

SEDAR+ IFG Prospectus Fee Calculation Guide

CSA IT SYSTEMS OFFICE

NOVEMBER 18, 2024

IFG Prospectus Fee Calculation – Overview

- Limit of 20 investment funds removed for IFG prospectus filings with fees
 - Pertains to: Simplified prospectus / Long form prospectus / Short form prospectus
- Current workaround of splitting filing into multiple submissions is no longer required
- System determines fees due on the filing and calculates fees independently from the submission
- The filing is a 'Draft' until the fee calculation completes
 - Fee calculation time is dependent upon the number of funds and classes/series
 - Fee calculation time on a 'maintain' filing is slower than the initial 'create' as the fee calculation logic considers fees previously paid
 - Our expected length of time for the fee calculation is between a few minutes to one hour for most submissions
- Upon receiving an email confirming fee calculation completion, you can submit the filing to the regulators.



IFG Prospectus Fee Calculation

Important note about classes or series of securities on a prospectus

- Isolated instances reported of investment fund class/series on a prospectus not displaying on the new submission and requiring re-entry. This issue is currently under investigation
- Summary of Open Items page on the CSA National Systems Status webpage on the CSA website will be updated as more information is known



IFG Prospectus Fee Calculation – Fee Attribute

- To assist with system performance, there is a new user entry flow for certain categories of investment funds and document types when answering the question ‘Is the distribution value equal to or less than \$1 million?’
 - Answering ‘Yes’ on the first question will require an answer to the following question ‘Distribution of securities on the exercise of a right under a special warrant?’
 - Answering ‘No’ to the first question will not require a selection on the second question but also selecting ‘No’ on the second question is permitted.

Pro forma long form prospectus (ETAZ)

Is the distribution value equal to or less than \$1 million?

Distribution of securities on the exercise of a right under a special warrant?
A response to this question is required if you have selected ‘Yes’ above.

Number of selling security holders



IFG Prospectus Fee Calculation – Fee Attribute

Applicable investment fund categories: Non Redeemable Investment Fund (NRIF)', 'Flow Through LP', 'Split Share Corp.', 'Scholarship Plan', 'Labour Sponsored or Venture Capital Fund (NI 81-106)', 'Development Capital Investment Fund (Québec only)', 'Other'

Filing Type	Sub-type	Description
SHORT FORM PROSPECTUS	PRO FORMA	PRO FORMA SHORT FORM PROSPECTUS
		PRELIMINARY AND PRO FORMA SHORT FORM PROSPECTUS
	COMBINED PRELIMINARY AND PRO FORMA	PRELIMINARY AND PRO FORMA SHORT FORM PROSPECTUS ADDING FUNDS AND OR JURISDICTIONS TO PRO FORMA PROSPECTUS
	COMBINED PRELIMINARY AND PRO FORMA AND AMENDMENT TO PRELIMINARY	PRELIMINARY PROFORMA AND AMENDMENT TO PRELIMINARY SHORT FORM PROSPECTUS
	PRELIMINARY AND AMENDMENT TO PRELIMINARY	PRELIMINARY AND AMENDMENT TO PRELIMINARY SHORT FORM PROSPECTUS
	PRELIMINARY	PRELIMINARY SHORT FORM PROSPECTUS
		PRELIMINARY SHORT FORM PROSPECTUS ADDING FUNDS AND OR JURISDICTIONS TO FINAL PROSPECTUS
		PRELIMINARY SHORT FORM PROSPECTUS ADDING JURISDICTIONS TO FINAL PROSPECTUS
LONG FORM PROSPECTUS	PRELIMINARY	PRELIMINARY LONG FORM PROSPECTUS
		PRELIMINARY LONG FORM PROSPECTUS ADDING JURISDICTIONS TO FINAL PROSPECTUS
		PRELIMINARY LONG FORM PROSPECTUS ADDING FUNDS AND OR JURISDICTIONS TO FINAL PROSPECTUS
	PRELIMINARY AND AMENDMENT TO PRELIMINARY	PRELIMINARY AND AMENDMENT TO PRELIMINARY LONG FORM PROSPECTUS
	PRO FORMA	PRO FORMA LONG FORM PROSPECTUS
	COMBINED PRELIMINARY AND PRO FORMA	PRELIMINARY AND PRO FORMA LONG FORM PROSPECTUS
		PRELIMINARY AND PRO FORMA LONG FORM PROSPECTUS ADDING FUNDS AND OR JURISDICTIONS TO PRO FORMA PROSPECTUS
	COMBINED PRELIMINARY PRO FORMA AND AMENDMENT TO PRELIMINARY	PRELIMINARY PROFORMA AND AMENDMENT TO PRELIMINARY LONG FORM PROSPECTUS



IFG Prospectus Fee Calculation – Workflow

- Create or Maintain your IFG prospectus filing and submit
- System automatically saves the submission as draft
- Filing is displayed in your Drafts list with the status 'Draft – fee calculation pending'
- You receive an email advising that the fee calculation is pending
 - If there are no fees due on the filing, you will receive an email advising that the filing has been received and it will display on your 'Submitted work' tab.



