

| OPTION 1 - HOUSEHOLD TEMPLATE |                      |              |              |              |                        |
|-------------------------------|----------------------|--------------|--------------|--------------|------------------------|
| Field Name                    | Household ID         | City         | Province     | Country      | Forward Sortation Area |
| Data Type                     | <i>ALPHA-NUMERIC</i> | <i>ALPHA</i> | <i>ALPHA</i> | <i>ALPHA</i> | <i>ALPHA-NUMERIC</i>   |
| Cell Notes:                   | 1                    | 2            | 3            | 4            | 5                      |
| Example                       | Household ID#1       | Toronto      | ON           | CAN          | M5H                    |
| Example                       | Household ID#2       | Toronto      | ON           | CAN          | M5H                    |
| Example                       | Household ID#3       | Toronto      | ON           | CAN          | M5H                    |

OPTION 1 - ACCOUNT TEMPLATE

| Field Name  | Account Number ID   | Account Type | Leveraged Account | Account Inception Date | Household ID   | Account Holder Birth Year | Joint Account Holder Birth Year | Rep Code      | 1 Year Rate of Return | 1 Year Charges and Comp |
|-------------|---------------------|--------------|-------------------|------------------------|----------------|---------------------------|---------------------------------|---------------|-----------------------|-------------------------|
| Data Type   | ALPHA-NUMERIC       | ALPHA        | ALPHA             | YYYY-MM-DD             | ALPHA-NUMERIC  | YYYY                      | YYYY                            | ALPHA-NUMERIC | NUMERIC               | NUMERIC                 |
| Cell Notes: | 6                   | 7            | 8                 | 9                      | 10             | 11                        | 11                              | 12            | 13                    | 14                      |
| Example     | Account Number ID#1 | SDRSP        | No                | 2014-05-23             | Household ID#1 | 1970                      |                                 | R001          | 7.25                  | 356.12                  |
| Example     | Account Number ID#2 | TFSA         | No                | 2015-02-19             | Household ID#1 | 1970                      |                                 | R001          | -3.25                 | 177.56                  |
| Example     | Account Number ID#3 | OPEN         | Yes               | 2009-07-03             | Household ID#1 |                           | 1986                            | R001          |                       |                         |
| Example     | Account Number ID#4 | OPEN         | No                | 2005-12-06             | Household ID#2 | 1986                      | 1989                            | R123          | 6.53                  | 56.52                   |
| Example     | Account Number ID#5 | OPEN         | Yes               | 2016-05-13             | Household ID#2 | 1990                      | 1993                            | R123          | -1.17                 | 453.56                  |
| Example     | Account Number ID#6 | RIF          | No                | 2003-03-15             | Household ID#3 | 1944                      |                                 | R456          | 5.01                  | 251.01                  |

OPTION 2 - HOUSEHOLD/ACCOUNT TEMPLATE

| Field Name         | Address Line 1 | Address Line 2 | Address Line 3 | City      | Province | Country | Postal Code   | Account Number ID   | Account Type | Leveraged Account | Account Inception Date | Account Holder Birth Year | Joint Account Holder Birth Year | Rep Code      | 1 Year Rate of Return | 1 Year Charges and Comp |
|--------------------|----------------|----------------|----------------|-----------|----------|---------|---------------|---------------------|--------------|-------------------|------------------------|---------------------------|---------------------------------|---------------|-----------------------|-------------------------|
| <b>Data Type</b>   | ALPHA-NUMERIC  | ALPHA-NUMERIC  | ALPHA-NUMERIC  | ALPHA     | ALPHA    | ALPHA   | ALPHA-NUMERIC | ALPHA-NUMERIC       | ALPHA        | ALPHA             | YYYY-MM-DD             | YYYY                      | YYYY                            | ALPHA-NUMERIC | NUMERIC               | NUMERIC                 |
| <b>Cell Notes:</b> | 1              | 1              | 1              | 2         | 3        | 4       | 5             | 6                   | 7            | 8                 | 9                      | 11                        | 11                              | 12            | 13                    | 14                      |
| <b>Example</b>     | 123 Main St.   |                |                | Toronto   | ON       | CAN     | M5H 3T9       | Account Number ID#1 | SDRSP        | No                | 2014-05-23             | 1970                      |                                 | R001          | 7.25                  | 356.12                  |
| <b>Example</b>     | 123 Main St.   |                |                | Toronto   | ON       | CAN     | M5H 3T9       | Account Number ID#2 | TFSA         | No                | 2015-02-19             | 1970                      |                                 | R001          | -3.25                 | 177.56                  |
| <b>Example</b>     | 123 Main St.   |                |                | Toronto   | ON       |         | M5H 3T9       | Account Number ID#3 | OPEN         | Yes               | 2009-07-03             | 1985                      | 1986                            | R001          |                       |                         |
| <b>Example</b>     | 999 Any Drive  | Apt 605        |                | Calgary   | AB       | CAN     | T2J 1M9       | Account Number ID#4 | OPEN         | No                | 2005-12-06             | 1986                      | 1989                            | R123          | 6.53                  | 56.52                   |
| <b>Example</b>     | 999 Any Drive  | Apt 605        |                | Calgary   | AB       | CAN     | T2J 1M9       | Account Number ID#5 | OPEN         | Yes               | 2016-05-13             | 1990                      | 1993                            | R123          | -1.17                 | 453.56                  |
| <b>Example</b>     | Suite 105      | 555 Some Dr.   |                | Vancouver | BC       | CAN     | V6H 6H8       | Account Number ID#6 | RIF          | No                | 2003-03-15             | 1944                      |                                 | R456          | 5.01                  | 251.01                  |

