

TSX SecureFile

Administrator's Guide

VERSION 4.1
DEC. 4, 2006



Copyright

Copyright © 2006 by TSX Inc. All rights reserved.

Version 4.1 issued December 4, 2006.

TSX SecureFile is a trademark of TSX Inc.

All other trademarks or trade names that appear in this document are the sole properties of their respective companies.

Contents

About This Guide	v
Typographic conventions	v
Acronyms	vi
Getting more help.....	vi
Understanding User Administration	1
Access levels and permissions	2
Filing documents and reporting forms.....	3
Roles	5
Principal contact.....	5
Group key contact.....	6
Regular filer.....	6
Administrator.....	7
Filing groups.....	8
Filing group/issuer relationships.....	8
Applicant issuers.....	9
Maximum number of users/relationships	9
E-mail notification.....	10
Managing Users	11
Viewing issuer information	12
Creating a new user for an issuer	14
Linking a user to file for an issuer	15
Creating an issuer administrator	17
Resending an e-mail notification	18
Removing a user/issuer link.....	18
Updating a user's profile	19
Linking a filing group to an issuer.....	19
Changing a filing group's access levels	22
Removing a filing group's link to file.....	23
Managing Filing Groups	24
Viewing filing group information	25
Updating a filing group's profile.....	27
Creating a new filing group member	27
Adding a user to a filing group	28
Creating a filing group administrator	29
Updating a filing group member's profile.....	30
Resending an e-mail notification	30
Removing a member from a filing group.....	31

Glossary	32
Index	34

About This Guide

The TSX SecureFile *Administrator's Guide* explains how to manage user accounts in TSX SecureFile™.

This guide is written for user administrators of TSX SecureFile, which includes principal contacts, group key contacts, or their designated administrators.

This guide explains only the functions of TSX SecureFile that are related to user administration. For explanations of the features of TSX SecureFile related to filing documents or reporting forms, refer to the TSX SecureFile *User's Guide*.

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.



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.

- CFO—Chief financial officer
- PDF—Portable Document Format
- TSX—Toronto Stock Exchange

For definitions of other terms, refer to 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@tsx.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 *User's Guide* for TSX SecureFile.

To open the online help for administrators, click **Admin Help**.

To open the online help for filers, click **Filer Help**.

CHAPTER 1

Understanding User Administration

This chapter is an overview of the user administration features in TSX SecureFile.

User administration tasks in TSX SecureFile include:

- Managing user access and permission levels
- Linking individual users and filing groups to issuer filing accounts
- Creating new users
- Updating user profile information for individual users

Access levels and permissions

TSX SecureFile uses the *access levels* of full, limited, or view only. When a user administrator links a user to an issuer's filing account, the administrator must set the user's access level.

Permissions control what functions of TSX SecureFile are available to the individual user or filing group. The functional areas include:

- Filing documents
- Filing news releases
- Filing reporting forms
- Performing administrative functions

Certain types of users have predefined combinations of access and permissions:

- **Principal contact:** Full access for filing documents, filing news releases, filing reporting forms, and administrative functions
- **Group key contact:** Administrative functions within the filing group

There is no default combination of access levels and permissions for individual users or filing groups. These must be set individually. A user can file for more than one issuer and can have different access levels and permissions for each filing account.

Filing documents and reporting forms

Three access levels control what users can do when they file documents or reporting forms:

- Full access
- Limited access
- View only

Note: All users who can view or file either documents or reporting forms for an issuer can also file news releases for that issuer.

Access levels for filing documents

Access level	What the user can do when filing documents
Full access	<ul style="list-style-type: none"> • Create <i>projects</i>. • Create submissions and file documents for all <i>open projects</i>. • See all open projects. • See all submissions.
Limited access	<ul style="list-style-type: none"> • Create projects. • Create submissions and file documents for open projects created by the user or filing group. • See only open projects created by the user or filing group. • See only submissions created by the user or filing group.
View only	<ul style="list-style-type: none"> • See all open projects. • See all submissions. • Cannot create projects or make submissions.

Access levels for reporting forms

Access levels	What the user can do when filing reporting forms
Full access	<ul style="list-style-type: none">• See all forms filing history.• Create reporting form filings.• See all <i>pending filings</i>.• File only reporting forms created by the user.• Cannot edit or file reporting forms created by other users.
View Only	<ul style="list-style-type: none">• See all forms filing history.• See all pending filings.• Cannot create reporting form filings.



Limited access may be particularly useful for linking filing groups to an issuer's filing account.

When you link a user or a filing group to an issuer's filing account, you must select an access level for either filing documents or reporting forms for each issuer filing account. For example, User A is linked to Issuer XYZ. If User A's access to Issuer XYZ is defined as "Full - Reporting Forms", with no choice of permissions for filing documents, then User A cannot view submissions or file documents on behalf of Issuer XYZ.