IFG Prospectus Fee Calculation – Filing Tips

- Any draft IFG prospectus (either a 'Create' or a 'Maintain') saved prior to November 16, 2024 should be discarded
 - A new submission is required that will incorporate the new fee calculation process
- As your submission can now contain more than 20 funds and include **all** applicable documents, you should select 'Save' or 'Save and continue' while you assemble your submission to avoid being timed out during a lengthy submission compilation

IFG Prospectus Fee Calculation – Workflow

Desjardins Funds (000003130)
Create simplified prospectus (NI 81-101)

Simplified Prospectus (NI 81-101) (TEMP096940)

If fees are associated with the submission then the draft status under [Drafts](#) on your Dashboard will be updated and you will receive an email with next steps.

If no fees are associated with your submission, it will be sent to the Regulators.

Take me to my dashboard

Dashboard

Welcome Your profiles Profiles you are watching Drafts 213 Submitted work

Drafts 213

Search by profile name or number

List of profiles, projects, filings, or applications that are currently saved as drafts and not yet submitted or

Displaying 1-15 of 213 results

1 2 3 4 5 6 7 8 9 ... 15 Next»

Date created	Date last updated	Draft Status	Name	Description	Number	Expires in	Discard	Continue	to me	to
11 Oct 2024 11:42 EDT	11 Oct 2024 12:03 EDT	Draft - fee calculation pending	Desjardins Funds / Fonds Desjardins (000003130)	Create simplified prospectus (NI 81-101)	TEMP09 6940	09 Jan 2025	Discard	Continue	ASU_ORG	_Samina Belim

IFG Prospectus Fee Calculation – Workflow

- You are not able to make any changes to the draft while the fee calculation is in process. The warning message displays if you click on any of the links highlighted below

Dashboard

[Welcome](#) [Your profiles](#) [Profiles you are watching](#) [Drafts 1](#) [Submitted work](#)

Drafts 1

Search by profile name or number

Draft – fee calculation pending

List of profiles, projects, filings, or applications that are currently saved as drafts and not yet submitted or returned submissions.

Displaying 1-1 of 1 results

Date created	Date last updated	Draft Status	Name	Description	Number	Expires in	Discard	Continue	Assign to me	Assigned to
25 Oct 2024 16:42 EDT	25 Oct 2024 16:42 EDT	Draft – fee calculation pending	NEI, Northwest and Ethical Funds / NEI, Northwest and Ethical Funds (000020675)	Create long form prospectus (NI 41-101)	TEMP07 1843	23 Jan 2025	Discard	Continue		Sue Agent

Displaying 1-1 of 1 results

Draft fee calculations in progress

The fee calculations for this draft are in progress and changes cannot be made to the draft until the process is complete. When it completes, the draft status on Dashboard will be updated and you will receive an email confirmation.

Ok

IFG Prospectus Fee Calculation – Workflow

Long form prospectus (NI 41-101) (TEMP071827) – Draft – fee calculation pending / Prospectus ordinaire (Règlement 41-101) (TEMP071827)



nuatapp1.csa.cginet <noreply@sedarplus.ca>

To: Melanie Hurn



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Click here to download pictures. To help protect your privacy, Outlook prevented automatic download of some pictures in this message.



Translate message to: English

Never translate from: French

Translation preferences

ATTENTION: This email originated from outside of the OSC. Use caution when clicking links or opening attachments.

Right-click or tap...

French version below / Version française ici-bas

Dear filer,

If fees are associated with the submission then the draft status under [Drafts](#) on your Dashboard will be updated and you will receive an email with next steps. If no fees are associated with your submission, it will be sent to the Regulators.

Profile: Canada_MH Group (000112385)
Filing: Long form prospectus (NI 41-101) (TEMP071827)
Draft status: Draft – fee calculation pending
Draft created: 25 October 2024

This is an automatically generated email. Please do not reply to this message. Replies to this message are routed to an unmonitored mailbox.

If you have any questions, please go to www.sedarplus.ca. You may also call us at +1-800-219-5381 or email us directly at csa@sedarplus.ca.

Yours Sincerely,
The CSA Service Desk

Cher déposant,

S'il y a des droits associés au dépôt, l'état du brouillon à l'onglet [Brouillons](#) de votre tableau de bord sera mis à jour et vous recevrez un courriel expliquant les prochaines étapes. Autrement, le dépôt sera envoyé aux autorités.

