

# It's time...

## Exchange-Traded Funds



For dealer use only.



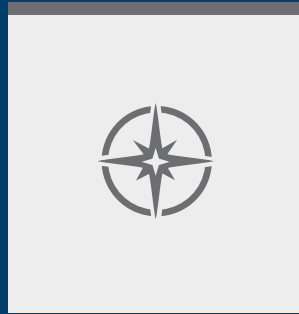
**B2B BANK  
FINANCIAL SERVICES**



**B2B BANK  
INTERMEDIARY  
SERVICES**



**STAY COMPETITIVE**



**GROW YOUR  
BUSINESS**



**DEEPEN CLIENT  
RELATIONSHIPS**

...through our online **exchange-traded fund (ETF) trading platform**—offering **mutual fund advisors registered with CIRO at B2B Bank Financial Services Inc. (B2BFSI) and with AMF at B2B Bank Intermediary Services Inc. (B2BBISI) advisors exclusive access to a growing market.**

### **It's time to add value**

As your trusted partner, we're committed to providing market-leading solutions that give dealers and advisors every opportunity to *add value*, meeting the needs and wants of your clients.

And now, through our online trading platform, **Advisor Access**, you can enhance your competitive offering—and expand your product shelf—with new ETF trading capabilities for your mutual fund advisors.

## A new gateway to growth

Fee pressure, an ever-changing regulatory environment, client sophistication and wealth transfer have necessitated a new way of thinking. As a dealer, you need evolving solutions to help your advisors adapt and deliver a unique client experience in today's competitive landscape.

Advisor Access provides your advisors access to ETFs — an emerging and growing market — conveniently and securely.

From placing an order, to issuing trade confirmations and statements to clients, our full-service solution presents an opportunity empowering you to satisfy demand for an increasingly popular product and drive assets under management.

# 4 COMPELLING REASONS



### EXPANDED PRODUCT SUITE

Conduct trades on a wide variety of ETFs



### COST EFFICIENCIES

Eliminates the costs needed to build your own ETF solution



### DIGITAL PLATFORM

Helps advisors efficiently—and securely—complete transactions and manage client accounts



### ADVISOR SATISFACTION

Deepen client relationships by providing a wide variety of value-add investment solutions

## Attract and retain top talent

Attracting the best advisors means providing continual support, and access to effective, time-saving tools that deepen value-based relationships. Advisors have choice—seeking dealers who not only offer stable, easy to use back-office systems, but also the flexibility of an expansive product shelf.

Through Advisor Access, your top talent will be among the first mutual fund advisors to build their brand through access to a comprehensive suite of ETFs, and participate in an increasingly growing market.

Support your advisors by providing:

- ✔ Comprehensive suite of investment solutions, including lower-cost options
- ✔ Flexibility and liquidity, with intra-day trading
- ✔ Level playing field, with products and services previously unavailable to mutual fund advisors registered with CIRO at B2BBFSI and with AMF at B2BBISI
- ✔ Instant diversification of client portfolios across asset classes, markets and geographies

### **Advisor Access: a full-service tool**

An all-in-one solution that allows dealers and advisors to focus on business growth, and less on administration.

## Internal controls

B2B Bank Financial Services Inc. (B2BBFSI) and B2B Bank Intermediary Services Inc. (B2BBISI) have built internal controls to ensure only registered dealers, and approved advisors, can conduct ETF trades using our platform.



### Here's what you need to do to get started:

- ✓ Sign an amendment to Schedule C of the Introducing/Carrying (IC) Dealer Agreement
- ✓ Provide a list of approved advisors
- ✓ Register for Advisor Access
- ✓ Transact on ETFs

## Eligible account types<sup>1</sup>

- Registered and non-registered
- Group plans
- Tax-Free Savings Accounts
- Deferred Profit Sharing Plans

<sup>1</sup>Applicable to all fee types including Fee for Service

## Eligible ETF list

Our ETF list will consist of a select group with the following characteristics:

- RRSP eligible
- Canadian dollar only
- Listed on a Canadian exchange
- Meets the requirements of National Instrument 81-102

Alternatively, funds that have the following characteristics, WILL NOT be available on our platform:

- Leveraged ETFs
- Inverse ETFs
- Canadian ETFs available in foreign currency
- Canadian ETFs listed on foreign exchanges
- Form of ETF derivative (i.e. option, future, etc.)

