TSX SecureFile

Filer’s Guide

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About This Guide


Assumptions

This guide is written with the following assumptions:

• You have set up a filing account with Toronto Stock Exchange, have been given a user name and password, and have been set up to file for at least one issuer.

• You know how to use a web browser and know how to use your computer to locate and open the documents that you want to file.

• You are familiar with the filing requirements of Toronto Stock Exchange, which are set out in The TSX Company Manual.

Typographic conventions

This guide uses italics for emphasis, to identify the first use of words that appear in the glossary, and for the titles of books and other documents.

Bold text identifies the beginning of a procedure and buttons that you must click.

Tips on using TSX SecureFile are presented in the following format.

This is a tip on using TSX SecureFile.

Cautions, which tell you how to avoid doing things that could generate error messages or cause you to lose data, are presented in the following format.

Caution: This is a caution, which tells you how to avoid doing things that could generate error messages or cause you to lose data.
Acronyms

The following acronyms are used in this guide. Each acronym is spelled out in full the first time it is used.

- FAQ—Frequently Asked Questions
- ID—Identifier
- MB—Megabyte
- OTC—Over the Counter
- PDF—Portable Document Format
- SAR—Share Appreciation Rights
- TSX—Toronto Stock Exchange
- URL—Uniform Resource Locator

For definitions of these and other terms, see the glossary.

Getting more help

If your problem is not addressed in this guide, please phone the TSX SecureFile administrator between the hours of 9 a.m. and 5 p.m. Toronto time or e-mail tsxsecurefile@tmx.com.

You can contact the TSX SecureFile administrator by phone at 416.947.4526 (toll free: 888.873.8392) or by fax at 416.947.4547.

Contact information for TSX SecureFile is on the back of this manual and on the Contact Information page in TSX SecureFile.

To view the Contact Information page, click Guides and Contact Info. This page also contains links to PDF versions of the Administrator’s Guide and Filer’s Guide for TSX SecureFile.

To open the online help for filers, click Filer Help.
1 Getting Started

Welcome to TSX SecureFile.

TSX SecureFile is a secure web-based solution for managing the filing and receipt of documents, news releases, and reporting forms from Toronto Stock Exchange listed issuers, applicant issuers, and filers acting as their agents.

Before you begin using TSX SecureFile, make sure that:

• You have been granted permission to file for the issuer that you want to file for.
• Any documents or news releases you want to file are in a format supported by TSX SecureFile. For a list of supported file formats, see “Filing the submission” on page 25.

If you don’t have permission to file for an issuer, contact your issuer or filing group administrator.

This chapter describes how to get started with TSX SecureFile, including:

• Connecting to TSX SecureFile
• Using TSX SecureFile
• Using the Issuer List
• Using the online help
• Viewing and printing the documentation
• Logging out
Connecting to TSX SecureFile

TSX SecureFile connects your web browser to Toronto Stock Exchange through the Internet over an encrypted link.

Logging in for the first time

When you are granted access to TSX SecureFile, the TSX SecureFile administrator sends you an e-mail with the link to log in to TSX SecureFile and a temporary password, which is valid for a limited period.

To open TSX SecureFile, click the link in the e-mail that you received. The User Account Activation - Date of Birth Verification page appears.

The language displayed by TSX SecureFile (English or French) depends on the profile information provided to the TSX SecureFile administrator. To change the language, click on the language's button. For more information about changing languages, see “Choosing a language” on page 12.

Depending on how your web browser is configured, you may receive a security alert before the The User Account Activation - Date of Birth Verification page appears.

Creating your profile

The first time you access TSX SecureFile, you are asked to create a personal profile. You must to provide your birth date as identifying information, then set up a password and a personal question and answer. You need to do this only once.

To create your profile:
1. In the Date of Birth field, provide your date of birth. Use the format MM/DD/YYYY.
2. Click Submit. The User Account Activation - Set Up Security Information page appears.
3. In the Password field, type your new password.
4. In the Confirm Password field, retype your new password.
   For information about password requirements, see. “Changing your password” on page 12.
5. In the Personal Question field, type a question that only you would know the answer to. You will provide the answer to this question to TSX as identification, if you forget your password.
6. In the Personal Answer field, type the answer to your personal question.
7. Click Submit. The TSX SecureFile User Agreement page appears.
Note: You should record your user name, password, personal question, and answer in a safe place for future reference. Now that you have created a password, the link and password provided in the e-mail that you received are no longer valid.

8. Read the agreement, which sets out the terms and conditions under which you may use TSX SecureFile.

9. Do either of the following:
   • Select Accept, then click Submit. The Welcome page appears.
   • Select Decline, then click Submit. A confirmation message appears. If you confirm the rejection, your account is suspended, and you are no longer able to access TSX SecureFile.

Logging in after the first time

After you have set up your personal profile, you use the new password you created to log in to TSX SecureFile. The temporary link you were provided in the new user e-mail is no longer valid.

To connect to TSX SecureFile:

1. Type the TSX SecureFile URL (Uniform Resource Locator) in the address field of your web browser.
   https://secure.tmx.com/tsxsecurefile/
2. Press Enter. The Login page appears.

Note: Depending on how your web browser is configured, you may receive a security alert before the Login page appears.

To log in:

1. In the User Name field, type your user name.
2. In the Password field, type your password.
   Passwords are case sensitive; for example, gretzky99 is not the same as Gretzky99.
3. Click Submit. The Welcome page appears.

If you mistyped your user name or password, an error message appears. Log in again with the correct user name and password.

If you forgot your password, click the link beside “Forgot your password?”. For more information, see “If you forget your password” on page 13.

As a security feature, you are allowed only a certain number of unsuccessful login attempts. If you exceed that number, you receive an error message and your account is suspended. To reinstate your account,

You will not be able to log in to TSX SecureFile if:
• You have not been approved for access to TSX SecureFile.
• You have no issuers associated with your user name.
• All of the issuers associated with your user name are delisted.
• Your account has been suspended because of too many invalid attempts to log in.
For more information on issuers, see “Issuers” on page 82.
To proceed with TSX SecureFile, you must select an issuer. For more information, see “Using the Issuer List” on page 15.

**Viewing announcements**

TSX may occasionally need to make announcements to users of TSX SecureFile. To view announcements, on the Welcome page, click Announcements. The announcements appear in a new window.

**Choosing a language**

TSX SecureFile has English and French versions, with English being the default. To view the French version, on the Login page, click Français. Once you have selected a language and logged in, you can change languages by clicking the language’s button, which is next to the Help button on all pages. Changing languages automatically returns you to the Welcome page of the version you selected.

*Note:* In the French version, issuer names, filing types and document types are not translated and will appear in English. Input fields will not accept accented characters. Certain information in reporting forms originates from other Toronto Stock Exchange systems and appears in English only.

**Changing your password**

You can change your password at any time, but you must change your password if it has expired or if the TSX SecureFile administrator requests that you do so. To enhance security, all passwords expire after a predetermined period.

Your password must:

- Be at least six characters long and no longer than 30 characters
- Consist of only letters and numbers
- Contain at least one number
- Be different from any of your previous 12 passwords
- Not contain any spaces

Passwords are case sensitive; for example, gretzky99 is not the same as Gretzky99.

**To change your password:**

1. In the navigation bar, click Change Password. The Password Change page appears.
2. In the Password field, type your old password.
3. In the New Password field, type your new password.
4. In the Confirm New Password field, type your new password again.
5. Click Submit. The Welcome page appears with a message confirming that your password has been changed.
If you forget your password

If you forget your password, you can request that a new, temporary password be e-mailed to you. You then log in using the temporary password and change it to a new password.

To request a new password:
1. On the Login page, beside “Forgot your password”, click **click here**. The Request Password - Email Address Verification page appears.
2. In the User Name field, type your user name.
3. In the Email Address field, type your e-mail address.
4. Click **Submit**. The Request Password - Personal Question Verification page appears, showing your personal question. This is the question that you provided the first time you logged in to TSX SecureFile.
5. In the data entry field, type the answer to your personal question.
6. Click **Submit**. A confirmation message appears. In a few minutes, you will receive an e-mail message with a link which you can use to obtain a temporary password.

Once you receive the e-mail, do the following:
1. In the e-mail, click on the link. The Reset Password page opens, containing a temporary password and a set of instructions.
2. Note the temporary password.
3. Open the TSX SecureFile login page.
4. In the User Name field, type your user name.
5. In the Password field, type the temporary password. The Password Change page appears.
6. In the Old Password field, type your old password.
7. In the Enter New Password field, type your new password.
8. In the Confirm New Password field, type your new password again.
9. Click **Submit**. The Welcome page appears with a message confirming that your password has been changed.

Changing your personal question or answer

You can change your personal question and answer, which are used to verify your identity if you forget your password.

To change your personal question or answer:
1. On any TSX SecureFile page, click **Update Profile**. The Update User Profile page appears.
2. In the Personal Question field, type a question that only you would know the answer to. You will provide the answer to this question to TSX as identification, if you forget your password.
3. In the Personal Answer field, type the answer to your personal question.
4. Click **Update**. You are returned to the Welcome page.
Using TSX SecureFile

TSX SecureFile is a web-based application.

You can move between the TSX SecureFile pages by using the navigation bar or the navigation buttons and links provided in the program. You can also use your browser’s Back and Forward buttons to move between pages that you have visited.

Note: You cannot use your browser’s Back button to return to TSX SecureFile if you have logged out or if your session has expired. When you are filing a reporting form, if you submit a form and use your browser’s Back button to return to the submission form, you will not be able to submit that version of the form again. We recommend that you not use the Back button to move between pages in TSX SecureFile; instead use the navigation bar.
Using the Issuer List

Issuer names and symbols for the issuers for which you are authorized to file appear in the Issuer List in pages of ten.

Your ability to submit documents and file reporting forms is controlled by the access level assigned to your account. Access to documents is independent from access to reporting forms. All users who can submit documents or file reporting forms can also file news releases. Depending on how your account has been set up, you may be able to:

• Submit documents and file news releases and reporting forms
• Submit documents and file news releases but not file reporting forms
• File news releases and reporting forms but not submit documents
• View projects and submissions and reporting forms and file news releases

Your access level also determines whether you will be able to see projects, submissions, news releases, and reporting forms for other users. In the figure above, the user has full access to both documents and reporting forms when filing for Sample Company Inc. For Test Sample Company, the user has full access for filing documents, but no access to reporting forms. The user can file news releases for both issuers.

If you think your account has not been properly set up, contact your issuer or filing group administrator.

