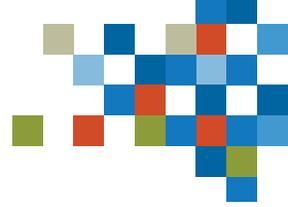


Experience guide:

REGULATORY ACTIONS - CTO AND DL

SEDAR+ is more intuitive to use, has better search functionality and provides an integrated view of issuer information compared to SEDAR. This guide gives an overview of key differences between the legacy system and SEDAR+.

FEATURE	SEDAR	SEDAR+
Regulatory Actions	The Cease Trade Order (CTO) Database, Disciplined List (DL) and Reporting Issuer Defaults (Defaults) information is accessed through separate webpages and not integrated with SEDAR data.	<p>Integrated Regulatory Actions</p> <p>→ Filers and public users will find all regulatory actions, including CTOs, Disciplinary Actions, Temporary Orders and Defaults on a single source – the SEDAR+ website.</p>
	No common identifier other than name link information between webpages and websites, creating uncertainty about whether the different regulatory actions apply to the same individual or organization.	<p>→ All CTOs, disciplinary actions and/or defaults are flagged on an organization or individual’s profile.</p> <p>Users can navigate directly to the organization or individual’s profile to access complete profile and filing information.</p>
	Unable to filter a profile search using regulatory action search criteria.	<p>→ Using advanced profile search, users can filter all profiles using regulatory action search criteria and export search results.</p>
Email alerts	Subscribe to and manage preferences for immediate email alerts of CTOs and disciplined persons from the CSA’s website.	<p>SEDAR+ home page email alerts</p> <p>→ From the SEDAR+ home page, subscribe to, and manage, immediate email alerts on CTOs and Disciplinary Actions (DL) across all jurisdictions.</p>



FEATURE	SEDAR	SEDAR+
<p>Temporary Orders</p>	<p>Temporary Orders (a final enforcement decision has not been made) are not clearly separated on the legacy CTO database or the DL.</p>	<p>Regulatory Actions in progress</p> <p>→ Temporary Orders are found under a separate tab on an organization or individual's profile and are clearly distinguished from disciplinary actions where a final decision has been made.</p>
<p>Reporting Issuer Defaults (Defaults)</p>	<p>Each jurisdiction maintains a list of their reporting issuers on their website.</p>	<p>Consolidated reporting issuers list</p> <p>→ SEDAR+ hosts a consolidated list of reporting issuers across all jurisdictions.</p> <p>Jurisdictional default information, where available, is shown on the issuer's SEDAR+ profile and linked to the consolidated reporting issuer list on SEDAR+.</p>