

Insider access key

3. Enter your current insider access key in the field provided.
4. Click **Next**.

*SCREEN: Change insider access key - Completed*

Your new insider access key is displayed on the screen. A letter is sent to you at your personal address, which confirms the insider access key was changed and contains the new insider access key.



The insider access key is unique and Agents need it to access the insider profile or to file insider reports for the insider.

To print this screen for your reference, click **Print** on your browser's navigation bar to open the Print dialog box.

# Using Issuer Accounts

After you create a new issuer account in SEDI and the SEDI Administrator activates your account, you should either create an issuer profile supplement or link your account to an existing issuer profile supplement. An issuer profile supplement includes information about the issuer. SEDI reads the issuer profile from the System for Electronic Document Analysis and Retrieval (SEDAR), but further information is required for insider reporting purposes, such as a list of securities held by insiders. The information in the issuer profile supplement augments the issuer profile from SEDAR. No insider reports can be filed for an issuer until the issuer profile supplement has been completed.

The issuer profile supplement is protected by an Issuer access key. Only SEDI users who supply the correct issuer access key can access the profile or file any issuer event reports on behalf of the issuer associated with the profile.



You cannot file issuer event reports until you have created an issuer profile supplement.

Only one issuer profile supplement can be associated with each issuer account.

If you want to file information on behalf of more than one issuer, or for a combination of issuers and insiders, re-classify your SEDI account as an agent account. For more information, see [Amending a SEDI User Account](#) on page 22 and [Using Agent Accounts](#) on page 93.

You cannot create an issuer profile supplement until your SEDI account has been activated. For more information about activating accounts, see [Creating a SEDI User Account](#) on page 15 and [Activating Your Account](#) on page 19.

Once you have created your issuer profile supplement or linked your account to an existing issuer profile supplement, the *Issuer representative home page* prompts you for the issuer access key when you log in to SEDI. Submit the correct issuer access key and click **Next** to open the *Issuer activities* screen, from which you can amend the issuer profile supplement, or file and amend issuer event reports.

This chapter contains the following sections:

- ❑ [Creating an Issuer Profile Supplement](#)
- ❑ [Linking your Account to an Existing Issuer Profile Supplement](#)
- ❑ [Viewing an Issuer Profile Supplement](#)
- ❑ [Amending an Issuer Profile Supplement](#)
- ❑ [Changing your Issuer Access Key](#)

# Creating an Issuer Profile Supplement

The first time you log in using your SEDI user ID and password after your account has been activated, the *Issuer home page* prompts you to create an issuer profile supplement or link your user ID to an existing issuer profile supplement.

You must create an issuer profile supplement if one has not been created for the issuer. If the issuer profile supplement has already been created, see [Linking your Account to an Existing Issuer Profile Supplement](#) on page 77.



If you are an agent, log in with your SEDI user ID and password, and click [Create issuer profile supplement](#) on the *Agent home page*. For more information, see [Using Agent Accounts](#) on page 93.

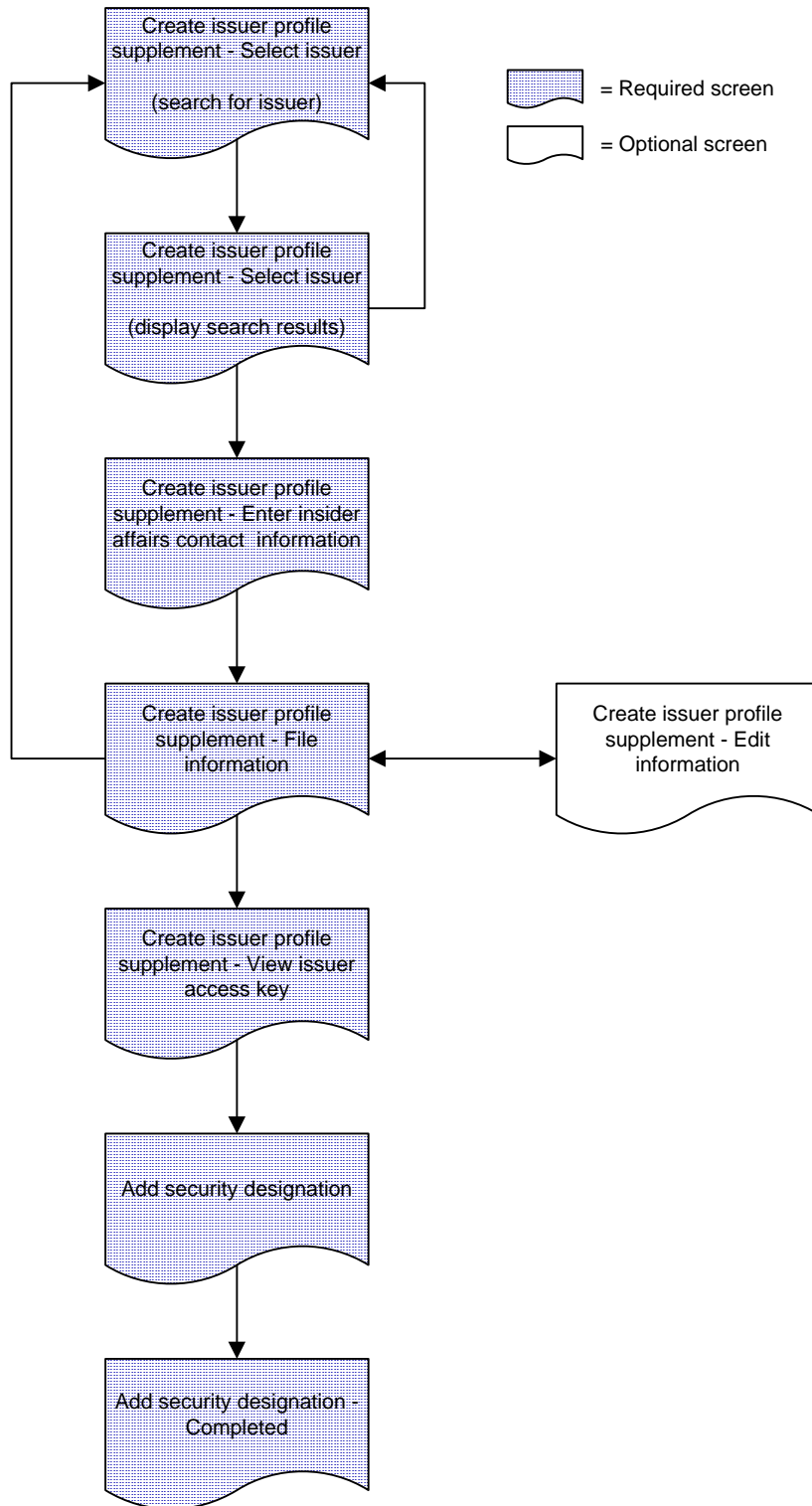
Before you begin, gather the following information:

- Issuer name or SEDAR profile number
- Family name, given names (in full) of the insider affairs contact for the issuer – Do not use initials, nicknames, or abbreviations.
- Full address – A post office box is not sufficient.
- Daytime telephone number
- Fax number – If available
- E-mail address
- Prepared confidential question and answer – A confidential question and answer to which only you know the answer. For example, “What was my dog’s name when I was a child?” instead of “What colour is the sky?” The SEDI Operator will use this question to verify your identity if you request a new access key.
- Security designations – A list of all securities that are held by insiders



For security purposes, you will be logged out of SEDI if you leave it inactive for more than 20 minutes. Any information that you have entered but not filed is deleted when you are logged out.

When you create an issuer profile supplement, you navigate through the following screens:



To create an issuer profile supplement:

*SCREEN: Issuer representative home page*

### Issuer representative home page

**If you do not have an issuer access key**, you must create the issuer profile supplement. To do so, click here.

[Create issuer profile supplement](#)

**If you already have an issuer access key** because someone else created the issuer profile supplement, you must link your SEDI user ID to that issuer profile supplement. To do so, click here.

[Link your SEDI user ID to the issuer profile supplement](#)

1. Click [Create issuer profile supplement](#).



The Create issuer profile supplement button only appears on the *Issuer representative home page* if your SEDI account has been activated.

If you are an agent, log in with your SEDI user ID and password, and then click [Create issuer profile supplement](#) on the *Agent home page*. For more information, see [Using Agent Accounts](#) on page 93.

*SCREEN: Create issuer profile supplement - Select issuer*

### Create issuer profile supplement - Select issuer

*Search for an issuer using one of the following options:*

**Option 1** Search for an issuer by entering the issuer number. Note you must enter all 8 digits including the leading zeros.

Issuer number

**Option 2** Search for an issuer by entering the issuer name.

Issuer name

2. Search for the issuer using the following options:
- Option 1 – Enter the SEDAR profile number in the **Issuer number** field.
  - Option 2 – Enter the issuer’s name in the **Issuer name** field.



When searching, use the drop-down list boxes beside the fields to further define your search parameters. Choose from:

- Starts with – Searches for items that begin with your entry in the field
- Contains – Searches for items that contain your entry in the field
- Exact match – Searches for items that exactly match your entry in the field

3. Click **Search**.



To clear all fields, click **Reset**.

*SCREEN: Create issuer profile supplement - Select issuer*

### Create issuer profile supplement - Select issuer

*The following issuers met your search criteria. Select an issuer from the list below:*

Issuer number	Issuer name (English)	Issuer name (French)
© 00019040	ABC Company Inc.	Compagnie ABC Inc.

NextNew Search

4. Click the radio button beside the issuer.
5. Click **Next**.



SEDI only allows one issuer profile supplement per issuer. Once an issuer has created an issuer profile supplement, the issuer does not appear on this list. To determine whether an issuer has created an issuer profile supplement, search for it in the public reports. For more information, see [Viewing Public Reports](#) on page 160.

If the issuer does not appear in the search results, click **New Search** to return to the *Create issuer profile supplement - Select issuer* screen, and change or refine your search.

*SCREEN: Create issuer profile supplement - Enter insider affairs contact information*

### Create issuer profile supplement - Enter insider affairs contact information

Issuer number	00019040	
Full legal name (English)	ABC Company Inc.	
Full legal name (French)	Compagnie ABC Inc.	
Family name	<input type="text" value="Jones"/>	
Given names (in full)	<input type="text" value="Jane Anne"/>	
Country	<input type="text" value="Canada"/>	
Address (street name and number, etc.)	Line 1	<input type="text" value="3500 Yonge Street"/>
	Line 2	<input type="text" value="Suite 1200"/>
Municipality (city, town, etc.)	<input type="text" value="Toronto"/>	
Province, territory or state	<input type="text" value="Ontario"/>	
Postal code or zip code	<input type="text" value="M4N 2P8"/>	
Daytime telephone number	<input type="text" value="(416 ) 555 - 5555"/> ext. <input type="text"/>	
Fax number	<input type="text" value="(416 ) 555 - 5556"/> <input type="checkbox"/> Not Applicable	
E-mail address	<input type="text" value="jjones@ABC.com"/>	

*To get a new issuer access key, the SEDI operator will ask you a question to verify that you are who you say you are. You should provide a question for which only you would know the answer. For example, "What is your favourite movie?" rather than "What colour is the sky?". In addition, you must provide an answer to the question..*

Confidential question	<input type="text" value="What was my dog's name?"/>
Answer to confidential question	<input type="text" value="Rex"/>



6. Enter information about the insider affairs contact person in the fields provided.



Name – Use upper and lower case letters as applicable. Do not use initials, nicknames, or abbreviations.

Country – Use the drop-down list box to select Canada, U.S., or Other. If you select Other, a field appears in which you can type your country name.

Every field must be filled in or marked Not Applicable with the check box.

This information is not accessible to the public.

7. Click **Next**.

*SCREEN: Create issuer profile supplement - File information*

<b>Create issuer profile supplement - File information</b>	
Issuer number	00019040
Full legal name (English)	ABC Company Inc.
Full legal name (French)	Compagnie ABC Inc.
<b>Insider affairs contact</b>	
Family name	Jones
Given names (in full)	Jane Anne
Address (street name and number, etc.)	Line 1 3500 Yonge Street
	Line 2 Suite 1200
Municipality (city, town, etc.)	Toronto
Province, territory or state	Ontario
Country	Canada
Postal code or zip code	M4N 2P8
Daytime telephone number	( 416 ) 555 - 5555
Fax number	( 416 ) 555 - 5556
E-mail address	jjones@ABC.com
Confidential question	What was my dog's name?
Answer to confidential question	Rex
<i>To print this information, click Printer friendly version.</i>	
<input type="button" value="Printer friendly version"/>	
<input type="button" value="File"/> <input type="button" value="Edit"/> <input type="button" value="Cancel"/>	

8. Click **File**, and then click **OK** in the dialog box.

#### OPTIONS

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##### **Edit**

To edit the information in the issuer profile supplement, click **Edit** on the *Create issuer profile supplement - File information* screen to move to the *Create issuer profile supplement - Edit information* screen. Type over the entries to edit them, and then click **Next** to return to the *Create issuer profile supplement - File information* screen.

##### **Print**

To print a copy of the issuer profile supplement, click **Printer friendly version** on the *Create issuer profile supplement - File information* screen. SEDI displays the issuer profile supplement in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

##### **Cancel**

To cancel the issuer profile, click **Cancel** on the *Create issuer profile supplement - File information* screen, and then click **OK** in the dialog box. You return to the *Create issuer profile supplement - Select issuer* screen, and all information entered will be deleted.

#### *SCREEN: Create issuer profile supplement - View issuer access key*

9. Make note of the issuer access key displayed on the screen.



The issuer access key is unique and you need it to access this profile.

To print this screen for your reference, click **Print** on your browser's navigation bar to open the Print dialog box.

10. Click **Add security designation**.

SCREEN: Add security designation

### Add security designation

*Before you add a new security designation ensure that the security designation is not already in the Outstanding securities list below. Note: Options, rights and warrants are issuer derivatives.*

Security category Equity

*Provide a security designation using the fields below. Select the most relevant security name in the first field and add additional descriptors, if any, in the second field.*

**Security designation**

Security name Common Shares Additional description (if applicable)

File

### Outstanding securities

Security designation	Underlying security designation	Filing date



For information about security designations and how balances are calculated in SEDI, see [Appendix 1: Balances](#) on page 185.

11. Select a **Security category** in the drop-down list box.

If you select Issuer Derivatives, an Underlying security designation section appears on the screen. In this section, use the drop-down list boxes and fields to provide details about the underlying security.

12. Selected a **Security name** in the drop-down list box.

The available security names depend on the security category you selected.



You only need to add the securities that are or will be held by insiders.

You only need to specify a security name in one language. SEDI will automatically translate the name because it is in a drop-down list.

13. Enter information in the **Additional description** field if it helps to better describe the security.



Information that you enter in the Additional description field will not be translated.

14. Click **File**.

Securities that have been added are displayed on the screen under Outstanding securities. The displayed security designation includes the security name and the additional description.

*SCREEN: Add security designation - Completed*



To print a copy of the new security designation, click **Printer friendly version**. SEDI displays the information in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

**OPTION**

To add another security designation, click **Add security designation**.

After you create the issuer profile supplement, a letter is sent to the issuer. The letter confirms that you have created an issuer profile supplement for the issuer and includes the issuer access key.

Once you have created the issuer profile supplement, the *Issuer representative home page* prompts you for the issuer access key when you log in to SEDI. Submit the correct access key and click **Next** to open the *Issuer activities* screen, from which you can:

- Amend the issuer profile supplement – See page **83**.
- File and amend issuer events – See page **148**.

# Linking your Account to an Existing Issuer Profile Supplement

To link your account to an existing issuer profile supplement:

*SCREEN: Issuer representative home page*

## Issuer representative home page

**If you do not have an issuer access key**, you must create the issuer profile supplement. To do so, click here.

[Create issuer profile supplement](#)

**If you already have an issuer access key** because someone else created the issuer profile supplement, you must link your SEDI user ID to that issuer profile supplement. To do so, click here.

[Link your SEDI user ID to the issuer profile supplement](#)

1. Click [Link your SEDI user ID to the issuer profile supplement](#).

*SCREEN: Link your SEDI User ID to the issuer profile supplement*

## Link your SEDI user ID to the issuer profile supplement

Select one of the following options:

**Option 1** Search for an issuer by entering the issuer number. Note you must enter all 8 digits including the leading zeros.

Issuer number

**Option 2** Search for an issuer by entering the issuer name.

Issuer name

Note: If you are unable to locate the issuer, try to refine your search or contact the issuer as the issuer profile supplement may not have been created.

2. Search for an issuer using one of the following options:

- Option 1 – Enter the SEDAR profile number in the **Issuer number** field.
- Option 2 – Enter the issuer's name in the **Issuer name** field.



When searching, use the drop-down list boxes beside the fields to further define your search parameters. Choose from:

- Starts with – Searches for items that begin with your entry in the field
- Contains – Searches for items that contain your entry in the field
- Exact match – Searches for items that exactly match your entry in the field

3. Click **Search**.



To clear all fields, click **Reset**.

*SCREEN: Link your SEDI user ID to the issuer profile - View search results*

### Link your SEDI user ID to the issuer profile supplement - View search results

*The following issuers met your search criteria. Select an issuer from the list below:*

Issuer number	Issuer name (English)	Issuer name (French)
© 00019040	ABC Company Inc.	Compagnie ABC Inc.

4. Click the radio button beside the issuer profile supplement to which you want to link your SEDI user ID.

5. Click **Next**.



If the issuer profile supplement does not appear in the search results, click **New Search** to return to the *Link your SEDI User ID to the issuer profile supplement* screen, and change or refine your search.

If you are unable to locate the issuer profile supplement after several searches, confirm that it has been created.

*SCREEN: Link your SEDI user ID to the issuer profile - Enter issuer access key*

6. Enter the correct issuer access key in the field.



The access key is assigned when you create the issuer profile supplement. For more information, see [Creating an Issuer Profile Supplement](#) on page 68.

7. Click **Next**.

*SCREEN: Issuer activities*

Once you have linked your account to an existing issuer profile supplement, the *Issuer representative home page* prompts you for the issuer access key when you log in to SEDI. Submit the correct issuer access key and click **Next** to open the *Issuer activities* screen, from which you can:

- Amend your issuer profile supplement – See page [83](#).
- File and amend issuer events – See page [148](#).

# Viewing an Issuer Profile Supplement

You can view the issuer profile supplement at any time while you are logged in after your account has been activated.

**!** If you are an agent, choose an issuer from your Issuer list and enter the correct issuer access key. For more information, see [Performing Issuer Activities](#) on page 99.

To view the details of the issuer profile supplement:

1. Click [Issuer profile supplement](#) in the top right navigation bar.

*SCREEN: Introduction to issuer profile supplement activities (Form 55-102F3)*

The screenshot shows a web application interface for S-E-D-I. At the top, there is a navigation bar with links for 'Français', 'Issuer home page', 'Logout', 'Contact us', 'Help', and the date 'April 1, 2003'. Below this, a secondary navigation bar contains 'Issuer profile supplement', 'Issuer event report', and 'Your user information'. The main content area displays the issuer name 'ABC Company Inc' and the title 'Introduction to issuer profile supplement activities (Form 55-102F3)'. Below the title, it states 'By acting on behalf of an issuer, you can:' followed by a bulleted list of actions: 'view the issuer profile and supplement by clicking View issuer profile and supplement', 'amend the issuer profile and supplement by clicking Amend issuer profile and supplement', and 'amend the issuer access key by clicking Change issuer access key'. On the left side, there is a vertical navigation bar with three options: 'View issuer profile and supplement', 'Amend issuer profile supplement', and 'Change issuer access key'.

2. Click [View issuer profile and supplement](#) in the left navigation bar.



SCREEN: View issuer profile and supplement

S·E·D·I Issuer home page Logout Contact us Help April 1, 2003

Issuer profile supplement Issuer event report Your user information

Issuer: ABC Company Inc

## View issuer profile and supplement

View issuer profile and supplement  
View issuer profile and supplement  
View security designation  
Amend issuer profile supplement  
Change issuer access key

Issuer number	00019040
Full legal name (English)	ABC Company Inc.
Full legal name (French)	Compagnie ABC Inc.
Industry classification	Miscellaneous
Jurisdiction(s) where reporting issuer	All Provinces
Stock symbol	ABC
Stock exchanges or markets	Canada - TSE United States - NYSE
Previous Issuer	No
<b>Insider affairs contact</b>	
Family name	Jones
Given names (in full)	Jane Anne
Address (street name and number, etc.)	Line 1 3500 Yonge Street Line 2 Suite 1200
Municipality (city, town, etc.)	Toronto
Province, territory or state	Ontario
Country	Canada
Postal code or zip code	M4N 2P8
Daytime telephone number	( 416 ) 555 - 5555
Fax number	( 416 ) 555 - 5556
E-mail address	jjones@ABC.com
Principal regulator for insider trading purposes	Ontario Securities Commission
Confidential question	What was my dog's name?
Answer to confidential question	Rex
<b>Head office</b>	
Department	
Address (street name and number, etc.)	Line 1 Suite 1200, 3500 Yonge Street Line 2
Municipality (city, town, etc.)	Toronto
Province, territory or state	Ontario
Country	Canada
Postal code or zip code	M4N 2P8
Daytime telephone number	
Fax number	
<b>Mailing address</b>	
Address (street name and number, etc.)	Line 1 Suite 1200, 3500 Yonge Street Line 2
Municipality (city, town, etc.)	Toronto
Province, territory or state	Ontario
Country	Canada
Postal code or zip code	M4N 2P8
Daytime telephone number	
Fax number	

To print this information, click [Printer friendly version](#).

