

Segregated Fund Trade Ticket

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

Trade Types Permitted:

- See legend on Trade Ticket. (Note: When selling segregated funds, proceeds are deposited to cash in the client's B2BBDS account and will remain in cash until instructions are received; a cheque is not issued to the client).

Segregated Fund Trade Ticket Restrictions:

Cannot be used:

1. To convert segregated funds into equities, fixed-income products, mutual funds, GICs, or any other products.
2. For equities, fixed-income products, mutual funds, GICs, or any other products.
3. To convert segregated funds between different fund companies.
4. To transfer funds and/or units between B2BBDS accounts.

(Note: The **original** Segregated Fund Contract Application is required for the initial buy of a segregated fund. If you require assistance with completing this application, please contact the fund company directly before submitting the trade request to B2B Bank Dealer Services).

Please complete the following steps for all subsequent segregated fund trades:

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

For Group Accounts
Fax: 416.413.9718
Attn: GroupPartners Department

OR

Mail or courier to:
B2B Bank Dealer Services
Attn: Segregated 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 Segregated 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 but the B2B Bank Dealer Services (B2BBDS) account number is not, we will process the trades indicated on the Segregated 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 the B2BBDS account number.</p>
<p>Amount Type Legend</p>	<p>Reference Only</p>	<p>Use one of the intended amount types from the legend to complete Section 2 (Trades).</p>
<p>2. Trades</p>	<p>To Sell Required: (A) Indicate fund code (B) Indicate one of the following amount types per sell: For amount types: (A) A – 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>	<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 Segregated Fund Trade Ticket or any related documentation as it’s not required. This will also prevent duplication of trades.

Section	Required Fields	Tips
	<p>To Buy Required: (A) Indicate fund code and fund name (B) Indicate amount type "D" (C) Indicate amount If applicable: (A) Indicate sales charge</p>	<p>(A) B2BBDS to Process Trade: If this is the initial buy of a segregated fund that B2BBDS should process, following documentation is required:</p> <ol style="list-style-type: none"> 1. An original Segregated Fund Contract Application 2. B2BBDS Segregated Fund Trade Ticket <ul style="list-style-type: none"> • Complete the Buy side of the Trades section only • A buy can only be indicated in Dollars • Always use an exact dollar amount when indicating a buy from the client's Cash position <p>(B) Trade already processed by Dealer: If this is an initial buy of a segregated fund that was already processed using your Dealer system, we require the following documentation:</p> <ol style="list-style-type: none"> 1. An original Segregated Fund Contract Application 2. A letter of direction indicating that the fund company has accepted the buy <ul style="list-style-type: none"> • Ensure the appropriate wire order number for the trade has been indicated <p>Note: These documents must be provided prior to settlement date. Failure to provide the Segregated Fund Contract Application may result in processing delays or the cancellation of the trade at the Dealer's expense. Ensure original Segregated Fund Contract Application is sent to B2BBDS and not to the fund company.</p> <p>Subsequent Buy</p> <p>(A) B2BBDS to Process Trade: If this is a subsequent buy of a segregated fund, we require the following documentation:</p> <ol style="list-style-type: none"> 1. B2BBDS Segregated Fund Trade Ticket <ul style="list-style-type: none"> • Complete the Buy side of the Trades section only • A buy can only be indicated in Dollars • Always use an exact dollar amount when indicating a buy from the client's cash position <p>(B) Trade already processed by Dealer: If this is a subsequent buy of a segregated fund that was already processed using your Dealer system, do not send Segregated Fund Trade Ticket or any related documentation as it's not required. This will also prevent duplication of trades.</p>

Section	Required Fields	Tips
	<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 and fund name (B) Indicate amount type A If applicable: (A) Indicate sales charge</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. If the switch has already been placed via your Dealer System or through Advisor Access, do not send a Segregated Fund Trade Ticket or any related documentation as it's not required. This will also prevent duplication of trades.
<p>3. Reset Option</p>	<p>Only complete if you wish to exercise the Reset Option.</p>	<p>If Reset Option is being exercised, do the following:</p> <ol style="list-style-type: none"> 1. Advisor should ensure that the Reset Option request meets the issuing institution's guidelines 2. Check mark the Reset Option box 3. Indicate fund code and fund name <p>Note: If the Reset Option applies to more than one fund within the same fund company, use separate Segregated Fund Trade Tickets for each fund.</p>
<p>4. Authorization</p>	<p>Required: All</p>	

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