To file a document, click Documents beside the issuer’s name. The Issuer Project List page appears.

You can:

• Create a new project and submission, as described in “Creating a project” on page 21.
• Select a project and create a submission for it, as described in “Creating a new submission for a project” on page 23.

To file a news release, click News Release beside the issuer’s name. The Issuer News Release List page appears. You can create and file a news release, as described in “Filing News Releases” on page 28.
To file a reporting form, click Reporting Forms beside the issuer’s name. The Reporting Forms page appears. You can complete and submit a reporting form, as described in “Filing Reporting Forms” on page 34.

Note: You cannot file a reporting form for an applicant issuer. The Reporting Forms button will not appear if the issuer is an applicant issuer.

**Using the navigation links**

If you can file for more than ten issuers, TSX SecureFile displays navigation links and a search facility.

To move by page through the list of issuers, click the navigation links (Next, Previous, First Page, Last Page).

To view issuers whose names start with:

- A letter. Click the letter in the alphabetic links below the navigation bar.
- A number. Click the 0-9 link below the navigation bar.

Note: The navigation buttons that are visible depend on the number of issuers and where you are in the list. If there are fewer than ten issuers, the navigation links do not appear, because there is only one page of issuers.

**Searching for an issuer**

If the you are authorized to file for more than ten issuers, TSX SecureFile displays a search form, which you can use to search for issuer names by name or symbol. Only issuers for which you are authorized to file appear in the search results.

<table>
<thead>
<tr>
<th>Type of Search</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name search</td>
<td>Search for an issuer name that matches the name that you specify. Issuer names can be more than one word.</td>
</tr>
<tr>
<td>Symbol search</td>
<td>Search for an issuer that matches the TSX symbol that you specify.</td>
</tr>
<tr>
<td>Starts with</td>
<td>Search for an issuer name or symbol that starts with the search term that you specify. The search term cannot contain spaces.</td>
</tr>
</tbody>
</table>

You have these search options:
1. Click the option button for the type of search that you want to perform: Name search or Symbol search.
2. Click the option button for the search option that you want to use: Starts with or Contains.
3. In the entry field, type a search term.
4. Click **Search**. The Search Results list displays the issuer names that match your search criteria.

If your search doesn’t return any issuer names, make sure that you typed the search term correctly, try a different type of search, or try a less restrictive search option.

<table>
<thead>
<tr>
<th>Type of Search</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contains</td>
<td>Search for an issuer name or symbol containing the search term that you specify.</td>
</tr>
</tbody>
</table>
Using the online help

To open the help, in any TSX SecureFile page, click Help. The help appears in a separate browser window. The help is not context-sensitive.

Note: To view the online help, you must have JavaScript enabled in your browser. If you cannot enable JavaScript, you can view the Filer’s Guide from the link in the Contact Information page.

Use the:
• Contents tab to select and view topics
• Index tab to select topics by keyword
• Search tab to search the full text of the help

Use the navigation buttons at the top of the help topic to move to the next and previous topics.

Some topics contain drop-down hotspots. These appear as a hyperlink with an arrow on the right side.

When you click the link, it expands to show more information. To hide the information, click the link again.

This help uses popup topics to present definitions of terms and supplemental information. Links that open popup topics are formatted with italic text and a blue background. To close a popup topic, move your mouse pointer away from it.
Viewing and printing the documentation

You can view or download a printable version of this guide and other TSX SecureFile documentation on line in Portable Document Format (PDF). To view the documentation, you must have a copy of Adobe Acrobat or Adobe Acrobat Reader. Links to the following documents are provided in the TSX SecureFile Contact Information page:

- TSX SecureFile User's Guide
- Filing Types and Document Types—a complete list of all of the filing types and the valid choices of document type for each filing type.
- Frequently Asked Questions (FAQ)

To view the Contact Information page, in the navigation bar, click Guides and Contact Info.

Logging out

To log out of TSX SecureFile, in the navigation bar, click Log Out. A confirmation message appears.

Note: Depending on how your web browser is configured, you may receive a security alert when you leave the TSX SecureFile site.

Once you have logged out, you must log in again to access TSX SecureFile. If you keep TSX SecureFile open but don’t do anything in the program (for example, click a button or move between pages), you are logged out automatically after 30 minutes.
2 Filing Documents

To be able to file documents for an issuer, you must have been granted access to create projects as an individual filer or as a member of a filing group. If the Documents button for the issuer you selected is not available, you have not been granted permission to create projects or file submissions for that issuer, although you can view projects and submissions.

To begin filing, if you can file for more than one issuer:
1. Select an issuer, as described in "Using the Issuer List" on page 15.
2. Beside the issuer’s name, click Documents. The Issuer Project List page appears.

To begin filing, if you can file for only one issuer, in the main navigation bar, click File a Document. The Issuer Project List page appears.

If projects have been created for the issuer that you selected, the Issuer Project List page displays them.

For each project, the Projects list displays the:
- Project’s name
- Project’s description
- Date on which the project was created
- User ID of the user who created the project. If the user is a member of a filing group, the filing group ID is shown.

Projects are displayed in pages of ten projects. If there are more than ten projects for an issuer, use the page navigation links to navigate through the list. For more information, see “Projects” on page 82.
Creating a project

If there are no projects for the issuer that you selected, which may be the case the first time that you use TSX SecureFile, you must create a new project. You must also have a document that you can submit; you cannot create a project without also creating a submission for it. For more information, see “Projects” on page 82.

To create a project:
1. In the Issuer Project List page, click Create New Project. The New Project Submission page appears.
On this page, you first provide information about your project, then complete the information about the submission. Mandatory fields, for which you must provide information, are marked with a red asterisk (*).

At any point, you can click **Clear Form** to delete the information that you have entered.

2. If you have more than one filing relationship with the issuer you selected, from the Filing As list, select a relationship.
   The option that you choose determines the access that other filers will have to the project. For example, if you are a member of a filing group and can file as an individual filer, select your filing group if you want other members of the group to be able to work with your project.

   **Note:** If you have only one filing relationship with the issuer you selected, this list does not appear.

3. In the Project Name field, type a name for the project.
   The project name must be unique for the issuer. You cannot use the same name as any other open or closed project for the issuer. We recommend that you not use the issuer name in the Project Name field, so that each project has a unique name. The project name can be up to 60 characters long (about 10 words).

4. In the Project Description field, type a description of the project.
   The project description is for you to provide information that you will find useful. You should not use it to provide information to Toronto Stock Exchange. It can be up to 255 characters long (about 40 words).

   For information about how to provide the submission information, see "Filing the submission" on page 25.
Creating a new submission for a project

To view the submissions for a project, click the project's name. The Project Submissions page appears.

Submissions are displayed in pages of ten submissions. If there are more than ten submission for a project, use the page navigation links to navigate through the list. For more information about submissions, see “Submissions” on page 83.

You can view detailed information about a submission. For instructions on viewing submission details, see “Viewing submission details” on page 27.
To create a new submission for a project, click Create New Submission. The New Submission page appears.

For instructions on providing the information required for a submission, see “Filing the submission” on page 25.
Filing the submission

To file a submission, you must describe the document that you are filing with the project. The form that you complete to provide this information is the same on the New Project Submission page and the New Submission page.

To complete the submission, you must attach a file. You can attach only one file per submission. If you want to submit more than one document, then you must create a separate submission for each document.

TSX SecureFile accepts documents the following formats:

- Portable Document Format (PDF)
- Microsoft Word (.doc)
- Microsoft Excel (.xls)
- WordPerfect (.wpd)
- Graphics files (.tiff, .bmp, .gif, .jpg, .jpeg, .map)

The maximum size of file that you can attach is 5 MB (megabytes). If your document is larger than 5 MB, contact the TSX SecureFile administrator.

To create the submission:

1. If you have more than one filing relationship with the issuer you selected, from the Filing As list, select a relationship.

   ![Filing As List Example](image)

   **Note:** If you have only one filing relationship, that is you can file for only one issuer or belong to only one filing group, the Filing As list does not appear.

   The option that you choose determines the access that other filers will have to the submission. For example, if you are a member of a filing group and can file as an individual filer, select your filing group if you want other members of the group to be able to work with your submission.

2. From the Filing Type list, select a filing type. The Document Type list appears.
3. From the Document Type list, select a document type.
   
   The document types that appear in the list depend on the filing type that you selected.

   ![Excluded Item Example](image)

   The document *Filing Types and Document Types* contains a complete list of all possible choices. To view this document, click its link on the TSX SecureFile Contact Information page.
4. From the Symbol list, select a security symbol.
   Only symbols for the selected issuer appear in the list. Although Symbol is an
   optional field, you should provide the symbol if you know it. If you have only one
   active security, the symbol is provided for you.

5. In the Submission Comment field, type a submission comment.
   The submission comment should describe the document you are submitting, not
   the project. It is there for you to provide information that you will find useful. You
   should not use it to provide information to Toronto Stock Exchange. It can be up to
   255 characters long (about 40 words).

6. Click **Browse**. The Choose file dialog box appears.
7. Select the file that you want to submit.
8. Click **Open**. The file name is displayed in the Attach File field.

You can choose to submit one or more documents.

**To submit just one document:**
1. Click **Submit**. A confirmation dialog box appears.
2. Click **OK**. The Project Submissions page appears. The Project Submissions page
   displays a confirmation message and shows the information about your submis-
   sion.

**To submit more than one document:**
1. Click **Submit and Create Another Submission**. A confirmation dialog box
   appears.
2. Click **OK**. The New Submission page displays your submissions for the project for
   the current session. You can submit more documents for the current project.

All submissions are checked for viruses.

**Note:** If a virus is detected, your submission will be cancelled and you will receive a warning
message. You must recreate the submission, then submit a virus-free file for it.
If you submit a document incorrectly, you cannot delete it, nor can it be deleted by Toronto Stock Exchange. You must submit the correct document again as a new submission.

**Filing Form 14 as a Document**

File Form 14 when the issuer has purchased securities under its normal course issuer bid. Investment Funds must use Form 14A while Non-Investment Funds must use Form 14B. You can find the forms in the TSX Company Manual on [www.tmx.com](http://www.tmx.com). Form 14 has to be filed within ten days of the end of the month in which securities have been purchased.

Form 14 can be filed via SecureFile by selecting the Documents option together with the following submission information: Filing Type: Normal Course Issuer Bid and Document Type: Monthly Report. Form 14 can also be e-mailed to listedissuers@tmx.com or faxed to 416-947-4547.