Visit [b2bbank.com/ds/etfs](https://b2bbank.com/ds/etfs) for a full listing of eligible ETFs.

B2BBFSI and B2BBISI have introduced rules for dealers and advisors when placing an ETF order using our platform.

### **Market / Limit trades:**

Dealers and advisors will have the option to either place a market trade or limit trade. Market trades will buy or sell at the best price available at the time the trade ordered is entered. Limit trades buy or sell at a specified price valid until at the end of the trading day.

Note: Limit orders are not guaranteed to be fully or partially filled for the current trading day.

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### **Commissions:**

Dealers and advisors will have the option to add commissions to the order on top of the trade fee charged by B2BBFSI/B2BBISI. Both commissions and trade fees will be paid by the client at the time when the order is executed.

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### **Cancelling trades:**

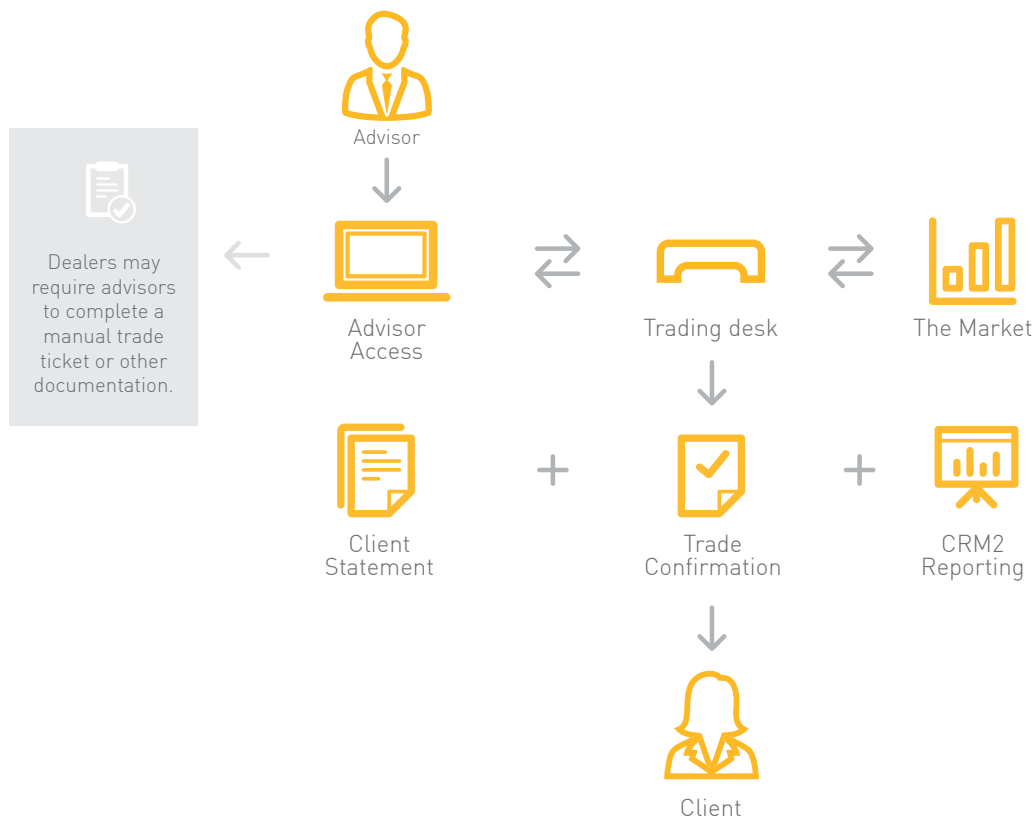
All trade cancellation request can ONLY be made by calling the Trading Desk at 1.866.542.3403. Requests received after 3pm ET will be processed on a best effort basis for that day's trade. Previously filled orders cannot be cancelled.