The access levels for filing documents and reporting forms are independent. You can select any combination of access levels for filing documents and reporting forms. For example, User B, who is linked to Issuer ABC, may have access defined as "Full - Documents" and "View Only - Reporting Forms".

All existing TSX SecureFile users as of January 13, 2006 have been given full access for filing documents and for filing reporting forms. The access levels can be modified by the appropriate administrator (issuer *principal contact*, issuer administrator, TSX SecureFile administrator) if changes are required.

Roles

A SecureFile user can have one of four roles:

- **Principal contact:**
An officer of a listed issuer (generally the chief financial officer (CFO), general counsel, or corporate secretary), who is primarily responsible for filing and administrative activities for a listed issuer in SecureFile
- **Group key contact:**
A user who is primarily responsible for the filing and administrative activities of a filing group
- **Regular filer:**
A user who files or views documents, news releases, or reporting forms
- **Administrator:**
A user who has been delegated administrative access to an issuer filing account or a filing group

The following sections describe these roles in more detail.

Principal contact

A principal contact has the primary authority for granting access to an issuer's internal staff or external advisors (as individual users or filing groups). A principal contact means an officer of a listed issuer, (often the chief financial officer (CFO), general counsel, or corporate secretary), who is primarily responsible for filing and administrative activities for a listed issuer in TSX SecureFile. The administrative activities include granting access to a listed issuer's filing account and setting permissions for *regular filers* and filing groups.

Each issuer's filing account has one principal contact, who must be established by the TSX SecureFile administrator.

A principal contact can delegate administrative functions to one *filer* assigned to an issuer's filing account, by giving them administrator access. The principal contact still retains his or her own administrative functions. For instructions on how to delegate administrative functions, see "Creating an issuer administrator" on page 17.

By default, a principal contact has full access for filing documents (*projects* and *submissions*) and reporting forms. To change his or her own access levels, the principal contact must make a request to TSX SecureFile administrator. The administrator access level cannot be changed. A principal contact always has administrative privileges.

Group key contact

A *group key contact* means a user who is primarily responsible for the filing and administrative activities of a filing group. Usually, this is a person at a firm that provides advisory or legal services to a listed or *applicant issuer*, who is responsible for the relationship between the advisory firm and the issuer. For more information about filing groups, see "Filing groups" on page 8.

Each filing group has one group key contact, who is established by the TSX SecureFile administrator when the filing group is created.

A group key contact can delegate administrative functions to one member of the filing group, by giving them administrator access. The group key contact retains his or her own administrative functions.

The access levels of the group key contact for filing documents and reporting forms are those defined for the filing group to which he or she belongs.

A group key contact cannot change his or her own access levels. The access levels can only be changed by the *issuer's* principal contact. The administrator access level cannot be changed. A group key contact always has administrative privileges.

Regular filer

A *regular filer* is a user who views or files documents, news releases, or reporting forms, based on his or her assigned access levels. A regular filer can be delegated administrator access by the principal contact of the issuer's filing account or by the group key contact of his or her *filing group*.

Regular filers do not have default access levels defined for filing documents or reporting forms. The access levels are designated by the principal contact or *administrator* of the issuer's filing account.

If a regular filer is part of a filing group, the filer adopts the access level defined for that filing group.

All existing SecureFile users as of January 13, 2006, with the exception of those designated as issuer principal contacts, have been assigned a role of regular filer.

Administrator

The principal contact can delegate administrator access to a user, which gives them the authority to administer users for that issuer. The group key contact of a filing group can delegate administrator access to a member of the filing group, which gives them authority to administer members of that filing group.

For information about how to give a user administrator access, see “Creating an issuer administrator” on page 17 and “Creating a filing group administrator” on page 29.

Only one filer per issuer filing account or per filing group can be delegated with administrator access.

Issuer administrators

Issuer administrators can:

- Create new users.
- Assign or update users' access level and permissions.
- Link individuals and filing groups to their issuer filing account.
- Update user profiles.

Filing group administrators

Filing group administrators can:

- Create new users.
- Add a user to or remove a user from a filing group.
- Update their filing group's profile.
- Update a filing group member's profile.

Filing groups

A filing group is an independent entity that exists in SecureFile and that initially has at least one member (group key contact). It is linked to an issuer's filing account, so that group members can file for the issuer. Filing groups could be law firms, other advisory firms, filing service providers, other groups external to a *listed issuer*, or a group of filers who are employees of the issuer itself. A filing group can be linked to one or more issuers' filing accounts.

Filing groups, and their associated group key contacts, are set up by the TSX SecureFile Administrator.

Once a group key contact is established, he or she manages the administration of users for the group. The group key contact can assign users and may also delegate administrative functions to one user, if necessary.

