Guide

For advisor information only

B2B Bank Dealer Services

B2B BANK
DEALER SERVICES

About us

B2B Bank Dealer Services is one of Canada's largest carrying dealer organizations, providing account administration, clearing and settlement, and reporting services to independent dealers, advisors and individual investors across the country.

B2B Bank Dealer Services is a family of mutual fund and investment dealers and has more than 30 years of experience serving Canada's investment community, helping Canadians build and manage their wealth. We are comprised of three firms:

- B2B Bank Financial Services Inc.
- B2B Bank Securities Services Inc.
- B2B Bank Intermediary Services Inc.

Together we deliver a wide range of investment products and services to more than 300,000 investors through our association with over 150 dealers and 27,000 independent advisors from coast to coast.

At B2B Bank, we also offer:

- Investment and RSP loans
- Mortgages
- Banking services
- Deposits

For more information please visit **b2bbank.com**, or call us at **1.800.263.8349**.

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B2B Bank Dealer Services

B2B Bank Financial Services Inc.

B2B Bank Financial Services Inc. is a mutual fund dealer and a member of the Mutual Fund Dealers Association of Canada (MFDA), a national self-regulatory organization (SRO) for the Canadian mutual fund industry. As a mutual fund carrying dealer, B2B Bank Financial Services Inc. provides Canada's licensed mutual fund advisors with a full suite of financial services for their clients.

B2B Bank Securities Services Inc.

B2B Bank Securities Services Inc. is an investment dealer and a member of the Investment Industry Regulatory Organization of Canada (IIROC), a national self-regulatory organization (SRO) that oversees all investment dealers and trading activity on debt and equity markets in Canada. As an investment carrying dealer, B2B Bank Securities Services Inc. provides Canada's licensed securities advisors, and individual investors, with investment products and services. B2B Bank Securities Services Inc. is a Member of the Canadian Investor Protection Fund (CIPF).

B2B Bank Intermediary Services Inc.

B2B Bank Intermediary Services Inc. is a mutual fund dealer, registered with the Autorité des marchés financiers (AMF), the province of Quebec's regulatory body for the financial services sector. As a mutual fund carrying dealer, B2B Bank Intermediary Services Inc. provides Quebec's licensed mutual fund advisors with a full suite of financial services for their clients.

Our services

B2B Bank Dealer Services is one of Canada's leading providers of registered and non-registered investment account services for Canadian financial advisors. Our nominee account platform and value added services ensure that advisors and their clients have the tools they need to manage and build their wealth.

Our platform

B2B Bank Dealer Services' record keeping platform provides account administration, trade clearing and settlement, balance, transaction and tax reporting and custody services, along with online access for advisors and investors.

The platform enables advisors and investors to hold their investments securely in nominee name, rather than being registered individually in each investor's name. This means that a wide variety of investments can be held in a single account, with purchases, sales and transfers conducted efficiently and without delay.

Whether your clients wish to invest in a Tax Free Savings Account (TFSA), save for retirement in an RRSP, or establish an employee Group Plan, choosing a nominee account platform will simplify transaction processing, account management and reporting.

Value-added account services

In addition to a wide range of account and plan options, the B2B Bank Dealer Services platform delivers the account management options today's advisors and investors need:

- Online balance and transaction reporting for investors
- Online trading and balance and transaction reporting for advisors
- Account transfer assistance
- Fee for Service option
- Group Plan Sponsor services
- Investment Counsellors and Portfolio Manager (ICPM) services*
- B2B Bank Discount Brokerage*
- Self-directed mortgages

*Available only through B2B Bank Securities Services Inc.

Benefits of B2B Bank Dealer Services

Rather than learning the ins and outs of all the fund company platforms, carrying dealers and trust companies, you have a direct relationship with a single financial services organization and access to dedicated Business Development Managers.

How advisors benefit	How clients benefit
A single client application, making transfers of assets simpler and faster.	A single account to hold all the assets you advise in, including cash.
Breadth and depth of investment choice.	The convenience of all assets in one account.
Consolidated portfolio reporting. Tax reporting on non-registered accounts.	A single statement, not one from every mutual fund company owned. Easy access to tax information.
Fast, concurrent trading: prompt transfer of money from one fund company to another.	Clients can deposit funds directly from their chequing account into their B2B Bank Dealer Services account (where applicable) through online bank transfers.
Transfer-in Program: financial and resource assistance may be available.	Allows for fast, efficient fund transfers, ensuring clients stay in the market.
Access to all accounts online through a single website, at **b2bbank.com/dealerservices**.	