The left navigation bar expands to include the following options:

- ❑ **View issuer profile and supplement** – Displays relevant sections of the issuer profile in SEDAR and the supplementary information in SEDI



To print a copy of the issuer profile supplement, click **Printer friendly version**. SEDI displays the issuer profile supplement in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

- ❑ **View security designation** – Lists Outstanding and Archived securities in the issuer profile supplement. Click the radio button beside a security, and then click **Next** to view details about the security on the *View security designation - View details of security* screen.



To print the details about the security, click **Printer friendly version**. SEDI displays the details in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

# Amending an Issuer Profile Supplement

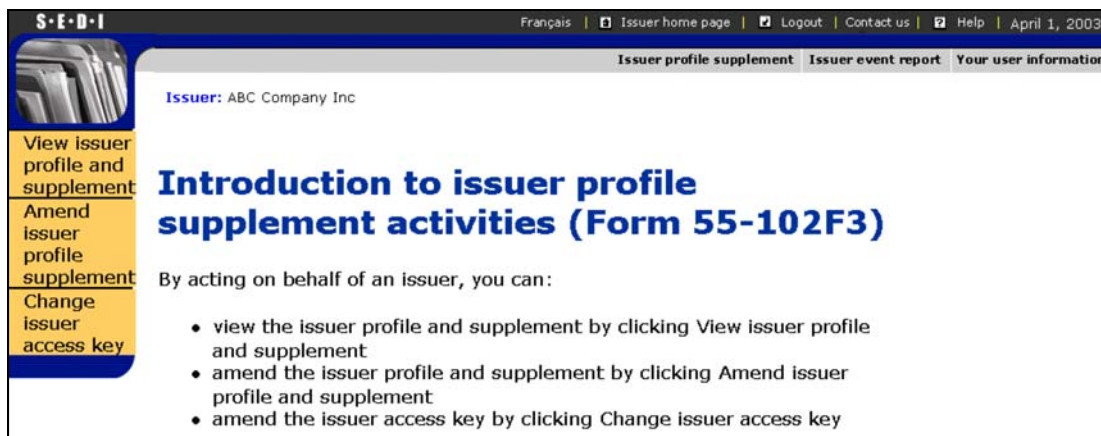
To reflect changes to insider affairs contact information, or changes to the list of securities held by issuers, you may need to amend an issuer profile supplement. You can make amendments to an issuer profile supplement at any time while you are logged in after your account has been activated.

**!** If you are an agent, choose an issuer from your Issuer list and enter the correct issuer access key. For more information, see [Performing Issuer Activities](#) on page 99.

To amend an issuer profile supplement:

1. Click [Issuer profile supplement](#) in the top right navigation bar.

*SCREEN: Introduction to issuer profile supplement activities (Form 55-102F3)*



2. Click [Amend issuer profile supplement](#) in the left navigation bar.

The left navigation bar expands to include the following options:

- Amend insider affairs contact information – See page [84](#).
- Add security designation – See page [86](#).
- Amend security designation – See page [87](#).
- Archive security designation – See page [89](#).

## Amend insider affairs contact information

Use this screen to amend insider affairs information. This screen opens by default when you click [Amend issuer profile supplement](#).

SCREEN: Amend insider affairs contact information

### Amend issuer profile supplement - Amend insider affairs contact information

Issuer number	00019040
Full legal name (English)	ABC Company Inc.
Full legal name (French)	Compagnie ABC Inc.
Family name	<input type="text" value="Jones"/>
Given names (in full)	<input type="text" value="Jane Anne"/>
Country	<input type="text" value="Canada"/>
Address (street name and number, etc.)	Line 1 <input type="text" value="3500 Yonge Street"/>
	Line 2 <input type="text" value="Suite 2600"/>
Municipality (city, town, etc.)	<input type="text" value="Toronto"/>
Province, territory or state	<input type="text" value="Ontario"/>
Postal code or zip code	<input type="text" value="M4N 2P8"/>
Daytime telephone number	( <input type="text" value="416"/> ) <input type="text" value="555"/> - <input type="text" value="5555"/> ext. <input type="text"/>
Fax number	( <input type="text" value="416"/> ) <input type="text" value="555"/> - <input type="text" value="5556"/> <input type="checkbox"/> Not Applicable
E-mail address	<input type="text" value="jjones@ABC.com"/>

*To get a new issuer access key, the SEDI operator will ask you a question to verify that you are who you say you are. You should provide a question for which only you would know the answer. For example, "What is your favourite movie?" rather than "What colour is the sky?". In addition, you must provide an answer to the question..*

Confidential question	<input type="text" value="What was my dog's name?"/>
Answer to confidential question	<input type="text" value="Rex"/>

1. Enter the new information in the fields.
2. Click [Next](#).

*SCREEN: Amend issuer profile supplement - File amended information*

3. Ensure that the amendment to the issuer profile supplement is correct.
4. Click **File**, and then click **OK** in the dialog box.



To print the amendments to the issuer profile supplement, click **Printer friendly version**. SEDI displays the details in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

**OPTION**

---

To cancel the amendment, click **Cancel**, and then click **OK** in the dialog box. You return to the *Amend insider affairs contact information* screen.

*SCREEN: Amend issuer profile supplement - Completed*

The issuer profile supplement has been amended.

## Add security designation

1. Click **Add security designation** in the left navigation bar.

SCREEN: Add security designation

### Add security designation

*Before you add a new security designation ensure that the security designation is not already in the Outstanding securities list below. Note: Options, rights and warrants are issuer derivatives.*

Security category

*Provide a security designation using the fields below. Select the most relevant security name in the first field and add additional descriptors, if any, in the second field.*

**Security designation**

Security name  Additional description (if applicable)

**Underlying security designation**

*An underlying security is the security into which a derivative is exercisable or convertible. When you have an option to acquire common shares do the following: Under "Security category" select "Equity"; under "Security name" select "Common shares"*

Security category	Security name	Additional description (if applicable)
<input type="text" value="Equity"/>	<input type="text" value="Preferred Shares"/>	<input type="text" value="Series 27"/>

### Outstanding securities

Security designation	Underlying security designation	Filing date
Common Shares		2003-04-01



For information about security designations and how balances are calculated in SEDI, see [Appendix 1: Balances](#) on page 185.

2. Select a **Security category** in the drop-down list box.

If you select Issuer Derivatives, an Underlying security designation section appears on the screen. In this section, use the drop-down list boxes and fields to provide details about the underlying security.

3. Select a **Security name** in the drop-down list box.

The available security names depend on the security category you selected.



You only need to add the securities that are or will be held by insiders.

You only need to specify a security name in one language. SEDI will automatically translate the name because it is in a drop-down list.

4. Enter information in the **Additional description** field if it helps to better describe the security.



Information that you enter in the Additional description field will not be translated.

5. Click **File**.

Securities that have been added are displayed on the screen under Outstanding securities. The displayed security designation includes the security name and the additional description.

*SCREEN: Add security designation - Completed*



To print a copy of the issuer profile supplement, click **Printer friendly version**. SEDI displays the issuer profile supplement in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

#### **OPTION**

---

To add another security designation, click **Add security designation**.

The issuer profile supplement has been amended.

## **Amend security designation**

1. Click **Amend security designation** in the left navigation bar.



SCREEN: Amend security designation

### Amend security designation

Select the security designation to be amended from the list below:

**Outstanding securities**

Security designation	Underlying security designation	Filing date
<input type="radio"/> Common Shares		2003-04-01
<input checked="" type="radio"/> Options	Preferred Shares Series 27	2003-04-01

**!** You can only amend the security designation, not the security category. For example, if the original security’s category was Equity, and its designation was (Preferred Shares), you can change it to Equity (Special Shares), but you cannot change it to Debt (Bonds).

For information about security designations and how balances are calculated in SEDI, see [Appendix 1: Balances](#) on page 185.

2. Click **Next**.

SCREEN: Amend security designation - File amendment

### Amend security designation - File amendment

Security category    Issuer Derivatives  
(Options, Rights...)

*Provide a security designation using the fields below. Select the most relevant security name in the first field and add additional descriptors, if any, in the second field.*

**Security designation**

Security name                      Additional description (if applicable)

**Underlying security designation**

*An underlying security is the security into which a derivative is exercisable or convertible. When you have an option to acquire common shares do the following: Under "Security category" select "Equity"; under "Security name" select "Common shares"*

Security category	Security name	Additional description (if applicable)
<input type="text" value="Equity"/>	<input type="text" value="Common Shares"/>	<input type="text"/>



3. Select a security name in the drop-down list box.
4. Enter information in the **Additional description** field if it helps to better describe the security.



Information you enter in the Additional description field will not be translated.

#### OPTION

To cancel the amendment, click **Cancel**. You will return to the *Amend security designation* screen.

5. Click **File**.

*SCREEN: Amend security designation - Completed*



To print a copy of the issuer profile supplement, click **Printer friendly version**. SEDI displays the issuer profile supplement in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

The issuer profile supplement has been amended.

## Archive security designation

1. Click **Archive security designation** in the left navigation bar.

*SCREEN: Archive security designation - File archive*

### Archive security designation - File archive

The issuer must archive a security designation if the security is no longer outstanding and may no longer be issued. Archived security designations will still be available for insider reporting purposes.

*Select the security designation to be archived from the list below:*

Security designation	Underlying security designation	Filing date
<input type="radio"/> Common Shares		2003-04-01
<input checked="" type="radio"/> Options	Common Shares	2003-04-01

2. Click the radio button beside the security that you want to archive.
3. Click **Next**.

SCREEN: Archive security designation - File archive

**Archive security designation - File archive**

Security category	Issuer Derivatives (Options, Rights...)
Security designation	Options
Underlying security designation	Common Shares

*Enter the date as of which you would like the security designation archived.*

Archival date      April    1    2003

File    Cancel

- 4. Use the drop-down list boxes and field to enter the month, day, and year as of which you want the security to be archived.
- 5. Click **File**.



Insiders can file insider reports for archived securities.

SCREEN: Archive security designation - Confirm archive

- 6. Click **Confirm archive**.



To return to the previous screen, click **Cancel**.

**OPTION**

To cancel the archive, click **Cancel** on the *Archive security designation - File archive* screen, and then click **OK** in the dialog box. You return to the *Archive security designation - File archive* screen.

SCREEN: Archive security designation - Completed

The issuer profile supplement has been amended.

# Changing your Issuer Access Key

SEDI assigns an issuer access key to each issuer profile supplement. To file information about an issuer, SEDI users must supply the correct issuer access key.

Because the access key is assigned to the issuer profile, it is not specific to one SEDI user. Two users could use the same issuer access key as long as they have both logged in with their own unique user ID and password.

If you feel that the issuer access key is no longer secure, you can generate a new one.

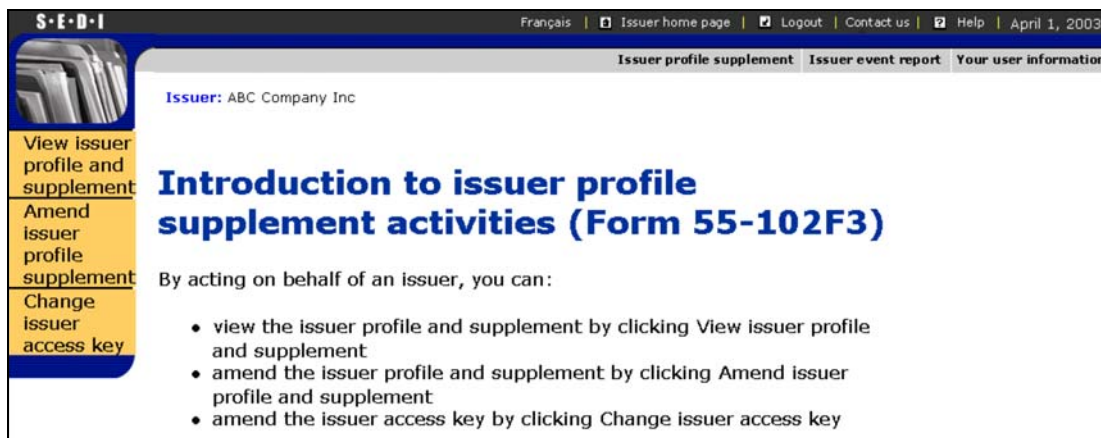
If you forget or lose the issuer access key, contact CDS INC. at 1-800-219-5381. The SEDI Operator will verify your identity and then issue you a single-use issuer access key. A letter is sent to you containing the single-use issuer access key. After logging in once with the single-use issuer access key, you must change it.

**!** If you are an agent, choose an issuer from your Issuer list and enter the correct issuer access key. For more information, see [Performing Issuer Activities](#) on page 99.

To change the issuer access key:

1. Click [Issuer profile supplement](#) in the top right navigation bar.

*SCREEN: Introduction to issuer profile supplement activities (Form 55-102F3)*



2. Click [Change issuer access key](#) in the left navigation bar.

*SCREEN: Change issuer access key*

### Change issuer access key

*To change the issuer access key, enter the current issuer access key and click Next.*

Issuer access key

3. Enter the current issuer access key in the field provided.
4. Click **Next**.

*SCREEN: Change issuer access key - Completed*

The new issuer access key is displayed on the screen. A letter is sent to you that confirms the issuer access key was changed and contains the new issuer access key.



The issuer access key is unique and you need it to access the issuer profile supplement or to file event reports for the issuer.

To print this screen for your reference, click **Print** on your browser's navigation bar to open the Print dialog box.

# Using Agent Accounts

As an agent, you can file information on behalf of insiders or issuers, depending on whom you represent. When you log in to SEDI with an activated agent user ID, the *Agent home page* opens.

On the *Agent home page*, you can:

- Choose an insider or issuer that has already been added to your account that you want to file information about
- Create insider profiles and issuer profile supplements for insiders and issuers
- Add insiders and issuers who have already created insider profiles and issuer profile supplements to your account

When you file information on behalf of an insider or issuer, you use the same screens that they use when they file.

This chapter contains the following sections:

- [Using the Agent Home Page](#)
- [Performing Insider Activities](#)
- [Performing Issuer Activities](#)

# Using the Agent Home Page

When you log in with your activated SEDI user ID and password, the *Agent home page* opens. The *Agent home page* is divided into two columns. Use the left column to perform insider activities, and the right column to perform issuer activities.

## Agent home page

**As an agent, you can:**

- amend your SEDI user registration form (Form 55-102F5)
- view SEDI filings that are available to the public, including insider reports

**As an agent acting on behalf of an insider, you can:**

- create or amend an insider profile (Form 55-102F1)
- file or amend insider reports (Form 55-102F2)

**As an agent acting on behalf of an issuer, you can:**

- create or amend the issuer profile supplement (Form 55-102F3)
- file or amend issuer event reports (Form 55-102F4).

---

<p><b>To perform insider activities,</b></p> <ol style="list-style-type: none"><li>1. Select an insider from your insider list or enter the insider number.</li><li>2. Enter the insider access key</li><li>3. Click Next.</li></ol>	<p><b>To perform issuer activities,</b></p> <ol style="list-style-type: none"><li>1. Select an issuer from your issuer list or enter the issuer number.</li><li>2. Enter the issuer access key</li><li>3. Click Next.</li></ol>
--	---

Insider list <input type="text" value="JDOE002 - Doe, John James"/>	Issuer list <input type="text" value="00019040-ABC Company Inc."/>
or	or
Insider number <input type="text"/>	Issuer number <input type="text"/>
Insider access key <input type="text"/>	Issuer access key <input type="text"/>
<input type="button" value="Next"/>	<input type="button" value="Next"/>

---

<p><b>To add an insider to your insider list above,</b> click Add insider.</p> <input type="button" value="Add insider"/>	<p><b>To add an issuer to your issuer list above,</b> click Add issuer.</p> <input type="button" value="Add issuer"/>
---	---

---

<p><b>If an insider profile does not exist,</b> create the insider profile and the insider access key will be generated once you file the insider profile information. You need this access key to perform any subsequent amendments to the insider profile or to file an insider report for the insider.</p> <input type="button" value="Create insider profile"/>	<p><b>If an issuer profile supplement does not exist,</b> create the issuer profile supplement and the issuer access key will be generated once you file the issuer profile supplement information. You need this issuer access key to perform any subsequent amendments to the issuer profile supplement or to report an issuer event.</p> <input type="button" value="Create issuer profile supplement"/>
---	---

If you are not a SEDI agent, you have also been redirected to this page because your SEDI user classification shows you could be acting as both an insider or an issuer representative.

Where it affects system operability, SEDI will disable the use of your browser's back button. In these instances, clicking the browser back button will not return you to a prior screen - you will remain on the current screen.

While in SEDI, if for any reason you click the browser stop button, you must click the browser refresh button in order to proceed.

# Performing Insider Activities

Use the left column on the *Agent home page* to manage the list of insiders that you represent and to file information for them. Insiders that you have added to your account appear in the Insider list.



Once you have added an insider to your list you cannot remove it.

If the insider that you represent does not appear in your Insider list, you must create their insider profile, or, if they have already created an insider profile, you must add them to your Insider list. For more information, see "Creating an Insider Profile" and [Adding an Insider to your Insider List](#) on page 96.

To perform activities on behalf of an insider:

*SCREEN: Agent home page*

1. Use the drop-down list box to select the insider from your [Insider list](#).

OR

Enter the insider number in the [Insider number](#) field.

2. Enter the insider's access key in the [Insider access key](#) field.



The insider number and insider access key are issued when the insider profile is created. For more information, see [Creating an Insider Profile](#) on page 29 and [Understanding Passwords and Access Keys](#) on page 103.

3. Click [Next](#).

*SCREEN: Insider activities*

From the *Insider activities* screen, you can:

- View or amend the insider profile – See page [46](#) and page [47](#).
- File insider reports – See page [106](#).
- Change the insider access key – See page [65](#).

## Creating an Insider Profile

If the insider that you represent does not have an insider profile, click **Create insider profile** on the *Agent home page* to move to the *Create insider profile - Enter individual information* screen. Follow the steps described in **Creating an Insider Profile** on page 29.

When you finish creating the insider profile, the insider is added to your Insider list, and you proceed to the *Insider activities* screen.

## Adding an Insider to your Insider List

If the insider that you represent has already created an insider profile, you simply need to add the insider to your Insider list.

To add an insider to your Insider list:

*SCREEN: Agent home page*

1. Click **Add insider** in the left column.

*SCREEN: Select insider profile - Search for insider*

### Select insider profile - Search for insider

Select one of the following options:

**Option 1** Search by entering the insider number.  
Insider number

**Option 2** If this insider is an individual, search by entering the insider name.  
Insider family name

Insider given names

**Option 3** If this insider is a company, search by entering the insider company name.  
Insider company name

**Option 4** Search for all insiders of an issuer by entering the issuer number.  
Issuer number

**Option 5** Search for all insiders of an issuer by entering the issuer name.  
Issuer name



2. Search for the insider using one of the following options:

- Option 1 – Enter the insider number in the **Insider number** field.



The insider number is issued when the insider profile is created. For more information, see [Creating an Insider Profile](#) on page 29.

- Option 2 – Enter the insider’s family and given names in the **Insider family name** and **Insider given names** fields (if the insider is an individual).
- Option 3 – Enter the insider’s company name in the **Insider company name** field (if the insider is a company).
- Option 4 – Enter the SEDAR profile number of the issuer for which the insider is an insider in the **Issuer number** field.
- Option 5 – Enter the name of the issuer for which the insider is an insider in the **Issuer name** field.



When searching, use the drop-down list boxes beside the fields to further define your search parameters. Choose from:

- Starts with – Searches for items that begin with your entry in the field
- Contains – Searches for items that contain your entry in the field
- Exact match – Searches for items that exactly match your entry in the field

3. Click **Search**.



To clear all fields, click **Reset**.

SCREEN: Select insider profile - View search results

**Select insider profile - View search results**

Legend: ▲ - Previous insider name matched search criteria. Current insider name displayed.

Insider full name	Insider number	Insider municipality	Issuer name (English)	Issuer name (French)
<input checked="" type="radio"/> Doe, John James	JDOE002	Toronto	ABC Company Inc.	Compagnie ABC Inc.

- 4. Click the radio button beside the insider that you want to add to your Insider list.
- 5. Click **Next**.



If the desired insider does not appear in the search results, click **New Search** to return to the *Select insider profile - Search for insider* screen, and change or refine your search.

SCREEN: Agent home page

The insider is added to your Insider list.

# Performing Issuer Activities

Use the right column on the *Agent home page* to manage the list of issuers that you represent and to file information for them. Issuers that you have added to your account appear in the Issuer list.



You will be unable to perform issuer activities until your account is activated. For more information about activating accounts, see [Creating a SEDI User Account](#) on page 15.

Once you have added an issuer to your list you cannot remove it.

If the issuer that you represent does not appear in your Issuer list, you must create their issuer profile supplement, or, if they have already created an issuer profile supplement, add them to your Issuer list. For more information, see "Creating an Issuer Profile Supplement" and [Adding an Issuer to your Issuer List](#) on page 100.

To perform activities on behalf of an issuer:

*SCREEN: Agent home page*

1. Use the drop-down list box to select the issuer from your [Issuer list](#).

OR

Enter the SEDAR profile number in the [Issuer number](#) field.

2. Enter the issuer's access key in the [Issuer access key](#) field.



The issuer access key is issued when the issuer profile supplement is created. For more information, see [Creating an Issuer Profile Supplement](#) on page 68.