| OPTION 1&2 - POSITION TEMPLATE |                      |                         |                                 |
|--------------------------------|----------------------|-------------------------|---------------------------------|
| Field Name                     | Account Number ID    | Investment Product Code | Investment Product Market Value |
| Data Type                      | <i>ALPHA-NUMERIC</i> | <i>ALPHA-NUMERIC</i>    | <i>NUMERIC</i>                  |
| Cell Notes:                    | 15                   | 16                      | 17                              |
| Example                        | Account Number ID#1  | ABC123                  | 8675.73                         |
| Example                        | Account Number ID#1  | CBA4322                 | 13725.25                        |
| Example                        | Account Number ID#2  | GIC                     | 5235.32                         |
| Example                        | Account Number ID#2  | ABC123                  | 9250.88                         |
| Example                        | Account Number ID#3  | CBA4322                 | 15760.25                        |
| Example                        | Account Number ID#3  | SEG1234                 | 3125.50                         |

| OPTION 1&2 - REPRESENTATIVE TEMPLATE |                      |                      |                |
|--------------------------------------|----------------------|----------------------|----------------|
| Field Name                           | Rep Code             | Rep Name             | NRD #          |
| Data Type                            | <i>ALPHA-NUMERIC</i> | <i>ALPHA-NUMERIC</i> | <i>NUMERIC</i> |
| Cell Notes:                          | 18                   | 19                   | 20             |
| Example                              | R444                 | Jane Smith           | 325611         |
| Example                              | R123                 | Ron Jones            | 185672         |
| Example                              | R123                 | Jane Smith           | 325611         |
| Example                              | R456                 | Bob Roberts          | 875683         |
| Example                              | R789                 | Murphy/Roberts       | 875683         |
| Example                              | R789                 | Murphy/Roberts       | 958741         |
| Example                              | R789                 | Murphy/Roberts       | 958741         |
| Example                              | R001                 | House Account        |                |

| NOTES                         |   |               |               |  |
|-------------------------------|---|---------------|---------------|--|
| OPTION 1 - HOUSEHOLD TEMPLATE |   |               |               |  |
| Cell Note #                   | Cell Name   | Format        | Anonymization | Cell Notes   |
| 1                             | Household ID  | ALPHA-NUMERIC | Yes           | See Anonymization guidance   |
| 2                             | City  | ALPHA         | No            | Use full city name   |
| 3                             | Province  | ALPHA         | No            | For Canadian jurisdictions, use provincial short codes<br>For USA jurisdictions, use state short codes<br>For Other jurisdictions, may use full province/state name or relevant short codes (if available)   |
| 4                             | Country   | ALPHA         | No            | May use full country name or short codes   |
| 5                             | Forward Sortation Area  | ALPHA-NUMERIC | No            | First 3 characters of Postal Code  |
| 6                             | Account Number ID   | ALPHA-NUMERIC | Yes           | See Anonymization guidance   |
| 7                             | Account Type  | ALPHA         | No            | Use actual account types from the Member's system (e.g. RSP, RIF, OPEN, TFSA)  |
| 8                             | Leveraged Account   | ALPHA         | No            | Respond "Yes" if account is leveraged  |
| 9                             | Account Inception Date  | YYYY-MM-DD    | No            | Since Inception Date used for CRM2 Reports   |
| 10                            | Household ID  | ALPHA-NUMERIC | -             | Use Household ID from the Household template   |
| 11                            | Account Holder Birth Year/<br>Joint Account Holder Birth Year | YYYY          | No            |  |
| 12                            | Rep Code  | ALPHA-NUMERIC | No            | From the Representative template (where applicable)  |
| 13                            | 1 Year Rate of Return   | NUMERIC       | No            | Use the 1 year rate of return reported on the most recent Annual Performance Report<br>Use whole percentages. For example, 7.54% return should read as "7.54" in the cell<br>Use negative numbers where return is negative "-7.54"<br>Leave blank where account has been opened for less than 1 year   |
| 14                            | 1 Year Charges and Compensation                               | NUMERIC       | No            | Use the total charges and compensation amount reported on the most recent Charges and Other Compensation Report issued to the client<br>Leave blank if no report has been issued<br>Use whole numbers or numbers including 2 decimals<br>No commas<br>Must include trailing commissions and all other charges and compensation (may exclude referral fee compensation) |
| 15                            | Account Number ID   | ALPHA-NUMERIC | -             | Use Account Number ID from the Account or Household/Account template   |
| 16                            | Investment Product Code                                       | ALPHA-NUMERIC | No            | Include all investment products<br>One investment product code per line  |
| 17                            | Investment Product Market Value                               | NUMERIC       | No            | Market value to be reported in the currency in which the position is reported on the client account statements<br>Use either whole numbers or numbers with 2 decimal points<br>No commas   |
| 18                            | Rep Code  | ALPHA-NUMERIC | No            | May appear more than once for joint codes  |
| 19                            | Rep Name  | ALPHA-NUMERIC | No            | For joint codes, only 1 name per row   |
| 20                            | NRD #   | NUMERIC       | No            | Not required for "House Accounts"  |

