

Mutual Fund Trade Ticket

Use this guide to assist you in completing a B2B Bank Dealer Services (B2BBDS) Mutual Fund Trade Ticket. This trade ticket is used for trading eligible mutual funds. For details on the types of trades and amount types permitted, please refer to the Mutual Fund Trade Ticket.

TIP: Avoid the \$10 mutual fund trade fee and take advantage of Mutual Fund Web Trading on Advisor Access.

If available, you can also use your Dealer's wire order system or FundSERV and eliminate the need to fax trades to B2B Bank Dealer Services.

Mutual Fund Trade Ticket Restrictions:

- Cannot be used to convert mutual funds into equities, fixed income products, segregated funds, GICs, or any other products
- Cannot be used to transfer funds and/or units between B2BBDS accounts
- If there are systematic instructions (e.g. PAC, SWP, RIF, Group Instructions or Systematic Switches) on the funds you are trading that need to be changed, please also complete the Systematic Instruction Form or the GroupPartners Member Change Form

Note: In some situations, a fund company may require additional documentation. These situations include (but are not limited to) matured and/or free unit switches as well as asset allocation transactions. If you are unsure if fund company documentation is required, please contact the fund company directly before submitting the trade request.

Please complete the following steps:

1. Complete Mutual Fund Trade Ticket
2. Include additional required fund company documentation (if applicable)
3. Fax to B2B Bank Dealer Services
Attn: Mutual Fund Trading
Fax: 416.413.0591

For Group Accounts
Attn: GroupPartners Department
Fax to: 416.413.9715

OR

Mail or courier to
B2B Bank Dealer Services
Attn: Mutual Fund Trading
199 Bay Street, Suite 610,
PO Box 35 STN Commerce Court,
Toronto ON M5L 0A3

The following process must be followed when filling out a Mutual Fund Trade Ticket. Trade Tickets that are missing the required information may result in processing delays.

Section	Required Fields	Tips
<p>1. Account Information</p>	<p>Required: All</p> <p>Optional: Social Insurance Number (SIN) Note: If the SIN is provided in place of the B2BBDS account number, B2BBDS will process the trades indicated on the Mutual Fund Trade Ticket if the client only has one active account.</p>	<p>B2BBDS account number is used to process trades. Do not indicate fund company account number in lieu of B2BBDS account number.</p>
<p>2. Trades</p>	<p>To Sell</p> <p>Required: (A) Indicate fund code (B) Indicate one of the following amount types per sell: For amount types: (A) A, F, M or T – Do not indicate an amount. Do not indicate gross or net. (B) D – Indicate an amount and either gross or net by circling "G" or "N." If not indicated, gross will be the default. (C) P or S – Indicate an amount. Do not indicate gross or net. (D) B, C, J, or L – An amount is optional. Do not indicate gross or net.</p>	<ol style="list-style-type: none"> 1. Complete the Sell side of the Trades section only. 2. Do not circle a transaction type: (sw – switch; or cv – conversion). Circling a transaction type may result in processing delays and/or unexecuted orders as you could be requested to provide the corresponding fund for the Buy side. 3. Sell proceeds will be deposited in cash to the client's B2BBDS account. 4. If the sell has already been placed via your Dealer system or through Advisor Access, do not send a Mutual Fund Trade Ticket or any related documentation as it's not required. This will also prevent duplication of trades.
<p>Trades Cont'd</p>	<p>To Buy</p> <p>Required: (A) Indicate fund code (B) Indicate amount type "D" (C) Indicate amount If applicable: (A) Indicate sales charge (B) Indicate fund option (C) Indicate commission rebate by circling dollar sign (\$) or percent sign (%) and include an amount</p>	<ol style="list-style-type: none"> 1. Complete the Buy side of the Trades section only. 2. A buy can only be indicated in Dollars. 3. Always use an exact dollar amount when indicating a buy from the client's Cash position in their B2BBDS account. 4. If using a percentage, commission rebates must be expressed as a part of 100% (e.g. to rebate 4% to a client from a fund that paid commission of 5%, indicate 80% on the Mutual Fund Trade Ticket as the commission rebate amount). (Not applicable to Discount Brokerage Accounts) 5. If the Buy has already been placed via your Dealer System or through Advisor Access, do not send a Mutual Fund Trade Ticket or any related documentation as it's not required. This will also prevent duplication of trades.