**Viewing submission details**

You can view detailed information about your submission and the issuer.

*To view the submission's details,* on the Project Submissions page, click **Details**. The Submission Details window appears.

*To print the submission's details,* click **Print Filing**.
You can use TSX SecureFile to file news releases. All users who can view or file either documents or reporting forms for an issuer can also file news releases for that issuer.
Notifying Market Surveillance of a material news release

A news release can contain material information, which means any fact that significantly affects, or would reasonably be expected to have a significant effect on, the market price or value of any of the securities of the issuer.

Before issuing a material news release on an approved news wire, the issuer must speak with a representative at Market Surveillance and receive their approval before issuing the news release on the news wire. Market Surveillance can be reached at 416-646-7220 between 8:00 a.m. and 5:00 p.m Eastern time. Outside of these hours, the issuer may issue the news release on the news wire without prior approval from Market Surveillance but must leave a voice mail for Market Surveillance advising them that a material news release has been issued.
Acceptable file formats for news releases

TSX SecureFile accepts documents the following formats:
• Portable Document Format (PDF)
• Microsoft Word (.doc)
• Microsoft Excel (.xls)
• WordPerfect (.wpd)
• Graphics files (.tiff, .bmp, .gif, jpg, jpeg, .map)

The maximum size of file that you can attach is 5 MB (megabytes). If your document is larger than 5 MB, contact the TSX SecureFile administrator.

All news releases are checked for viruses.

Note: If a virus is detected, your news release will be cancelled and you will receive a warning message. You must recreate the news release, then submit a virus-free file for it.
Viewing a list of filed news releases

You can view a list of news releases that have been filed for an issuer.

To view news releases, if you can file for more than one issuer:

1. Select an issuer, as described in “Using the Issuer List” on page 15.

To view news releases, if you can file for only one issuer, in the main navigation bar, click News Release. The Issuer News Release List page appears.

If news releases have been created for the issuer that you selected, the Issuer News Release List page displays them.

For each news release, the Issuer News Release List page displays the:

- File name
- Document type
- Date on which the news release was submitted
- User name of the user who filed the news release. If the user is a member of a filing group, the filing group ID is shown.

News releases are displayed in pages of ten. If there are more than ten news releases for an issuer, use the page navigation links to navigate through the list.
Filing the news release

To file a news release, you must describe the document that you are filing with the news release, attach a file, and provide contact information for the news release. You can attach only one file per news release. If you want to submit more than one file, then you must create a separate news release.

To file the news release:


2. From the Document Type list, select one of:
   - Material
   - Non-material
3. Optionally, from the Symbol list, select a security symbol. Only symbols for the selected issuer appear in the list. Although Symbol is an optional field, you should provide the symbol if you know it. If you have only one active security, the symbol is provided for you.
4. Optionally, in the Comment field, type a comment.
   The comment is there for you to provide information that you will find useful. You
   should not use it to provide information to Toronto Stock Exchange. It can be up to
   255 characters long (about 40 words).
5. Provide the following contact information.
   • Primary contact last name
   • Primary contact first name
   • Primary contact phone

   The primary contact person should the person who Market Surveillance should contact
   about the news release.

6. Click Browse. The Choose file dialog box appears.
7. Select the file that you want to submit.
8. Click Open. The file name is displayed in the Attach File field.
9. Optionally, provide the remaining contact information.
   • Primary contact e-mail
   • Primary contact alternate phone
   • Secondary contact last name
   • Secondary contact first name
   • Secondary contact phone
   • Secondary contact e-mail
   • Secondary contact alternate phone

10. Click Submit. A confirmation dialog box appears.
11. Click OK. You are returned to the Issuer News Release List page, which displays
    a confirmation message and shows the information about the news release you
    submitted.

    If you submit a news release incorrectly, you cannot delete it, nor can it be deleted by
    Toronto Stock Exchange. You must submit the news release again.
4  Filing Reporting Forms

You can use TSX SecureFile to complete and submit the reporting forms contained in the *TSX Company Manual*. All of the forms, except Forms 4 and 11 to 14, are available through the Reporting Forms page.

To be able to file reporting forms for an issuer, you must have been granted access to file as an individual filer or as a member of a filing group. If the Reporting Forms button for the issuer you selected is not available, you have not been granted permission to file reporting forms for that issuer, although you can view pending filings from other filers and historical reporting forms.

**To open the Reporting Forms page**, do either of the following:

- On the Issuer List page, click **Reporting Forms** for an issuer.
- In the navigation bar, click **Reporting Forms**.
- The Reporting Forms button for issuers on the Issuer List page does not appear if:
  - The issuer is an applicant issuer. You cannot file reporting forms for applicant issuers.
  - Your filing account has been set up for view-only access to reporting forms.
The Reporting Forms page has four main sections:

- **Create New Filing:** Allows you to select the reporting form that you want to create. For more information, see “Creating a new filing” on page 36.

- **My Pending Filings:** Displays pending filings that you have created for the selected security symbol or issuer. For more information, see “Opening or deleting a pending filing” on page 37.

- **Other Pending Filings:** Displays pending filings that other filers have created for the selected security symbol or issuer. For more information, see “Opening or deleting a pending filing” on page 37.

- **Historical Filings:** Displays historical filings for the selected issuer, provides advanced search features for historical filings, and allows you to amend historical filings for Form 1 and Form 5. For more information, see “Working with Historical Filings” on page 75, “Amending a Form 1 historical filing” on page 79, and “Amending a Form 5 historical filing” on page 80.
Creating a new filing

You can create a new filing only if your issuer filing account has been set up to file reporting forms. Permission to file reporting forms is separate from permission to file documents. Permission to file one does not imply that you can file the other.

To create a new filing:

1. From the Select Form list, select a reporting form. For a list of the available reporting forms, see “Reporting forms” on page 84.
2. From the Select Security Symbol list, select a security symbol.
   If you have only one active security, the symbol is provided for you.

Note: Form 3 does not require a security symbol. For Form 5, you provide the symbol in the form.
3. Click Next. The page for the reporting form that you selected opens.

You can create a new filing only if:

- For Form 1 and Form 5, there are no pending filings or pending amendments for the selected security symbol.
- For all other forms, there are no pending filings that have been created by another filer for the selected issuer.

When you open a form, TSX SecureFile saves it immediately as a pending filing, even if you don’t explicitly close the filing as pending.

If a pending filing or pending amendment for Form 1 or Form 5 exists, a message appears, displaying the user name of the person who created it. Before you can create a new filing, the other user must close the pending filing or pending amendment by submitting it or deleting it. For instructions on how to open or delete pending filings, see “Opening or deleting a pending filing” on page 37. For instructions on how to submit a filing, see “Submitting a filing” on page 73.

All reporting forms contain mandatory information that you must provide before submitting the filing. Mandatory fields are identified by a red asterisk (*).
Opening or deleting a pending filing

Pending filings that you created are displayed in the My Pending Filings section of the Reporting Forms page. Pending filings created by other filers are displayed in the Other Pending Filings section of the Reporting Forms page. TSX SecureFile keeps pending filings for twenty-five business days from when they are created. After that, they are deleted from the system.

For each pending filing, TSX SecureFile displays the:

- Date on which the filing was created
- Form number, shown in blue to indicate it is a hyperlink
- Security symbol, if the filing is Form 1
- The date on which the filing will expire
- The reporting period and effective date

Note: These dates are not displayed if the filing is Form 2D, 5, 9A, or 9B.

- Yes, if the pending filing is an amendment

You can modify or delete only pending filings that you have created.

To open a pending filing, in the My Pending Filings section, click its form number. The filing’s page opens.

To delete a pending filing:

1. In the My Pending Filings section, on the row for the filing, click Delete. A confirmation dialog box appears.
2. Do either of the following:
   - To delete the pending filing, click OK. The filing is deleted.
   - To cancel the deletion and leave the filing pending, click Cancel.
Amending form filings

You may want to make a change to a form after you have filed it. This procedure is called amending a filing.

You can amend only filings for Form 1 or Form 5 that you have created. You cannot create an amendment for a Form 1 or Form 5 filing if there is a pending amendment for that filing. The procedure for amending filings is described in “Amending a Form 1 historical filing” on page 79 and “Amending a Form 5 historical filing” on page 80. For reporting forms other than Form 1, you must file a new, corrected form. In the details section of the corrected form, explain the reason for the correction.
Date and number formats

Enter dates in the format MM/DD/YYYY, for example 04/22/2005 for April 22, 2005. You can use a popup calendar to select dates, rather than entering the data manually. To open the calendar, click the View calendar button beside the date field.

![Calendar Image]

Note: To use the popup calendar, you must have JavaScript enabled in your web browser. If you do not have JavaScript enabled, you must enter dates manually in the correct format.

In Forms 1 and 5, in numeric fields where you are inputting opening balances, transactions, or values, you can enter numbers with or without commas, for example, 10000 or 10,000.

If a number is negative, prefix it with the minus sign, for example -5,000 for minus 5,000.

You can use decimals only in Form 5, up to seven decimal places.
Filing Form 1

Form 1: Change in Issued and Outstanding Securities is the longest and most complex of the reporting forms that you can file with TSX SecureFile. The layout of the form's pages varies depending on the type of arrangement or security.

Use Form 1 to file:
- Options-based share compensation arrangements.
- Non-options-based share compensation arrangements.
- Other issuances and cancellations.

To complete Form 1, you must:
1. Complete the Form 1 header, consisting of the reporting dates and opening balance.
2. Create a working list, consisting of the share compensation arrangements for which you want to provide details. By default, Other Issuances & Cancellations is always a working list item.
3. Provide the details for the items in your working list.
4. Submit your form or close it as a pending filing.

The following sections describe these steps.
When to file Form 1

Form 1 must be filed within ten days of the end of each month in which any change to the number of outstanding or reserved listed securities has occurred (including a reduction in such number that results from a cancellation or redemption of securities). When there are no changes to the number of securities outstanding or reserved for issuance in a given quarter, a “nil” Form 1 should be filed, on a quarterly basis, for the periods ended March 31, June 30, September 30, and December 31 of each year.

You can file a nil report in one of two ways:
• If you have no share compensation arrangements, complete only the Form 1 header, then submit your filing.
• If you have share compensation arrangements, create a working list, enter the arrangement balances without entering any transactions, then submit your filing.