3. Click [Next](#).

*SCREEN: Issuer activities*

From the *Issuer activities* screen, you can:

- View or amend the issuer profile supplement – See page [80](#) and page [83](#).
- File issuer event reports – See page [148](#).
- Change the access key – See page [91](#).

## Creating an Issuer Profile Supplement

If the issuer that you represent does not have an issuer profile supplement, click **Create issuer profile supplement** on the *Agent home page* to move to the *Create issuer profile supplement - Select issuer* screen. Follow the steps described in **Creating an Issuer Profile Supplement** on page 68.

When you finish creating the issuer profile supplement, the issuer is added to your Issuer list, and you proceed to the *Issuer activities* screen.

## Adding an Issuer to your Issuer List

If the issuer that you represent has already created an issuer profile supplement, you simply need to add the issuer to your Issuer list.

To add an issuer to your Issuer list:

*SCREEN: Agent home page*

1. Click **Add issuer** in the right column.

*SCREEN: Select issuer profile supplement - Search for issuer*

### Select issuer profile supplement - Search for Issuer

Select one of the following options:

**Option 1** Search for an issuer by entering the issuer number. Note you must enter all 8 digits including the leading zeros.

Issuer number

**Option 2** Search for an issuer by entering the issuer name.

Issuer name

Note: If you are unable to locate the issuer, try to refine your search or contact the issuer as the issuer profile supplement may not have been created.

2. Search for the issuer using one of the following options:

- Option 1 – Enter the SEDAR profile number in the **Issuer number** field.
- Option 2 – Enter the issuer's name in the **Issuer name** field.



When searching, use the drop-down list boxes beside the fields to further define your search parameters. Choose from:

- Starts with – Searches for items that begin with your entry in the field
- Contains – Searches for items that contain your entry in the field
- Exact match – Searches for items that exactly match your entry in the field

3. Click **Search**.



To clear all fields, click **Reset**.

*SCREEN: Search for issuers - View search results*

### Search for issuer - View search results

*The following issuers met your search criteria. Select an issuer from the list below:*

Issuer number	Issuer name (English)	Issuer name (French)
© 00019040	ABC Company Inc.	Compagnie ABC Inc.

4. Click the radio button beside the issuer that you want to add to your Issuer list.

5. Click **Next**.



If the desired issuer does not appear in the search results, click **New Search** to return to the *Select issuer profile supplement - Search for issuer* screen, and change or refine your search.

*SCREEN: Agent home page*

The issuer is added to your Issuer list.

# Understanding Passwords and Access Keys

Accounts and information in SEDI are controlled by passwords and access keys. These two security features ensure the confidentiality of your personal information in the SEDI database, and control who is able to file insider reports or issuer event reports on your behalf.

When SEDI user accounts, insider profiles, or issuer profile supplements are created, SEDI assigns IDs, passwords, numbers, and access keys. The following table outlines the IDs, passwords, numbers, and access keys that you will need to perform activities for each user classification.

SEDI User Classification	IDs, Passwords, and Access Keys Assigned
Insider	<ul style="list-style-type: none"><li>• SEDI user ID</li><li>• password</li><li>• Insider number</li><li>• Insider access key</li></ul>
Issuer	<ul style="list-style-type: none"><li>• SEDI user ID</li><li>• password</li><li>• Issuer access key</li></ul> <p>Note: SEDI also uses the profile number defined for the issuer in the System for Electronic Document Analysis and Retrieval (SEDAR).</p>
Agent	<ul style="list-style-type: none"><li>• SEDI user ID</li><li>• password</li></ul> <p>Note: To file information about insiders or issuers, you must enter the access key assigned to the insider profile or issuer profile supplement.</p>

## Passwords

Each SEDI user account, whether it is an insider, issuer, or agent account, is assigned a password. This password is linked to your SEDI user ID, and protects it from use by others. SEDI issues your password when you create your SEDI user account, and displays it on the screen when you have completed the registration form. For information about creating a SEDI user account, see [Creating a SEDI User Account](#) on page 15.



Passwords are case-sensitive.

The SEDI Operator cannot retrieve your password. Ensure that you print it and keep it in a secure location.

If you lose your password, the SEDI Operator can reset it for you. You will be issued a temporary password that can be used once. You must log in immediately and reset the password.

Passwords expire in 1 year + 90 days. When your password expires, SEDI prompts you to create a new one before allowing you to proceed in the system. In addition, you can change your password. For more information, see [Changing your Password](#) on page 26.

## Access Keys and Numbers

Each insider profile is associated with an insider number and insider access key. Each issuer profile supplement is associated with an issuer access key. These numbers are unique to the profile, and are not associated with a SEDI user account. You use the insider number to search for insiders in SEDI. To be permitted to file information about an insider or issuer, Agents must enter the access key associated with the insider profile or issuer profile supplement.

The Insider number is assigned when you create an insider profile. Access keys are assigned when you create an insider profile or an issuer profile supplement. SEDI displays the access key (and insider number, if you have created an insider profile) on the screen, and a letter is sent confirming that the profile has been created. For more information, see [Creating an Insider Profile](#) on page 29 and [Creating an Issuer Profile Supplement](#) on page 68.



Access keys are case-sensitive.

The SEDI Operator cannot retrieve an access key. Ensure that you print it and keep it in a secure location.

If you lose an access key, the SEDI Operator can reset it for you. You will be issued a temporary access key that can be used once. You must log in immediately and reset the access key. For insiders who file for themselves, the system will automatically reset the access key when you log on and display the new access key. For agents who file for insiders, the system will prompt you to enter the temporary access key and then display the new access key. In addition, a letter is sent to the insider confirming that the SEDI Operator assigned a temporary access key.



If you feel that the access key is no longer secure, you can reset it. A letter is sent confirming that the access key was reset. For more information, see [Changing your Insider Access Key](#) on page 65 and [Changing your Issuer Access Key](#) on page 91.



Letters about an insider access key are addressed to the insider identified in the insider profile. Letters about an issuer access key are addressed to the insider affairs contact identified in the issuer profile supplement.

# Filing and Amending Insider Reports

As an insider or an agent for an insider, you must use SEDI to file insider reports. These insider reports are publicly available on SEDI, and fulfill your reporting requirements as required by Canadian securities legislation.

This chapter contains the following sections:

- ❑ [Filing an Insider Report](#)
- ❑ [Amending an Insider Report](#)



You will be unable to perform insider activities until your account is activated. For more information about activating accounts, see [Creating a SEDI User Account](#) on page 15 and [Activating Your Account](#) on page 19.

# Filing an Insider Report

To file an insider report:

- You must have an insider or agent account that has been activated – For more information, see [Creating a SEDI User Account](#) on page 15 and [Activating Your Account](#) on page 19.
- You must be logged in with a valid SEDI user ID and password, and in the case of agents filing for an insider, must have entered the correct insider access key – For more information, see [Logging In and Out](#) on page 24 and [Using Insider Accounts](#) on page 28.



If you are an agent, choose an insider from your Insider list and enter the correct insider access key. For more information, see [Performing Insider Activities](#) on page 95.

- The issuer that you are an insider of must have completed an issuer profile supplement.

Before you begin, gather the following information about the transaction or position you are reporting:

- Security designation



If the transaction or position involves derivatives, you also need:

- Security designation of underlying security
- Opening balance of equivalent number of underlying securities – If this is your initial SEDI report
- Equivalent number of underlying securities acquired or disposed of
- Date of expiry or maturity of derivative

- Ownership type and registered holder (if applicable)
- Opening balance of securities (or contracts) held – If this is your initial SEDI report for a specific security
- Date of transaction
- Nature of transaction – For a list of Nature of transaction codes, see [Appendix 3: Nature of Transaction Codes](#) on page 200.
- Number/value of securities acquired or disposed
- Unit price or exercise (or conversion) price
- Type of currency
- Closing balance of securities held

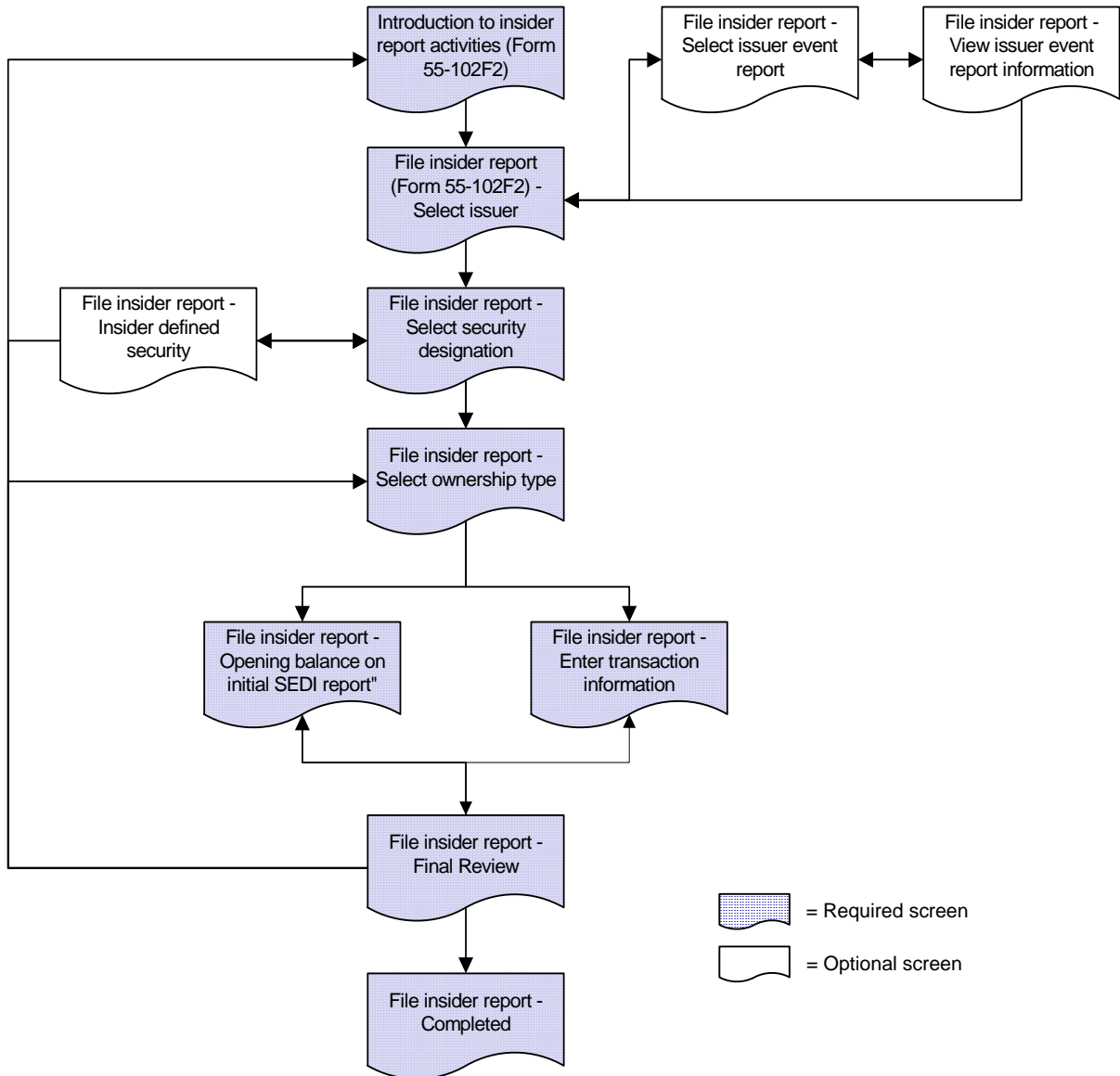
- General remarks – If any
- Private remarks to securities regulatory authority – If any



For security purposes, you will be logged out of SEDI if you leave it inactive for more than 20 minutes. Any information that you have entered but not certified is deleted when you are logged out. SEDI does not save a draft of your report.

When you begin filing your insider report, SEDI provides an option to amend the information in your insider profile, if necessary.

When you file an insider report, you navigate through the following screens:



To file an insider report:



The screens in this section show an example of an insider report on common shares. For an example of an insider report on a derivative, see [Appendix 2: Commonly Filed Trades](#) on page 191.

1. Click **Insider report** in the top right navigation bar.

*SCREEN: Introduction to insider report activities (Form 55-102F2)*

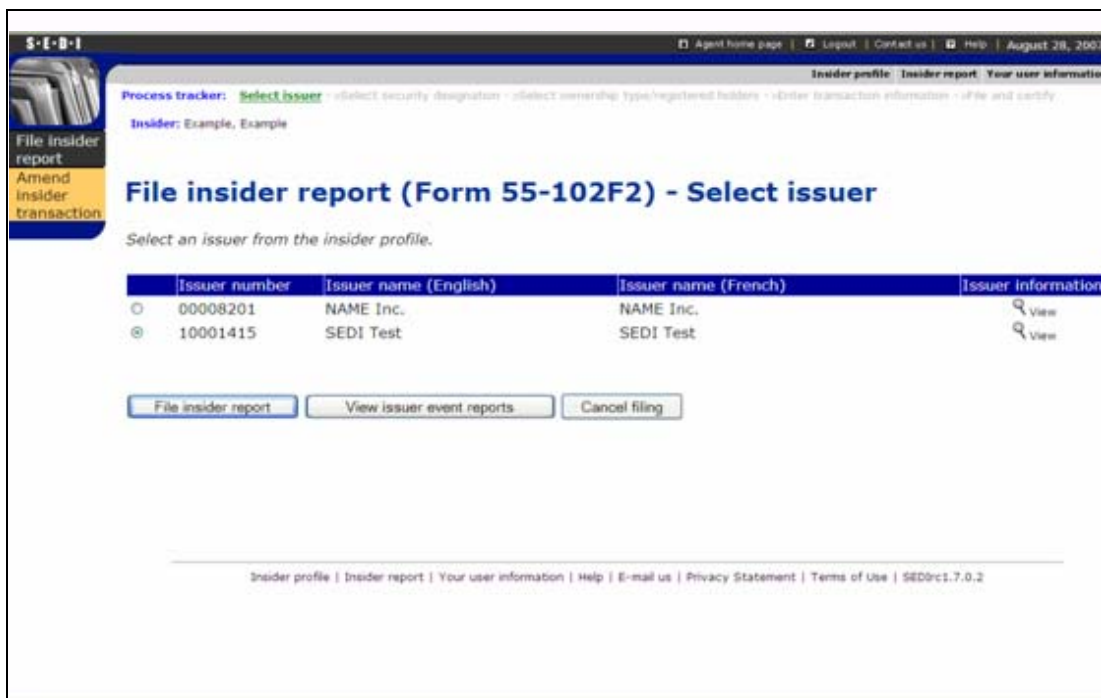


2. Click **File insider report** in the left navigation bar.



For guidelines on filing insider trades, click [Insider reporting guidelines](#).

*SCREEN: File insider report (Form 55-102F2) - Select issuer*



3. Click on an issuer to select it in the [List of issuers from the insider profile](#).
4. Click [File insider report](#).

## OPTIONS

### View Issuer Event Reports

To view issuer event reports before filing the insider report:

1. Select an issuer in the second [List of issuers from the insider profile](#), and then click [View issuer event reports](#).

*SCREEN: File insider report - Select issuer event report*

2. Click the radio button beside a report and click [View Report](#).

*SCREEN: File insider report - View issuer event report information*

3. Click [View another report](#) to return to the *File insider report - Select issuer event report* screen, or click [Viewing completed](#) to return to the *File insider report (Form 55-102F2) - Select issuer* screen.

*SCREEN: File insider report - Select security designation*

**File insider report - Select security designation**

Select a security designation from the list below:

Security designation	Underlying security designation
<b>Outstanding securities</b>	
<input checked="" type="radio"/> Bonds	
<input type="radio"/> American Depository Receipts	
<input type="radio"/> Options	(Bonds )
<b>Insider-defined security</b>	
<a href="#">Add insider-defined security</a>	
<p><i>The archived security list contains those securities that are no longer outstanding for this issuer and those securities that may no longer be issued.</i></p>	
<b>Archived security designation</b>	
<a href="#">Next</a> <a href="#">Cancel filing</a>	

The Outstanding securities list is defined by the issuer. When the issuer creates an issuer profile supplement, they provide a list of all securities held by their insiders.

The Archived security designation list is also defined by the issuer. If an issuer archives a security, you can still file an insider report about it, and SEDI adds the balances accordingly.

You may need to file an insider report about a security that is not defined in the issuer's issuer profile supplement: for example, a third party derivative (call option) that is not issued by the issuer. In this case, the security is one that you have defined yourself, so it does not appear in the Outstanding securities or Archived security designation lists.

5. Click the radio button beside the security that you want to file a report about in the **Outstanding securities** list.



When you file insider reports, SEDI calculates balances for each holding of securities that you own. SEDI defines a holding as the combination of: issuer, security designation, and registered holder.

For information about security designations and how balances are calculated in SEDI, see [Appendix 1: Balances](#) on page 185.

#### OPTION

If the security that you want to file a report about is not listed in the Outstanding securities list, select it from the **Archived security designation** list.

**Note:** If the security is issued by your issuer but is not on the Outstanding securities or Archived security designation list, contact the issuer and have them add the security to their issuer profile supplement. Do not create an insider-defined security.

If the security is not in the Outstanding securities or Archived security designation list because it is a third party derivative, select it from the **Insider-defined security** list, or follow these steps to add an insider-defined security:

1. Click "Add insider-defined security".

*SCREEN: File insider report - Add insider-defined security*

2. Select a **security category** from the drop-down list.
3. Select a corresponding Security designation from the **Security name** drop down list, provide an **Additional description** if necessary, and then click **Next**. This adds the **security designation** to your list of Insider-defined securities.

In limited circumstances where you will be unable to meet your filing requirement because your issuer has not added a security to their issuer profile supplement, you may need to add an insider-defined security. Your insider-defined security is recognized as a unique security, and the acquisition or disposition reported does not affect the SEDI balance of your issuer-defined securities. For more information, see [Appendix 1: Balances](#) on page 185.

6. Click **Next**.



## SCREEN: File insider report - Select ownership type

The screenshot shows a web browser window with the title 'S-E-D-I'. The browser's address bar shows 'Agent home page | Logout | Contact us | Help | August 28, 2007'. The page content includes a 'Process tracker' with steps: 'Select issuer', 'Select security designation', and 'Select ownership type/registered holders'. Below this, it shows 'Insider: Example.E', 'Issuer: NAME Inc.', and 'Security: Bonds'. A sidebar on the left contains links for 'File insider report' and 'Amend insider transaction'. The main heading is 'File insider report - Select ownership type'. Below the heading, it says 'Select an ownership type' followed by a dropdown menu currently set to 'Direct Ownership'. There are 'Next' and 'Cancel filing' buttons. At the bottom, a footer contains links: 'Insider profile | Insider report | Your user information | Help | E-mail us | Privacy Statement | Terms of Use | SED/ct.7.0.2'.

7. Use the drop-down list box to specify an **Ownership type** for the selected security. Choose from:
  - Direct Ownership – Indicates that you hold the security directly. For example, you hold the securities in an account with your broker, and the account is in your name.
  - Indirect Ownership – Indicates that you hold the security indirectly. For example, you beneficially own common shares in X Co. but the registered owner is another entity, such as a holding company that you own.
  - Control or Direction – Indicates that you have control or direction over a security. You have control or direction if, directly or indirectly, you have or share voting power or investment power through any contract, arrangement, understanding or relationship. For example, you may have been granted authority to vote or to trade securities owned by family members, friends, or associates.
8. If the Ownership type is Indirect Ownership or Control or Direction, select a registered holder from the **Registered holder** list.

*SCREEN: File insider report - Select ownership type and registered holder*

The screenshot shows the SEDI web application interface. At the top, there is a navigation bar with links for 'Agent home page', 'Logout', 'Contact us', 'Help', and the date 'August 26, 2007'. Below this is a 'Process tracker' with steps: 'Select issuer', 'Select security designation', 'Select ownership type/registered holders', 'Enter transaction information', and 'File and certify'. The current step is 'Select ownership type/registered holders'. The page title is 'File insider report - Select ownership type and registered holder'. There are two main sections: 'Select an ownership type' with a dropdown menu set to 'Indirect Ownership', and 'Select a registered holder' with two radio buttons: 'RRSP' and 'Add new holder: Spousal RRSP'. The 'Add new holder' option is selected. Below these are 'Next' and 'Cancel filing' buttons. At the bottom, there is a footer with links: 'Insider profile', 'Insider report', 'Your user information', 'Help', 'E-mail us', 'Privacy Statement', 'Terms of Use', and 'SEDIrc1.7.0.2'.

If the desired registered holder does not appear in the list, select the radio button **Add new holder** and enter the name of the new holder in the accompany text box. The new holder will be added to your registered holder list.

9. Click **Next**.

If you are filing an initial SEDI report, proceed to Step **10**. If you are filing subsequent SEDI reports, skip to Step **16**.

The *File insider report - Opening balance on initial SEDI report* screen opens if this is the first transaction you have filed for a holding related to this issuer (a holding is a combination of the security designation and the registered holder). On this screen, SEDI prompts you for an opening balance for the holding. The next time you file a report for the same holding, The *File insider report - Enter transaction information* screen appears, on which you report the details of your transaction. SEDI adds or subtracts your acquisition or disposition and updates your closing balance accordingly.

