



PREPARING YOUR REQUIRED DOCUMENTS  
FOR SUBMISSION

November 2022

To be considered valid for pre-launch Onboarding, all submitted legal agreements must be:

1. a PDF document that is not a scan or images of a printed page;
2. signed by the authorized signatory or signatories (such as by having the signatory or signatories insert their signature image(s) or using the [Fill & Sign tool to easily fill, sign, and send your forms or documents electronically.](#)
3. less than 8 MB in size; and,
4. use the relevant file naming convention, outlined below.

### File naming convention

**S** = subscriber number of self-filer or filing agent

**ISS** = issuer number

**NRD** = NRD number

Replace the highlighted text with the relevant number.

Scenario	Electronic Filer Agreement	Filing Agent Authorization Agreement
Self-filing issuer or filing agent subscriber	EFA_S_99999.pdf	n/a
Corporate issuer agreements submitted by a filing agent	EFA_S_99999_ISS_55555.PDF	FAAF_S_99999_ISS_55555.PDF
Investment fund issuer agreements submitted by a filing agent	EFA_S_99999_NRD_22222.PDF	FAAF_S_99999_NRD_22222.PDF

**Flat data file option:**

For organizations that have capability, the Canadian Securities Administrators is offering a flat data file submission option. To learn more about the data extract programming and technical requirements, please contact SEDAR+ Transition.

**Fillable profile PDF option:**

To be considered valid for pre-launch SEDAR+ Onboarding, all submitted supplementary files must use the following naming convention:

**S** = subscriber number of self-filer or filing agent submitting the profile

**ISS** = issuer number

**NRD** = NRD number

Profile type	Naming convention
Company	CO_S_99999_ISS_55555.PDF
Investment Fund Manager	IFM_S_99999_NRD_22222.PDF
Investment Fund	FUND_S_99999_NRD_22222.PDF
Investment Fund Group	GRP_S_99999_NRD_22222.PDF
Third Party Filer	TPF_S_99999_ISS_55555.PDF

**Profile submission requirements for self-filers**

**If you are a corporate issuer who files on behalf of your own organization only**, please complete and submit ‘Company profile’.

**If you are an investment fund issuer who files on behalf of your own organization only**, please complete and submit:

- ‘Investment Fund Manager profile’

- ‘Investment Fund profile’ for each Investment Fund
- ‘Investment Fund Group profile’ for each Investment Fund Group

**Profiles submission requirements for Filing Agents**

- When you are designated as ‘primary’ filing agent on an EFA, complete and submit:
  - ‘Company profile’ for all Corporate Issuers
  - ‘Third Party Filer’ for all Third Party Filer organizations and individuals
  - ‘Investment Fund Manager profile’ for all Investment Fund Managers (IFMs)
    - ‘Investment Fund profile’ for each Investment Fund managed by the IFMs
    - ‘Investment Fund Group profile’ for each Investment Fund Group managed by the IFMs

**Definitions**

Company – a Company is an issuer other than an investment fund. This includes issuers regardless of their legal structure, including incorporated or unincorporated entities, trusts or partnerships.

Third Party Filer (TPF) – a Third Party Filer (TPF) is an Individual or Organization required or permitted to file a document because of an activity relating to or affecting an issuer or the issuer’s security holders. A TPF is not required to have a company or investment fund profile in SEDAR+.