**Note:** All trade orders are valid for the current trading day and any trade orders submitted after 3pm ET will be processed on a best effort basis for that day's trade date.

For more on **ETF Trading Rules, Trade Types** and our **Process** ask your **National Distribution Representative** for details.

## A streamlined, secure order flow process

Through our ETF trading platform, dealers and advisors can be assured that orders placed online are conducted efficiently and accurately due to the built-in controls.



Advisors place an order electronically through Advisor Access<sup>1</sup>.

Orders are processed through our back office and transmitted to the exchange while the order status is updated on Advisor Access.

Completed orders generate a trade confirmation along with a monthly statement displaying any trade activity.

<sup>1</sup>Advisors should always consult their dealer head office for any additional proprietary rules prior to conducting ETF transactions on our platform.



# How to place an ETF order

## Order entry screen

On this screen, your head office staff or your advisors enter in all of the details required to place an order.

**ORDER ENTRY**

- Fills are not guaranteed. This trade ticket will expire at the end of the current trading day and only fills processed up to the time of that expiry will be posted.

**Client Name:** Joe Client                      **Dealer #:** 1234                      **Advisor #:** 9999

**Account #:** 987654321

To enter a buy, input the required (\*) and applicable optional fields and click **“Continue.”**

**ETF:** iShares Canadian Fundamental Index ETF                      (Eligible ETF List) ←

**# of Units:** 1000

**Price:**                       Market                       Limit                       ←

**Client Trade**                       **Pro Trade** ←

**Solicited Trade**                       **Unsolicited Trade** ←

**Commission:**  ←

**SUBMIT**                      **CLEAR SCREEN**                      **CANCEL REQUEST**

Buy orders are limited to the funds available on the eligible ETF list. Sell orders are limited to ETFs available in client accounts.

For limit orders, advisors can enter the exact buy / sell price.

Pro trades identify clients who are IIROC registrants.

Solicited trades are orders initiated or recommended by the advisor.

Dealers and advisors will have the option to add commissions to the ETF order.

## Verification screen

This screen will provide a summary all the trade details such as number of units, price, commissions, etc. you entered on the previous screen.

**VERIFY ORDER**

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Review the details of the order and click either:

- "Accept Order" to submit the order
- "Change Order" to modify the order
- "Terminate Request" to cancel the order

**Client Name:** Joe Client                      **Dealer #:** 1234                      **Advisor #:** 9999

**Account #:** 987654321

To enter a buy, input the required (\*) and applicable optional fields and click "Continue."

<b>ETF:</b>	iShares Canadian Fundamental Index ETF
<b># of Units:</b>	1000
<b>Price:</b>	\$10.15
<b>Gross Amount:</b>	\$10,150.00
<b>Client or Pro:</b>	Client
<b>Solicited:</b>	Yes
<b>Commission:</b>	\$20.00
<b>Source:</b>	Advisor Access
<b>ETF Trade Fee:</b>	\$XX.XX
<b>Net:</b>	\$10,170.00

**ACCEPT ORDER**      **CHANGE ORDER**      **TERMINATE**

## Order Confirmation and Order Status screens

After the order has been placed, the Order Confirmation screen will summarize the order details while providing a reference number.

**ORDER CONFIRMATION**

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You have submitted an order to buy **1000** units of **iShares Canadian Fundamental Index ETF** in account **987654321 – Order ID #: 12345**

To view the status of your order, select “Order Status” from the account navigation bar.

Do you wish to process another order for this account?