Only one Form 1 filing can be created at a time for a particular security symbol. If one user is creating a filing for a symbol, all other users are locked out of that symbol. If you try to create a filing for that symbol, you receive a message indicating that a filing for the selected security symbol is pending, along with the user name of the person who owns the pending filing. All other users can view the pending filing, but cannot amend or submit it.

Completing the Form 1 header

The first step in completing Form 1 is to enter the reporting period and the issued and outstanding opening balance. You must supply this information before you can provide any other information for the filing. The share compensation arrangement list and Add to Working List button are not enabled until you complete and apply the header information.

The value of the From and To dates for the reporting period depends on whether this is the first filing of Form 1 for the selected security symbol.
• If Form 1 has never been submitted for the selected security symbol, you must supply both the From and To dates for the reporting period.
• If Form 1 has been submitted for a previous period, the From date is set to one day after the To date of the previous filing. The From field is unavailable, and you cannot change the date. You must supply the To date for the current reporting period.
• If the To date of the most recent original filing for this security symbol is today, the From field and To field are set to today’s date. Both fields are unavailable, and you cannot change their dates.
• The From date must be before today’s date, or it must be today’s date.
• The end of the reporting period must be after, or the same as, the start of the reporting period, and can be no later than the current date.
To complete the header information:

1. In the From field, type the opening date of the reporting period.
2. In the To field, type the closing date of the reporting period.
3. In the Issued & Outstanding Opening Balance field, type the number of shares that were outstanding as of the As at date. *This is the balance before any transactions that you are reporting.* The As at date is typically the same as the From date; however, it can be different, for example, when reports have not been filed for some time.
4. In the As at field, type the date when the shares were outstanding. This date must be the same as or before the reporting period To date.
5. Click **Apply**. The Issued & Outstanding Closing Balance field is updated with the same value as the opening balance.

**Note:** If you change the value of the opening balance, you must click **Apply** to save the header information again and recalculate the closing balance.

The opening balance is recalculated as you record transactions. To save transactions and update the balance, you must click **Apply** before submitting your filing or closing it as pending.

**Filing a nil report**

At this point, if you have no share compensation arrangements, you can file a nil report to indicate that there have been no changes in the security.

**To file a nil report:**

1. Complete the form header, as described in steps 1 to 5 above.
2. **Submit the form**, as described in “Completing the filing” on page 73.

**Creating a working list**

The next step in completing Form 1 is to create a working list for your filing. A Form 1 filing can consist of one or more share compensation arrangements (both options-based and non-options-based), as well as one instance of Other Issuances & Cancellations. The working list contains the share compensation arrangements, Other Issuances and Cancellations, or both, that you select to be in the filing that you are working on.

**Note:** The list of share compensation arrangements varies from issuer to issuer. An issuer may have one or several share compensation arrangements, or none at all.
Once you have created your working list, you can continue to add transactions to the individual arrangements, or you can return to the Form 1 Summary page, where you can close your filing as pending so you can return to it later.

**Adding an arrangement to your working list**

**To add an arrangement to your working list:**

1. From the Select a Share Compensation Arrangement list, select an arrangement.
   To display a list of your share compensation arrangements, click the arrow beside the list.
2. Click **Add to Working List**. The arrangement is added to your filing and removed from the selection list.

The arrangement name appears in blue to indicate that it is a hyperlink, which you open by clicking it.

The value of the Effect on Issued & Outstanding Securities field is initially 0 and is updated after you add transactions to an arrangement and return to the Form 1 Summary page. That value applies to exercises (options) and issuances (non-options). Grants and cancellations of options are captured in the arrangement, but they do not affect issued and outstanding securities.

![Select a Share Compensation Arrangement](image)

You can add as many arrangements as necessary from the list of arrangements. Arrangements are displayed in the order in which you add them.

If you think you have an arrangement and it doesn’t appear in the list, contact your TSX listings manager.

By default, Other Issuances & Cancellations is always an item in your working list.
Removing an arrangement from your working list

Caution: If you remove an arrangement from your working list, any data that you have entered for that arrangement is lost.

To remove an arrangement from your working list:
1. For the selected arrangement, click Cancel Selection. A confirmation dialog box appears.
2. Do either of the following:
   • Click OK. The arrangement is removed from the working list and becomes available again in the Select a Share Compensation Arrangement list. The closing balance is updated.
   • Click Cancel. The arrangement remains in your working list.

You cannot remove Other Issuances & Cancellations from your working list. If you have entered transactions for Other Issuances & Cancellations, you must delete the individual transactions that make up the Other Issuances & Cancellations item. For more information, see “Deleting a transaction” on page 51.

Once you have created your working list, you can continue to add transactions to the individual arrangements, or you can return to the Form 1 Summary page, where you can close your filing as pending, so you can return to it later.

Adding or editing transactions

After you have created a working list, you need to add the transaction details for each of the items in the working list. The format of the transaction entry pages varies depending on whether the item belong to:
• An options-based share compensation arrangement.
• A non-options-based share compensation arrangement.
• Other issuances and cancellations.

To add a transaction to an item in the working list, click the item’s name. The Form 1 – Name of Arrangement – Details page appears.

On this page, you enter the information for individual transactions. If you are modifying an existing arrangement, the existing transactions appear below the data entry fields in order by effective date.

You do not need to enter individual transactions. You can combine transactions and enter a summary total as one transaction in TSX SecureFile.
The following figure shows the page for an options-based share compensation arrangement.

![TSX SecureFile Filer](image.png)

**Setting the opening amount and date for a share compensation arrangement**

For share compensation arrangements, you must specify an opening balance (for an options-based arrangement) or reserve (for a non-options-based arrangement) and an as at date. If you are modifying an existing filing, TSX SecureFile displays the opening balance or reserve and the as at date that you entered previously. You may modify this information.

**Note:** This information is not required for Other Issuances and Cancellations.

**To specify the opening balance or reserve and as at date:**

1. Do either of the following:
   - For an options-based share compensation arrangement, in the Stock Options Outstanding Opening Balance field, type the opening balance for the arrangement.
   - For a non-options-based share compensation arrangement, in the Opening Reserve field, type the number of securities or options within the arrangement at that date.
2. In the As at field, type the as at date for the opening balance or reserve. The as at date must be earlier than or equal to the last day of the reporting period.
3. Click Apply. The transaction entry fields become available.
The following figure shows the opening reserve section for a non-options-based arrangement.

![Image of opening reserve section]

You cannot add or edit details until you click Apply.

At this point, you can file a nil report to indicate that there have been no changes in the arrangement.

To file a nil report, after you have updated the opening balance and as at date, click Return to Summary. The Form 1 – Change in Issued and Outstanding Securities – Summary page appears. The value of Effect on Issued and Outstanding Securities will be zero.

Adding a transaction for an options-based arrangement

Options-based arrangements can be of two types:

- With a share appreciation rights (SAR) transaction
- Without a share appreciation rights transaction

To add a transaction to an options-based arrangement with a SAR transaction:

1. In the Effective Date field, specify the effective date of the transaction. The effective date must be before or equal to the last day of the reporting period.
2. Select the SAR check box.
   The Options Granted field is disabled, and the SAR Reduction in Reserve field is enabled.
3. In their fields, type the values for options exercised and options cancelled.
4. In the SAR Reduction in Reserve field, type the value, which should be a negative number.
Note: At least one of the fields Options Exercised, Options Cancelled, or SAR Reduction in Reserve must have a non-zero value.

5. Optionally, in the Comment field, type a description of the transaction.

Note: Comments should be no longer than 255 characters.

6. Do either of the following:
   - Click Apply. The transaction details are added to the Input Summary and the arrangement totals and closing balance are updated.
   - Click Cancel. The fields are cleared and the totals are not updated.

To add a transaction to an options-based arrangement without a SAR transaction:

1. In the Effective Date field, specify the effective date of the transaction. The effective date must be before or equal to the last day of the reporting period.

2. In their fields, type the values for options granted, options exercised, and options cancelled.

Note: At least one of the fields Options Granted, Options Exercised and Options Cancelled must have a non-zero value.

3. Optionally, in the Comment field, type a description of the transaction.

Note: Comments should be no longer than 255 characters.

4. Do either of the following:
   - Click Apply. The transaction details are added to the Input Summary and the arrangement totals and closing balance are updated.
   - Click Cancel. The fields are cleared and the totals are not updated.
The following figure shows the Input Summary for an options-based arrangement after transactions have been entered.

To view the comment for a transaction, click the View Comment link for the transaction. The comment appears in a separate window. Close the window when you have finished viewing the comment.

When you are finished entering transactions, click Return to Summary. The Form 1 – Change in Issued and Outstanding Securities – Summary page appears. The Effect on Issued and Outstanding Securities field for the arrangement and the Issued and Outstanding Closing Balance field are updated. That value applies to exercises (options) and issuances (non-options). Grants and cancellations of options are captured in the arrangement, but they do not affect issued and outstanding securities.

Adding a transaction for a non-options-based arrangement

To add a transaction to a non-options-based arrangement:

1. In the Effective Date field, specify the effective date of the transaction. The effective date must be before or equal to the last day of the reporting period.
2. In their fields, type the values for securities listed and securities issued. You must enter a value for at least one of these fields.
3. As optional information, in the Comment field, type a description or brief explanation of the transaction.

Note: Comments should be no longer than 255 characters.
4. Do either of the following:
   • Click **Apply**. The transaction details are added to the Input Summary, and the
     arrangement totals and closing reserve are updated.
   • Click **Cancel**. The fields are cleared and the totals are not updated.

The following figure shows the Input Summary for a non-options-based arrangement
after details have been entered.

To view the comment for a transaction, click the **View Comment** link for the
transaction. The comment appears in a separate window. Close the window when you
have finished viewing the comment.

Transactions are displayed in order by Effective Date (oldest first). You can enter as
many transactions as you want.

When you are finished entering transactions, click **Return to Summary**. The Form 1
– Change in Issued and Outstanding Securities – Summary page appears. The Effect
on Issued and Outstanding Securities field for the arrangement and the Issued and
Outstanding Closing Balance field are updated. That value applies to exercises
(options) and issuances (non-options). Grants and cancellations of options are
captured in the arrangement, but they do not affect issued and outstanding securities.
Adding a transaction for Other Issuances and Cancellations

To provide details for Other Issuances and Cancellations, in the working list click Other Issuances and Cancellations. The Form 1 – Other Issuances and Cancellations - Details page appears.

If you are editing existing transactions, the transactions appear below the data entry fields, in the Input Summary section.