A user can be a member of one or more filing groups.

Users assigned only to a filing group will not be able to file documents or reporting forms in SecureFile until the group has been linked to an issuer by the issuer's principal contact or administrator.

Filing group/issuer relationships

Filing groups are linked to an issuer's filing account by the principal contact or the administrator of the issuer's filing account.

The TSX SecureFile administrator also can link a filing group to an issuer's filing account. Contact the TSX SecureFile Administrator if you need this done. User access levels and permissions are assigned to the filing group by the principal contact or administrator of the issuer's filing account when they create the filing group/issuer relationship.

The access level and permissions assigned to the filing group apply to all users in that filing group; in other words, all users assigned to a filing group have the same access levels.

By default, when they are created, filing groups have no access to filing documents and no access to reporting forms. The access levels are set by the issuer's principal contact or administrator when the filing group is linked to the issuer's filing account.

Applicant issuers

If the issuer is an applicant, users assigned to the applicant issuer can only view projects and submissions and file documents. Users cannot access any reporting forms until the applicant becomes a listed issuer.

At the time of listing, linked users will adopt corresponding reporting forms access. For example, if 'applicant user A' has full access to projects and submissions they will automatically acquire full access to reporting forms after the applicant becomes a listed issuer. If default access levels are not appropriate for a particular filer, the user administrator can update their permissions. The same rules apply if there is a filing group assigned to the applicant company. The principal contact should review all filers and their access levels.

Maximum number of users/relationships

The maximum number of relationships that the issuer can have is 12. Relationships include users or filing groups that are linked to file on behalf of the issuer. The TSX SecureFile administrator can update this value, based on a request from the issuer's administrator. This also applies to applicant issuers.

The maximum number of users that can be assigned to a filing group is 12. The TSX SecureFile administrator can update this value, based on a request from the filing group's administrator.

E-mail notification

TSX SecureFile sends e-mail notifications when:

- An issuer's administrator creates a new user, authorizing the new user to file on behalf of the issuer's filing account.
- A group administrator creates a new user, adding the new user as member of the filing group.
- An issuer's administrator authorizes a filing group to file on behalf of the issuer's filing account or removes the authorization.

Also, a reminder message is sent to the issuer's administrator(s)/group's administrator(s) as a reminder to review the list of users assigned to the issuer's filing account/filing group's account, including each user's permissions and access levels.

If there is a failure to deliver e-mail notification to the user, a delivery failure notice is sent to the TSX SecureFile administrator. However, once an e-mail is successfully sent from TSX SecureFile to the TSX e-mail server, the TSX SecureFile application cannot verify that the e-mail message has been successfully delivered to the recipient (due to the non-guaranteed nature of e-mail and the increasing use of spam filters that discard e-mails with no response).

If the recipient does not receive an e-mail that is required to continue using TSX SecureFile, he or she must contact the TSX SecureFile Administrator. The TSX SecureFile Administrator can reset the user's password or provide a newly registered user with a temporary password to initiate the first login process.

CHAPTER 2

Managing Users

This chapter explains how to manage user accounts for listed issuers or applicant issuers in TSX SecureFile. For information on how to manage filing groups and their members, see “Managing Filing Groups” on page 24.

To manage users, you must be the principal contact for an issuer or the administrator designated by the principal contact.

As a principal contact or issuer administrator, you can:

- Create user accounts.
- Update a user's profile.
- Establish the link between an issuer and a user or filing group.

Note: TSX SecureFile is a real-time system, not a batch system. Changes that you make take effect immediately and are applied to user's accounts the next time they log in.

The administrative features of TSX SecureFile are only visible to and accessible by users with administrative access; they do not appear to regular filers.

Viewing issuer information

You can view detailed information about an issuer, including:

- Users linked to the issuer's filing account, their access levels, and permissions
- Filing groups linked to the issuer's filing account

To view issuer information, in the Issuer List page, for the desired issuer, click **Manage Users**. The Issuer Information page appears.

The Issuer Information page has two sections:

- **Authorized Users:** Displays a list of authorized users for the issuer. For each user, the following information is displayed:
 - User name
 - First and last name
 - Role in the issuer (principal contact, administrator, regular filer)
 - Access level for filing documents
 - Access level for filing reporting forms

Authorized Users						
User Name	Name	Role	Document Access	Reporting Form Access		
jdoe	John Doe	Principal Contact	Full	Full		
jsmith	John Smith	Regular Filer	Full	View Only	Update	Remove

- **Authorized Filing Groups:** Displays a list of filing groups authorized to file on behalf of the issuer. For each filing group, the following information is displayed:
 - Filing group's name
 - Firm's name
 - Key contact's name, phone number, and e-mail address
 - Access level for filing documents
 - Access level for filing reporting forms

Authorized Filing Groups						
Filing Group	Firm Name	Key Contact	Document Access	Reporting Form Access		
Legal Filing Group	Legal Services	Mary Smith 222-222-2222 msmith@smith.com	Full	View Only	Update	Remove

From the Issuer Information page, you can:

- Create a new user for an issuer.
- Link a user to an issuer's filing account.
- Resend an e-mail notification.
- Remove a user's relationship to the issuer filing account.
- Update a user's profile.
- Link a filing group to the issuer's filing account.
- Update a filing group's information.
- Remove a filing group.

