

Using Agents Accounts



What is an Agent account?

Agents accounts are designed to be used by third parties on behalf of the issuers or insiders they represent. You must be authorized by the issuer or insider to file on their behalf. An agent account allows filing agents (such as lawyers and accountants) to report insider trading activities and issuer information on behalf of one or more insiders or issuers.

Each issuer or insider must have its own profile. The agent can create insider profiles and issuer profile supplements. They can also add insiders or issuers who have already created insider profiles and issuer profile supplements to their account. SEDI's search function allows agents to add to their list profiles for issuers or insiders on whose behalf they will be filing.

As an Agent, how do I perform activities on behalf of an insider?

Use the drop-down list box to select the insider from your insider list or enter the insider number in the insider number field.

Enter the insider's case-sensitive access key in the Insider access key field and click **"Next"**. You will be taken to the **"Insider activities"** screen where you can view or amend an insider profile, file or amend insider reports or change the insider access key.

How do I create an insider's profile on SEDI?

1. Once the SEDI Administrator activates your Agent user account you can create an Insider profile.
2. From the **Agent home page**, click on **"Create insider profile"**.
3. Enter the insider's personal information, OR
4. If the insider is a company, click **"Insider company information"**. Enter the company information in the fields provided and click the radio button beside the insider's preferred language of correspondence.
5. Enter a question to which only you and the Insider know the answer in the **"Confidential question"** field. Enter the answer to the question in the **"Answer to the confidential question"** field and click **"Next"** (note: The CSA Service Desk will require you or the insider to provide the answer to the confidential question should you or the insider request for an access key reset in the future).
6. You will be taken to the **"Create insider profile – Add an issuer to the insider profile"** screen. Search for an issuer to add to the insider's profile using one of the following options:
 - Option 1 – Enter the 8-digit SEDAR profile number in the **"Issuer number"** field.
 - Option 2 – Enter the issuer's name in the **"Issuer name"** field.

Click **"Search"** and you will be taken to the **"Create insider profile –View issuer search results"**. Click on the radio button beside the issuer and click **"Next"**.

You will be taken to the **"Create insider profile – Enter information about the insider's relationship to the issuer"** screen. Use the drop down list box to select a relationship in the **"Insider's relationship to issuer"** field.

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

Note: If you were an insider **prior to June 9, 2003** (paper filer) then you have to put the date of your last paper filing in the opening balance date field. If you became an insider **on or after June 9, 2003** you have to put the date you became an insider of the issuer.

In the **"Date the insider became an insider of this issuer"** or **"Opening balance date"** fields, use the drop down list boxes to enter the month and day. Enter a 4 digit year.

8. Click **"Next"** to proceed to the next screen. You can either add another issuer by selecting **"Add Issuer"** button if you need to link the insider profile to another issuer or just click **"Next"** to save and certify the information.
9. From the **"Certify and file insider profile"** screen, click **"Certify"**. Review the certification information carefully and click **"Accept"**.
10. Make note of the insider number and case-sensitive access key displayed on the screen and click **"Next"** to proceed to the **"Insider activities"** screen.

How do I add an insider to my list?

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

1. Click **"Add insider"** in the **"to perform insider activities"** located at the left side of the Agent home page. Search for the insider using one of the following options:
 - Option 1 – Enter the insider number in the **"Insider number"** field.
 - 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 8-digit 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.
2. Click “**Search**” and select the insider that you want to add to your insider list by clicking the radio button beside it and click “**Next**”. The insider will be added to your insider list.

How do I perform activities on behalf of an issuer?

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.

1. Use the drop-down list box to select the issuer from your issuer list or enter the 8-digit SEDAR profile number in the “**Issuer number**” field.
2. Enter the issuer’s case-sensitive access key in the “**Issuer access key**” field and click “**Next**”. You will be taken to the “**Issuer activities**” screen, where you can view or amend the issuer profile supplement, create, amend or archive a security designation, file or amend issuer event reports or change the access key.

How do I add an issuer to my 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.

1. Click “**Add issuer**” in the right column.
2. Search for the issuer using one of the following options:
 - Option 1 – Enter the 8-digit SEDAR profile number in the “**Issuer number**” field.
 - Option 2 – Enter the issuer’s name in the “**Issuer name**” field.
3. Click “**Search**” and select the issuer that you want to add to your list by clicking the radio button beside it.

How do I create an issuer profile supplement?

1. Click “**Create issuer profile supplement**” located under the “**to perform issuer activities**” in the right column of the Agent Home Page.
2. Search for the issuer using the following options:
 - Option 1 – Enter the 8-digit SEDAR profile number in the “**Issuer number**” field.
 - Option 2 – Enter the Issuer’s name in the “**Issuer name**” field.
3. Click “**Search**” and then click the radio button beside the issuer and click “**Next**”.
4. Enter information about the insider affairs contact person in the fields provided and click “**Next**”.
5. You will be taken to the “**Create issuer profile supplement - File information**” screen, click “**File**” and “**OK**”.
6. Make note of the issuer case-sensitive access key displayed on the screen. The issuer access key is unique and you will need it to access this profile.
7. Click “**Add security designation**”; select a “**Security category**” from the drop down list box. If you select Issuer Derivatives, an underlying security designation section appears on the screen. Provide details of the underlying security in this section.
8. Select a “**Security name**” and enter information in the “**Additional description**” field to better describe the security and click “**File**”.