To add a transaction to Other Issuances and Cancellations:

1. In the Effective Date field, specify the effective date of the transaction. The effective date must be before or equal to the last day of the reporting period.
2. From the Transaction Type list, select the type of the transaction for the security. For a list of security transaction types, see “Security transactions” on page 86.
3. In the Number of Securities field, type the number of securities for the transaction.
4. As optional information, in the Comment field, type a description or brief explanation of the transaction.

Note: Comments should be no longer than 255 characters (about 40 words).

5. Do either of the following:
   - Click Apply. The transaction details are added to the Input Summary, and the total is updated.
   - Click Cancel. The fields are cleared, and the totals are not updated.

To view the comment for a transaction, click the View Comment link for the transaction. The comment appears in a separate window. Close the window when you have finished viewing the comment.

Transactions are displayed in order by Effective Date (oldest first). You can enter as many transactions as you want.
When you are finished entering transactions, click Return to Summary. The Form 1 – Change in Issued and Outstanding Securities – Summary page appears. The Effect on Issued and Outstanding Securities field for the arrangement and the Issued and Outstanding Closing Balance field are updated.

**Editing a transaction**

You can edit the data for a transaction after you have saved it.

**To edit a transaction:**
1. For the transaction that you want to edit, click Edit. The transaction and comment, if applicable, are moved back to the input fields.
2. Edit the transaction information as needed.
3. Do either of the following:
   - Click Apply. The transaction details are updated in the list of transactions below the Comment field, and the totals and closing balance or reserve are updated.
   - Click Cancel. The fields are cleared, and the transaction is not updated.

When you are finished editing transactions, click Return to Summary. The Form 1 – Change in Issued and Outstanding Securities – Summary page appears. The Effect on Issued and Outstanding Securities field for the arrangement and the Issued and Outstanding Closing Balance field are updated.

**Deleting a transaction**

You can delete a transaction after you have saved it.

**To delete a transaction:**
1. For the transaction that you want to delete, click Delete. A confirmation dialog box appears.
2. Do either of the following:
   - Click OK. The transaction is deleted, and the arrangement totals and closing balance are updated.
   - Click Cancel. The dialog box closes, and the transaction is not deleted.

With share compensation arrangements, even if the last transaction is deleted, the arrangement still exists. If you want to remove the arrangement, you must do so from the Form 1 – Change in Issued and Outstanding Securities – Summary page.

When you are finished deleting transactions, click Return to Summary. The Form 1 – Change in Issued and Outstanding Securities – Summary page appears. The Effect on Issued and Outstanding Securities field for the arrangement and the Issued and Outstanding Closing Balance field are updated.
Filing Form 2

Form 2 has five parts:

- Form 2A – Change in General Company Information
- Form 2B – Change in Jurisdiction of Incorporation
- Form 2C – Change in Fiscal Year-End
- Form 2D – Change in Interlisting Status
- Form 2E – Change in Transfer Agent & Registrar

You complete and file each part separately.

To create or modify a filing for one of these forms, open the form’s page, as described in “Creating a new filing” on page 36 or “Opening or deleting a pending filing” on page 37.

Filing Form 2A

File Form 2A when there is a change to the general information for the company, such as a change in head office address or a new phone number. You must file Form 2B within ten days after the relevant change.

Form 2A opens with the data fields filled with data that is on file at Toronto Stock Exchange. If you are modifying a pending filing, the data fields will be filled with the information that you entered previously.

Unprocessed filings of Form 2A are displayed at the top of Form 2A.

Completing Form 2A

To record a change in general company information:

1. Provide information for the following mandatory fields:
   - Effective Date of Change
     The Effective Date cannot be the same as the Effective Date of another Form 2A filing (unless the previous filing has been Cancelled).
   - Head Office Address
     At least one line of the address is required.
   - City
   - Province/State
   - Postal/Zip Code
   - Country
     If you change the value for the Country field, the value for Province/State is set to “unknown”.
   - General phone number, including the area code, local number, and country code (if required)
2. Optionally, provide information for the other fields. If you provide a toll-free phone number or fax number, you must provide an area code for it.

3. **Complete your filing** (submit it or close it as pending), print it, or delete it, as described in “Completing the filing” on page 73.
Cancelling unprocessed Form 2A filings

Form 2A filings are not processed until the effective date. You can cancel the processing of any Form 2A that you have submitted and which has an effective date still in the future.

For each unprocessed Form 2A filing, TSX SecureFile displays the:

- Submission date
- Effective date
- Filer

To cancel the processing for an unprocessed Form 2A filing:

1. For the filing, click **Cancel Processing**. A confirmation dialog box appears.
2. Do either of the following:
   - Click **OK**. Processing is cancelled, and the form is removed from the list of unprocessed filings on the Form 2A page.
   - Click **Cancel**. Processing is not cancelled, and the form remains in the list of unprocessed filings.

Submitted filings of Form 2A which you have cancelled still appear in the list of historical filings, identified as Cancelled.
Filing Form 2B

File Form 2B when there has been a change in the country of jurisdiction of incorporation for the company. You must file Form 2B within ten days after the relevant change.

If you are modifying a pending filing, the data fields will be filled with the information that you entered previously.

**To record a change in jurisdiction of incorporation:**

1. Provide information for the following mandatory fields:
   - New Jurisdiction of Incorporation
   - Effective Date of Change
2. Optionally, in the Comment field, provide a comment.
3. Complete your filing (submit it or close it as pending), print it, or delete it, as described in “Completing the filing” on page 73.

Filing Form 2C

File Form 2C when there has been a change in the fiscal year-end for the company. You must file Form 2C within ten days after the relevant change. If you are modifying a pending filing, the data fields will be filled with the information that you entered previously.

**To record a change in fiscal year-end:**

1. Provide information for the following mandatory fields:
   - New Fiscal Year-End
   - Effective Date of Change
2. Optionally, in the Comment field, provide a comment.
3. Complete your filing (submit it or close it as pending), print it, or delete it, as described in “Completing the filing” on page 73.
Filing Form 2D

File Form 2D when the company has become interlisted on another market, or has recently ceased to be listed on another market. You must file Form 2D within ten days after the relevant change.

If you are modifying a pending filing, the data fields will be filled with the information that you entered previously.

To record a change in interlisting status:

1. From the TSX Security Symbol list, select the TSX security symbol for the company.
   If you have only one active security, the symbol is provided for you.
2. Provide information for the following mandatory fields:
   - Interlisted Market
   - Trading Symbol
   - Listed/Delisted
   - Effective Date of Change
3. Click Apply. The information you provided appears in the Input Summary.

You can now add more changes to the form by repeating the previous steps, edit or delete an existing record, or complete your filing.
To edit an interlisting status record:
1. For the interlisting status record that you want to edit, click **Edit**. The entry fields are updated with the information from the record.
2. Edit the information as required.
3. Click **Apply**. The interlisting status record appears in the Input Summary.

To delete an interlisting status record:
1. For the interlisting status record that you want to delete, click **Delete**. A confirmation dialog box appears.
2. Do either of the following:
   - Click **OK**. The interlisting status record is deleted.
   - Click **Cancel**. The dialog box closes and the interlisting status record is not deleted.

To complete your filing (submit it or close it as pending) or print it or delete it, follow the instructions in "Completing the filing" on page 73.

**Filing Form 2E**

File Form 2E when there has been a change in the transfer agent or registrar for the company. You must file Form 2E within ten days after the relevant change.

**Note:** Every company must maintain acceptable transfer agent services in the city of Toronto.

If you are modifying a pending filing, the data fields will be filled with the information that you entered previously.

To record a change in transfer agent and registrar:
1. Provide information for the following mandatory fields:
   - Transfer Agent (new)
   - Name of Registrar
   - Effective Date of Change
2. Optionally, provide the name of the co-transfer agent.
3. **Complete your filing** (submit it or close it as pending), print it, or delete it, as described in "Completing the filing" on page 73.
**Filing Form 3**

File Form 3 when there has been a change in the officers, directors, or trustees of a company, such as:

- The appointment of a new officer, director, or trustee
- A change in position of a current officer, director, or trustee
- When an officer, director, or trustee is no longer with the company
- You need to provide:
  - Personal information of the officer, director, or trustee
  - Position details

You can use one Form 3 filing to submit changes for more than one person.

To view a list of persons for your organization, click current officers / directors / trustees on the Summary page. A new window appears with a list of existing persons and their position(s).

New person(s) added in the Form 3 filing are added to the list of officers/directors/trustees for this issuer only after the filing has been reviewed and processed by TSX. Each Form 3 filing is reviewed by TSX before the changes appear in TSX SecureFile. This process can take several days. Until the review process is complete, you cannot view or modify any person that is in the Form 3 filing under review.

**When to file Form 3**

File Form 3 within ten days after any relevant change.
Adding a new person

To add a new person, you must be able to provide that person's personal information and their position or positions within your company.

If you need to collect the personal information from an officer, director, or trustee, you can use the attachment provided on the New Person page to gather the information before you enter it into Form 3.

To add a new person:

2. Provide personal information, as described in “Providing personal information” on page 60.
3. Add the person’s current position(s) as described in “Adding or editing positions” on page 62.
4. Click Return to Summary. The summary page appears.

On the summary page, the New persons added list shows any new persons added to the current filing.

Note: The Filing Summary is displayed only while the form is pending, and it is not displayed after the form is submitted.
Providing personal information

Before you can provide a position for a person, you must provide that person’s personal information.

To provide personal information:

1. Read the Representation and Warranty regarding Personal Information.
2. Provide the following information:
   - Civil title
   - First name
   - Full middle name or names
   - Surname
   - Birth date

Note: The middle name and birth date of the person are used for personal profile verification purposes only. A middle initial is not sufficient. If there is no middle name, enter “n/a” in the field.

3. Provide any previously or commonly used names. For example, William is also known as Bill.

4. Provide the following information for the person:
   - Residential History for the past 10 years. Start with the current principal residential address, and provide full information for each address.
   - E-mail address
   - Telephone number
   - Citizenship

5. Optionally, fill in the Comments field with any additional information about this filing.
6. Click **Accept and Proceed**. The personal information fields become locked (dark), the **Accept and Proceed** button becomes an **Edit** button, and the positions section becomes available.

![Personal Information Form]

**Caution:** By clicking the Accept and Proceed button, you accept the **REPRESENTATION AND WARRANTY REGARDING PERSONAL INFORMATION** stated above.

To modify the person's personal information, click the **Edit** button in the personal information section, and repeat the preceding steps as needed. You can do this at any time before submitting the form.

