



# Welcome to National Bank Independent Network

Having a reliable wealth management partner is key to reaching your financial goals and your Investment Dealer conducted thorough review to find a creditable, experienced Carrying Broker — National Bank Independent Network.



**NATIONAL  
BANK**

**INDEPENDENT NETWORK**



# Your relationship with National Bank Independent Network

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

For more than 25 years, we have been Canada's premier provider of custody and brokerage solutions to independent Investment Dealers and Portfolio Managers

---

## About National Bank Independent Network:

---

- ▶ Canada's leading provider of custody, trade execution and brokerage solutions to independent investment firms
- ▶ Over 25 years of continuous service and a team of more than 200 professionals
- ▶ Supporting more than 350 firms across Canada
- ▶ More than \$160 billion in assets under administration
- ▶ Backed by the financial strength of National Bank, providing financial services to individuals, corporations and governments since 1859, making it one of Canada's oldest financial institutions.

---

## Your Investment Dealer and National Bank Independent Network

---

**Your Investment Dealer provides you with advice on investing, including buying or selling securities. As Carrying Broker, National Bank Independent Network acts on the instructions provided by your Investment Dealer.**

### Investment Dealer

- Manages your investments
- Supports your calls and requests for information about your account
- Coordinates all activities with National Bank Independent Network

### Carrying Broker

- Provides custody services for your assets
- Segregates your securities
- Maintains accurate records of your trade confirmations and account holdings/statements
- Prepares tax documents



---

## Benefits of National Bank Independent Network

**National Bank Independent Network provides your Investment Dealer with the tools and resources needed to offer you exceptional services. These include:**

- A full range of investment products and account types
- A dedicated service team for fast response to account enquiries
- Research, technology and specialized administrative support
- Leading-edge trading platforms
- Access to block trading desks to ensure best execution on large orders
- Technology to monitor accounts and place transactions
- Trade settlement and monthly custody reporting

---

## Regulatory overview

- National Bank Independent Network is a division of NBF Inc., as well as a trademark owned by National Bank of Canada (NBC).
- National Bank of Canada is a federally regulated Schedule A bank and a public company listed on the Toronto Stock Exchange (TSX: NA).
- NBIN 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.
- NBIN is a member of the Canadian Investor Protection Fund (CIPF) that provides coverage (within specified limits)

**[nbin.ca](https://nbin.ca)**

National Bank Independent Network (NBIN) is a division of National Bank Financial Inc. (NBF Inc.), as well as a trademark owned by National Bank of Canada (NBC) that is used under license by NBF Inc. NBF Inc. is a member of the Investment Industry Regulatory Organization of Canada (IIROC) and the Canadian Investor Protection Fund (CIPF). Custody services accessed through NBIN are provided by either NBF Inc. or its affiliates National Bank Trust (NBT) or Natcan Trust Company (Natcan). NBT and Natcan also offer trustee services through NBIN. NBF Inc., NBT and Natcan are all subsidiaries of NBC, a public company listed on the Toronto Stock Exchange (TSX: NA).



# Understanding your investment portfolio statement

All the information you need at a glance



Managing an investment portfolio takes time, but understanding your investment portfolio statement shouldn't. Accordingly, we've designed a statement that is simple, user-friendly and, more importantly, easy to read.

- ▶ Your statement is sent to you quarterly; however, it may be delivered monthly if a transaction/activity occurred in your account.
- ▶ It presents an overview of all your accounts plus a detailed breakdown of each one.
- ▶ The types of accounts that you hold are clearly indicated, and there's enough information provided to fully understand the status of your investments.

---

## Summary section

---

The first page features a quick overview of your investment portfolio value and asset allocation while the second page contains important information regarding your statement.

### 1 Portfolio Summary

Track the progress of your investments with an overview of the total market value of your accounts in Canadian dollars, for both the current and previous period.

### 2 Portfolio Asset Allocation

View the breakdown of your portfolio holdings in Canadian dollars by asset class and see what percentage each category represents. This section shows the market value of your portfolio and any negative balances which will appear in brackets.

### 3 What's New

It's important that you read this section each time you receive your statement, as it contains pertinent information regarding your account.

### 4 Investment Portfolio Information

Refer to this section for your account number. If duplicate copies have been requested, details would be listed here.

### 5 Contact Information

Need assistance? Here's where you can find your Investment Advisor contact information.



## 11 Asset Details

Review securities by asset category: cash and equivalents, corporate bonds and common stocks. Cash equivalents refer to fixed-income securities with a maturity term of less than one year, money market funds and savings bonds. Security market values are easily found in the percentage column.

## 12 Activity Details

View your monthly detailed activities, including settlement date, description, quantity and price.

**Note:** Pending transactions that haven't been settled by the last business day of the statement period will be clearly listed in the Transactions to Settle After Month-End section. Pending transactions will not be included in the current month's Portfolio Summary, Cash Flow Summary and Asset Details sections. However, they will be reflected in the following month's investment portfolio statement.

For further details, please contact your Investment Advisor.



This guide is intended to provide clients with a better understanding of their investment portfolio statement features and to address potential questions. It is not to be construed as a recommendation to buy or sell the securities that may be mentioned herein or for any products or services offered. Security values depicted in images are for illustrative purposes only and may not reflect the value of the relevant security as of the date shown.