Creating a new user for an issuer

You can create a new user for an issuer, if that person does not have an account in TSX SecureFile.

To create a new user for an issuer:

1. On the Issuer Information page, click **Create New User**. The Create User page appears.
2. Provide the information for the user's profile. Mandatory fields are marked with a red asterisk (*).
3. From the Role list, select Regular Filer.



Authorization

Role * Document Access * Reporting Form Access *

Regular Filer Full View Only

* Mandatory fields

4. From the Document Access list, select the user's access level for filing documents. Select one of:
 - None
 - Full
 - Limited
 - View Only
5. From the Reporting Form Access list, select the user's access level for filing reporting forms. Select one of:
 - None
 - Full
 - View Only



You must select an access level for either Documents or Reporting Forms. You cannot select a value of None for both.

6. Click **Create User**. You are returned to the Issuer Information page. An e-mail notification is sent to the user.


The information for the user that you created appears in the Authorized Users section of the Issuer Information page.

Linking a user to file for an issuer

You can link existing TSX SecureFile users to an issuer's filing account, so that they can file for the selected issuer. The user does not have to belong to the issuer's organization. You must know the user's user name before you can proceed.

To link a user to file for an issuer:

1. On the Issuer Information page, click **Add User** The Search Existing User page appears.



The screenshot shows the 'Search Existing User' interface. At the top, there is a navigation bar with several buttons: 'Manage Users', 'File a Document', 'Reporting Forms', 'News Release', 'Select Issuer', 'Change Password', 'Guides and Contact Info', and 'Log Out'. Below this bar is a 'Back to Manage Users' button. The main content area displays 'Issuer: Sample Company Inc.' and a search prompt: 'Please enter the EXACT user name :'. There is a text input field containing the text 'jsmith' and a 'Search' button.

2. In the search field, type the full user name of the user.

Note: You must type the exact user name. Partial and “starts with” searches are not allowed.



If the user forgets his or her user's name, they must contact the TSX SecureFile administrator, so that the TSX SecureFile administrator can restore their access to TSX SecureFile.

3. Click **Search**. The user's profile information is displayed.

User Information	
User Name:	jsmith
First Name:	John
Middle Name:	
Last Name:	Smith
Email Address:	john@john.com
Phone Number:	1221221222
Employer:	
Position/Title:	

4. Click **Authorize User**. The Add User page appears.
5. From the Role list, select Regular Filer.
6. From the Document Access list, select the user's access level for filing documents. Select one of:
 - None
 - Full
 - Limited
 - View Only
7. From the Reporting Form Access list, select the user's access level for reporting forms. Select one of:
 - None
 - Full
 - View Only



You must select an access level for either Documents or Reporting Forms. You cannot select a value of None for both.

8. Click **Add User Authorizations**. You are returned to the Issuer Information page. An e-mail notification is sent to the user. The information for the user that you authorized to file appears in the Authorized Users section.

Creating an issuer administrator

The principal contact for an issuer can delegate his or her administrative access to one other user, who becomes an issuer administrator. The issuer administrator can:

- Create user accounts.
- Update a user's profile.
- Authorize a user to file for an issuer.
- Authorize a filing group to file for an issuer.

There can be only one issuer administrator for an issuer.

The principal contact retains his or her administrative access.

To create an issuer administrator, you select the role of Administrator. You can do this when you create a user, link a user to an issuer's filing account, or update a user's profile.

Authorization		
Role *	Document Access *	Reporting Form Access *
Administrator ▼	Full ▼	Full ▼

* Mandatory fields

For more information about administrators, see "Administrator" on page 7.

Resending an e-mail notification

When you create a user, TSX SecureFile sends an e-mail notification to that user. The e-mail contains a link to TSX SecureFile and instructions on how the user can set up his or her profile and log in.

You can resend the notification e-mail, if the user did not receive the original notification. If the user receives more than one e-mail notification, only the link in the most recent e-mail will be valid.

To resend an e-mail notification, in the Issuer Information page, for the user that you want to e-mail, click **Email**. The notification e-mail is resent to that user.

Note: The Email button appears only until the user logs into TSX SecureFile using the link provided in the e-mail.

For more information about e-mail notifications, see “E-mail notification” on page 10.