You can now assign one or more positions to the person.
Adding or editing positions

Once you have entered a person's personal information, you can specify the positions that this person currently holds. You must provide at least one position for a new person.

**Note:** You may assign more than one position to a person.

To add a position:
1. From the Position list, select the person’s position.
2. Optionally, provide the Full Position Title.
   
   **Note:** If the position is “Officer” or “other”, the Full Position Title field is mandatory.
3. Provide the date when the person is appointed to this position.
4. Click **Apply**. The information you provided appears in the Position Summary.

You can make changes to a newly added position any time before you file the Form 3.

To change a position:
1. In the Positions Summary, for the position you want to change, click **Edit**. The position appears in the editable fields above the Position summary.
2. Make the required changes.
3. Click **Apply**. The information you provided appears in the Position Summary.

To remove a position:
1. For the position you wish to remove, click **Delete**. A confirmation dialog box appears.
2. Click **OK**. The position is deleted.
Editing or deleting a new person

You can edit a new person’s information at any time before you submit the form. On the summary page, the New Persons list shows any new persons added to the current filing.

To edit a new person:

1. In the New person(s) added list, click the name of the person you want to edit. The person’s information appears.
2. Update the person’s personal information, as described in “Providing personal information” on page 60.
3. Update positions as described in “Adding or editing positions” on page 62.
4. Click Return to Summary. The summary page appears.

You can delete a new person at any time before submitting the form.

To delete a new person:

1. On the Summary page, beside the name of the person you want to delete, click Delete Person. A confirmation dialog appears.
2. Click OK. The person, and any new or updated information for that person, is deleted from the current Form 3 filing.

Editing an existing person

If an officer, director, or trustee changed his or her position, you must update that person’s information.

You can edit the information of any person that TSX has on record as associated with this issuer.

To edit a person’s information:

1. On the summary page, select an existing person from the drop-down menu.
2. Click Next. The person’s basic personal information appears. The positions section is locked.
3. Optionally, provide any updated information such as full middle name.
4. Provide the person’s birth date.
5. Click Apply. The personal information fields become locked, and the positions section is available.

Once the positions section is available, you can add new positions or end current positions for the person that you are editing. You can also add comments.
The status column in the Position Summary indicates if a position is either *New*, *Current* (unchanged), or *Former* (ended).

**To add a position:**

1. From the Position list, select the person’s new position.
2. Optionally, provide the Full Position Title.
3. Provide the date on which the change becomes effective.
4. Click **Apply**. The information you provided appears in the Position Summary. The position’s status is *New*.

**Note:** If the position is “Officer” or “other”, the Full Position Title field is mandatory.

You can edit a position if it has *New* status. If a position has *Current* status, you can provide only the end date for that position.

**To edit a new position:**

1. In the Position Summary, for the position you wish to change, click **Edit**. The position appears in the editable fields above the Position Summary.
2. Modify the position, full position title, and effective date as necessary.
3. Click **Apply**. Your changes appear in the Position Summary.

**To remove an old or expired position:**

1. In the Positions list, beside the name of the position you want to change, click **Edit**. The position appears in the editable fields above the Positions list.
2. Provide an end date.
3. Click **Apply**. The position’s status is changed to *Former* and the Delete button appears.
Any position with *Former* status is removed when TSX processes the Form 3. A position will not be removed before the specified end date. Clicking the **Delete** button for a position with *Former* status removes that position’s end date and changes its status back to *Current*.

**To add comments:**

1. Click **Add/Edit**. The comment field becomes available.
2. Fill in the Comments field with any additional information about the changes for this person.
3. Click **Save Comment**. The comment field becomes locked. Your comment is saved, and it will be submitted with the Form 3.

When you are finished editing the person’s positions, click **Return to Summary**. The summary page appears.

**Removing an existing person**

If an officer, director, or trustee is no longer associated with the issuer, you must remove that person from TSX SecureFile.

To remove a person, provide an end date for all of their positions. A person with no *New* or *Current* positions will be removed from the system when you file the Form 3 and it is reviewed and processed by TSX.

**To remove an existing person:**

1. For each of the person’s positions (*Current* status):
   • Click **Edit**.
   • Provide an end date. The position’s status becomes *Former*.
2. Click **Return to Summary**. The summary page appears.

A person with no *New* or *Current* positions will be removed when the Form 3 is processed by TSX.

**Completing your Form 3 filing**

To complete your filing (submit it or close it as pending) or print it or delete it, follow the instructions in “Completing the filing” on page 73.
Filing Form 5

File Form 5:
• After the declaration of the dividend and at least five trading days before the dividend record date.
• Immediately after the decision has been made to omit or defer a dividend.

Note: If the dividend being declared is a stock dividend of treasury shares of the Company (or of other securities that are convertible into treasury shares of the Company), the Company must also comply with the requirements of the TSX Company Manual, under the headings “Stock Dividends” and “Additional Listings”.

If you are modifying a pending filing, the data fields will be filled with the information that you entered previously.

Notes about completing Form 5

For Form 5, you do not need to provide the security symbol when you select the form, but when you begin filling in the form’s details after selecting Dividend Type.

Form 5 is dynamic; that is, the form changes depending on the type of dividend selected and your responses to specific questions. For example, if you answer “Yes” to the question: “Is this the first time this dividend is being declared with TSX?”, you will be asked to provide the frequency of the dividend and the approximate dollar amount of the Dividend per security.

Do not use dollar signs ($) in the Amount field.

For “Certainty of Dividend Amount”, if you select “The amount is unknown at this time”, you should provide any relevant information in the Applicable Notes field.

To file Form 5:

1. Click Start Filing. A list of dividend types appears.
2. From the TSX Security Symbol list, select a security symbol. If you have only one active security, the symbol is provided for you.
3. Select one of the following dividend types:
   • Regular Dividend: Dividend with fixed frequency; for example, monthly or quarterly
   • Occasional Dividend: Dividend with no fixed frequency, but not a special or extra Dividend
   • Special/Extra Dividend: One-time Dividend
   • Omitted Dividend: Departure from a previously established dividend policy; for example, quarterly – a Dividend expected but not declared
   • Deferred Dividend: Postponement of a cumulative Dividend payment
   • Resumption: First dividend to be paid following an omission/dividend
4. When applicable, provide the declaration date, the record date, the payable date, or other dates, depending on the type of Dividend selected.
5. Provide the remaining information about the Dividend, following the prompts on the form as they appear. Mandatory fields are marked with a red asterisk.

6. Optionally, in the Additional Details/Comments field provide a description of the dividend or any other information that may be relevant.

7. Click Apply. The dividend/distribution record appears in the Dividend Records summary.

8. In the contact information section below the Dividend Records summary, provide contact information about an officer of your firm who can provide TSX with information about the dividend.

You can now continue to add more dividend/distribution records to the form by repeating the previous steps, edit or delete an existing record, or complete your filing.

To edit a dividend/distribution record:

1. For the dividend/distribution record that you want to edit, click Edit. The entry fields are updated with the information from the record.

2. Edit the information as required.

3. Click Apply. The dividend/distribution record is listed in the Input Summary.

To view the details for a dividend/distribution record, click View Details. The details appear in a separate window.

To delete a dividend/distribution record:

1. For the dividend/distribution record that you want to delete, click Delete. A confirmation dialog box appears.

2. Do either of the following:
   • Click OK. The dividend/distribution record is deleted.
   • Click Cancel. The dialog box closes and the dividend/distribution record is not deleted.

To complete your filing (submit it or close it as pending) or print it or delete it, follow the instructions in “Completing the filing” on page 73.
Filing Form 8

File Form 8 when there is a change in the investor relations contact for the company. Form 8 opens with the data fields filled from data that is on file with Toronto Stock Exchange. If you are modifying a pending filing, the data fields will be filled with the information that you entered previously.

To record a change in the investor relations contact:
1. Provide information for the following mandatory fields:
   • Effective Date of Change
   • Civil Title
   • First Name
   • Surname
   • Title
   • Address
     At least one line of the address is required.
   • City
   • Province/State
   • Country
     This value is supplied by TSX SecureFile when you select the province or state. If you change the value for the Country field, the value for Province/State is set to “unknown”.
   • Email
   • Phone–Area Code and Local Number
2. Optionally, provide information for the other fields.
   If you provide a toll-free phone number or fax number, you must provide an area code for it.
3. Complete your filing (submit it or close it as pending), print it, or delete it, as described in “Completing the filing” on page 73.
Filing Form 9

File Form 9 to request an extension to the deadline for financial reporting and/or the date of the annual meeting, or to request an exemption from financial reporting and/or annual meeting.

• To request an extension, file Form 9A. To request an exemption, file Form 9.

When to file Form 9A, 9B, or 9C

File Form 9A, 9B, or 9C as soon as possible before the relevant deadline prescribed in applicable securities legislation or the TSX Company Manual for filing financial statements or the annual meeting in regard to which this form is being filed.

Completing Form 9A

File Form 9A to request an extension for the date of the annual meeting.

If you are modifying a pending filing, when you open the form the data fields will be filled with the information that you entered previously.

To request an extension for the date of the annual meeting:

1. In the Apply to Fiscal Year field, state the fiscal year to which the request for extension applies.
2. In the Proposed Date field, provide the proposed date of the annual meeting.
3. In the Reason field, provide the reason for requesting the extension.
4. Complete your filing (submit it or close it as pending), print it, or delete it, as described in "Completing the filing" on page 73.

If you need to provide information, such as faxes, that cannot be accommodated on this form, you should use the File a Document portion of TSX SecureFile to file a PDF version of this form and the associated correspondence.
Completing Form 9B

File Form 9 to request an extension of the deadline for financial reporting. If you are modifying a pending filing, when you open the form the data fields will be filled with the information that you entered previously.

To request an extension to the deadline for financial reporting:
1. In the Apply to Fiscal Year field, state the fiscal year to which the request for extension applies.
2. Select the type of financials to which the extension applies.
3. If you selected Quarterly Financials, select the applicable quarter.
4. In the Proposed Date field for the period that you selected, provide the proposed date when the financials will be filed.
5. In the Reason field for the period that you selected, provide the reason for requesting the extension.
6. Complete your filing, as described in “Completing the filing” on page 73.
Completing Form 9

File Form 9 to request an exemption from financial reporting or holding an annual meeting.

If you are modifying a pending filing, when you open the form the data fields will be filled with the information that you entered previously.