## SCREEN: File insider report - Opening balance on initial SEDI report

Process tracker: Select issuer -> Select security designation -> Select ownership type/registered holders -> Enter transaction information -> File and confirm

Insider profile: Insider report: Your user information

Insider: Example.E Issuer: NAME Inc. Security: Bonds Holder: Spousal RRSP

### File insider report - Opening balance on initial SEDI report

Enter the number of securities of this issuer held by the insider or the selected registered holder.  
If you (or the selected registered holder) did not hold any of the selected securities as of the date below, enter " 0 " as the opening balance.  
\*The Opening/initial balance date\* can only be changed by amending the "Opening balance date" field in your insider profile.

Security designation	Bonds
Opening balance of securities held	<input type="text"/>
Opening/initial balance date (This is the date you entered in your insider profile.)	2005-02-27
Nature of transaction	00 - Opening Balance-Initial SEDI Report
General remarks (if necessary to describe the transaction)	<input type="text"/>
Private remarks to securities regulatory authorities	<input type="text"/>



The Opening/initial balance date matches the date that you specified when you created your insider profile. This date must be before the dates of any transactions you report for the issuer in SEDI. Otherwise, SEDI cannot accurately calculate the balance of your securities. If you need to change the Opening/initial balance date, amend your insider profile. For information see [Amending an Insider Profile](#) on page 47.

When you file an initial report, the Nature of transaction default value is 00 - Opening Balance-Initial SEDI Report. For information about nature of transaction codes, see [Appendix 3: Nature of Transaction Codes](#) on page 200.

10. Enter an opening balance in the **Opening balance of securities held** field.

11. Enter any remarks that you want to make public in the **General remarks** field.

This is an optional field. Only enter information in this field if it adds necessary information about the transaction.

12. Enter any private comments in the **Private remarks to securities regulatory authorities** field.

This is an optional field. These remarks will only be accessible by securities regulatory authorities.

13. Click **Next**.

SCREEN: File insider report - Final review



14. Ensure that the details of your report are complete and accurate.

15. Skip to Step 24.

The *File insider report - Enter transaction information* screen opens if you have previously filed reports about the security.

*SCREEN: File insider report - Enter transaction information*

The screenshot shows a web browser window with the title 'S-I-D-I'. The browser's address bar shows 'Agent home page | Logout | Contact us | Help | August 28, 2007'. The page header includes 'Insider profile: Insider report: Your user information' and a breadcrumb trail: 'Process tracker: Select issuer -> Select security designation -> Select ownership type/registered holders -> Enter transaction information -> File and certify'. Below the breadcrumb, the following information is displayed: 'Insider: Example E', 'Issuer: NAME Inc.', 'Security: Bonds', and 'Holder: Spousal RRSP'. A sidebar on the left contains a menu with 'File insider report' (highlighted), 'Amend insider transaction', and 'Cancel filing'. The main content area is titled 'File insider report - Enter transaction information'. The form contains the following fields: 'Security designation' (Bonds), 'Date of transaction' (two dropdown menus for month and day, and a text field for year 'YYYY'), 'Nature of transaction' (a dropdown menu), 'Number or value of securities acquired' (a text field), 'or' (text), 'Number or value of securities disposed of' (a text field), 'Unit price or exercise price' (a text field), 'Not Applicable' (checkbox), 'Currency' (Canadian Dollar dropdown), 'General remarks (if necessary to describe the transaction)' (a text area), and 'Private remarks to securities regulatory authorities' (a text area). At the bottom of the form are 'Next' and 'Cancel filing' buttons.

16. Enter the date the transaction occurred in the **Date of transaction** fields, then enter a 4-digit year.

17. Select a **Nature of transaction** code from the drop-down list box.



For information about nature of transaction codes, see [Appendix 3: Nature of Transaction Codes](#) on page 200.

18. Type a value in either the **Number or value of securities acquired**, or **Number or value of securities disposed of** fields.



Do not enter a value in both of these fields.

If you have specified a derivative as the security, additional fields appear in which you enter the value of underlying securities acquired or disposed of.

For information about filing trades on derivatives, click [Guidelines on derivatives](#).

19. Enter a **Unit price or exercise price** and use the drop-down list box to choose a **Currency** – The Canadian dollar (CAD) is the default value. If the currency does not appear in the list, convert it to CAD.

OR

Click the **Not Applicable** check box.

20. Enter any remarks that you want to make public in the **General remarks** field.

This is an optional field. Only enter information in this field if it adds necessary information about the transaction.

21. Enter any private comments in the **Private remarks to securities regulatory authorities** field.

This is an optional field. These remarks will only be accessible by securities regulatory authorities.

22. Click **Next**.

*SCREEN: File insider report - Final review*

**File insider report**  
Amend insider transaction

## File insider report - Final review

Please review this transaction before you certify it.

Security designation	Bonds	
Registered holder	Spousal RRSP	
Opening balance of securities held	2500	
Date of transaction	2007-08-27	
Nature of transaction	10 - Acquisition or disposition in the public market	
Number or value of securities acquired	1000	
Unit price or exercise price		
	Currency	Canadian Dollar

*If the closing balance of the securities or contracts is incorrect, enter the correct balance in the Insider's calculated balance. If you provide a balance here, a securities regulatory authority may ask you to reconcile your closing balance numbers.*

Closing balance of securities held	3500	Insider's calculated balance	<input type="text"/>
------------------------------------	------	------------------------------	----------------------

General remarks (if necessary to describe the transaction)  
Private remarks to securities regulatory authorities

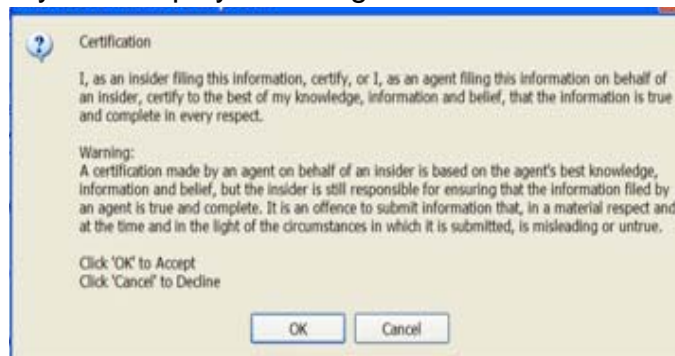
23. Ensure that the details of your report are complete and accurate.



If you disagree with the balance calculated by SEDI, enter a balance in the **Insider's calculated balance** field. Only provide a balance for transactions you have filed in SEDI. The Insider's calculated balance does not override the SEDI balance. Staff from your securities regulatory authority will contact you to resolve the discrepancy.

For information about how balances are calculated, see [Appendix 1: Balances](#) on page 185.

24. Click **File**, the system displays a dialog box with the certification statement.



Cancel

To cancel your insider report, Click **Cancel**, and then click **OK** in the dialog box. Your report is not filed, and you return to the *File insider report (Form 55-102F2) - Select issuer* screen.

25. Review the certification information in the dialog box carefully.

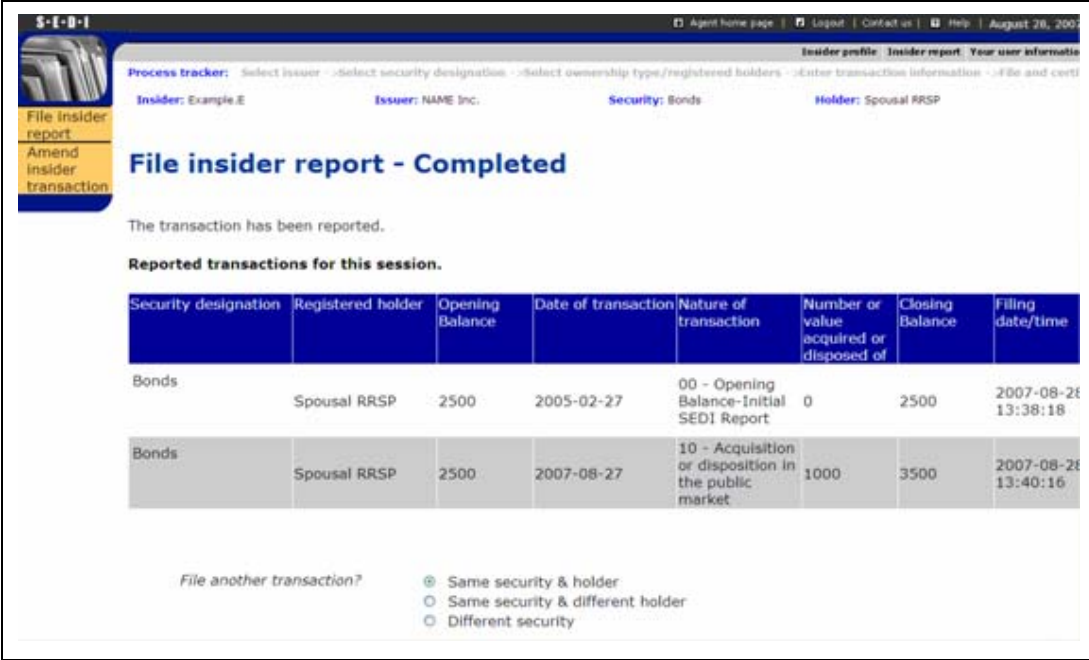
26. Click **OK**.

Insider reports are normally publicly available on SEDI within five minutes after filing.

#### **OPTION**

To decline the Certification, click **Cancel**. The dialog box closes and you remain at the *File insider report - Final review* screen.

SCREEN: File insider report - Completed



27. Indicate whether you want to file another transaction. SEDI allows you to add additional transactions for the same issuer to a single report or file reports for another issuer:

- Select either *Same security & holder*, *Same security & different holder*, *Different security*, or *Different Issuer* and click **Yes**.



*Same security and holder* will return you to the *File insider report - Enter transaction information* screen. From this screen, continue to file your report as described in [Filing an insider report](#) on page 117.

*Same security & different holder* will return you to the *File insider report - select ownership type* screen. From this screen, continue to file your report as described in [Filing an insider report](#) on page 113.

*Different Security* will return you to the *File insider report - Select security designation* screen. From this screen, continue to file your report as described in [Filing an insider report](#) on page 111

*Different Issuer* will return you to the *File insider report - Select issuer* screen. From this screen, continue to file your report as described in [Filing an insider report](#) on page 110.

Note that the *File insider report - Completed* screen will only display reports filed for one issuer. When selecting and filing a report for another issuer, this screen will no longer display the previous reports filed for the first issuer.





- ❑ Click [No](#) to return to the *Introduction to insider report activities* screen.
- ❑ Click [Printer friendly version](#) to display the information in a format that is easily printed, and your browser's print dialog box opens. Click [Back](#) in the SEDI screen (NOT on the browser) to return to SEDI.

Insider reports are normally publicly available on SEDI within five minutes after filing.

# Amending an Insider Report

To amend an insider report:

- You must have an insider or agent account that has been activated – For more information, see [Creating a SEDI User Account](#) on page 15 and [Activating Your Account](#) on page 19.
- You must be logged in with a valid SEDI user ID and password. For more information, see [Logging In and Out](#) on page 24 and [Using Insider Accounts](#) on page 28.



If you are an agent, choose an insider from your Insider list and enter the correct insider access key. For more information, see [Performing Insider Activities](#) on page 95.

You can amend an insider report that was filed in SEDI, or filed in paper before SEDI was launched.

- Amending a SEDI-filed Report – See page [123](#).
- Amending a Paper-filed Report – See page [134](#).

## Amending a SEDI-filed Report

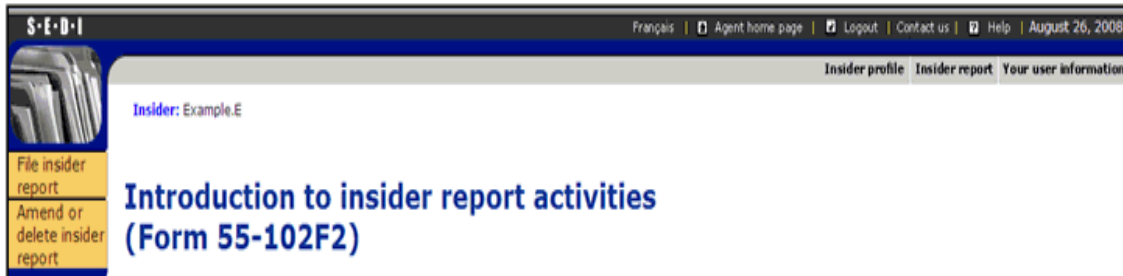
When you amend an insider report that was filed in SEDI, you can:

- Amend information about the security
- Amend information about the security's registered holder
- Amend the details of the report
- Delete the report

To begin amending a SEDI-filed report:

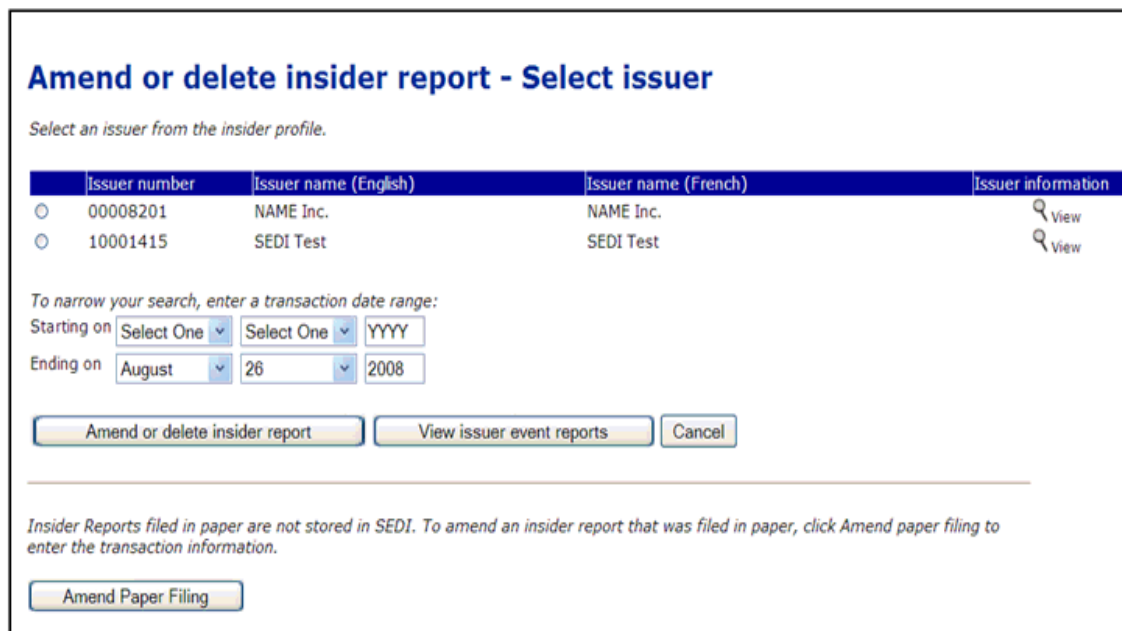
1. Click **Insider report** in the top right navigation bar.

*SCREEN: Introduction to insider report activities (Form 55-102F2)*



2. Click **Amend or delete insider report** in the left navigation bar.

*SCREEN: Amend or delete insider report*



	Issuer number	Issuer name (English)	Issuer name (French)	Issuer information
<input type="radio"/>	00008201	NAME Inc.	NAME Inc.	view
<input type="radio"/>	10001415	SEDI Test	SEDI Test	view

To narrow your search, enter a transaction date range:

Starting on

Ending on

*Insider Reports filed in paper are not stored in SEDI. To amend an insider report that was filed in paper, click Amend paper filing to enter the transaction information.*

3. Select an issuer from the **List of issuers from the insider profile**.

- To narrow your search, use the drop-down list boxes to enter a month and a day, and enter a 4-digit year, in the **Starting on** and **Ending on** fields. These dates represent the date the transaction occurred, not when the report was filed.
- Click **Amend or delete insider report**.

#### OPTION

To view issuer event reports from the issuer:

- Select an issuer from the list of issuers
- Click **View issuer event reports**. An information window is displayed, listing the issuer event reports filed since the insider's last insider report filing.
- Select an issuer event report and click **View Report**. The issuer event report is displayed in the information window. Click **View another report** to return to the list of reports or click **Viewing completed** to close the window.

To cancel the amendment click **Cancel**. You will be returned to the *Introduction to insider report activities* screen

To amend an insider report that was submitted in paper format, click **Amend Paper Filing**.

*SCREEN: Amend or delete insider report - View search results*

### Amend or delete insider report - View search results

The following insider reports have met your search criteria. Select an insider report from the list below:

Transaction Number	Date of transaction	Filing date	Registered holder	Security designation	Nature of transaction	Opening balance of securities held	Number of value acquired or disposed of	Closing Balance	General and private remarks
<input type="radio"/>	858149	2005-02-27	2008-08-26		Bonds	Opening Balance-Initial SEDI Report	1000	1000	
<input type="radio"/>	858150	2007-06-26	2008-08-26		Bonds	Acquisition or disposition in the public market	1000	250	1250
<input type="radio"/>	858151	2008-08-24	2008-08-26		Bonds	Acquisition or disposition carried out privately	1250	1500	2750

Amend security
Amend holder
Amend details
Delete report
Cancel amendment

- Click the radio button beside the report that you want to amend. The transactions are sorted by security designation, registered holder, and then date of transaction.

7. Select one of the amendment options:

- Amend security** – See page 125.
- Amend holder (and/or Ownership type)** – See page 126.
- Amend details** – See page 128 .
- Delete report** – See page 131.

When you select one of these options, you proceed through the same screens as when you file an insider report.



SEDI does not allow you to make certain amendments. For example, you cannot amend a security or holder if the new security/holder combination does not have an existing opening balance (initial report).

## Amend security

From the *Amend or delete insider report - View search results* screen, you can choose to amend details about the security in the report by clicking **Amend security**. For information about the *Amend or delete insider report - View search results* screen, see page 124.

*SCREEN: Amend insider report - Select security designation*

### Amend insider report - Select security designation

Select a security designation from the list below:

Security designation	Underlying security designation	
<b>Outstanding securities</b>		
<input checked="" type="radio"/> Bonds		
<input type="radio"/> American Depository Receipts		
<input type="radio"/> Options	(Bonds )	
<b>Insider-defined security</b>		
<hr/>		
<i>The archived security list contains those securities that are no longer outstanding for this issuer and those securities that may no longer be issued.</i>		
<b>Archived security designation</b>		
<input type="button" value="Next"/>	<input type="button" value="Cancel amendment"/>	<input type="button" value="Add insider-defined security"/>

1. Click the radio button beside the security about which you want to amend a report in the Outstanding securities list, and then click [Next](#).



You can only amend the security designation, not the security category.

For information about security designations and how balances are calculated in SEDI, see [Appendix 1: Balances](#) on page 185.

#### OPTION

If the security that you want to file a report about is not listed in the Outstanding securities list, select it from the [Archived security designation](#) list.

If the security is not in the Outstanding securities or Archived security designation list, select an [Insider-defined security](#).

For more information about issuer- and insider-defined securities, see [Appendix 1: Balances](#) on page 185.

## Amend Holder (and/or Ownership type)

*SCREEN: Amend insider report - Select ownership type and registered holder*

**Amend insider report - Select ownership type and registered holder**

Select an ownership type: Indirect Ownership

Select a registered holder:

- RRSP
- Spousal RRSP
- RESP des enfants
- RRSP Nouveau
- Add new holder:

Next Cancel amendment

1. Use the drop-down list box to specify an **Ownership type** for the selected security. Choose from:
  - Direct Ownership – Indicates that you hold the security directly. For example, you hold the securities in an account with your broker, but the account is in your name.

- ❑ Indirect Ownership – Indicates that you hold the security indirectly. For example, you beneficially own common shares in X Co. but the registered owner is another entity, such as a holding company that you own. Securities held in an RRSP account is another example of securities reported under Indirect Ownership.
  - ❑ Control or Direction – Indicates that you have control or direction over a security. You have control or direction if, directly or indirectly, you have or share voting power or investment power through any contract, arrangement, understanding or relationship. For example, you may have been granted authority to vote or to trade securities owned by family members, friends, or associates.
2. If the Ownership type is Indirect Ownership or Control or Direction, the screen will refresh and display a list of registered holders. Select a registered holder from the **Registered holder** list.

#### OPTION

---

If the desired registered holder does not appear in the list, click **Add new holder** and enter the registered holder in the text box. As this is a new registered holder and security combination, the system will ask for an opening balance. The filer follows the procedures for filing an insider report by selecting on the **File Insider Report** button from the left navigation bar. Once the opening balance report has been filed, the filer can return to the amend insider report process.

#### Cancel Amendment

To cancel your amendment, click **Cancel amendment**. Your amendment is not filed and you return to the *Introduction to insider report activities* screen.

3. Click **Next**.
- SEDI will direct the filer to complete the amendment by displaying the **Amend details** screens and allowing the filer to make any additional amendments to the report before allowing the filer to certify the amendment.