Removing a user/issuer link

You can remove the link between a user and an issuer's filing account. The user's profile still remains in TSX SecureFile; you are just removing the link between them and the issuer, so they can no longer file for the issuer.

To remove a user's link to an issuer:

1. In the Issuer Information page, for the user whose link you want to remove, click **Remove**. A confirmation dialog box appears.

Authorized Users						
User Name	Name	Role	Document Access	Reporting Form Access		
jdoe	John Doe	Principal Contact	Full	Full		
jsmith	John Smith	Regular Filer	Full	View Only	Update	Remove

2. Click **OK**. The user's link to file for that issuer is removed. The user's name is removed from the Authorized Users list.

Updating a user's profile

You can update a user's profile information, including his or her access levels.

To update a user's profile:

1. In the Issuer Information page, for the user whose profile you want to update, click **Update**. The Update User page appears.
2. Change the user's profile information, as required.
You can modify all fields except User Name and Creation Date.
3. Change the user's role or access levels for documents and reporting forms, as required.
4. Click **Update User**. You are returned to the Issuer Information page. The updated information for the user appears in the Authorized Users section.

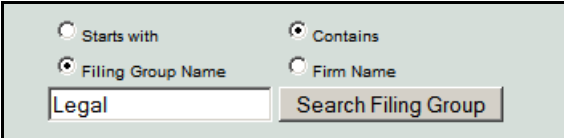
Linking a filing group to an issuer

Access to an issuer's or applicant's filing account is controlled by the issuer. The principal contact and the issuer administrator are the only users from the issuer or applicant who can establish the link between the user or filing group and the issuer's filing account.

Because there can be a large number of filing groups, you must filter the list of filing groups by searching for filing groups that match certain criteria, for example, all filing groups whose name begins with the letter 'a'.

To link a filing group to file for an issuer:

1. In the Issuer Information page, click **Add Filing Group**. The Select Filing Groups page appears.
2. Select the type of search you want to perform. Select one of each of the following pairs of search options.
 - Starts with or Contains
 - Filing Group Name or Firm Name



The screenshot shows a search interface with four radio button options arranged in a 2x2 grid. The top row contains 'Starts with' and 'Contains', with 'Contains' selected. The bottom row contains 'Filing Group Name' and 'Firm Name', with 'Filing Group Name' selected. Below the options is a text input field containing the word 'Legal' and a 'Search Filing Group' button.

3. In the search field, type the name or partial name that you want to search on, then click **Search Filing Group**. A list of filing groups matching your search criteria is displayed.

Filing Groups			
▲Filing Group▼	▲Firm Name▼	Key Contact	
Legal Filing Group	Legal Services	Mary Smith 222-222-2222 msmith@smith.com	Select



You can sort the list of filing groups by the filing group name or the firm name. To sort the list, click on the arrows in the Filing Group or Firm Name column header. You can sort the names in ascending or descending order.

4. For the filing group you want to authorize, click **Select**. The Authorize Filing Group page appears.

Authorize Filing Group							
Manage Users	File a Document	Reporting Forms	News Release	Select Issuer	Change Password	Guides and Contact Info	Log Out
Back to Manage Users							
Issuer: Sample Company Inc.							
No access level exists for this relationship. Please select.							
Group Information							
Group Name:	Legal Filing Group						
Firm Name:	Legal Services						
Key Contact							
Name:	MarySmith						
Phone Number:	222-222-2222						
Email:	msmith@testsamplecompany.com						
Authorization							
Document Access *	Reporting Forms Access *						
None ▼	None ▼						
* Mandatory fields							
Add Group							Cancel

5. From the Document Access list, select the group's access level for filing documents. Select one of:
 - None
 - Full
 - Limited
 - View Only
6. From the Reporting Forms Access list, select the group's access level for filing reporting forms. Select one of:
 - None
 - Full
 - View Only



You must select an access level for either Documents or Reporting Forms. You cannot select a value of None for both.

7. Click **Add Group**. You are returned to the Issuer Information page. An e-mail notification is sent to the filing group's group key contact. The filing group is added to the Authorized Filing Groups list.

Authorized Filing Groups						
Filing Group	Firm Name	Key Contact	Document Access	Reporting Form Access		
Legal Filing Group	Legal Services	Mary Smith 222-222-2222 msmith@smith.com	Full	View Only	<input type="button" value="Update"/>	<input type="button" value="Remove"/>

Changing a filing group's access levels

You can change a filing group's access levels for documents and reporting forms. Any changes that you make apply to all members of the filing group, including the group key contact and group administrator.

To change a filing group's access levels:

1. In the Issuer Information page, for the filing group whose access levels you want to change, click **Update**.

Authorized Filing Groups						
Filing Group	Firm Name	Key Contact	Document Access	Reporting Form Access		
Legal Filing Group	Legal Services	Mary Smith 222-222-2222 msmith@smith.com	Full	View Only	Update	Remove

The Authorize Filing Group page appears, with the current access levels selected in the Document Access and Reporting Form Access lists.