To request an exemption from holding an annual meeting:

1. In the Fiscal Year field, state the fiscal year to which the request for exemption applies.
2. If the exemption was mandated by a court order, select Yes.
3. If the exemption was mandated by a securities commission order, select Yes.
4. In the Reason field of the Annual Meeting section, provide the reason for requesting the exemption.

5. Complete your filing (submit it or close it as pending), print it, or delete it, as described in “Completing the filing” on page 73.

**To request an exemption from financial reporting:**

1. In the Effective Date field, state the date at which the exemption becomes effective.

2. Select the period or periods to which the exemption applies:
   - 1st Quarter
   - 2nd Quarter
   - 3rd Quarter
   - Annual

3. For the period or periods that you selected:
   - If the exemption was mandated by a court order, select Yes.
   - If the exemption was mandated by a securities commission order, select Yes.

4. For the period that you selected, in the Reason field, provide the reason for requesting the exemption.

5. Complete your filing (submit it or close it as pending), print it, or delete it, as described in “Completing the filing” on page 73.
Completing the filing

Once you have completed adding transactions for the items in your working list, you can either close it as a pending filing to be submitted later, or submit it to Toronto Stock Exchange. You can also delete the filing or print it.

Closing a filing as pending

When you close a file as pending, it remains available to you for twenty-five business days. If you do not submit the filing before the end of the tenth day, it expires and is removed from the TSX SecureFile system.

To close a filing as pending, for the filing that you want to close, click Close Filing as Pending. The filing is saved and added to the list of pending filings on the Reporting Forms page.

Submitting a filing

You submit a filing from the page of the form that you want to submit. You submit Form 1 from the Form 1 – Change in Issued and Outstanding Securities – Summary page.

Your filing is sent to TSX as soon as you submit it. You cannot delete filings that you have submitted. You can amend filings for Form 1 only. For instructions on amending an historical filing, see “Amending a Form 1 historical filing” on page 79. If you need to change a filing for forms other than Form 1, you must resubmit it as a new filing, as described in “Amending form filings” on page 38.

To submit a filing:

1. Open the page for the filing that you want to submit.
2. For the filing that you want to submit, click Submit Filing. A confirmation dialog box appears.
3. Do either of the following:
   • To submit the filing, click OK. The filing is submitted to Toronto Stock Exchange and added to the list of historical filings. You are returned to the Reporting Forms page, where a confirmation message appears confirming that the filing has been received.
   • To cancel the filing, click Cancel. The confirmation dialog box closes.

If mandatory information is missing, you receive an error message. You cannot submit the filing until you have provided all mandatory information.

Deleting a filing

You can delete filings that are pending or that you have not submitted to Toronto Stock Exchange. For instructions on deleting a pending filing, see “Opening or deleting a pending filing” on page 37.
You can also delete a filing while you are working on it, whether you have saved it as pending or not, from the form’s page.

To delete a filing:
1. Click **Delete Filing**. A confirmation dialog box appears.
2. Do either of the following:
   • To delete the filing, click **OK**. The filing is deleted, and you are returned to the Reporting Forms page. A confirmation message confirms the deletion.
   • To cancel the deletion and continue working with the filing, click **Cancel**.

Printing a filing

To print a filing:
1. Open the page for the form that you want to print.

   ![Note]
   If you have popup blocking turned on in your web browser or are using other popup-blocking software, the print window may not open. For instructions on how to correct this, see “You can’t print a reporting form” on page 89.

2. Click **Print Filing**. A separate browser window opens, containing a printable version of your filing.

   **Note:** Forms 2A, 2B, 2C, 2E, 8, 9A, and 9B are saved before the print window opens.
3. Use your browser’s print command to print the filing, then close the window.
5 Working with Historical Filings

With TSX SecureFile you can view historical filings, created by any user, which have been submitted to TSX in the past. You may need to do this to print a filing or create an amendment. You can also search for historical filings and create amendments for Form 1 and Form 5 filings.

You can view filings for up to 15 months in the past. After that, they are not visible in TSX SecureFile. If you need to view a filing after 15 months, please request a copy from a TSX Listed Issuer Services manager.
Viewing historical filings

The Reporting Forms page displays the ten most recent historical filings for an issuer in the Historical Filings section of the Reporting Forms page. All filings are displayed, not just the ones that you submitted.

<table>
<thead>
<tr>
<th>Historical Filings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submission Date</td>
</tr>
<tr>
<td>05/31/2005</td>
</tr>
<tr>
<td>10/02/2003</td>
</tr>
<tr>
<td>10/02/2003</td>
</tr>
</tbody>
</table>

To view historical filings for an issuer:
1. **Select an issuer**, as described in “Using the Issuer List”.
2. For the selected issuer, click **Reporting Forms**. The Reporting Forms page appears. The Historical Filings section shows up to the ten most recent historical filings for the selected issuer.

For each historical filing, TSX SecureFile displays:
- The submission date.
- The form number, presented as a link to the filing.
- The security symbol, if the filing is Form 1 or 8, or Form 3 if you provided a symbol for it.
- The reporting period and effective date. These dates are not displayed if the filing is Form 2D, 5, or 9A.
- Yes, if the Form 1 filing is an amendment.
- The user name of the **filer**.
- For Form 1 filings, a link to view history.
- For Form 2A filings, Cancelled if the form has been cancelled before processing by Toronto Stock Exchange.

**To view a historical filing**, click its form number. The filing is displayed in a new window.
Searching for historical filings

If the historical filing that you are looking for is not displayed in the list of ten most recent filings, you can search for it.

To search for an historical filing:
1. Open the Reporting Forms page.
2. Click More History. A search form appears.
3. Specify the search criteria, which can be any or all of the:
   • Form.
   • Security symbol. Only security symbols for the selected issuer are available.
   • Submission date, specified as a range (from, to).
4. Click Search. TSX SecureFile displays any historical filings matching your search criteria, sorted by submission date with the newest filings first.

If there are more than 10 historical filings, they are grouped in pages of ten, with navigation controls to switch between pages.
Changing the sort order

If you have many historical filings, you can change the sort order to make the filings easier to scan through.

To change the sort order of historical filings:

1. Search for historical filings, as described in “Searching for historical filings” on page 77.
2. To sort on a field, click on a column header in the search results table. You can sort on the following fields:
   • Submission Date
   • Form Number
   • Security Symbol
   • Reporting Period/Effective Date
   • Amendment
   • Filer
   The sort takes place as soon as you click on a field name. By default, the sort order is descending. The column on which the data is sorted is indicated by a red triangle pointing downward.
3. To change the order of the sort, click on the column header. The sort order changes. The direction of the triangle indicates the sort order: up for ascending and down for descending.

Viewing the history of a filing

For Form 1 filings, you can view the history of a filing, including all of its prior amendments. Viewing the history of a filing is only available for filings of Form 1, because only Form 1 can be amended.

To view the history for a filing, click View History for the filing. The Reporting Forms – Historical Search page appears, displaying the history of the filing.
Amending a Form 1 historical filing

You can create amendments for filings of Form 1 after they have been filed. You cannot create an amendment to a filing if there is a pending amendment for that filing. Pending original filings do not affect whether you can create an amendment, because they would have a different reporting period.

If an amendment has already been submitted for an original filing, and you want to submit another amendment, it must be based on the amendment, not the original filing. Any amendments that you create must be based on the most recent filing for a filing.

To create an amendment for a Form 1 filing:

1. Find the filing in the history of submitted filings.
2. For the filing, click Create Amendment. The Form 1 – Change in Issued and Outstanding Securities – Summary page appears.
   The reporting period dates are taken from the original filing; you cannot modify them.
3. Optionally, modify the opening balance.
4. Optionally, modify the As At date of the opening balance.
5. Click Apply.
6. Enter the data for the amendment, as described in “Filing Form 1” on page 40.
Amending a Form 5 historical filing

You can create amendments for filings of Form 5 after they have been submitted. You cannot create an amendment to a filing if there is a pending amendment for that filing.

If an amendment has already been submitted for an original filing, and you want to submit another amendment, it must be based on the amendment, not the original filing. Any amendments that you create must be based on the most recent filing for a particular dividend submission.

To create an amendment for a Form 5 filing:

1. Find the filing in the history of submitted filings.
2. For the filing, click Create Amendment. The Form 5 – Dividend/Distribution Declaration page appears.
3. In the Dividend Records section, for the record you want to modify, click Edit.
   The Type of Dividend is taken from the original filing; you cannot modify it.
4. Enter the data for the amendment, as described in “Filing Form 5” on page 66.
5. Click Apply.
You can use TSX SecureFile in either of two ways, to:

- Fill out a reporting form online and submit the information to Toronto Stock Exchange.
- Submit a document or news release that you have created to Toronto Stock Exchange in the form of a file in a format supported by TSX SecureFile.

All reporting forms and documents that you file are associated with an issuer. When you use TSX SecureFile to submit a document to Toronto Stock Exchange, you associate the document with an issuer and a project.
Issuers

An issuer is a company, trust, limited partnership, or organization that offers at least one class of security to investors.

All issuers in the TSX SecureFile system are classified as:

- A listed issuer: An issuer that has at least one class of security trading and listed on the Toronto Stock Exchange.
- A suspended issuer: A listed issuer whose trading privileges for a listed security (or securities) have been revoked by Toronto Stock Exchange until trading privileges have been reinstated or the listed issuer is delisted.
- An applicant issuer: A company whose application for listing is being considered and has received the appropriate approval for access to TSX SecureFile by a TSX Company Listings manager.

TSX SecureFile contains information for all issuers listed with Toronto Stock Exchange. To have an applicant issuer added to the TSX SecureFile system, contact the TSX SecureFile administrator. Applicant issuers are set up at the request of a Toronto Stock Exchange Company Listings or Advisory Affairs manager.

Note: Issuers listed with the TSX Venture Exchange are not currently included in the TSX SecureFile system.

You can file documents only for those issuers for which you have been granted authorization. You cannot add issuers to your account or delete issuers from your account from within TSX SecureFile; you must contact the TSX SecureFile administrator. You cannot file documents for a delisted issuer (an issuer whose securities no longer trade on Toronto Stock Exchange).

You do not have to be an employee of an issuer to file documents on their behalf. You may, for example, be a member of a legal firm that is authorized to file on behalf of an issuer.

Projects

A project is a collection of documents that are related to a particular transaction. For example, a project could be for documents related to a company’s private placement financing or share compensation arrangement.

You create projects from within TSX SecureFile. To create a project, you must submit a document; you cannot create empty projects as placeholders.