| NOTES                                 |   |               |               |  |
|---------------------------------------|---|---------------|---------------|--|
| OPTION 2 - HOUSEHOLD/ACCOUNT TEMPLATE |   |               |               |  |
| Cell Note #                           | Cell Name   | Format        | Anonymization | Cell Notes   |
| 1                                     | Address Line 1<br>Address Line 2<br>Address Line 3            | ALPHA-NUMERIC | No            | Full address including Apartment/Unit numbers must be included   |
| 2                                     | City  | ALPHA         | No            | Use full city name   |
| 3                                     | Province  | ALPHA         | No            | For Canadian jurisdictions, use provincial short codes<br>For USA jurisdictions, use state short codes<br>For Other jurisdictions, may use full province/state name or relevant short codes (if available)   |
| 4                                     | Country   | ALPHA         | No            | May use full country name or short code  |
| 5                                     | Postal Code   | ALPHA-NUMERIC | No            | Postal Code required for Canadian addresses only. Example "A1A 1A1"  |
| 6                                     | Account Number ID   | ALPHA-NUMERIC | Optional      | See Anonymization guidance   |
| 7                                     | Account Type  | ALPHA         | No            | Use actual account types from the Member's system (e.g. RSP, RIF, OPEN, TFSA)  |
| 8                                     | Leveraged Account   | ALPHA         | No            | Respond "Yes" if account is leveraged  |
| 9                                     | Account Inception Date  | YYYY-MM-DD    | No            | Since Inception Date used for CRM2 Reports   |
| 11                                    | Account Holder Birth Year/<br>Joint Account Holder Birth Year | YYYY          | No            |  |
| 12                                    | Rep Code  | ALPHA-NUMERIC | No            | From the Representative template (where applicable)  |
| 13                                    | 1 Year Rate of Return   | NUMERIC       | No            | Use the 1 year rate of return reported on the most recent Annual Performance Report<br>Use whole percentages. For example, 7.54% return should read as "7.54" in the cell<br>Use negative numbers where return is negative "-7.54"<br>Leave blank where account has been opened for less than 1 year   |
| 14                                    | 1 Year Charges and Compensation                               | NUMERIC       | No            | Use the total charges and compensation amount reported on the most recent Charges and Other Compensation Report issued to the client<br>Leave blank if no report has been issued<br>Use whole numbers or numbers including 2 decimals<br>No commas<br>Must include trailing commissions and all other charges and compensation (may exclude referral fee compensation) |
| 15                                    | Account Number ID   | ALPHA-NUMERIC | -             | Use Account Number ID from the Account or Household/Account template   |
| 16                                    | Investment Product Code                                       | ALPHA-NUMERIC | No            | Include all investment products<br><br>One investment product code per line  |
| 17                                    | Investment Product Market Value                               | NUMERIC       | No            | Market value to be reported in the currency in which the position is reported on the client account statements<br>Use either whole numbers or numbers with 2 decimal points<br>No commas   |
| 18                                    | Rep Code  | ALPHA-NUMERIC | No            | May appear more than once for joint codes  |
| 19                                    | Rep Name  | ALPHA-NUMERIC | No            | For joint codes, only 1 name per row   |
| 20                                    | NRD #   | NUMERIC       | No            | Not required for "House Accounts"  |