Section	Required Fields	Tips
<p>Trades Cont'd</p>	<p>To Switch Sell side – switch from Required: (A) Circle the following transaction type only: "SW" – Switch (B) Indicate fund code (C) Indicate one of the following amount types per switch: For amount types: (A) A, F, M or T – Do not indicate an amount. Do not indicate gross or net. (B) D – Indicate an amount and either gross or net by circling "G" or "N." If not indicated, gross will be the default. (C) P or S – Indicate an amount. Do not indicate gross or net.</p> <p>Buy side – switch to Required: (A) Indicate fund code (B) Indicate amount type A If applicable: (A) Indicate sales charge (B) Indicate fund option</p>	<ol style="list-style-type: none"> 1. Complete the Sell side and Buy side of the Trades section. Each fund indicated on the Sell side should have a corresponding fund on the Buy side. 2. Switches can only be processed as a one-to-one trade within the same fund company. 3. Switches and conversions cannot be combined in the same transaction. Indicate trades separately. 4. Commission rebates do not apply to switches. 5. If the switch has already been placed via your Dealer System or through Advisor Access, do not send a Mutual Fund Trade Ticket or any related documentation as it's not required. This will also prevent duplication of trades.
<p>Trades Cont'd</p>	<p>Conversion Sell side – convert from Required: (A) Circle the following transaction type only: "CV" – Conversion (B) Indicate fund code (C) Indicate one of the following amount types per conversion: For amount types: (A) A, F, M or T – Do not indicate an amount. Do not indicate gross or net. (B) D – Indicate an amount and either gross or net by circling "G" or "N." If not indicated, gross will be the default. (C) P or S – Indicate an amount. Do not indicate gross or net. (D) B, C, J, or L – An amount is optional. Do not indicate gross or net.</p> <p>Buy side – convert to Required: (A) Indicate fund code (B) Indicate one of the following amount types: A, D, or P If applicable: (A) Indicate amount (B) Indicate sales charge (C) Indicate fund option (D) Indicate commission rebate by circling dollar sign (\$) or percent sign (%) and include an amount</p>	<ol style="list-style-type: none"> 1. Complete both the Sell side and Buy side of the Trades section. 2. Switches and Conversions cannot be combined in the same transaction. Indicate trades separately. 3. For conversions in dollars, we will default the sell amount to "net" (of DSC) to accommodate the buy amount. 4. Multiple buys must be indicated in percentages when multiple sells are being requested. 5. For conversions in percentages, the Buy side must total 100%. 6. For conversions in dollars with multiple buys, the last fund on the Buy side must be indicated as the "balance fund." Indicate "Balance" in the Amount column for your last buy. 7. If using a percentage, commission rebates must be expressed as a part of 100% (e.g. to rebate 4% to a client from a fund paid commission of 5%, indicate 80% on the Mutual Fund Trade Ticket as the commission rebate amount). (Not applicable to Discount Brokerage) 8. Commission rebates cannot be indicated in dollars when multiple sells are being requested. Use percentages only. 9. If the conversion (Sell side and Buy side) has already been placed via your Dealer System or through Advisor Access, do not send a Mutual Fund Trade Ticket or any related documentation as it's not required. This will also prevent duplication of trades. 10. If only the Sell side of the conversion has been placed via your Dealer System or through Advisor Access and B2BBDS is to place the buy(s), do the following: <ul style="list-style-type: none"> • Indicate the required information (refer to the "To Buy" trade type section) as well as wire order numbers that correspond with each sell • Indicate exact dollar amounts for each buy • Write "B2B Bank Dealer Services to Process Buy(s)" in a noticeable area on the Mutual Fund Trade Ticket or cover sheet.

Section	Required Fields	Tips
<p>Trades Cont'd</p>	<p>LSIF Rollover Sell side – LSIF Rollover from Required: (A) Indicate fund code (B) Indicate one of the following amount types per LSIF rollover: For amount types: (A) D – Indicate an amount and either gross or net by circling “G” or “N.” If not indicated, gross will be the default. (B) C or L – An amount is optional. Do not indicate gross or net.</p> <p>Buy side – LSIF rollover to Required: (A) Indicate fund code (B) Indicate amount type A (C) Write “Rollover” in the Amount field If applicable: (A) Indicate sales charge (B) Indicate fund option (C) Indicate commission rebate by circling dollar sign (\$) or percent sign (%) and include an amount</p>	<ol style="list-style-type: none"> 1. Complete both the Sell side and Buy side of the Trades section. Each fund indicated on the Sell side should have a corresponding fund on the Buy side. 2. Do not circle a transaction type: (sw – switch; or cv – conversion). 3. LSIFs can be rolled over into the same fund or a different LSIF within the same fund company. 4. B2BBDS does not allow LSIFs to be purchased in an Income Fund account. 5. If using a percentage, commission rebates must be expressed as a part of 100% (e.g. to rebate 4% to a client from a fund paid commission of 5%, indicate 80% on the Mutual Fund Trade Ticket as the commission rebate amount). (Not applicable to Discount Brokerage) 6. If the LSIF Rollover has already been placed via your Dealer System or through Advisor Access, do not send a Mutual Fund Trade Ticket or any related documentation to B2BBDS as it's not required. This will also prevent duplication of trades.
<p>3. Authorization</p>	<p>Required: (A) Advisor's signature (B) Date</p> <p>Note: The client's signature is required if the Advisor does not have trading authorization or if the account is a Discount Brokerage account.</p>	<ol style="list-style-type: none"> 1. Mutual Fund Trade Ticket must be signed by the Advisor. 2. A signing officer of the dealership can authorize trades in lieu of the Advisor's signature. There should be a dealer stamp with signature and indication of this individual being a signing officer (e.g. Branch Manager) on the Mutual Fund Trade Ticket.

For more information, please call Client Services at **1.800.387.2087** or visit **b2bbank.com/dealerservices**.

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