2. From the Document Access list, select the group's access level for filing documents. Select one of:
 - None
 - Full
 - Limited
 - View Only
3. From the Reporting Forms Access list, select the group's access level for filing reporting forms. Select one of:
 - None
 - Full
 - View Only
4. Click **Update Group**. You are returned to the Issuer Information page. An e-mail notification is sent to the filing group's group key contact. The change in the group's access levels is reflected in the Authorized Filing Groups list.

Removing a filing group's link to file

You can remove a filing group's link to an issuer's filing account, so the filing group's members cannot file for an issuer. This affects only the relationship between the filing group and the selected issuer; it does not affect other issuers that the filing group may be authorized to file for.

To remove a filing group's authorization to file for an issuer:

1. In the Issuer Information page, for the filing group whose authorization you want to remove, click **Remove**. A confirmation dialog box appears.

Authorized Filing Groups						
Filing Group	Firm Name	Key Contact	Document Access	Reporting Form Access		
Legal Filing Group	Legal Services	Mary Smith 222-222-2222 msmith@smith.com	Full	View Only	Update	Remove

2. Click **OK**. The filing group is removed from the Authorized Filing Groups section of the page. A confirmation message is sent to the filing group's group key contact.

CHAPTER 3

Managing Filing Groups

This chapter explains how to manage filing groups in TSX SecureFile. For more information about filing groups, see “Filing groups” on page 8 and “Filing group/issuer relationships” on page 8.

To manage filing groups, you must be the group key contact of the filing group or the administrator designated by the group key contact of the filing group.

As a group key contact or filing group administrator you can:

- Update a filing group's profile.
- Create new filing group members.
- Add or remove filing group members.
- Update a filing group member's profile.

Note: TSX SecureFile is a real-time system, not a batch system. Changes that you make take effect immediately and are applied to the user's account the next time they log in.

The group key contact or filing group administrator cannot establish the filing authorization link between the filing group and the issuer's filing account. To get this link established, you must contact the issuer's principal contact directly.

Viewing filing group information

You can view detailed information about a filing group that you manage, including:

- The group's profile
- The group's members
- Information about the issuer

To view filing group information, in the main toolbar, click **Manage Filing Groups**.

- If you administer only one filing group, the Filing Group Information page appears.
- If you administer more than one filing group, the Filing Group List page appears. For the filing group you want, click **Select**. The Filing Group Information page appears.

The Filing Group Information page has three sections:

- **Filing Group Information:** Displays information about the filing group, including the firm's name, address, and phone number

Filing Group Information	
Group Name:	Legal Filing Group
Firm Name:	Legal Services
Country:	Canada
Province/State:	Ontario
City:	Toronto
Business Address:	1 King St.
Phone Number:	333-333-3333

- **Group Members:** Displays a list of the filing group's members. For each member, the following information is displayed:
 - User Name
 - Name
 - Phone number
 - E-mail address
 - Role in the group (member, administrator, or group key contact)

Group Members						
User Name	Name	Phone	Email	Role		
msmith	Mary Smith	222-222-2222	msmith@testsamplecompany.com	Group Key Contact		
juser	John User	333-333-3333	juser@testsamplecompany.com	Group Member	Update	Remove

- **Issuers:** Displays information about the issuers that the group files for. For each issuer, the following information is displayed:
 - Issuer's company name
 - Access level for filing documents
 - Access level for reporting forms
 - Principal contact's name, phone number, and e-mail address

Issuers			
Company Name	Document Access	Reporting Forms Access	Principal Contact
Sample Company Inc.	Full	Limited	John Doe 222-222-2222 jdoe@samplecompany.com

From the Issuer Information page, you can:

- Update the filing group's profile.
- Create a new filing group member.
- Add a user to a filing group.
- Update a filing group member's information.
- Remove a member from a filing group.

Updating a filing group's profile

You can update the profile of the filing group for which you are a group key contact or administrator.

To update a filing group's profile:

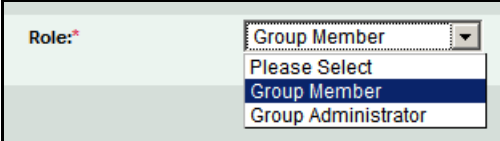
1. On the Filing Group Information page, click **Update Filing Group Profile**. The Update Filing Group page appears.
2. Change the filing group's profile information, as required.
3. Click **Update Filing Group**. You are returned to the Filing Group Information page. The updated information for the user appears in the Filing Group Information section.

Creating a new filing group member

You can create a new filing group member, if that person is not already a registered user of TSX SecureFile. Any new members that you create take on the access levels that are defined for the filing group.