## Amend details

SCREEN: Amend insider report - Enter transaction information

### Amend insider report - Enter transaction information

Security designation: Bonds

Date of transaction: August 24 2008

Nature of transaction: 11 - Acquisition or disposition carried out privately

Number or value of securities acquired: 1500      or      Number or value of securities disposed of:

Unit price or exercise price:        Not Applicable      Currency: Canadian Dollar

General remarks (if necessary to describe the transaction):

Private remarks to securities regulatory authorities:

1. Amend the transaction information in the report.
2. Click [Next](#).

### OPTION

To cancel your amendment, click **Cancel amendment**. Your amendment is not filed and you return to the *Introduction to insider report activities* screen



SCREEN: Amend insider report - Final review

**Amend insider report - Final review**

**Please review this amendment before you certify it.**

Transaction Number	858151	
Security designation	Bonds	
Opening balance of securities held	1250	
Date of transaction	2008-08-24	
Nature of transaction	11 - Acquisition or disposition carried out privately	
Number or value of securities acquired	1500	
Unit price or exercise price		Currency

*If the closing balance of the securities or contracts is incorrect, enter the correct balance in the Insider's calculated balance. If you provide a balance here, a securities regulatory authority may ask you to reconcile your closing balance numbers.*

Closing balance of securities held	2750	Insider's calculated balance	<input type="text"/>
------------------------------------	------	------------------------------	----------------------

General remarks (if necessary to describe the transaction)  
Private remarks to securities regulatory authorities

To amend this information, click the appropriate button.

If you are satisfied with the changes you have made, click **Certify**.

3. Ensure that the details of your amendment are complete and accurate.



If you disagree with the balance calculated by SEDI, enter a balance in the **Insider's calculated balance** field. Only provide a balance for transactions you have filed in SEDI. If you enter a balance, staff from your securities regulatory authority will contact you.

For information about how balances are calculated, see [Appendix 1: Balances](#) on page 185.

4. Click **Certify**.

**OPTIONS**

---

**Amend Security**  
To amend information about the security, click **Amend security** to return to the *Amend insider report - Select security designation* screen.

**Amend Holder**  
To amend information about the holder, click **Amend holder** to return to the *Amend insider report - Select ownership type and registered holder* screen.

**Amend Details**  
To amend transaction information, click **Amend details** to return to the *Amend insider report - Enter transaction information* screen.

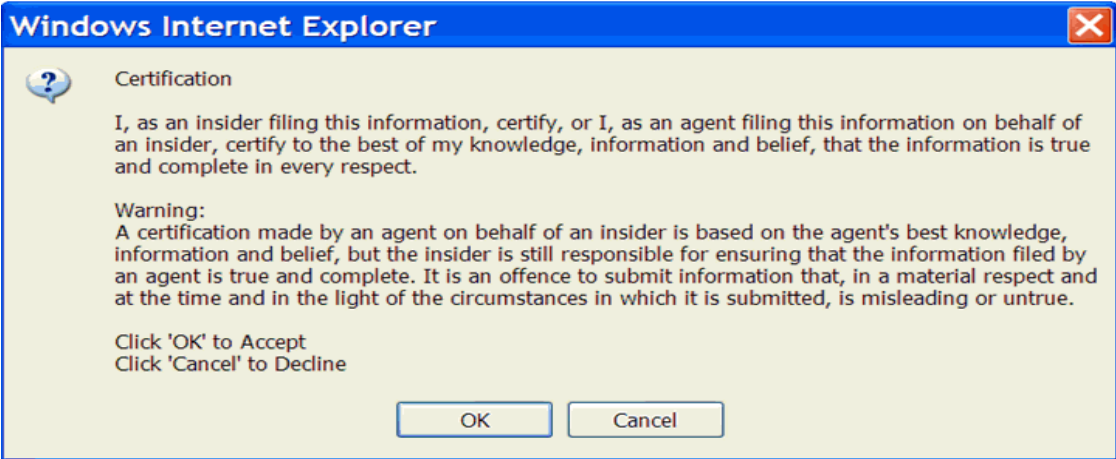
**Cancel**  
To cancel your amendment, click **Cancel amendment**. Your amendment is not filed, and you return to the *Introduction to insider report activities* screen.

**OPTION**

---

To decline the Certification click **Cancel**. You return to the *Amend insider report - Final review* screen

SCREEN: Dialog box



- 5. Review the certification information carefully.
- 6. Click **OK**.

SCREEN: Amend insider report - Completed



**OPTION**

---

**Print**  
 To print the details about the amendment, click **Printer friendly version**. SEDI displays the amendment in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

The transaction has been amended.

7. Indicate whether or not you want to amend another transaction:

- Click **Yes** and indicate if you want to amend another transaction for either:
  - The same issuer and return to the *Amend or delete insider report – View search results* screen
  - A different issuer and return to the *Amend or delete insider report – Select issuer* screen
- Click **No** to return to the *Introduction to insider report activities (Form 55-102F2)* screen.

Amendments to reports are normally publicly available on SEDI within five minutes after filing.

## Delete report

From the *Amend or delete insider report - View search results* screen, you can choose to delete an insider report. For information about the *Amend or delete insider report - View search results* screen, see page 124.

1. Click **Delete report**.



You should only delete a report in very specific circumstances. It is strongly recommended that you amend a report instead of deleting it. All deleted reports are reviewed by securities regulatory authorities.

*SCREEN: Delete insider report - Final review*

### Delete insider report - Final review

Transaction Number	858151		
Security designation	Bonds		
Opening balance of securities held	1250		
Filing date	2008-08-26		
Date of transaction	2008-08-24		
Nature of transaction	11 - Acquisition or disposition carried out privately		
Number or value of securities acquired	1500		
Unit price or exercise price		Currency	Canadian Dollar
Closing balance of securities held	2750		

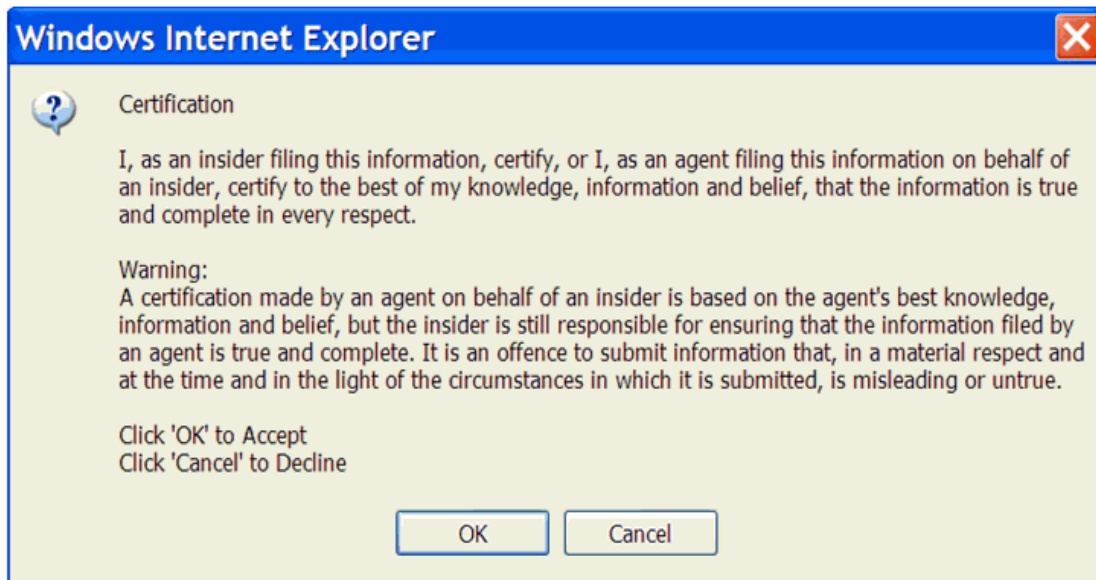
General remarks *(if necessary to describe the transaction)*  
Private remarks to securities regulatory authorities

2. Click **Delete**.

#### OPTION

To cancel the deletion, click **Cancel deletion** to return to the introduction to *insider report activities* screen.

SCREEN: *Dialog box*

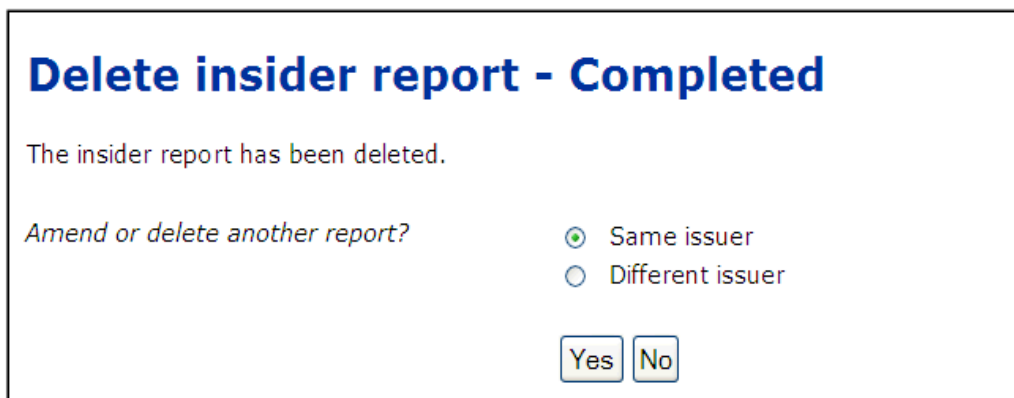


3. Review the certification information carefully.
4. Click **OK**.

#### OPTION

To decline the certification, click **Cancel** to close the Certification dialog box and return to the *Delete insider report - Final review* screen.

SCREEN: *Delete insider report - Completed*



The transaction has been amended.

5. Indicate whether or not you want to amend or delete another report:

- Click **Yes** and indicate if you want to amend or delete another report for either:
  - The same issuer and return to the *Amend or delete insider report – View search results* screen
  - A different issuer and return to the *Amend or delete insider report – Select issuer* screen
- Click **No** to return to the *Introduction to insider report activities (Form 55-102F2)* screen.

Deleted reports are normally removed from SEDI within five minutes.

## Amending a Paper-filed Report

Amending a paper-filed report is essentially the same as filing a new report, because you are entering new information into SEDI. The transaction will be marked “AP” in the public reports to indicate that it was an amendment to a paper-filed report.

Because amendments to paper filings affect information that was not filed in SEDI, the amendments do not affect the balances that SEDI calculates. To update the balance in SEDI, you must update the opening balance in your initial SEDI report. For more information about how balances are calculated, see [Appendix 1: Balances](#) on page 185.

To amend a paper-filed insider report:

1. Click [Insider report](#) in the top right navigation bar.

*SCREEN: Introduction to insider report activities (Form 55-102F2)*



2. Click [Amend insider transaction](#) in the left navigation bar.

SCREEN: Amend insider transaction

## Amend insider transaction

*Insider Reports filed in paper are not stored in SEDI. To amend an insider report that was filed in paper, click Amend paper filing to enter the transaction information.*

[Amend Paper Filing](#)

Select an issuer from the insider profile.

List of issuers from the insider profile

Enter the date range for the transaction or check Show all transactions to view all transactions filed for the issuer.

Starting on

Ending on

or

Show all transactions

[Search](#) [Reset](#)

3. Click [Amend Paper Filing](#).

SCREEN: Amend insider transaction - Select issuer

## Amend insider transaction - Select issuer

Select one of the following options:

**Option 1** *Select an issuer from the insider profile.*

List of issuers from the insider profile  [Amend insider transaction](#)

*If the issuer does not appear in the list, follow Option 3..*

**Option 2** *Select this option if you want to see an issuer event report before filing an insider report.*

List of issuers from the insider profile  [View issuer event reports](#)

*If the issuer does not appear in the list, follow Option 3.*

**Option 3** *Add an issuer or amend issuer information in the insider profile prior to filing an insider report.*

[Add issuer or amend issuer information](#)

4. Click an issuer to select it in the [List of issuers from the insider profile](#).

#### OPTIONS

---

##### **View Issuer Event Reports**

To view issuer event reports before amending the insider report:

1. Select an issuer in the second list box and then click [View issuer event reports](#).

*SCREEN: File insider report - Select issuer event report*

2. Click the radio button beside a report and then click [View Report](#).

*SCREEN: Amend insider transaction - View issuer event report information*

3. Click [View another report](#) to return to the *File insider report - Select issuer event report* screen, or click [Viewing completed](#) to return to the *Amend insider transaction - Select issuer* screen.

##### **Add Issuer or Amend Issuer Information**

To add an issuer to the insider profile, or to amend issuer information in the insider profile, click [Add issuer or amend issuer information](#) to move to the *Amend insider information* screen.

For information about amending insider information, see [Amending an Insider Profile](#) on page 47. After amending the insider profile, click [Next](#) to return to the *Amend insider transaction - Select issuer* screen.

5. Click [Amend insider transaction](#).

*SCREEN: Amend insider transaction - Review issuer information*

6. Review the issuer information and ensure that it is correct.
7. Click [Next](#).

#### OPTION

---

If the issuer information from the insider profile is incorrect, click [Amend](#) to move to the *Amend insider information* screen. For information about amending insider information, see [Amending an Insider Profile](#) on page 47. After amending the insider profile, click [Next](#) to return to the *Amend insider transaction - Select issuer* screen



SCREEN: Amend insider transaction - View new issuer event reports

**Amend insider transaction - View new issuer event reports**

Issuer event type	Amalgamation, Merger or Reorganization
Effective date	2003-04-01
Issuer event title	ABC Company Inc. (ABC) merger with XYZ Company Inc. (XYZ)/Fusion de la Compagnie ABC Inc. (ABC) avec la Compagnie XYZ (XYZ)
Issuer event details	ABC merged with XYZ on April 1, 2003 to form DEF Company Inc . Each common share of ABC will be exchanged for 1 common share of DEF Company Inc. See ABC's March 31, 2003 press release on its web site at www.ABC.com for details. / Le 1 avril 2003, ABC a fusionné avec XYZ pour créer la Compagnie DEF Inc. Chaque action ordinaire de ABC sera échangée pour une action ordinaire de la Compagnie DEF. Pour plus de renseignements, consulter le communiqué de presse de ABC sur son site à www.ABC.com.

To see this issuer event report the next time you file an insider report for this issuer, check this box.

[Next](#)

To view all of the issuer event reports for this issuer, click [View all issuer events](#).

8. View any new issuer event reports, and then click **Next**.

**OPTION**

---

To view more event reports from the issuer:

1. Click **View all issuer events**.

SCREEN: File insider report - Select issuer event report

2. Click the radio button beside a report and then click **View Report**.

SCREEN: Amend insider transaction - View issuer event report information

3. Click **View another report** to return to the File insider report - Select issuer event report screen, or click **Viewing completed** to move to the Amend insider transaction - Select security designation screen.

SCREEN: Amend insider transaction - Select security designation

**Amend insider transaction - Select security designation**

Select a security designation from the list below:

**Outstanding securities**

Security designation	Underlying security designation
<input checked="" type="radio"/> Common Shares	
<input type="radio"/> Preferred Shares Series 14	

---

The archived security list contains those securities that are no longer outstanding for this issuer and those securities that may no longer be issued. If the security designation is not available in the list above, select a security designation from the list below:

**Archived security designation**

If the security designation is not available in the lists above, select a security designation from the list below:

**Insider-defined security**

If the security designation is not available from any of the lists above, select a security category and click Add security designation.

**Security Category**

- 9. Click the radio button beside the security about which you want to file an amendment in the **Outstanding securities** list.



For information about security designations and how balances are calculated in SEDI, see [Appendix 1: Balances](#) on page 185.

## OPTION

If the security that you want to file a report about is not listed in the Outstanding securities list, select it from the **Archived security designation** list.

**Note:** If the security is issued by your issuer but is not on the Outstanding securities or Archived security designation list, contact the issuer and have them add the security to their issuer profile supplement. Do not create an insider-defined security.

If the security is not in the Outstanding securities or Archived security designation list because it is a third party derivative, select it from the **Insider-defined security** list, or follow these steps to add an insider-defined security:

1. Use the drop-down list box to select a security in the **Security Category** field, click **Add security designation**, and then click **OK** in the dialog box.

*SCREEN: Amend insider transaction - Add security designation*

2. Select a security name in the **Security name** list box, provide an **Additional description** if necessary, and then click **Next**.

This adds the security designation to your list of Insider-defined securities.

*SCREEN: Amend insider transaction - Select security designation screen.*

3. Use the drop-down list box to select the security in the **Insider-defined security** field, and then click **Select insider-defined security designation**.

In limited circumstances where you will be unable to meet your filing requirement because your issuer has not added a security to their issuer profile supplement, you may need to add an insider-defined security. Your insider-defined security is recognized as a unique security, and the acquisition or disposition reported does not affect the SEDI balance of your issuer-defined securities. For more information, see **Appendix 1: Balances** on page 185

10. Click **Next**.

*SCREEN: Amend insider transaction - Select ownership type*

### Amend insider transaction - Select ownership type

Select an ownership type.

Ownership type

If the ownership type is indirect ownership or the ownership type is control or direction, select a registered holder from the list below:

Registered holder

If the registered holder is not in the list, click Add registered holder.

11. Use the drop-down list box to specify an **Ownership type** for the selected security. Choose from:

- Direct Ownership** – Indicates that you hold the security directly. For example, you hold the securities in an account with your broker, but the account is in your name.
- Indirect Ownership** – Indicates that you hold the security indirectly. For example, you beneficially own common shares in X Co. but the registered owner is another entity, such as a holding company that you own.
- Control or Direction** – Indicates that you have control or direction over a security. You have control or direction if, directly or indirectly, you have or share voting power or investment power through any contract, arrangement, understanding or relationship. For example, you may have been granted authority to vote or to trade securities owned by family members, friends, or associates.

12. If the Ownership type is Indirect Ownership or Control or Direction, select a registered holder from the **Registered holder** list box.

#### OPTION

---

If the desired registered holder does not appear in the list, click **Add registered holder** to open the *Amend insider transaction - Add registered holders* screen.

Registered holders appear in Master and Local lists. The Master list contains all registered holders that you have saved, and the Local list contains all registered holders that you have added to the current issuer. Until you have added a registered holder to your Master or Local list, neither list will appear on the screen.

To add a registered holder to your Master and Local lists, enter the holder name in the **Registered holder** field, and then click **Add registered holder**. The *Amend insider report - Add registered holders* screen re-opens, the registered holder is added to your Master and Local lists, and both lists are displayed on the screen.

To copy a registered holder from the Master list to the Local list, click the registered holder in the **Master list of registered holders**, and then click **Select from master list**.

To remove a registered holder from the Local list, click the radio button beside the registered holder and click **Remove**. Click **Confirm removal** on the *Create insider profile - Confirm removal* screen. Note: If an insider report has been filed about a security held by a registered holder, you cannot remove that registered holder. In addition, you cannot remove a registered holder from the Master list.

To return to the *Amend insider transaction - Select ownership type* screen, click **Next**.

13. Click **Next**.

SCREEN: Amend insider transaction - Enter transaction information

**Amend insider transaction - Enter transaction information**

Security designation Common Shares

Date of transaction March 20 2003

Nature of transaction 10 - Acquisition or disposition in the public market

Number or value of securities acquired 600 or Number or value of securities disposed of

Unit price or exercise price 11.75  Not Applicable Currency Canadian Dollar

General remarks (if necessary to describe the transaction)

Private remarks to securities regulatory authorities

Next

- 14. Use the drop-down list boxes to enter a month and day in the **Date of transaction** fields. Enter a 4-digit year.
- 15. Select a **Nature of transaction** code from the drop-down list box.



For information about nature of transaction codes, see [Appendix 3: Nature of Transaction Codes](#) on page 200.

- 16. Type a value in either the **Number or value of securities acquired**, or **Number or value of securities disposed of** fields.



Do not enter a value in both of these fields.

If you have specified a derivative as the security, additional fields appear in which you enter the value of underlying securities acquired or disposed of.

For information about filing trades on derivatives, click [Guidelines on derivatives](#).

17. Enter a **Unit price or exercise price** and use the drop-down list box to choose a **Currency** – The Canadian dollar (CAD) is the default value. If the currency does not appear in the list, convert it to CAD.

OR

Click the **Not Applicable** check box.

18. Enter any remarks you want to make public in the **General remarks** field.

This is an optional field. Only enter information in this field if it adds necessary information about the transaction.

19. Enter any private comments in the **Private remarks to securities regulatory authorities** field.

This is an optional field. These remarks will only be accessible by your securities regulatory authority.

20. Click **Next**.

SCREEN: Amend insider transaction - File transaction information

### Amend insider transaction - File transaction information

Security designation	Common Shares		
Opening balance of securities held	0		
Date of transaction	2003-03-20		
Nature of transaction	10 - Acquisition or disposition in the public market		
Number or value of securities acquired	600		
Unit price or exercise price	11.75	Currency	Canadian Dollar

*If the closing balance of the securities or contracts is incorrect, enter the correct balance in the Insider's calculated balance. If you provide a balance here, a securities regulatory authority may ask you to reconcile your closing balance numbers.*

Closing balance of securities held	600	Insider's calculated balance	<input style="width: 80%;" type="text"/>
------------------------------------	-----	------------------------------	--

**General remarks** *(if necessary to describe the transaction)*

**Private remarks to securities regulatory authorities**

*To edit this information, click the appropriate button.*

Edit security
Edit holder
Edit details

*To print this information, click Printer friendly version.*

Printer friendly version

File
Cancel

21. Ensure that the details of your amendment are complete and accurate.



If you disagree with the balance calculated by SEDI, enter a balance in the **Insider's calculated balance** field. Only provide a balance for transactions you have filed in SEDI. The Insider's calculated balance does not override the SEDI balance. Staff from your securities regulatory authority will contact you to resolve the discrepancy.

For information about how balances are calculated, see [Appendix 1: Balances](#) on page 185.



22. Click **File**.

#### OPTIONS

---

##### **Edit Security**

To edit information about the security, click **Edit security** to return to the *Amend insider transaction - Select security designation* screen.

##### **Edit Holder**

To edit information about the holder, click **Edit holder** to return to the *Amend insider transaction - Select ownership type* screen.