Profil : Canada_MH Group (000112385)
Dossier : Prospectus ordinaire (Règlement 41-101) (TEMP071827)
État du brouillon : Brouillon – Calcul des droits en cours
Date de création : 25 octobre 2024

Ce courriel est généré automatiquement. Veuillez ne pas répondre à ce message. Les réponses à ce message sont acheminées à une boîte aux lettres qui ne fait l'objet d'aucun suivi.



IFG Prospectus Fee Calculation – Workflow

- You receive an email notification when the fee calculation completes
- The filing's draft status is updated to 'Draft – fee calculation complete'
- Select 'Continue' on the draft to proceed to the Fee Summary page and submit the filing
- NOTE:
 - If you select 'Exit', 'Return to filing' on the Fee Summary page to make any changes, the filing must be re-submitted and the fee calculation process will run again
 - Select 'Cancel' to return to the Fee Summary page to submit your filing



IFG Prospectus Fee Calculation – Workflow

Dashboard

[Welcome](#) [Your profiles](#) [Profiles you are watching](#) [Drafts 17](#) [Submitted work](#)

Print

Drafts 17

Search by profile name or number

Draft – fee calculation complete

List of profiles, projects, filings, or applications that are currently saved as drafts and not yet submitted or returned submissions.

Displaying 1-15 of 17 results

1

2

Next »

Date created	Date last updated	Draft Status	Name	Description	Number	Expires in	Discard	Continue	Assign to me	Assigned to
07 Oct 2024 15:17 EDT	07 Oct 2024 18:16 EDT	Draft – fee calculation complete	Fidelity Funds / Fidelity Funds (000009811)	Maintain short form prospectus	TEMP09 6778		Discard	Continue		ASU_ORG_Samina Belim



IFG Prospectus Fee Calculation – Workflow

i If you select 'Exit', you can choose to review the filing or to discard it.

Pay and Submit

[Exit](#)

Service Payment Cancelled

You requested to cancel your payment for the service Maintain long form prospectus (NI 41-101).

You can navigate back to the filing and update filing information by pressing the 'Return to filing' button. Navigating back to the filing will result in the existing fees calculations being discarded and the fees being recalculated upon submission.

If you wish to completely cancel your filing, please press the 'Discard' link. Note this will completely remove your filing and you will need to re-create it if required.

Alternatively, select 'Cancel' to return to the Fee summary and payment page.

[Cancel](#) [Discard](#) Return to filing



IFG Prospectus Fee Calculation – Workflow

- There is **no** Confirmation page for IFG prospectus filings.
- You can view your 'Submitted work' tab to confirm the filing was submitted.
- You continue to receive an email confirmation of the filing and an email with the payment receipt (if applicable).



IFG Prospectus Fee Calculation – Payment Receipt

- The payment receipt on the filing can also be accessed in the system; from your Dashboard, select 'Menu', 'Payments', 'Search transactions'
 - Select 'Basket transactions' in the 'Include' field
 - Select 'Show advanced search'
 - Enter the filing number in the applicable field
 - Select 'transaction reference'
- On the 'View Basket Transaction' page, scroll to the bottom of the page to access the payment receipt



IFG Prospectus Fee Calculation – Payment Receipt

Search

Transactions

Search transactions

Include

Basket transactions

Paid by (if applicable)

Search for the name of the User that completed the transaction

Paid for (if applicable)

Search for the name of the Profile(s) that the transaction was paid for

Transaction type

Any payment or refund

Transaction reference (if applicable)

From date

DD/MM/YYYY

To date

DD/MM/YYYY

Payment/refund method

Any payment/refund method

Client reference

Card transaction id

Filing number

06023042

Date	Transaction reference	Transaction status	EFT payment status	Amount	Paid by	Filing	Submission
Tue Sep 10 10:38:46 EDT 2024	393,499	Success	Paid	\$4,241.45	AGENT, Sue (MH_CanadaAgency/CanadaAgency_MH_FR)	Long form prospectus (NI 41-101).(06023042)	Maintain long form prospectus (NI 41-101) - 00000004 - 10 Sep 2024 10:38 EDT



IFG Prospectus Fee Calculation – Payment Receipt

View Basket Transaction

Transaction details

Date

18 Sep 2024 22:00 EDT

Transaction type

Payment

Transaction reference

393499

Transaction status

Success

EFT payment status

Paid

Amount

\$4,241.45

Paid by

AGENT, Sue (MH_CanadaAgency/CanadaAgency_MH_FR)

Paid for

[01MH_Company](#)

Basket

[394,245](#)

Filing

[Long form prospectus \(NI 41-101\) \(06023042\)](#)

Submission

[Maintain long form prospectus \(NI 41-101\) - 00000004 - 10 Sep 2024 10:38 EDT](#)

Payment method

Electronic funds transfer (EFT)

Client Reference

[Not Provided]

PAD reference number

0000100001036247

Payment Receipt

Payment Receipt

[000117790 - Tue Sep 10 10 38 46 EDT 2024.pdf](#)