You can access projects only for those issuers for which you are allowed to file. The person who is authorized to file documents for an issuer is called a filer. Depending on the permissions granted to your filing account, you may be able to view:

- Projects created by other filers and create submissions for them
- Only projects you created and create submissions for them
- All open projects and all submissions, but not create projects or submissions.

Your access to projects is independent of your access to reporting forms. For example, you may be able to create projects and submissions, but not file reporting forms.
Projects can be open or closed.

- A project is opened when you create it. You can submit documents only for open projects. Only open projects appear in the Issuer Project List page.
- A project is closed when no additional filings for that project are expected. Projects are closed by TSX Company Listings or Advisory Affairs managers when they consider the documentation to be complete or when a project is abandoned or terminated. Closed projects do not appear on the Issuer Project List page. To reinstate a closed project, contact the TSX SecureFile administrator.

Submissions

A document filed with Toronto Stock Exchange is called a submission. All submissions are part of a project.

When you file a document, you must provide some information about it:

- A filing type: A category name for a type of transaction.
- A document type: A filing category that describes the nature and contents of the document. Document types are established by Toronto Stock Exchange.

Each filing type has a specific set of document types. The type lists in TSX SecureFile are context sensitive; that is, only valid document types appear for each choice of filing type.

The document *Filing Types and Document Types* contains a complete list of all possible choices. To view this document, click its link on the TSX SecureFile Contact Information page.

TSX SecureFile is not a file management facility for filers. Once you have submitted a file, you will be able to see information about the filing, but you will not be able to access the filed document and make changes to it. To change a document that you have filed, you must submit a new version of the document.

News releases

A news release is a special type of a document that you file with TSX SecureFile. You can file one document per news release.

All filers who can view or submit documents or view or file reporting forms can also file news releases.

A news release can contain material information, which is means any fact that significantly affects, or would reasonably be expected to have a significant effect on, the market price or value of any of the securities of the issuer. If a news release contains material information, you must contact Market Surveillance before filing the news release, as described in “Notifying Market Surveillance of a material news release” on page 29.

Acceptable file formats and file sizes for filing news releases are the same as those for filing documents, as described in “Acceptable file formats for news releases” on page 30.
Reporting forms

You can use TSX SecureFile to complete and submit online the forms that are most often used by listed companies. You can file the following forms:

- Form 1 – Change in Issued and Outstanding Securities
- Form 2A – Change in General Company Information
- Form 2B – Change in Jurisdiction of Incorporation (Country Only)
- Form 2C – Change in Fiscal Year-End
- Form 2D – Change in Interlisting Status
- Form 2E – Change in Transfer Agent & Registrar
- Form 3 – Change in Officers/Directors/Trustees
- Form 5 – Dividend/Distribution Declaration
- Form 8 – Change in Investor Relations Contact
- Form 9A – Request for Extension for Financial Reporting/Annual Meeting
- Form 9B – Request for Exemption for Financial Reporting/Annual Meeting

You can access reporting forms only for those issuers for which you are allowed to file. The person who is authorized to file reporting forms for an issuer is called a filer. Depending on the permissions granted to your filing account, you may be able to:

- File reporting forms and see pending filings and form filing history.
- See pending filings and form filing history but not file reporting forms.

Your access to reporting forms is independent of your access to projects and submissions. For example, you may be able to file reporting forms but not create projects and submissions.

You cannot use TSX SecureFile to file Form 4, and Forms 11 to 14.

Note: Reporting forms other than those in SecureFile are available in the TSX Company Manual, online at http://tmx.complinet.com/en/display/display.html?rbid=2072&element_id=551
Share compensation arrangements

There are two types of share compensation arrangement: options-based and non-options-based.

Your arrangement could be an options-based share compensation arrangement, if it is one of the following types:

- Award/Bonus Plan
- Long-Term Incentive Plan
- Options for Services
- Participation Share Plan
- Performance Equity Plan
- Stock Option Plan
- Stock Option Plan – Directors
- Stock Option Plan – Key Employees
- Stock/Share Incentive Plan – Stock Purchase and Savings Plan

Your arrangement could be a non-options-based share compensation arrangement, if it is one of the following types:

- Deferred Profit Sharing Plan
- Dividend Reinvestment and Stock Purchase Plan
- Employee Savings Plan – Employee Investment Plan
- Employee Share Purchase Plan
- In Lieu of Cash
- Share/Stock Purchase Agreements
- Stock Dividend
- Stock Ownership Plan
- Stock Purchase Plan – Directors
- Stock Purchase Plan – Directors and Employees
- Stock Purchase Plan – Key Employees
- Stock Purchase Plan – Participation/Payroll
- Thrift Plan
Security transactions

You use the Other Issuances and Cancellations sections to enter transactions for securities that are not part of a share compensation arrangement. These transactions can have the following types:

- Acquisition
- Adjustment/Correction
- Agreement
- Amalgamation
- Cancellation
- Charitable Options/Warrants
- Consolidation
- Conversion (General)
- Convertible Bonds/Notes/Loans/Debentures
- Convertible Preferred Shares
- Finder’s Fee
- Flow-Thru Shares
- Fractional Shares
- Issuer Bid
- Opening Balance
- Original Listing
- Other
- Over-Allotment Option (Greenshoe)
- Private Placement
- Prospectus Offering/Public Offering
- Reclassification/Reorganization/Substitution
- Redemption/Retraction
- Repurchase
- Rights Offering
- Share Exchange Offer
- Shares for Debt/Litigation/Creditors
- Split
- Stock Dividend (No Plan)
- Supplemental Listing
- Take-Over Bid/Merger
- Warrants
Use this section to find:
• The solution to issues that you might encounter while you are using TSX SecureFile.
• Explanations of error messages and suggested responses.

If a problem occurs or an error message appears while you are using TSX SecureFile, please try the solutions listed in this chapter before calling the TSX SecureFile administrator. If the problem persists or you cannot find a solution, call the TSX SecureFile administrator.

You can also refer to the Frequently Asked Questions, which you can view by clicking on the link on the TSX SecureFile Contact Information page.
Common issues and solutions

This section contains solutions to issues that you might encounter while you are using TSX SecureFile.

- You cannot connect to TSX SecureFile
- You cannot log in
- Your file is too big to submit
- You cannot select the document type that you want
- You can’t print a reporting form
- You can’t view the online help

You cannot connect to TSX SecureFile

You connect to TSX SecureFile through the Internet. Check that your Internet connection is functioning normally and that you can connect to the tmx.com web site.

- If you cannot connect to other web sites, the problem is most likely with your Internet connection, your Internet service provider, or your internal network.
- If you can connect to other web sites, including tmx.com, but not to TSX SecureFile, contact the TSX SecureFile administrator.

You cannot log in

To log in to TSX SecureFile, you must have cookies enabled in your web browser. If you do not have cookies enabled, when you try to log in you are returned to a blank Log In page.

A cookie is a small piece of data that is sent from the TSX web server and is stored on your computer. The cookie is then sent back to the server each time that your web browser requests a new page from the server. The primary purpose of the cookie is for the Toronto Stock Exchange web server to be able to identify multiple requests coming from the same user.

TSX SecureFile uses session cookies that are held in memory only as long as you remain logged in to the TSX SecureFile web site.

Your web browser can be set to accept or reject cookies. If you need to change the cookie settings, follow the instructions in your browser’s online help.

To change cookie settings:

- In Internet Explorer, choose Tools > Internet Options. In the Internet Options window, click the Privacy tab.
- In Mozilla Firefox, choose Tools > Options. In the Options window, click Privacy.

Your file is too big to submit

You cannot use TSX SecureFile to submit files larger than 5 MB to TSX. If your file is larger than 5 MB, contact the TSX SecureFile administrator.
You cannot select the document type that you want

Your choice of document type depends on the filing type that you select. Only choices that are valid for the selected filing type appear in the lists.

If the document type that you want does not appear in the list, then check that your selection of filing type is correct. If the document you are submitting does not belong to one of the listed document types, use the document type “Other”. The document *Filing Types and Document Types* contains a complete list of all possible choices. To view this document, click its link on the TSX SecureFile Contact Information page.

You can’t print a reporting form

When you print a reporting form, it opens in a popup window. If you have popup blocking turned on in your web browser, or if you use other popup-blocking software, the print window may not open.

When a popup window is blocked, you may see an information bar or notification in your web browser. The following figure shows the information bar that Internet Explorer displays when it blocks a popup window and the shortcut menu you can use to unblock to popup window.

![Popup window](image)

Depending on the software you are using, once you have unblocked the print window for a reporting form, you may not need to unblock it again.

**Note:** Once you have unblocked the print window for a reporting form, you must click *Print Filing* again to open the print window.
You cannot modify a saved reporting form

Only the user who creates a filing can modify it. If the form that you wish to modify appears in the Other Pending Filings section of the Reporting Forms page, you are not the form’s creator. You can view the form’s contents, but cannot make modifications.

You can’t view the online help

To view the online help, you must have JavaScript enabled in your browser. If you cannot enable JavaScript, (for example, because of your organization’s security policies), the help will display only a blank page.

If you cannot view the help, you should still be able to view the PDF version of the Filer’s Guide from the link in on the Contact Information page.
**Error messages**

This section contains explanations of selected TSX SecureFile error messages and suggested responses.

<table>
<thead>
<tr>
<th>Error Message</th>
<th>Explanation</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>The file upload process was interrupted and your file was not accepted.</strong></td>
<td>An error occurred while the file was being transmitted to TSX SecureFile, and TSX SecureFile could not accept the file.</td>
<td>Submit the file again.</td>
</tr>
<tr>
<td><strong>TSX SecureFile temporarily unavailable.</strong></td>
<td>A temporary problem is preventing users from accessing TSX SecureFile.</td>
<td>Try again after a few minutes.</td>
</tr>
<tr>
<td><strong>User account is temporarily unavailable.</strong></td>
<td>Your TSX SecureFile account has been suspended because of too many unsuccessful login attempts. None of the issuers associated with your account are eligible to have filings submitted through TSX SecureFile. For example, you cannot file for delisted issuers.</td>
<td>Contact the TSX SecureFile administrator.</td>
</tr>
<tr>
<td><strong>A Form 3 has been submitted for this individual and is pending processing by TSX. Please allow a few days for the changes to appear.</strong></td>
<td>The person you are attempting to edit is included in a recent Form 3 filing. All Form 3 submissions must be reviewed after they are submitted. Any person included in the filing cannot be edited until the review and update process is finished. This process can take several days to complete.</td>
<td>Try again after a few days.</td>
</tr>
</tbody>
</table>
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