

Welcome to National Bank Correspondent Network



Having a reliable partner is key to reaching your financial goals. To that end, your Investment Dealer has selected National Bank Correspondent Network as their Carrying Broker.

Your relationship with National Bank Correspondent Network

National Bank Correspondent Network offers a suite of premium products and services that allow your Investment Dealer to focus on you and your portfolio, and spend less time on day-to-day administration.

For more than 20 years, National Bank Correspondent Network has been Canada's premier provider of custody and brokerage solutions to independent Portfolio Managers and Investment Dealers.

We are pleased to offer through your Investment Dealer:

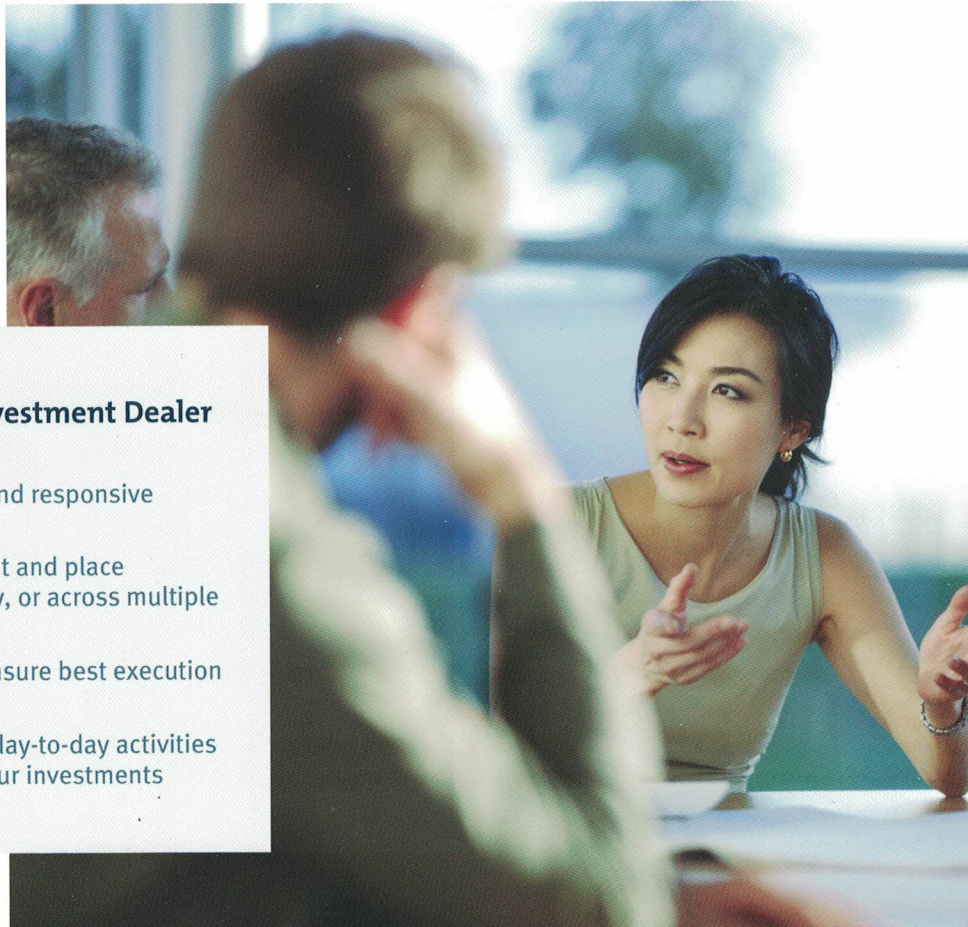
- › A full range of investment products and account types
- › Leading-edge trading platforms
- › Access to research, technology and specialized administrative support
- › Trade settlement and monthly custody reporting

Benefits of dealing with National Bank Correspondent Network:

- › Backed by the strength and security of National Bank of Canada, National Bank Correspondent Network provides custody services and brokerage solutions to over 400 Investment Dealers and Portfolio Managers.
- › National Bank Correspondent Network is a member of the Canadian Investor Protection Fund (CIPF).

Key features offered to your Investment Dealer as part of our service offering:

- › A dedicated service team for fast and responsive service to any account enquiries
- › Technology to monitor your account and place transactions for clients individually, or across multiple accounts at the same time
- › Access to block trading desks to ensure best execution on large orders
- › Specialized reporting to facilitate day-to-day activities — leaving more time to manage your investments





Regulatory overview:

- › National Bank Correspondent Network is a division of NBCN Inc. (NBCN). NBCN is an indirect, wholly owned subsidiary of National Bank of Canada.
- › National Bank of Canada is a federally regulated Schedule A bank and a public company listed on the TSX.
- › NBCN is incorporated under the laws of Canada with its head office in Toronto, Ontario.
- › NBCN is a member of and regulated by the Investment Industry Regulatory Organization of Canada (IIROC), the national self-regulatory organization that oversees all investment dealers and trading activity on debt and equity marketplaces in Canada.

Your Investment Dealer and National Bank Correspondent Network

When you choose an Investment Dealer using National Bank Correspondent Network as a Carrying Broker, you choose their management style, combined with the strength and expertise of National Bank. Your Investment Dealer is solely responsible to provide you with advice in respect to investing in, buying or selling securities. National Bank Correspondent Network will act on the instructions of your Investment Dealer.

What is the role of a Carrying Broker?

- › Handling custody of client assets
- › Segregating your securities
- › Maintaining current and accurate records of your account holdings
- › Preparing account statements and tax documents
- › Preparing trade confirmations for your account

What should you expect from your Investment Dealer?

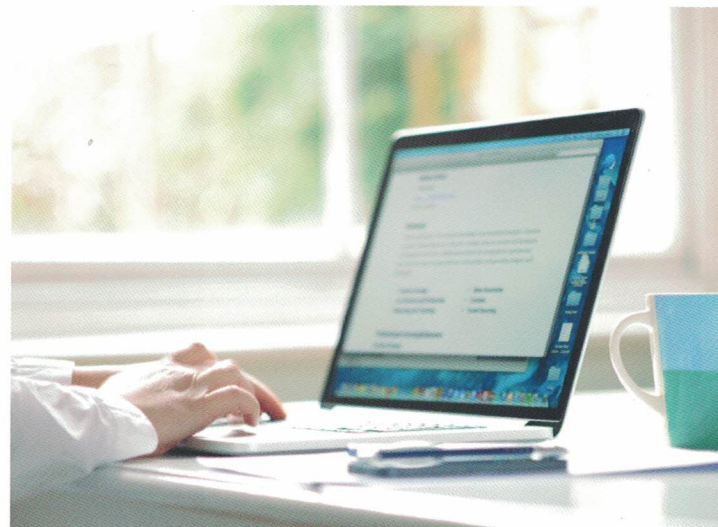
- › Manage your investments
- › Take your calls and requests for information about your account
- › Coordinate all activities with National Bank Correspondent Network

Quick facts about National Bank of Canada:

- › National Bank of Canada has been providing financial services to individuals, corporations and governments since 1859, making it one of Canada's oldest financial institutions.
- › National Bank has consistently maintained solid financial results and a strong, steady performance.
- › As a well-rounded Canadian corporation, National Bank was also recognized as one of Canada's 25 Best Brands and 50 Best Employers in 2014.



2014
**Best
Employers**
in Canada
By Aon Hewitt





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