##### **Edit Transaction**

To edit transaction details, click **Edit details** to return to the *Amend insider transaction - Enter transaction details* screen.

##### **Print**

To print the details about the amendment, click **Printer friendly version**. SEDI displays the amendment in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

##### **Cancel**

To cancel your amendment, click **Cancel**, and then click **OK** in the dialog box. Your amendment is not filed, and you return to the *Amend insider transaction - Select issuer* screen.

#### SCREEN: Certification

23. Review the certification information carefully.

24. Click **Accept**.



To print the amended insider transaction with a date and time stamp, click the check box provided. SEDI displays the amendment in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

#### OPTION

---

To decline the Certification, click **Decline**. You return to the *Amend insider report - File transaction information* screen.



SCREEN: Amend insider transaction - Completed

**Warning: Balances may be impacted by amending a paper filing. Review initial SEDI report (if any) and amend balance if necessary.**

### Amend insider transaction - Completed

The transaction has been reported.

**Reported transactions for this session.**

Security designation	Registered holder	Opening Balance	Date of transaction	Nature of transaction	Number or value acquired or disposed of	Closing Balance
Common Shares		0	2003-03-20	10 - Acquisition or disposition in the public market	600	600

Are you finished with this insider report?

To print this information, click [Printer friendly version](#).

*\*Note: Ensure your printer is set to print in landscape format*

25. Indicate whether you are finished amending transactions:

- Click **Yes** to finish amending the transaction and return to the *Introduction to insider report activities* screen.
- Click **No** to amend the transaction and move to the *Amend insider transaction - Select a report option* screen. For more information, see [Amending Multiple-trade Reports](#) on page 146.

## Amending Multiple-trade Reports

When you are amending more than one transaction, SEDI allows you to add additional amendments for the same issuer to a single report.



You can only amend another transaction on the same report if it involves the same issuer.

If the amendment involves a different issuer, you must amend the report from the beginning on the *Amend insider transaction* screen.

To amend another transaction, click **No** when asked if you are finished amending the insider transaction (on the *Amend insider transaction - Completed* screen).

*SCREEN: Amend insider transaction - Select a transaction option*

### Amend insider transaction - Select a report option

Select one of the following options:

**Option 1** *Add a transaction for the same security designation and registered holder.*

**Option 2** *Add a transaction for the same security designation and a different registered holder.*

**Option 3** *Add a transaction for a different security designation.*

Select one of the following options:

- Option 1 – Same security & holder

Select this option to file an amendment about the same security and registered holder as the last report. This option moves you to the *Amend insider transaction - Enter transaction information* screen. From this screen, continue to file your report as described in [Amending an Insider Report](#) on page 122.

Option 2 – Same security & different holder

Select this option to file an amendment about the same security but a different registered holder. This option moves you to the *Amend insider transaction - Select ownership type* screen. From this screen, continue to file your report as described in [Amending an Insider Report](#) on page 122.

Option 3 – Different security

Select this option to file an amendment about a different security. This option moves you to the *Amend insider transaction - Select security designation* screen. From this screen, continue to file your report as described in [Amending an Insider Report](#) on page 122.

# Filing and Amending Issuer Event Reports

As an issuer or an agent of an issuer, you must file issuer event reports in SEDI. These reports are displayed to insiders and agents for insiders when they file insider reports, and are also available to the public. Event reports include issuer events such as stock splits and consolidations, and aid insiders by providing them with accurate and current information about the issuer.

This chapter contains the following sections:

- ❑ [Filing an Issuer Event Report](#)
- ❑ [Viewing an Issuer Event Report](#)
- ❑ [Amending an Issuer Event Report](#)



You are only required to file reports about events that affect all securities held by your insiders in the same manner.

If the event does not affect all insider holdings (e.g., a rights offering or a normal course issuer bid), do not file a report in SEDI.

# Filing an Issuer Event Report

To file an issuer event report:

- You must have an issuer or agent account – For more information, see [Creating a SEDI User Account](#) on page 15.
- You must be logged in with a valid SEDI user ID and password, and you must have entered the correct issuer access key – For more information, see [Logging In and Out](#) on page 24, and [Using Issuer Accounts](#) on page 67.
- Your SEDI account must be activated.



If you are an agent, choose an issuer from your Issuer list and enter the correct issuer access key. For more information, see [Performing Issuer Activities](#) on page 99.

Before you begin, gather the following information:

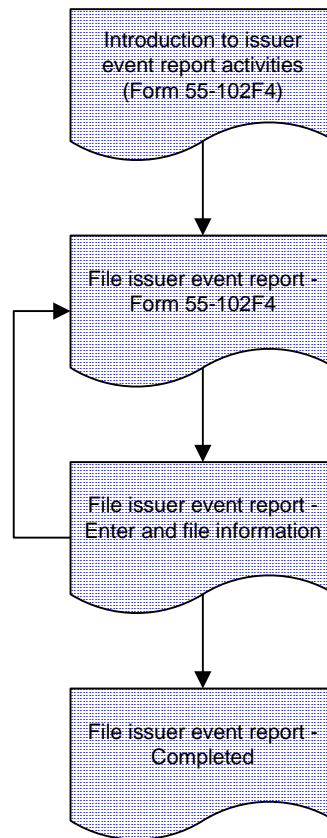
- Event type – Determine which of the following event types describes the event:
  - Amalgamation, Merger or Reorganization
  - Conversion (issuer initiated)
  - Reclassification
  - Redesignation
  - Spin-off
  - Stock Consolidation
  - Stock Dividend
  - Stock Split
  - Other Issuer Event
- Effective date – Date at which the issuer event is effective
- Descriptive title – A title that other SEDI users will see when reports are listed. Ensure that the title accurately distinguishes the event.
- Public details – Details about the event that will be publicly available

- ❑ Private remarks – Private remarks about the event that will only be accessible by staff of the security regulatory authority, if any.



For security purposes, you will be logged out of SEDI if you leave it inactive for more than 20 minutes. Any information that you have entered but not filed is deleted when you are logged out.

When you file an issuer event report, you navigate through the following screens:



To file an issuer event report:

1. Click [Issuer event report](#) in the top right navigation bar.

SCREEN: Introduction to issuer event report activities (Form 55-102F4)

S-E-D-I Français | Issuer home page | Logout | Contact us | Help | April 3, 2003

Issuer profile supplement | Issuer event report | Your user information

Issuer: ABC Company Inc

[View issuer event report](#)  
[File issuer event report](#)  
[Amend issuer event report](#)

## Introduction to issuer event report activities (Form 55-102F4)

With issuer event report activities, you can:

- view the issuer event report by clicking *View issuer event report*
- file an issuer event report by clicking *File issuer event report*
- amend an issuer event report by clicking *Amend issuer event report*

2. Click [File issuer event report](#) in the left navigation bar.



To view guidelines about reporting issuer events, click [Issuer event reporting guidelines](#).

SCREEN: File issuer event report - Form 55-102F4

## File issuer event report - Form 55-102F4

*An issuer event is an event that affects all holdings of a class of securities of an issuer in the same manner, on a per share basis. For example, the following items are not issuer events: rights offerings, normal course issuer bids, redemptions of debentures, expiry of warrants and private placements.*

Select an issuer event type from the list below:

Issuer event type

3. Use the drop-down list box to select an [Issuer event type](#).
4. Click [Next](#).



For your reference, issuer event reports that have already been filed are listed on the bottom of this screen under Previous issuer event reports.



SCREEN: File issuer event report - Enter and file information

**File issuer event report - Enter and file information**

Issuer event type    Stock Split

Effective date    April    1    2003

*Provide a descriptive title to distinguish this event from others of a similar type. Provide this title in both English and French if appropriate.*

Issuer event title    Stock Split on Special Shares / Division des Actions spéciales

*Describe the issuer event including details such as affected classes of securities, resulting classes of securities, conversion or exchange ratios and any rounding considerations. Provide these details in both English and French if appropriate.*

Issuer event details    On April 1, 2003, ABC Company Inc. announced the split of its special shares at a 2:1 ratio. / Le 1 avril 2003, La Compagnie ABC Inc. a annoncé la division de ses actions spéciales à raison de 2 contre 1.

Private remarks to securities regulatory authorities

File    Cancel

- 5. Use the drop-down list boxes to enter a month and day in the **Effective date** fields. Enter a 4-digit year.
- 6. Enter a descriptive title in the **Issuer event title** field.
- 7. Enter details about the event that you want made public in the **Issuer event details** field.

**!** Information that you enter in the Issuer event details field will not be translated. Enter information in English and French if appropriate.

8. Enter private remarks about the event in the **Private remarks to securities regulatory authorities** field.

This is an optional field. These remarks will only be accessible by securities regulatory authorities.

9. Click **File**, and then click **OK** in the dialog box.

*SCREEN: File issuer event report - Completed*

#### **OPTION**

---

To cancel the issuer event report, click **Cancel** on the *File issuer event report - Enter and file information* screen, and then click **OK** in the dialog box. The report is not filed, and you return to a blank *File issuer event report - Form 55-102F4* screen.

# Viewing an Issuer Event Report

To view an issuer event report:

- ❑ You must have an issuer or agent account – For more information, see [Creating a SEDI User Account](#) on page 15.
- ❑ You must be logged in with a valid SEDI user ID and password, and you must have entered the correct issuer access key – For more information, see [Logging In and Out](#) on page 24, and [Using Issuer Accounts](#) on page 67.
- ❑ Your SEDI account must be activated.



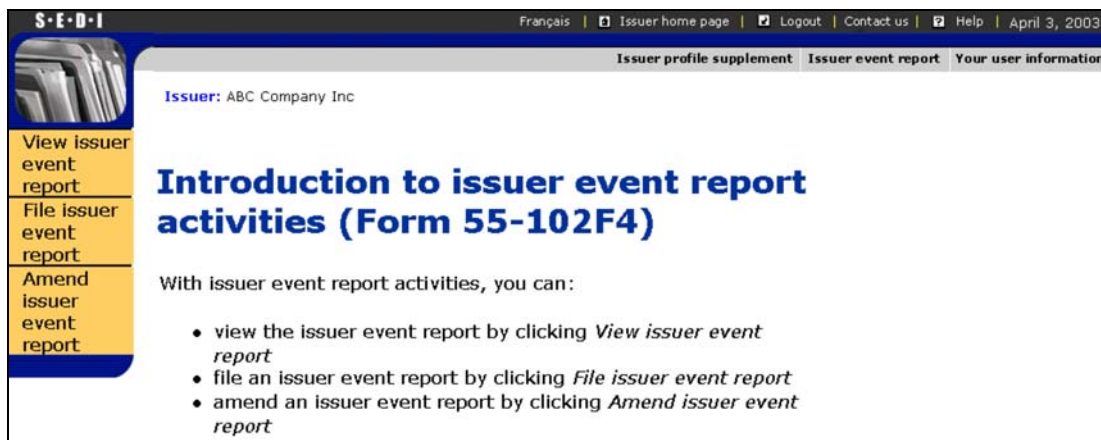
If you are an agent, choose an issuer from your Issuer list and enter the correct issuer access key. For more information, see [Performing Issuer Activities](#) on page 99.

You can also view issuer events in the publicly available reports. For more information, see [Viewing Issuer Information](#) on page 177.

To view the details of an issuer event report:

1. Click [Issuer event report](#) in the top right navigation bar.

*Introduction to issuer event report activities (Form 55-102F4)*



2. Click [View issuer event report](#) in the left navigation bar.

SCREEN: View issuer event report

### View issuer event report

*Select an issuer event report from the list below:*

Effective date	Filing date	Issuer event type	Issuer event title	Filed by
<input type="radio"/> 2003-04-01	2003-04-02	Stock Split	Stock Split on Special Shares / Division des Actions spéciales	JJONES001
<input checked="" type="radio"/> 2003-04-01	2003-04-02	Stock Consolidation	Stock Consolidation on Special Shares / Regroupement des Actions spéciales	JJONES001
<input type="radio"/> 2003-04-01	2003-04-02	Amalgamation, Merger or Reorganization	ABC Company Inc. (ABC) merger with XYZ Company Inc. (XYZ)/Fusion de la Compagnie ABC Inc. (ABC) avec la Compagnie XYZ (XYZ)	JJONES001

3. Click the radio button beside the report that you want to view. Issuer event reports are listed by Effective date.
4. Click **Next**.

SCREEN: View issuer event report - View information



To print the details about the event, click **Printer friendly version**. SEDI displays the details in a format that is easily printed, and your browser Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

# Amending an Issuer Event Report

To amend an issuer event report:

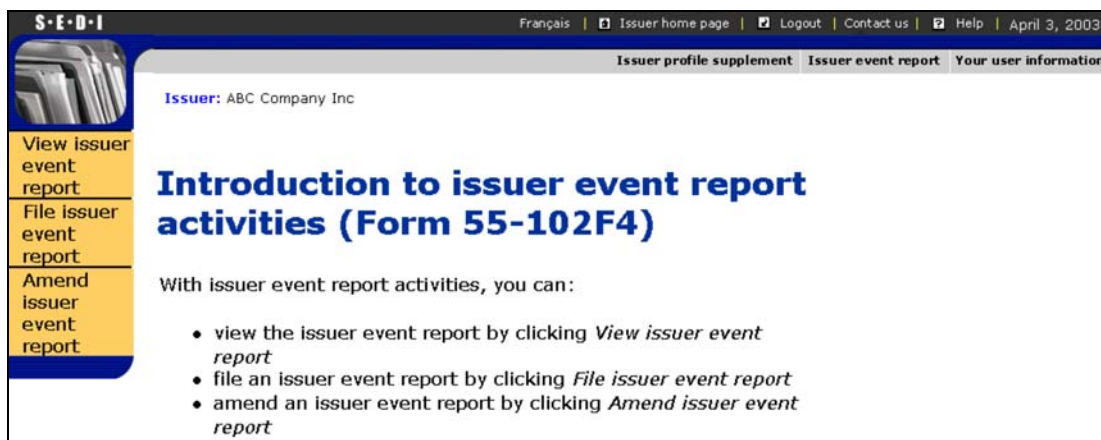
- ❑ You must have an issuer or agent account – For more information, see [Creating a SEDI User Account](#) on page 15.
- ❑ You must be logged in with a valid SEDI user ID and password, and you must have entered the correct issuer access key – For more information, see [Logging In and Out](#) on page 24, and [Using Issuer Accounts](#) on page 67.
- ❑ Your SEDI account must be activated.

**!** If you are an agent, choose an issuer from your Issuer list and enter the correct issuer access key. For more information, see [Performing Issuer Activities](#) on page 99.

To amend the details of an issuer event report:

1. Click [Issuer event report](#) in the top right navigation bar.

*SCREEN: Introduction to issuer event report activities (Form 55-102F4)*



2. Click [Amend issuer event report](#) in the left navigation bar.

SCREEN: Amend issuer event report

### Amend issuer event report

Select an issuer event report from the list below:

Effective date	Filing date	Issuer event type	Issuer event title	Filed by
<input type="radio"/> 2003-04-01	2003-04-02	Stock Split	Stock Split on Special Shares / Division des Actions spéciales	JJONES001
<input checked="" type="radio"/> 2003-04-01	2003-04-02	Stock Consolidation	Stock Consolidation on Special Shares / Regroupement des Actions spéciales	JJONES001
<input type="radio"/> 2003-04-01	2003-04-02	Amalgamation, Merger or Reorganization	ABC Company Inc. (ABC) merger with XYZ Company Inc. (XYZ)/Fusion de la Compagnie ABC Inc. (ABC) avec la Compagnie XYZ (XYZ)	JJONES001

3. Click the radio button beside the report that you want to amend. Issuer event reports are listed by Effective date.
4. Click **Next**.

SCREEN: Amend issuer event report - Amend and file information

**Amend issuer event report - Amend and file information**

Issuer event type

Effective date

*Provide a descriptive title to distinguish this event from others of a similar type. Provide this title in both English and French if appropriate.*

Issuer event title

*Describe the issuer event including details such as affected classes of securities, resulting classes of securities, conversion or exchange ratios and any rounding considerations. Provide these details in both English and French if appropriate.*

Issuer event details

Private remarks to securities regulatory authorities

- 5. Enter the new information in the fields.
- 6. Click **File**, and then click **OK** in the dialog box.

SCREEN: Amend issuer event report - Completed

Your issuer event report has been amended.

**OPTION**

To cancel the amendment, click **Cancel** on the *Amend issuer event report - Amend and file information* screen, and then click **OK** in the dialog box. The report is not amended, and you return to a blank *Amend issuer event report* screen.

# Viewing Public Reports

Some of the information filed in SEDI is publicly accessible. You do not need a SEDI user ID and password to view summary reports, insider information, or issuer information. When viewing summary reports, you can also view individual reports filed in SEDI.

This chapter contains the following sections:

- ❑ [Viewing Summary Reports](#)
- ❑ [Viewing Insider Information](#)
- ❑ [Viewing Issuer Information](#)



You cannot view public reports while you are logged in with a SEDI user ID and password. To view public reports, log out and then click [Access public filings](#) in the top right navigation bar.



# Viewing Summary Reports

Four summary reports are available to the public:

- Insider transaction detail
- Issuer event history
- Insider information by issuer
- Weekly summary

Insider transaction detail, insider information by issuer, and weekly summary reports are based on information filed by insiders. Issuer event history reports are based on information filed by issuers. Because information filed by insiders is easily available in the system within a few minutes, reports generated by SEDI are much more convenient and current than those based on conventional paper filing.

## Viewing Insider Transaction Detail Reports

Insider transaction detail reports display details about transactions that have been filed by insiders. These reports provide many more search filters that allow you to customize your search. For example, you can search for a specific insider, or for all insiders of a specific issuer. You can even search by a specific security or issuer industry.

To view an insider transaction detail report:

*SCREEN: Welcome to SEDI*



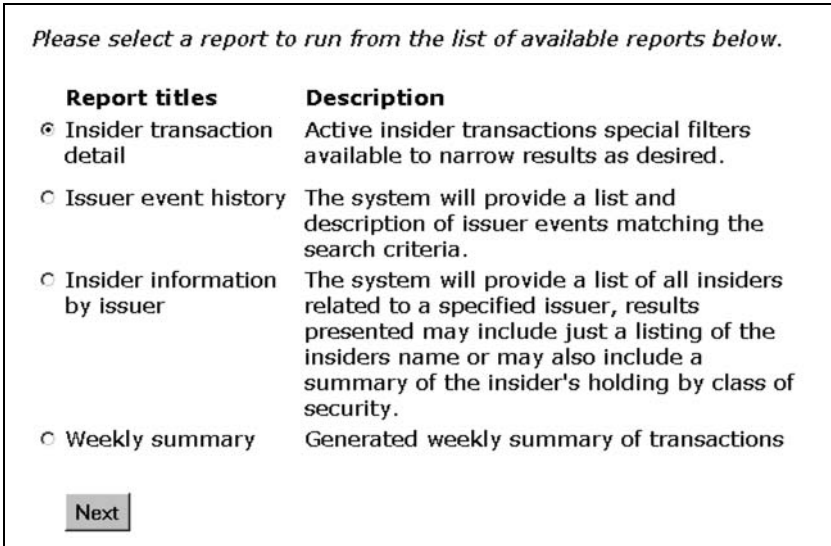
1. Click [Access public filings](#) in the top right navigation bar.

SCREEN: Introduction to access public filings activities



- 2. Click **View summary reports** in the left navigation bar.

SCREEN: View summary reports



- 3. Click the radio button beside **Insider transaction detail**.
- 4. Click **Next**.

SCREEN: Insider transaction detail - Enter Search criteria

- 5. Enter the criteria by which you want to search for insider transactions:  
If you are searching for reports by issuer, and you want the results to be sorted by security designation, click the **Security designation** radio button beside **Transactions sorted** by. Insider is selected by default.

In the **Identify insider or issuer** field, use the drop-down list box to choose Insider family name, Insider company name, or Issuer name.



If you select Insider family name, a field appears in which you can enter the insider's given name.

When searching, use the drop-down list box beside the field to further define your search parameters. Choose from:

- Starts with – Searches for items that begin with your entry in the field
- Exact match – Searches for items that exactly match your entry in the field

AND/OR

Under **Identify date range**, use the drop-down list boxes and fields to enter a date range within which the transaction occurred.



You can also search by a specific security or issuer industry classification.

To search by a security, click the check box beside the security's name. To include all securities within a security category in your search criteria, either leave all check boxes unchecked or click **Select all**. To deselect a security after selecting them all, click the check box beside the security.

To search by an issuer industry classification, click the industry in the **Issuer industry classification** field.

6. Click **Search**.

*SCREEN: Insider transaction detail - Select insider*

7. To view the transaction for a specific insider, click **View** beside the insider in the list.



If the transaction that you want to view does not appear in the list of transaction reports, click **Refine Search Criteria** to return to the *Insider transaction detail - Enter search criteria* screen.

If you searched by issuer, click **View** beside the issuer in the list.

## SCREEN: Insider transaction detail - View details for insider

The transactions displayed are sorted by security designation, registered holder, and then date of transaction.



In the report, reports about the same transaction are differentiated using the following codes:

- O – Original transaction
- A – Amended transaction
- A' – Second amendment to transaction. Further amendments are marked A'', A''', etc.
- AP – Amendment to paper filing
- AP' – Second amendment to paper filing. Further amendments are marked AP'', AP''', etc.

### OPTIONS

---

#### View Remarks

You can view reports with or without general remarks. Click [Yes](#) at the top of the report to toggle the remarks on and off.