**ORDER STATUS**

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**Client Name:** Joe Client                      **Dealer #:** 1234                      **Advisor #:** 9999

**Account #:** 987654321

<input type="radio"/> <a href="#">#226514</a>	<b>iShares Canadian Fundamental Index ETF</b>	<b>1000 Units</b>	<b>OPEN</b>
<input type="radio"/> <a href="#">#316822</a>	<b>225 S&amp;P / TSX Small Capped ETF</b>	<b>1650 Units</b>	<b>FILLED</b>
<input type="radio"/> <a href="#">#178962</a>	<b>LBF CDN Real Return Bond Index ETF</b>	<b>825 Units</b>	<b>CANCELLED</b>

The Order Status screen will provide a list of client orders with the ability to view detailed order information.

## Account level inquiry screen

Account level inquiries are available to dealers and advisors (through Advisor Access) and clients (through Investor Access).

### PENDING ACTIVITY

**Account #:** 987654321                      **With:** 123 ABC Financial Dealer                      **Status:** Active

**Client Name:** Joe Client                      **Dealer # / Advisor #:** 1234 / 9999                      **Age:** 49

**Co-Applicant(s):** n/a

**Resident Tel:** 555-555-5555                      **Business Tel:** Not provided

### PLACED ETF ORDERS

Trade Date	Settlement Date	Activity	Description	Code	Quantity (Shares)	Amount	Commission	Status
Sept 1/17	Sept 6/17	Buy	iShares CDN Fundamental Index ETF	ISHCDNETF	1000	\$10,150	\$20.00	Open
Sept 4/17	Sept 7/17	Buy	225 S&P / TSX Small Capped ETF	225SMETF	1650	\$6,600	\$20.00	Filled

## Order status

After the order has been placed, dealers and advisors (through Advisor Access) and clients (through Investor Access) will be able to view a current order status.



### Open

The trade order has been received, but no units have been purchased.



### Partially filled

The trade order has been received and partially filled<sup>1</sup>.



### Filled

The trade order has been received and has been 100% filled<sup>1</sup>.



### Cancelled

The trade order has been cancelled by the dealer, advisor or B2BBFSI/B2BBISI.



### Expired

The trade was received but not processed by the end of trading day.

<sup>1</sup>For filled or partially filled trade orders, full transaction details are available to view on Advisor Access

## Reporting

With Advisor Access, dealers and advisors can view and download a suite of more than 40 reports to help with oversight and reconciliation of account and trade activities. Some of the reports include:



### DAILY/MONTHLY TRADE

Holistic view of trade activities conducted by advisors for a specific date, date range or entire month



### DEALER BOOK OF ASSETS

High-level overview of dealer's holdings by product type



### DEALER TRIAL BALANCE

Comprehensive summary of dealer's holdings at the account level



### APPROVED ETF ADVISOR

Real-time output of all the advisors approved by the dealer to conduct ETF trades

## **A network of support**

As your trusted partner, B2B Bank Financial Services Inc. and B2B Bank Intermediary Services Inc. provide ongoing support, with a comprehensive service offering and robust ETF trading platform—a flexible and efficient component to complement your dealer’s capabilities.

For information on Advisor Access—a portal to the ETF market for you and your advisors—contact us:

### **National Distribution**

- General dealer assistance

### **Operations Relationship Advisors**

- Operational dealer support

### **Client Services (1.800.387.2087)**

- Help for dealers, advisors and clients
- Monday to Friday 8:00 a.m. to 8:00 p.m. ET

### **Trading Desk**

- 1.866.542.3403

### **Website ([b2bbank.com/ds/etfs](https://b2bbank.com/ds/etfs))**

- Training and educational support
- Tools (guides, videos and eligible ETF list)
- Marketing materials
- FAQs

# It's time... for a new opportunity for growth

If you are interested in more information about ETFs or learning more about B2BBFSI and B2BBISI, call Client Services at 1.800.387.2087 or visit [b2bbank.com/ds/etfs](http://b2bbank.com/ds/etfs).

All screen shots may not appear exactly as on Advisor Access.

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