Accounts

B2B Bank Dealer Services offers a variety of account types to meet the financial and retirement savings, investment and income needs of Canadian investors. Each account is administered as a nominee account that enables the investor to hold a wide range of investments in a single, convenient account.

B2B Bank Dealer Services offers the following account types:

- Non-Registered Investment Accounts
- Tax-Free Savings Accounts (TFSAs)
- Registered Retirement Savings Plans (RRSPs), and locked-in retirement plans
- Registered Retirement Income Funds (RRIFs), and locked-in retirement income funds
- Individual Pension Plans (IPPs)

Group non-registered accounts, TFSAs, RRSPs and DPSPs are also available to employers.

Grow Your Business with B2B Bank Dealer Services

B2B Bank Dealer Services is a family of mutual fund and investment carrying dealers serving Canadian dealers, advisors and their clients. Our comprehensive back office capabilities enable us to provide the tools dealers and advisors need to open accounts, execute trades, deposit or withdraw cash and view investor statements and advisor reports. If you are looking to grow your business, our platform can be used as a complete back office solution, or simply a component of your platform, minimizing your IT and operational functions and leveraging the best of each organization's capabilities.

Since we service a very broad group of dealers, advisors and their clients, we come across many different, successful approaches to building and expanding investment and financial planning practices.

Our Business Development Managers and Client Services team are here to help, from completing your transactions quickly and efficiently to sharing insights about our products and services, plus opportunities for you to build and improve your practice.

Access made easy

ONLINE TOOLS

Advisor Access

Our secure online connection provides advisors with the powerful tools you need to save time and improve the efficiency of your practice.

- Get detailed account information, downloadable in various formats (PDF, Word, Excel, Text)
- Place orders in real time on B2B Bank Dealer Services accounts
- Obtain client documents going back seven years (statements and tax receipts)
- Retrieve reports on client trades, transactions, and a wide variety of information
- Subscribe to eAlerts, a summary of the previous day's activities (e.g., clients' daily trades, credit/debit cash balances, missing applications)

Investor Access

Clients can access detailed balance and transaction reports on all of their accounts, online 24/7. By selecting eDelivery of statements, confirmations and tax receipts, clients will save time and have access to their important documents for up to seven years. Clients can access detailed account information daily and can sign up for an email alert when account statements or other documents are available online.

Group Access

An online resource available to Group Plan Sponsors to simplify record keeping and account administration. Employers can remit regular or one-time contributions and add new employees and accounts.

Electronic transfer of funds

Clients can deposit funds directly from their chequing account into their B2B Bank Dealer Services account by using the online bill payment function on their bank's website (where applicable).

Trades made easier

TMF* Trading Summary

A concise reference chart documenting eTrading recommendations for entering T, M, and F redemptions or switches as wire orders or B2B Bank Dealer Services web orders.

*These are free and matured units not subject to DSC. T = 10% free; M = Matured units only; F= All units not subject to DSC (also known as M+T free).

TMF Trade Service Spreadsheet

A service where advisors can input their requested TMF trades in an easy-to-read spreadsheet and send to **freeshares@b2bbank.com** instead of submitting individual Mutual Fund Trade Tickets or wire orders.

Net Redemption Calculators

Calculators that assist advisors in estimating additional costs (withholding taxes and fees) when money is withdrawn from your client's registered account.

eTrading resources

Our eTrading resources make it easy for you to complete your mutual fund transactions. Smart Prospectus Service: a service that gives you a cost-effective way to print and mail only those mutual fund prospectuses that pertain to the specific client and ensures your client receives the prospectus on a timely basis.

Service support

Client Services

Contact Client Services at 1.800.387.2087 or email **accounthelp@b2bbank.com** for general inquiries about online tools, products and services or procedures.

Business Development support

From coast-to-coast, B2B Bank Dealer Services Business Development Managers are ready and eager to assist you. For product training, sales presentations or to discuss business opportunities, please visit **b2bbank.com/contactus** for a listing of Business Development Managers in your area, or call us at 1.800.387.2087.

Group support

A dedicated Group Partners Client Service Team is available at 1.800.265.6424.

Trading

For mutual funds: Advisors can buy, sell, switch or convert mutual funds online through Advisor Access.

For equity and fixed income: IIROC-licensed advisors can call the Trading Desk at 1.866.542.3403.

For day-to-day inquiries, speak with one of our knowledgeable Client Service Representatives at 1.800.387.2087 from Monday to Friday between the hours of 8:00 a.m. and 8:00 p.m. ET.

b2bbank.com/dealerservices

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