#### Download PDF

To download a PDF of the report, click [Download PDF Report](#). The PDF opens in your browser. Click [Print](#) on your browser to print the report, and click [Back](#) on your browser to return to SEDI.

#### Refine Search

Click [Refine Search Criteria](#) to return to the *Insider transaction detail - Enter search criteria* screen.

#### View Search Results

Click [Return to Search Results](#) to return to the *Insider transaction detail - Select insider* screen.

## Viewing Issuer Event History Reports

Issuer event history reports display issuer event reports that have been filed by issuers. Event reports include issuer events, such as stock splits and consolidations, and aid reporting insiders by providing them with accurate and current information about the issuer.

To view an issuer event history report:

SCREEN: *Welcome to SEDI*



1. Click [Access public filings](#) in the top right navigation bar.

SCREEN: *Introduction to access public filings activities*



2. Click [View summary reports](#) in the left navigation bar.

SCREEN: *View summary reports*

Please select a report to run from the list of available reports below.

Report titles	Description
<input type="radio"/> Insider transaction detail	Active insider transactions special filters available to narrow results as desired.
<input checked="" type="radio"/> Issuer event history	The system will provide a list and description of issuer events matching the search criteria.
<input type="radio"/> Insider information by issuer	The system will provide a list of all insiders related to a specified issuer, results presented may include just a listing of the insiders name or may also include a summary of the insider's holding by class of security.
<input type="radio"/> Weekly summary	Generated weekly summary of transactions

3. Click the radio button beside [Issuer event history](#).
4. Click [Next](#).

## SCREEN: Issuer event history - Enter search criteria

5. Enter the criteria by which you want to search for issuer events:

Use the drop-down list boxes and fields provided to enter a **Date range of filing**. Search results only include issuer events that were filed with the date range.



To refine your search, you can:

- Enter an issuer name in the issuer name field. Use the drop-down list box beside the field to further define your search parameters.
- Select a jurisdiction, principal regulator, or issuer event type. To include all items within a category in your search criteria, either leave all check boxes unchecked or click **Select all**. To deselect an item after selecting all items in a category, click the check box beside the item.

6. Click **Search**.



If you used Issuer name as a search criteria on the *Issuer event history - Enter search criteria* screen, the *Issuer event history - Select issuer* screen opens.

To view the details for a particular issuer, click **View** beside the issuer in the list.

If the issuer that you want to view does not appear in the list of issuer event reports, click **Refine Search Criteria** to return to the *Issuer event history - Enter search criteria* screen.

## SCREEN: Issuer event history - View results

### OPTIONS

---

#### Download PDF

To download a PDF of the report, click **Download PDF Report**. The PDF opens in your browser. Click **Print** on your browser to print the report, and click **Back** on your browser to return to SEDI.

#### Refine Search

Click **Refine Search Criteria** to return to the *Insider transaction detail - Enter search criteria* screen.

## Viewing Insider Information by Issuer Reports

Insider information by issuer reports display a list of all insiders related to a specific issuer. This report provides the closing balances of all securities held by an insider for a specific issuer.

To view an insider information by issuer report:

*SCREEN: Welcome to SEDI*



1. Click [Access public filings](#) in the top right navigation bar.

*SCREEN: Introduction to access public filings activities*



2. Click [View summary reports](#) in the left navigation bar.

## SCREEN: View summary reports

Please select a report to run from the list of available reports below.

Report titles	Description
<input type="radio"/> Insider transaction detail	Active insider transactions special filters available to narrow results as desired.
<input type="radio"/> Issuer event history	The system will provide a list and description of issuer events matching the search criteria.
<input checked="" type="radio"/> Insider information by issuer	The system will provide a list of all insiders related to a specified issuer, results presented may include just a listing of the insiders name or may also include a summary of the insider's holding by class of security.
<input type="radio"/> Weekly summary	Generated weekly summary of transactions

3. Click the radio button beside **Insider information by issuer**.
4. Click **Next**.

## SCREEN: Insider information by issuer - Enter search criteria

5. Enter the criteria by which you want to search for insiders:
  - a) Use the drop-down list box to select Issuer name or Issuer number.
  - b) Enter the issuer's name or SEDAR profile number in the field.



When searching, use the drop-down list box beside the field to further define your search parameters. Choose from:

- Starts with – Searches for items that begin with your entry in the field
- Exact match – Searches for items that exactly match your entry in the field

When searching by issuer number, you can only select Exact match.

To further refine your search, specify a range of report dates as a search criteria using the drop-down list arrows and fields. When you specify a date range, the search results only include reports in which the last transaction that the insider filed for the issuer occurred within the date range.

6. Click **Search**.



## SCREEN: Insider Information by Issuer - Select Issuer

7. To view the details of an insider, click **View** beside the issuer in the list.



If the issuer whose insider information you want to view does not appear in the list of issuer reports, click **Refine Search criteria** to return to the *Insider information by issuer - Enter search criteria* screen.

## SCREEN: Insider Information by Issuer - View Results

### OPTIONS

---

#### Download PDF

To download a PDF of the report, click **Download PDF Report**. The PDF opens in your browser. Click **Print** on your browser to print the report, and click **Back** on your browser to return to SEDI.

#### Refine Search

Click **Refine Search Criteria** to return to the *Insider information by issuer - Enter search criteria* screen.

#### View Search Results

Click **Return to Search Results** to return to the *Insider Information by Issuer - Select Issuer* screen.

## Viewing Weekly Summary Reports

Weekly summary reports display all transactions filed in SEDI in the last week. Weekly reports are generated every Thursday at 4:00 p.m., and they are posted on the SEDI web site overnight. Weekly summary reports for the last three weeks are posted on SEDI. Weekly reports are sorted by:

- Insider – Lists all the trading activities by issuer for each insider within the specified period
- Class of security – Lists all the trading activities by issuer for each security (e.g., common shares, preferred shares, etc.) within the specified period



Because of the large volume of information contained in a weekly summary report, these files are quite large and can take several minutes to download. If you are interested in a particular insider or issuer, or if you require information that is more than three weeks old, consider viewing an insider transaction detail report. For more information, see [Viewing Insider Transaction Detail Reports](#) on page 161.

To view a weekly summary report:

*SCREEN: Welcome to SEDI*



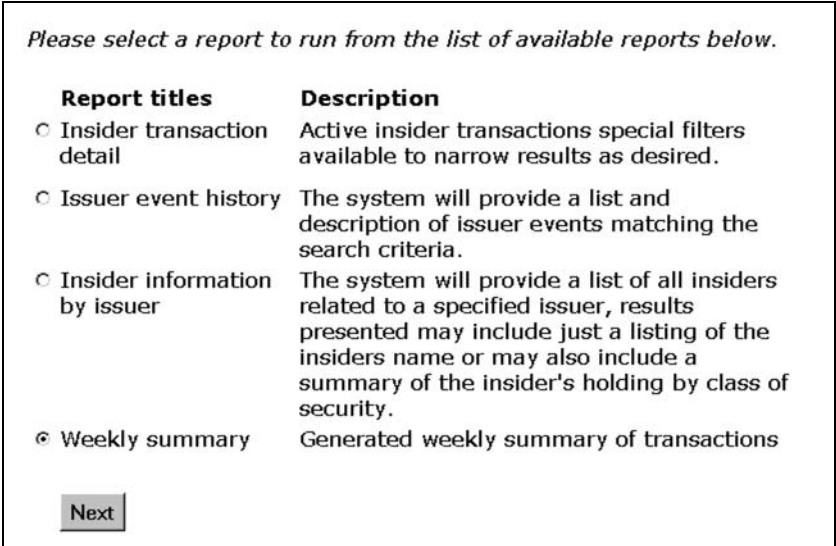
1. Click [Access public filings](#) in the top right navigation bar.

SCREEN: Introduction to access public filings activities



- 2. Click **View summary reports** in the left navigation bar.

SCREEN: View summary reports



- 3. Click the radio button beside **Weekly summary**.
- 4. Click **Next**.

SCREEN: Weekly summary - Download a report



5. Click **PDF** beside the report, and then click **OK** in the dialog box to download the desired report.



These reports can be quite large, and downloading may take several minutes.

In the report, reports about the same transaction are differentiated using the following codes:

- O – Original transaction
- A – Amended transaction
- A' – Second amendment to transaction. Further amendments are marked A'', A''', etc.
- AP – Amendment to paper filing
- AP' – Second amendment to paper filing. Further amendments are marked AP'', AP''', etc.

The PDF report opens in your browser. Click **Print** on your browser to print the report, and click **Back** on your browser to return to SEDI.

# Viewing Insider Information

Some of the information about insiders filed in SEDI is publicly available.



Personal information, such as address and telephone number, is not included in public reports.

To view insider information:

*SCREEN: Welcome to SEDI*



1. Click [Access public filings](#) in the top right navigation bar.

*SCREEN: Introduction to access public filings activities*



2. Click [View insider information](#) in the left navigation bar.

SCREEN: View insider information

### View insider information

Select one of the following options:

**Option 1** Search by entering the insider number.  
Insider number

**Option 2** If this insider is an individual, search by entering the insider name.  
Insider family name

Insider given names

**Option 3** If this insider is a company, search by entering the insider company name.  
Insider company name

**Option 4** Search for all insiders of an issuer by entering the issuer number.  
Issuer number

**Option 5** Search for all insiders of an issuer by entering the issuer name.  
Issuer name

- 3. Search for the insider using one of the following options:
  - Option 1 – Enter the insider number in the **Insider number** field. The insider number is issued when the insider profile is created. For more information, see [Creating an Insider Profile](#) on page 29.
  - Option 2 – Enter the insider’s family and given names in the **Insider family and given name** fields (if the insider is an individual).
  - Option 3 – Enter the insider’s company name in the **Insider company name** field (if the insider is a company.)
  - Option 4 – Enter the SEDAR profile number of the issuer for which the insider is an insider in the **Issuer number** field.
  - Option 5 – Enter the name of the issuer for which the insider is an insider in the **Issuer name** field.



When searching, use the drop-down list boxes beside the fields to further define your search parameters. Choose from:

- Starts with – Searches for items that begin with your entry in the field
- Contains – Searches for items that contain your entry in the field
- Exact match – Searches for items that exactly match your entry in the field

4. Click **Search**.



To clear all fields, click **Reset**.

*SCREEN: View insider information - View search results*

## View insider information - View search results

Legend: ▲ - Previous insider name matched search criteria. Current insider name displayed.

Insider full name	Insider number	Insider municipality	Issuer name (English)	Issuer name (French)
<input checked="" type="radio"/> Doe, John James	JDOE002	Toronto	ABC Company Inc.	Compagnie ABC Inc.

5. Click the radio button beside the insider whose profile you want to view.

6. Click **Next**.



If the desired insider does not appear in the search results, click **New Search** to return to the *View insider information* screen, and change or refine your search.

*SCREEN: View insider profile*



To print a copy of the insider profile, click **Printer friendly version**. SEDI displays the profile in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.



# Viewing Issuer Information

Some information about issuers is publicly accessible through SEDI. This information is filed on the System for Electronic Document Analysis and Retrieval (SEDAR) and in SEDI.



Some information filed about issuers is confidential, and is not included in public reports.

To view issuer information:

*SCREEN: Welcome to SEDI*



1. Click [Access public filings](#) in the top right navigation bar.

*SCREEN: Introduction to access public filings activities*



2. Click [View issuer information](#) in the left navigation bar.

*SCREEN: Select issuer*

3. Search for the issuer using one of the following options:

- Option 1 – Enter the SEDAR profile number in the **Issuer number** field.
- Option 2 – Enter the issuer's name in the **Issuer name** field.



When searching, use the drop-down list boxes beside the fields to further define your search parameters. Choose from:

- Starts with – Searches for items that begin with your entry in the field
- Contains – Searches for items that contain your entry in the field
- Exact match – Searches for items that exactly match your entry in the field

4. Click **Search**.



To clear all fields, click **Reset**.

*SCREEN: Select issuer - View search results*

5. Click the radio button beside the issuer about which you want to view information.

6. Click **Next**.



If the desired issuer does not appear in the search results, click **New Search** to return to the *View insider information* screen, and change or refine your search.

SCREEN: View issuer profile and supplement

The screenshot shows the SEDI website interface. At the top, there is a navigation bar with links for 'Login', 'Contact us', 'Help', and the date 'April 3, 2003'. Below this, there are links for 'Register as a SEDI user' and 'Access public filings'. The main header area displays 'Issuer: ABC Company Inc' and the title 'View issuer profile and supplement'. A left sidebar contains several menu items: 'View insider information', 'View issuer information', 'View issuer profile and supplement' (which is highlighted), 'View issuer event report', 'View security designation', and 'View summary reports'. The main content area is divided into two columns. The left column lists various fields, and the right column provides the corresponding values. The fields include Issuer number, Full legal name (English and French), Industry classification, Jurisdiction(s) where reporting issuer, Stock symbol, Stock exchanges or markets, Previous Issuer, and Head office. The Head office section is further divided into Department, Address (street name and number, etc.), Municipality (city, town, etc.), Province, territory or state, Country, Postal code or zip code, Daytime telephone number, and Fax number. This information is repeated for both the 'Head office' and 'Mailing address' sections. At the bottom of the page, there is a note: 'To print this information, click Printer friendly version.' and a button labeled 'Printer friendly version'.

The left navigation bar expands to include the following options:

- View issuer profile and supplement
- View issuer event report
- View security designation

## View issuer profile and supplement

Select this option to view the relevant sections of the issuer profile in SEDAR and supplement from SEDI.



To print a copy of the issuer profile supplement, click **Printer friendly version**. SEDI displays the issuer profile supplement in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

## View issuer event report

Select this option to view event reports filed by the issuer.

SCREEN: *View issuer event report*

### View issuer event report

Select an issuer event report from the list below:

	Effective date	Filing date	Issuer event type	Issuer event title
<input type="radio"/>	2003-04-01	2003-04-02	Stock Split	Stock Split on Special Shares / Division des Actions spéciales
<input checked="" type="radio"/>	2003-04-02	2003-04-02	Stock Consolidation	Stock Consolidation on Special Shares / Regroupement des Actions spéciales
<input type="radio"/>	2003-04-01	2003-04-02	Amalgamation, Merger or Reorganization	ABC Company Inc. (ABC) merger with XYZ Company Inc./ Fusion de la Compagnie ABC Inc. (ABC) avec la Compagnie XYZ Inc.

1. Click the radio button beside the event report that you want to view.
2. Click **Next**.

SCREEN: *View issuer event report - View information*



To print a copy of the issuer event report, click **Printer friendly version**. SEDI displays the issuer profile supplement in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

## View security designation

Select this option to view a list of Outstanding and Archived securities in the issuer profile supplement.

*SCREEN: View Security Designation*

### View security designation

For more information about a security listed below, select that security and click Next.

#### Outstanding securities

Security designation	Underlying security designation	Filing date
<input type="radio"/> Common Shares		2003-04-01
<input type="radio"/> Preferred Shares Series 14		2003-04-03

#### Archived securities

Security designation	Underlying security designation	Archive date
<input type="radio"/> Options	Common Shares	2003-04-01

1. Click the radio button beside the security that you want to view.
2. Click **Next**.

*SCREEN: View security designation - View details of security*



To print the details about the security, click **Printer friendly version**. SEDI displays the details in a format that is easily printed, and your browser's Print dialog box opens. Click **Back** in the SEDI screen (NOT on the browser) to return to SEDI.

# Troubleshooting

This chapter contains commonly asked questions about using the SEDI web site.

For information about compliance with Canadian securities legislation, specific questions about your insider reporting requirement, and help navigating in the system, see the Canadian Securities Administrators (CSA) web site at [www.csa-acvm.ca](http://www.csa-acvm.ca), or the web site for the securities regulatory authority in your jurisdiction.

For technical support and password/access key problems, contact the CDS INC. help desk at 1-800-219-5381. Service is available in English and French.

Question	Answer
How do I know if I've filed my report correctly?	SEDI will generate an error message if you have performed an illegal action within the system. If there are discrepancies in the information that you submit, staff from the securities regulatory authority will contact you.
Does SEDI accept wildcard characters when searching? What about AND or OR statements? That is, can I search for two items at once (a AND b), or one of two items (a OR b) at once?	No, SEDI does not accept wildcard characters or AND, OR statements. Search parameters are defined for each search.
What happens if two users concurrently try to file information for an issuer (or an insider)?	The second user trying to file will receive an error message.
I clicked <b>Back</b> on my browser. What can I do?	Click in the navigation bar to re-try the operation. If you are unsuccessful, log out of SEDI, and then log back in. If you cannot log out, close your Internet browser, re-open it, and try to log in. <u>Any information that you have entered but not certified or filed is deleted when you log out.</u>
My browser shows "page not available." What can I do?	Contact the CDS INC. help desk.
The system is very slow. What can I do?	Contact the CDS INC. help desk.

Question	Answer
My browser or computer crashed halfway through filing. What can I do?	<p>When your browser crashes, SEDI may lock you out of the system for 20 minutes. If you cannot log in after 20 minutes, contact the CDS INC. help desk.</p> <p>If you had not certified your report before the crash, you will be required to enter the information again.</p> <p>If you are unable to complete your insider report before your filing deadline because of a technical problem, you may use the temporary hardship exemption. File the report using the paper insider report form, and write "TEMPORARY HARDSHIP EXEMPTION FILING" at the top of the form. Fax the paper form to your securities regulatory authorities.</p>
I made a mistake on a previous screen. What can I do?	<p>If you have submitted data to the server (using a button such as Certify or File), you can edit or amend the information. To check if your data has been filed, view the public reports.</p> <p>If you have not submitted data to the server, click <b>Cancel</b> or <b>Edit</b>. If there is no Cancel button, click the link to return to your home page (<i>Agent home page, Insider home page, or Issuer representative home page</i>), and start the task over.</p>
Why can't I log in to SEDI?	<p>SEDI locks you out of the system for 20-30 minutes if:</p> <ul style="list-style-type: none"> <li>• You have attempted to log in with an incorrect password three times in a row</li> <li>• You closed your browser while logged in to SEDI</li> </ul> <p>After 20-30 minutes, you can log in with the correct password.</p>
Do passwords/access keys expire? When?	<p>Passwords expire after 1 year + 90 days. Access keys do not expire.</p>
I've forgotten my password. What can I do?	<p>Contact the CDS INC. help desk. Ensure that you have the answer to the confidential question you supplied when you created your account.</p>
How long does it take to activate my SEDI account?	<p>If you fax in Form 55-102F5 (Register as a SEDI user), it normally takes approximately 24 hours to validate your account.</p>

Question	Answer
Do I need a SEDI account to view reports?	No. All members of the public can view reports. Click <a href="#">Access public filings</a> in the top right navigation bar.
If my account has been deactivated or cancelled, can I create a new one?	Yes.



# Appendix 1: Balances

When you file insider reports, SEDI calculates balances for each holding of securities that you own. SEDI defines a holding as the combination of: issuer, security designation, and registered holder.

The first time you file an insider report for a security, SEDI prompts you for an opening balance for that holding. The next time you file a report for the same holding (i.e., matching by issuer, security designation, registered holder), SEDI adds or subtracts your acquisition or disposition accordingly. When you finish filing the insider report, SEDI displays the closing balance it has calculated for the security.

This appendix contains the following sections:

- [Holdings](#)
- [Securities](#)
- [Balance Dates](#)

## Holdings

SEDI calculates a unique balance for each holding filed for the issuer. A holding is a combination of the security designation and the registered holder.

### Example

If you hold common shares of an issuer both directly and indirectly, you report both holdings separately as follows:

Filing Date	Transaction Date	Security Designation	Ownership Type	Registered Holder	Opening Balance	Acquisition (+) /Disposition (-)	Balance
Jan 10	Jan 1	Common Shares	Direct	N/A	0	+500	500
Jan 10	Jan 1	Common Shares	Indirect	RRSP	0	+200	200

SEDI recognizes that you have two distinct holdings and calculates a balance for each one.

## Securities

To specify a security in SEDI, you select a security category and then specify a security designation. The security designation includes a security name (selected from the drop-down list box) and the additional description (if you have provided one). The options in the Security name drop-down list box depend on the security category you have selected.

The security categories and their associated security names are outlined in the following table:

Security Category	Security Name <sup>a</sup>
Debt	Bonds Commercial Paper Convertible Debentures Convertible Notes Debentures Medium Term notes Notes Other Promissory Notes
Equity	American Depository Receipts Common Shares Convertible Preferred Shares Exchangeable Shares General Partnership Units Instalment Receipts Limited Partnership Units Multiple Voting Shares Non-Voting Shares Other Participation Units Preferred Shares Special Shares Subordinate Voting Shares Trust Units Units
Issuer Derivatives	Options Other Rights Special Warrants Subscription Rights Warrants

Security Category	Security Name <sup>a</sup>
Third Party Derivatives	Equity Swap - Long Position Equity Swap - Short Position Exchange Traded Call Options Exchange Traded Put Options Forward Purchase Forward Sale Futures Contract - Long Position Futures Contract - Short Position OTC Calls (including Private Options to Purchase) OTC Puts (including Private Options to Sell) Other

a. If you select Other as the security name, SEDI displays the information you provide in the Additional description field as the security designation.

SEDI also uses groups to identify securities and calculate their balances correctly. SEDI divides security designations into the following groups:

- Outstanding securities
- Archived securities
- Insider-defined securities

## Outstanding Securities

The Outstanding securities list is defined by the issuer. When the issuer creates an issuer profile supplement, they provide a list of all securities held by their insiders. These securities appear on the Outstanding securities list.

