NATIONAL BANK FINANCIAL
WEALTH MANAGEMENT

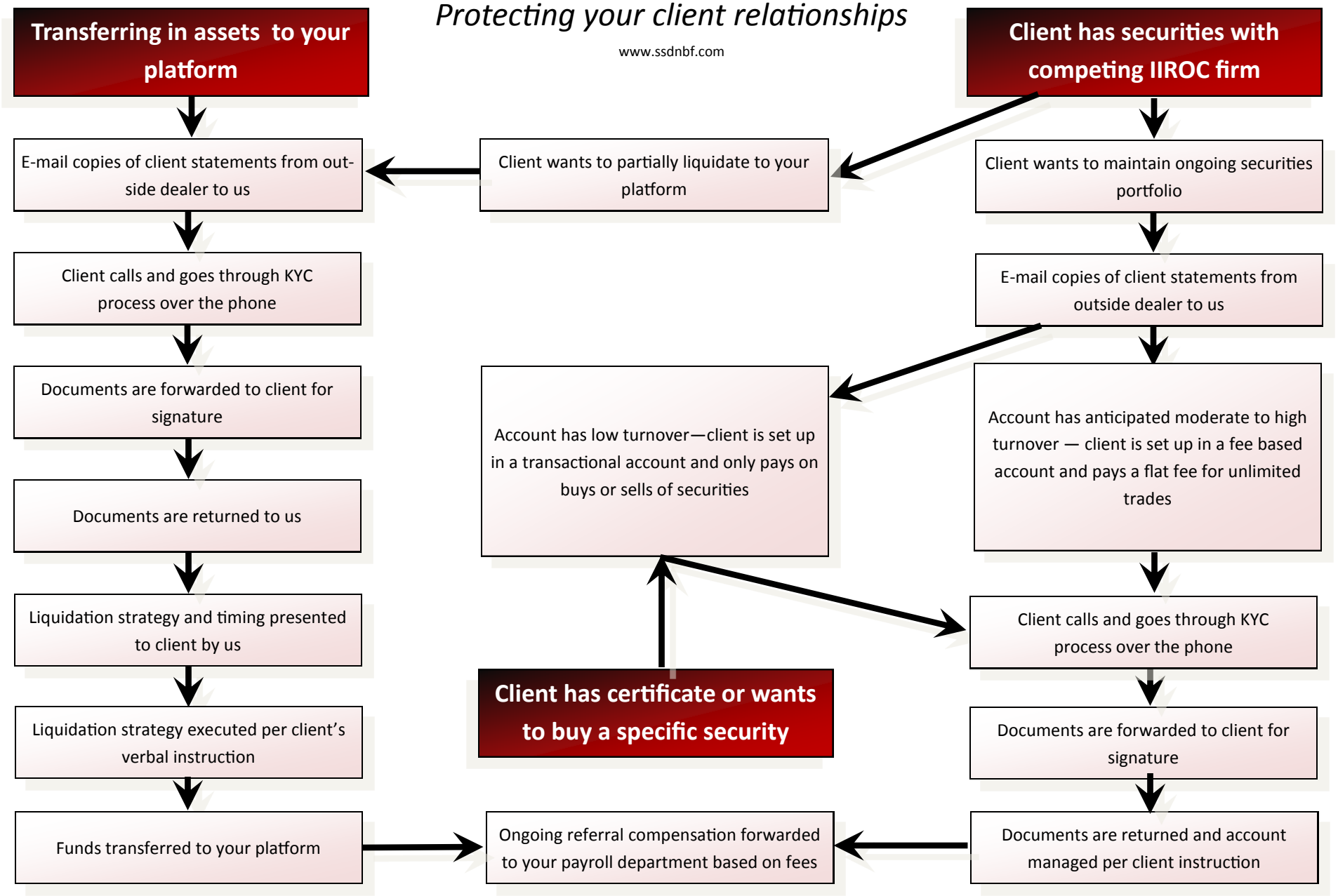
Reference Card

1-800-665-6669

Protecting your client relationships

www.ssdnbf.com

SPECIAL SERVICES
Your Securities Referral Partner



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Account Types

$100,000 account minimum

- Cash / Non-Registered
- Registered, locked-in and RPP's
- Joint
- Corporate
- Discretionary
- Estate accounts
- Tax free savings account
- Options / Short Selling
- Margin

Referral Compensation

Referring advisor will receive an ongoing referral fee of up to 30% on transactional accounts. Referral fees on fee based accounts can be higher.

This referral fee can also be waived, passing discount along to client.

Investment Products

- Stocks
- Bonds
- Execution of Employee Stock Options
- New Equity Issues
- New Bond Issues
- Tax Advantaged Investments, Limited Partnerships
- ETFs

Fixed income trades ($100,000 Example)

Term	Full Rate	Commission	Referral Fee
1 Yr to 18 Mo	0.25%	$250.00	$75.00
18 Mo to 3 Yr	0.50%	$500.00	$150.00
3 Yr to 30 Yr	1.00%	$1000.00	$300.00

Equity trades (transactional accounts)

Number of Shares	Price Per Share	Full Commission Rate	Commission	Referral Fee
1000	$4.15	2.65%	$125.00	$0.00
1000	$10.00	2.40%	$240.00	$72.00
1000	$30.00	2.00%	$600.00	$180.00
1000	$50.00	1.75%	$875.00	$262.00
1000	$100.00	1.00%	$1,000.00	$300.00

Fee based accounts

- Tax deductible management fees range from 0.5% to 1.75%, depending on asset mix and account size.
- Discretionary or non-discretionary

Administrative fees

- $150 annual fee on non registered accounts if no transaction fees are generated.
- $125 RRSP or RRIF annual administration fee.
- $50 TFSA administrative fee.
- There is a $150 transfer out fee for registered accounts to your platform.
- We will cover up to $135 in transfer in fees *per account.*
- There is no fee to issue a cheque for transferring non registered amounts.
- All accounts transferred from competing IIROC dealers are transferred in-kind with adjusted cost base data for tax purposes (if available).

Revised May 2018