To create a new filing group member:

1. On the Filing Group Information page, click **Create New Group Member**. The Create Filing Group Member page appears.
2. Provide the information for the user's profile. Mandatory fields are marked with a red asterisk (*).
3. From the Role list, select **Group Member**.



Role: *

- Please Select
- Group Member
- Group Administrator

4. Click **Create New Group Member**. You are returned to the Filing Group Information page. An e-mail notification is sent to the user and the user's name is added to the list of filing group members.

Adding a user to a filing group

You can add an existing TSX SecureFile user to a filing group. The user takes on the access levels that have been defined for the filing group.

To add a user to a filing group:

1. On the Filing Group Information page, click **Add New Group Member**. The Search Existing User page appears.
2. In the data entry field, type the full user name of the user.

Search Existing User

Manage Filing Groups | Select Issuer | Change Password | Guides and Contact Info | Log Out

Back to Manage Filing Group

Group Name: Legal Filing Group
Firm Name: Legal Services

Please enter the EXACT user name :
jdoe Search

Note: Partial and “starts with” searches are not allowed. The information for the user is retrieved from the database only if you type the exact user name.

3. Click **Search**. Information about the user is displayed.

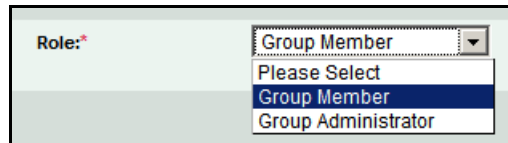
Please enter the EXACT user name :
jdoe Search

User Information	
User Name:	jdoe
First Name:	John
Last Name:	Doe
Phone Number:	222-222-2222
Email Address:	jdoe@samplecompany.com

Add User

4. Click **Add User**. The Role list appears below the user information.

- From the Role list, select **Group Member**.



A screenshot of a web form showing a dropdown menu for the 'Role:' field. The dropdown is open, displaying four options: 'Group Member' (selected), 'Please Select', 'Group Member', and 'Group Administrator'.

- Click **Add Group Member**. You are returned to the Filing Group Information page. The user's name is added to the list of filing group members.

Creating a filing group administrator

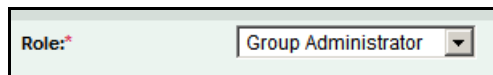
The group key contact for a filing group can delegate his or her administrative access to one other user, who becomes a filing group administrator. The filing group administrator can:

- Update a filing group's profile.
- Manage filing group members.

There can be only one filing group administrator for a filing group.

The group key contact retains his or her administrative access.

To create a filing group administrator, select the role of Group Administrator. You can do this when you create a filing group member, add a user to a filing group, or update a group member's profile.



A screenshot of a web form showing a dropdown menu for the 'Role:' field. The dropdown is closed, and 'Group Administrator' is selected and displayed in the field.

For more information about administrators, see "Administrator" on page 7.

Updating a filing group member's profile

You can update a filing group member's profile information.

Note: You cannot update the information for the group key contact.

To update a filing group member's profile:

1. In the Filing Group Information page, for the member whose profile you want to update, click **Update**.

Group Members						
User Name	Name	Phone	Email	Role		
msmith	Mary Smith	222-222-2222	msmith@testsamplecompany.com	Group Key Contact		
juser	John User	333-333-3333	juser@testsamplecompany.com	Group Member	Update	Remove

The Filing Group Member Profile page appears.

2. Change the member's profile information, as required.
You can modify all fields except the user name and creation date.
3. Optionally, change the member's role.
4. Click **Update**. You are returned to the Filing Group Information page. The updated information for the member appears in the list of group members.

Resending an e-mail notification

If a filing group member does not receive the e-mail notification that is sent when their account is created, you can resend the e-mail. If the user receives more than one e-mail, only the link in the most recent e-mail will be valid.

To send the login notification e-mail to a filing group member, click Send Notification.

Note: The Send Notification button appears only until the user logs into TSX SecureFile using the link provided in the e-mail.

Removing a member from a filing group

You can remove a member from a filing group. This affects only the relationship between the filing group and the selected member; it does not affect other members of the filing group or other filing group memberships that the user may have.

Note: You cannot remove the group key contact.

To remove a member from a filing group:

1. In the Filing Group Information page, for the filing group member who you want to remove, click **Remove**.

Group Members						
User Name	Name	Phone	Email	Role		
msmith	Mary Smith	222-222-2222	msmith@testsamplecompany.com	Group Key Contact		
juser	John User	333-333-3333	juser@testsamplecompany.com	Group Member	Update	Remove

A confirmation dialog box appears.

2. Click **OK**. The member is removed from the filing group. A confirmation message is sent to the filing group's group key contact.