## Archived Securities

The Archived security designation list is also defined by the issuer. If an issuer archives a security, you can still file an insider report about it, and SEDI adds the balances accordingly.

## Insider-defined Securities

You may need to file an insider report about a security that is not defined in the issuer profile supplement: for example, a third party derivative (call option) that is not issued by

the issuer. In this case, the security is one that you have defined yourself, so it does not appear in the Outstanding securities or Archived security designation lists.



If the security is issued by your issuer but is not on the Outstanding securities or Archived security designation list, contact the issuer and have them add the security to their issuer profile supplement. Do not create an insider-defined security.

In limited circumstances where you will be unable to meet your filing requirement because your issuer has not added a security to their issuer profile supplement, you may need to add an insider-defined security. When you file a report about an insider-defined security, the security is not added to the issuer profile supplement, and SEDI does not recognize the security as one defined by your issuer. Because SEDI considers the insider-defined security to be unique, transactions filed for an insider-defined security do NOT affect the balances that SEDI calculates for securities issued by your issuers, even if the name of the security is the same.

If, after you have filed a report about an insider-defined security, the issuer adds that security to the outstanding securities list, your SEDI balance will not be automatically updated. In this case, you must manually correct it as follows: File another report for the insider-defined security, but select Nature of transaction code 99 - Correction of information, and report an equal and opposite transaction. See the following example.

### Example

If you want to file a report for a grant from your issuer for 500 options that can be exercised into common shares, and the option does not appear in the Outstanding securities list, you need to add an insider-defined security in order to meet your filing requirement.



You should only create an insider-defined security if the issuer cannot add the security to the Outstanding securities list before your filing deadline.

Create the insider-defined security Options (Common Shares), and file your insider report.

If the issuer then adds Options (Common Shares) to the Outstanding securities list and you file a transaction against this security, SEDI will not add the balance of this transaction to your first transaction. Because the transactions are filed for an insider-defined security and an outstanding security, SEDI considers them different securities.

To reconcile your SEDI balances, you must file two transactions:

1. First, file an equal and opposite transaction for the insider-defined security. When you file, select Options (Common Shares) in your Insider-defined security list, select Nature of transaction code 99 - Correction of information, and report that you disposed of 500 options (common shares).
2. Second, file a report for the security in the Outstanding securities list. When you file, select Options (Common Shares) from the Outstanding securities list, select Nature of transaction code 99 - Correction of information, and report that you were granted 500 options (common shares).

For both transactions, enter the same transaction date you reported in the original transaction report.

## Balance Dates

Opening and closing balances in SEDI are calculated by transaction date, not by filing date. If you file transactions in a different order than that in which they occurred, SEDI recalculates the opening and closing balances of each transaction to accurately reflect a running balance based on the dates on which the transactions occurred.

### Example

If you file the following two transactions on January 5:

Filing Date	Transaction Date	Opening Balance	Acquisition (+)/ Disposition (-)	Closing Balance
January 5	January 1	1000	+500	1500
January 5	January 4	1500	+300	1800

and then file a report on January 10 for an acquisition of 500 that occurred on January 3, SEDI inserts the transaction into transaction date sequence, and recalculates the opening and closing balances as follows:

Filing Date	Transaction Date	Opening Balance	Acquisition (+)/ Disposition (-)	Closing Balance
January 5	January 1	1000	+500	1500
January 10	January 3	1500	+500	2000
January 5	January 4	2000	+300	2300

Note that the opening and closing balances for the transaction that occurred on January 4 (in the last row of the above table) has changed to reflect the acquisition that you made on January 3.

## **Certifying the Closing Balance**

When you file or amend an insider report, SEDI prompts you to certify the closing balance that it has calculated for the security. If you disagree with the closing balance, you can enter another value in the Insider's defined balance field.



When you report an insider-defined balance, the calculated SEDI balance is not updated, and will not appear as the opening balance when you file your next insider report. Staff from your securities regulatory authority will contact you to resolve the discrepancy.

Remember that SEDI balances only reflect transactions that you have reported on the system. If the SEDI closing balance is incorrect because of exempt trades that you have not filed in SEDI (for example, trades related to automatic securities purchase plans), do not enter a value in the Insider's calculated balance field. SEDI balances should only reflect transactions that you have filed in SEDI.

## **Amendments to Paper Filings**

When you amend insider reports filed in SEDI, the system recalculates your balance as appropriate. However, if you file an amendment to a paper filing, this amendment does NOT affect the balance of your securities. To update the balance of your securities, amend the opening balance on your initial insider report.

# Appendix 2: Commonly Filed Trades

This appendix contains examples of commonly filed trades. Note that this is not an exhaustive procedure for filing insider reports. For detailed instructions on filing insider reports, see [Filing an Insider Report](#) on page 107.

## Filing an Initial Report

The following example describes how to file an initial SEDI report about 200 common shares that you own directly.

To file the insider report:

1. Begin filing your insider report as described in [Filing an Insider Report](#) on page 107.

*SCREEN: File insider report - Select security designation*

The screenshot shows a web browser window with the following content:

- Process tracker: [Select issuer](#) -> [Select security designation](#) -> [select ownership type/registered holder](#) -> [obtain transaction information](#) -> [file and certify](#)
- Insider: insider, jennifer
- Issuer: Datawave System
- Insider profile | Insider report | Your user information
- File insider report | Amend insider transaction
- File insider report - Select security designation**
- Select a security designation from the list below:

Security designation	Underlying security designation
<b>Outstanding securities</b>	
<input type="radio"/> Options	(Common Shares )
<input checked="" type="radio"/> Common Shares	
<b>Insider-defined security</b>	
<input type="button" value="Add insider-defined security"/>	

The archived security list contains those securities that are no longer outstanding for this issuer and those securities that may no longer be issued.

**Archived security designation**

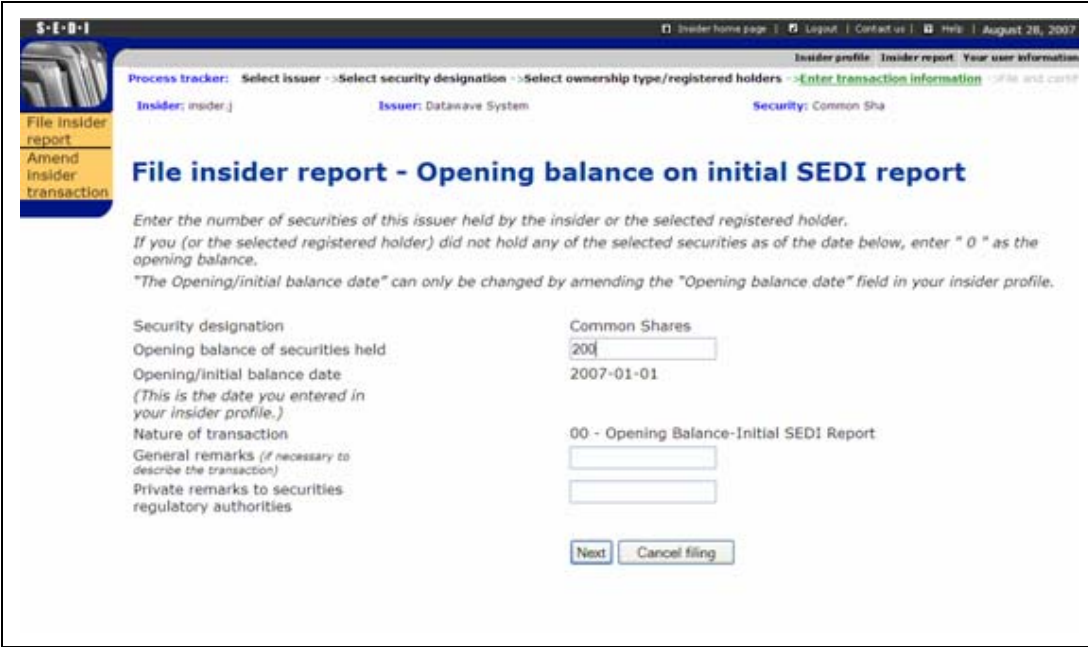
2. Select **Common Shares** in the Outstanding securities list.

SCREEN: File insider report - Select ownership type



3. Select **Direct Ownership** as the Ownership type.

SCREEN: File insider report - Enter transaction information



4. Fill out the fields as shown.



## SCREEN: File insider report - Final review

The screenshot displays a web application interface for filing an insider report. At the top, there is a process tracker with steps: 'Select issuer', 'Select security designation', 'Select ownership type/registered holders', 'Enter transaction information', and 'File and cert'. The user is logged in as 'insider.j' for the issuer 'Datawave System' and the security 'Common Sha'. The main heading is 'File insider report - Final review'. Below this, a message asks the user to review the transaction before certifying it. The transaction details are as follows:

Security designation	Common Shares
Opening balance of securities held	200
Date of transaction	2007-01-01
Nature of transaction	00 - Opening Balance-Initial SEDI Report

Below the table, there are two text input fields: 'General remarks (if necessary to describe the transaction)' and 'Private remarks to securities regulatory authorities'. At the bottom, there are 'File' and 'Cancel' buttons.

5. File and certify your insider report.

## Filing an Acquisition of Options Exercisable into Common Shares

The following example describes how to file an insider report in which:

- You are reporting a grant of 2000 options that are exercisable into common shares.
- You are the direct owner of the options.

To file the insider report:

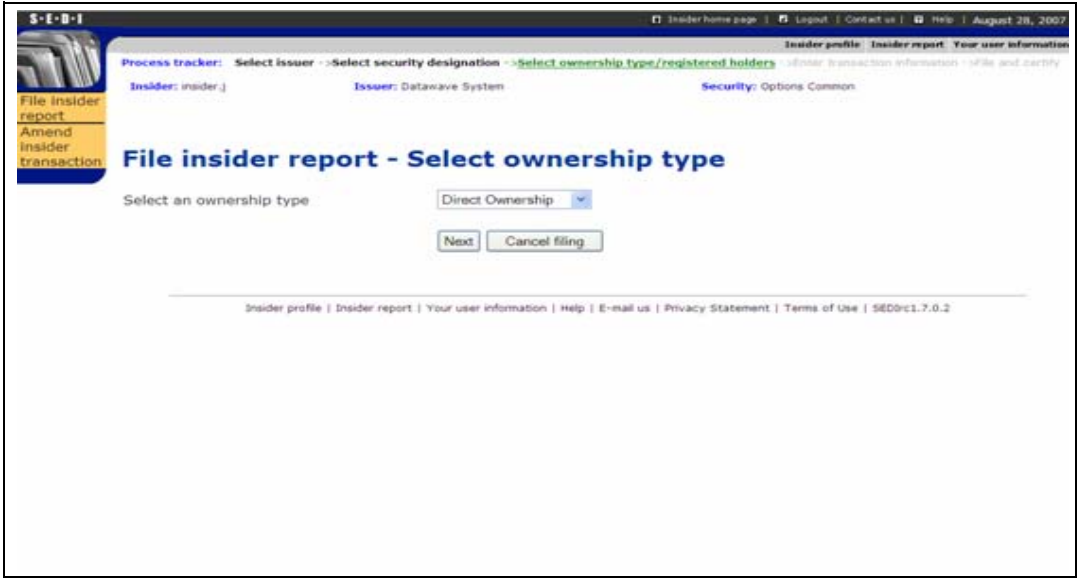
1. Begin filing your insider report as described in [Filing an Insider Report](#) on page 107.

SCREEN: File insider report - Select security designation



- 2. Select **Options (Common shares)** in the Outstanding securities list.

SCREEN: File insider report - Select ownership type



- 3. Select **Direct Ownership** as the Ownership type.

SCREEN: File insider report - Enter transaction information

**File insider report - Enter transaction information**

[Guidelines on derivatives](#)

Security designation Options (Common Shares)

Date of transaction

Nature of transaction

**Enter the number or value of securities or contracts acquired or disposed of:**

Number or value of securities or contracts acquired  or Number or value of securities or contracts disposed of

**Enter the equivalent number or value of underlying securities acquired or disposed of:**

Equivalent number or value of underlying securities acquired  or Equivalent number or value of underlying securities disposed of

Unit price or exercise price   Not Applicable Currency

Conversion or Exercise price   Not Applicable Currency

Date of expiry or maturity     Not Applicable

General remarks (if necessary to describe the transaction)

Private remarks to securities regulatory authorities

4. Fill out the fields as shown.

SCREEN: File insider report - Final review

**S-E-D-I** Insider home page | Logout | Contact us | Help | August 28, 2007

Insider profile | Insider report | Your user information

**Process tracker:** Select issuer -> Select security designation -> Select ownership type/registered holders -> Enter transaction information -> [File and certify](#)

Insider: insider.j      Issuer: Datawave System      Security: Options Common

### File insider report - Final review

Please review this transaction before you certify it.

Security designation	Options (Common Shares)		
Opening balance of securities or contracts held	2000		
Date of transaction	2007-08-13		
Nature of transaction	50 - Grant of options		
Number or value of securities or contracts acquired	2000		
Equivalent number or value of underlying securities acquired	2000		
Number or value of securities or contracts disposed of			
Equivalent number or value of underlying securities disposed of			
Unit price		Currency	
Conversion or Exercise price	60.00	Currency	Canadian Dollar
Date of expiry or maturity	2008-06-24		

*If the closing balance of the securities or contracts is incorrect, enter the correct balance in the Insider's calculated balance. If you provide a balance here, a securities regulatory authority may ask you to reconcile your closing balance numbers.*

Closing balance of securities or contracts held	4000	Insider's calculated balance	<input type="text"/>
---	------	------------------------------	----------------------

General remarks (if necessary to describe the transaction)      Options granted for 2007.  
 Private remarks to securities regulatory authorities

5. File and certify your insider report.

## Filing an Acquisition of Common Shares

The following example describes how to file an insider report in which:

- You are reporting that you bought 1700 common shares in the public market.
- The shares are owned indirectly through a family trust.

To file the insider report:

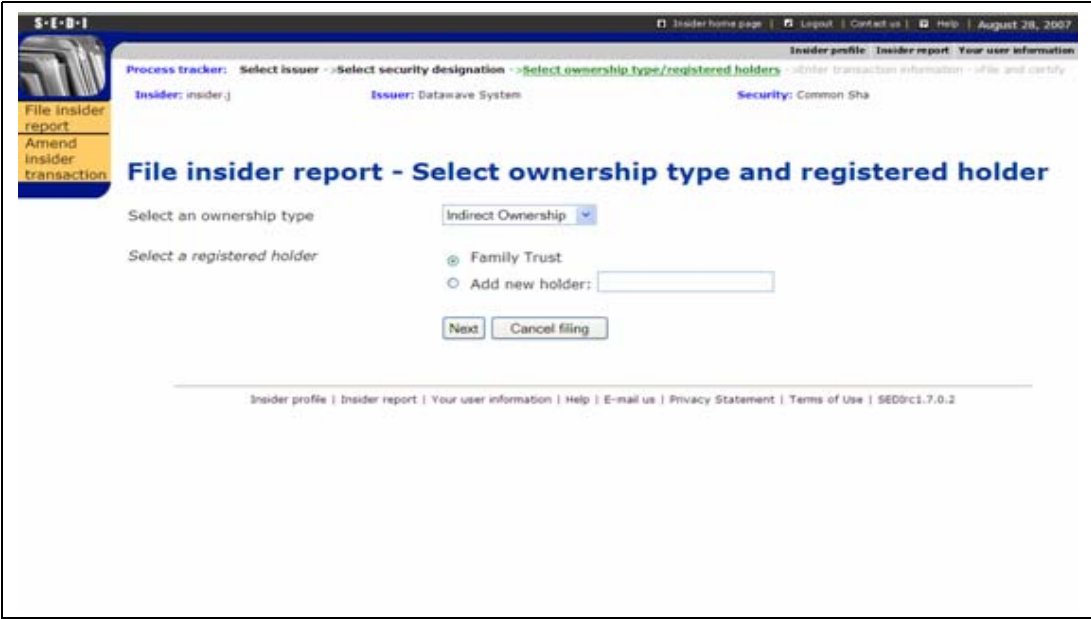
1. Begin filing your insider report as described in [Filing an Insider Report](#) on page 107.

*SCREEN: File insider report - Select security designation*

The screenshot shows the SEC EDGAR filing system interface. At the top, there is a navigation bar with links for 'Insider home page', 'Logout', 'Contact us', 'Help', and the date 'August 28, 2007'. Below this is a 'Process tracker' showing the current step as 'Select security designation'. The user is identified as 'Insider: insider, jennifer' and the issuer as 'Datawave System'. The main heading is 'File insider report - Select security designation'. A message prompts the user to 'Select a security designation from the list below:'. Below this is a table with two columns: 'Security designation' and 'Underlying security designation'. Under the 'Outstanding securities' section, there are two radio button options: 'Options' and 'Common Shares'. The 'Common Shares' option is selected. Below this is an 'Insider-defined security' section with an 'Add insider-defined security' button. At the bottom, there is a note about the 'Archived security list' and two buttons: 'Next' and 'Cancel filing'.

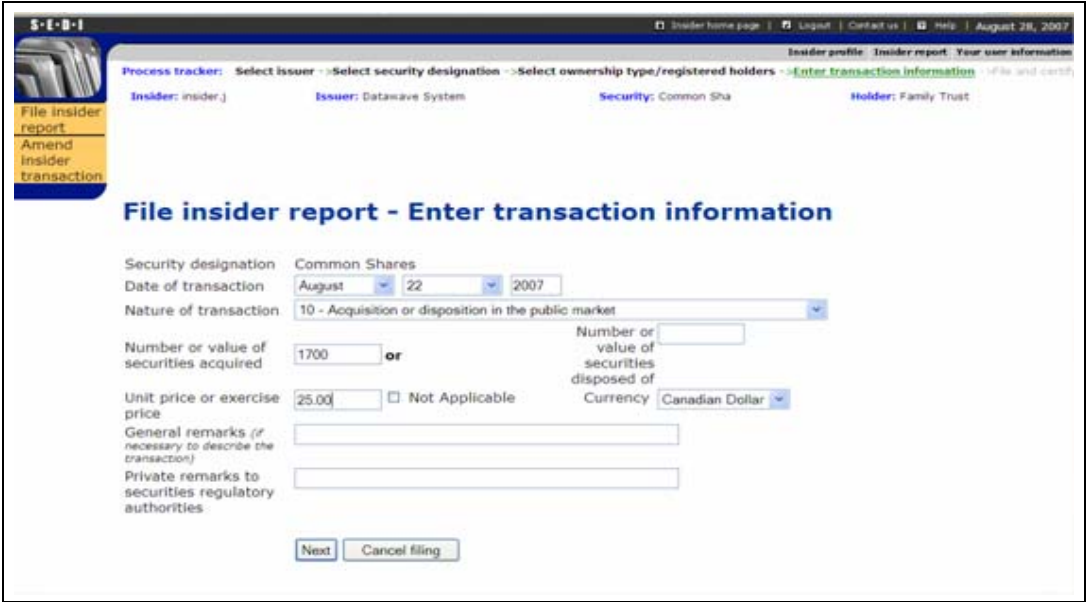
2. Select **Common Shares** in the Outstanding securities list.

SCREEN: File insider report - Select ownership type



- 3. Select **Indirect Ownership** as the Ownership type.
- 4. Select **Family Trust** as the Registered holder.

SCREEN: File insider report - Enter transaction information



- 5. Fill out the fields as shown.

SCREEN: File insider report - Final review

**File insider report**  
**Amend insider transaction**

### File insider report - Final review

Please review this transaction before you certify it.

Security designation	Common Shares		
Registered holder	Family Trust		
Opening balance of securities held	0		
Date of transaction	2007-08-22		
Nature of transaction	10 - Acquisition or disposition in the public market		
Number or value of securities acquired	1700		
Unit price or exercise price	25.00	Currency	Canadian Dollar

*If the closing balance of the securities or contracts is incorrect, enter the correct balance in the Insider's calculated balance. If you provide a balance here, a securities regulatory authority may ask you to reconcile your closing balance numbers.*

Closing balance of securities held	1700	Insider's calculated balance	<input type="text"/>
------------------------------------	------	------------------------------	----------------------

General remarks (if necessary to describe the transaction)  
Private remarks to securities regulatory authorities

6. File and certify your insider report.

# Appendix 3: Nature of Transaction Codes

The following table describes the nature of transaction codes you can use to file insider reports.



These codes are current as of the publication of this book. Nature of transaction codes can change slightly.

Code	Description
00	Opening Balance - Initial SEDI Report
10	Acquisition or disposition in the public market
11	Acquisition or disposition carried out privately
15	Acquisition or disposition under a prospectus
16	Acquisition or disposition under a prospectus exemption
22	Acquisition or disposition pursuant to a take-over bid, merger or acquisition
30	Acquisition or disposition under a purchase/ownership plan
35	Stock dividend
36	Conversion or exchange
37	Stock split or consolidation
38	Redemption, retraction, cancellation, repurchase
40	Short sale
45	Compensation for property
46	Compensation for services
47	Acquisition or disposition by gift
48	Acquisition by inheritance or disposition by bequest
50	Grant of options
51	Exercise of options
52	Expiration of options
53	Grant of warrants
54	Exercise of warrants



Code	Description
55	Expiration of warrants
56	Grant of rights
57	Exercise of rights
58	Expiration of rights
59	Exercise for cash
70	Acquisition or disposition (writing) of third party derivative
71	Exercise of third party derivative
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90	Change in the nature of ownership
97	Other
99	Correction of information

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