APPENDIX A

Glossary

access level

A pre-defined set of rights that control a user's access to functions in TSX SecureFile. Access levels can be one of: full access, limited access, view only, or administrator. A user can have different access levels for different issuer filing accounts and different access levels for filing documents and reporting forms within those accounts.

administrator

A user who has been delegated administrative access to an issuer filing account or a filing group.

applicant issuer

An issuer whose application for listing is being considered and has received the appropriate approval for access to TSX SecureFile by a TSX Listed Issuer Services manager. Filers for applicant issuers cannot access reporting forms until the applicant becomes a listed issuer.

filer

A person who has permission to file documents for an issuer. There are three types of filers: principal contact, group key contact, or regular filer.

filing group

A filing group is an independent entity that exists in TSX SecureFile, which has at least one member (group key contact). Once it is linked to an issuer's filing account, group members can file on the issuer's behalf.

group key contact

A group key contact is the person who is responsible for managing users in a filing group. Each filing group has one group key contact, who is established by the TSX SecureFile administrator when the filing group is created.

issuer

A company, trust, limited partnership, or organization that offers at least one class of security to investors.

listed issuer

An issuer that has at least one class of security listed on Toronto Stock Exchange.

open project

A filing transaction that was created by the filer at the issuer or its advisor and the TSX Listed Issuer Services manager has not closed the file to further filings.

pending filing

A reporting form filing that is in a pending state; that is, it has not been submitted to Toronto Stock Exchange for processing and storage. You can modify or delete pending filings that you have created. Pending filings are held for ten business days from the date they were first created. After that, they are automatically deleted from the system.

principal contact

A principal contact has the primary authority for granting access to an issuer's internal staff or external advisors (as individual users or filing groups). A principal contact means an officer of a listed issuer, (often the chief financial officer (CFO), general counsel, or corporate secretary), who is primarily responsible for filing and administrative activities for a listed issuer in TSX SecureFile.

project

A collection of documents that are related to a particular transaction. For example, a project could be for an issuer's private placement or share compensation arrangement.

regular filer

A regular filer is a user who submits documents, reporting forms, or both based on the access levels assigned by the principal contact or administrator of the listed issuer's filing account. A regular filer can be delegated administrator access by the principal contact or administrator of the issuer's filing account.

submission

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

TSX

Toronto Stock Exchange

Index

A

- access level
 - defined **2, 32**
 - documents **3**
 - filing group's, changing **22**
 - reporting forms **4**
- adding a user to a filing group **28**
- administrator
 - defined **7**
 - filing group
 - creating **29**
 - tasks **7**
 - issuer
 - creating **17**
 - tasks **7**
- applicant issuer **9**

C

- changing filing group's access levels **22**
- creating
 - filing group administrator **29**
 - issuer administrator **17**
 - new filing group member **27**
 - new user for an issuer **14**

D

- documents, access levels **3**

E

- e-mail notification
 - resending **18**
 - when sent **10**

F

- filer **32**
- filing group **32**
 - access levels, changing **22**
 - adding a user to **28**
 - administrator
 - creating **29**
 - tasks **7**
 - creating new member of **27**
 - defined **8**
 - issuer relationships **8**
 - link to file for an issuer, removing **23**
 - linking to an issuer **19**
 - managing **24–31**
 - profile, updating **27**
 - removing a member **31**
 - viewing information about **25**

G

- group key contact
 - defined **6, 32**
 - tasks **24**

I

- issuer
 - administrator
 - creating **17**
 - tasks **7**
 - applicant **9, 32**
 - creating new user for **14**
 - defined **32**
 - filing group's link to file for, removing **23**
 - linking user to file for **15**
 - listed **33**
 - viewing information about **12**

L

link between user and issuer, removing **18**
linking
 filing group to an issuer **19**
 user to file for an issuer **15**

M

managing
 filing groups **24–31**
 users **11–23**

O

open project **33**

P

pending filing **33**
permissions **2**
principal contact **33**
 defined **5**
 tasks **11**
profile, updating
 a filing group member's **30**
 a user's **19**
project
 defined **33**
 open **33**

R

regular filer **6, 33**
removing
 filing group's link to file for an issuer **23**
 link between user and issuer **18**
 member from a filing group **31**
reporting forms, access levels **4**
resending an e-mail notification **18**
role
 administrator **7**
 defined **5**
 group key contact **6**

principal contact **5**
regular filer **6**

S

submission **33**

U

updating
 a user's profile **19**
 filing group member's profile **30**
 filing group's profile **27**
users, managing **11–23**

V

viewing
 filing group information **25**
 issuer information **12**



Toronto Stock Exchange
The Exchange Tower
130 King Street West
Toronto ON M5X 1J2

phone: 416.947.4526
toll free: 888.873.8392
fax: 416.947.4547
email: tsxsecurefile@tsx.com