

Intelligent Account Statements

The CRM2 solution for lasting client relationships



Broadridge[®]

Welcome to a new era in investor and regulatory communications. Welcome to Broadridge's CRM₂ account statement solution.

Our solutions help investment manufacturers, dealers and advisors manage their investor and regulatory communications with more efficiency, accuracy and effectiveness than ever before.

We automate and integrate processes across the investment communication supply chain. From the advisor desktop to back office operations, we create intuitive investor communication solutions that provide operational efficiencies and deliver a better investor experience. We help advisors communicate effectively with investors.

Introducing Broadridge's intelligent statement platform.

We offer an end-to-end solution designed to make your operations, client service and marketing activities more efficient while providing features to meet CRM₂ requirements. Integrating your data processing with intelligent graphic imaging will enhance communication and help build lasting client relationships.

The collage displays several key features of the Broadridge CRM₂ account statement solution:

- Client Information:** Displays the client's name (Mrs. Jane Smith), address (17 Main Street, Toronto, ON M8R 8X8), and their investment advisor (John Doe, 905-456-8797).
- Investment Portfolio Summary:** Shows the portfolio value on September 30, 2013 (\$703,092.13) and on August 31, 2013 (\$678,219.09). It also lists account types like 'Non Registered' and 'Registered'.
- Performance Chart:** A bar chart comparing the 'Amount invested since Jan 1, 2008' (\$125,200.00) with the 'Market value of account on Sept 30, 2013' (\$700,000.00).
- Summary Table:** A table titled 'THE VALUE OF YOUR ACCOUNT' showing activity over the past year and since account opening.

	Past year	Since you opened your account
Opening market value	\$625,000.00	\$400,000.00
Deposits	\$25,200.00	\$125,200.00
Withdrawals	(\$5,200.00)	(\$5,200.00)
Change in the market value of your account	\$55,000.00	\$180,000.00
Closing market value	\$700,000.00	\$700,000.00
- Marketing & Education:** Includes sections like 'Talk to us about a TFSA Account today', 'Industry Update', 'Latest News', and 'Did You Know?' with various financial tips and news snippets.
- Navigation & Footer:** Shows page numbers (Page 1 of 8, Page 2 of 8, Page 8 of 8) and contact information for the Head Office (445 King Street West, Toronto, ON M5H 1K6).

Improved efficiency and accuracy

The integration of Broadridge's statement solution into your organization's back office and operational environments is managed by Broadridge. We also provide ongoing support for distribution management.

Effective account statement design

Enhanced design and composition create statements that tell each account's story clearly and accurately. Tailored content assists advisors to communicate effectively with their clients.

A better investor experience

Sending statements to investors how and when they want account information results in effective communication. You can control and manage the variable elements of your statements using Communication Manager, an online tool, to create compelling statements that deliver information and marketing messages that are targeted, personalized, and relevant.

Once you have selected and inserted your messages and images, you can generate a pre-production sample of each statement variable. End-to-end quality control allows you to review all the variables of the statement through a single screen and approve them for production using simple pass/fail functionality. Having the quality control process online simplifies and streamlines your workflow.

Your statements are output according to your investors' delivery preferences (print or digital). Electronic statements can be automatically uploaded

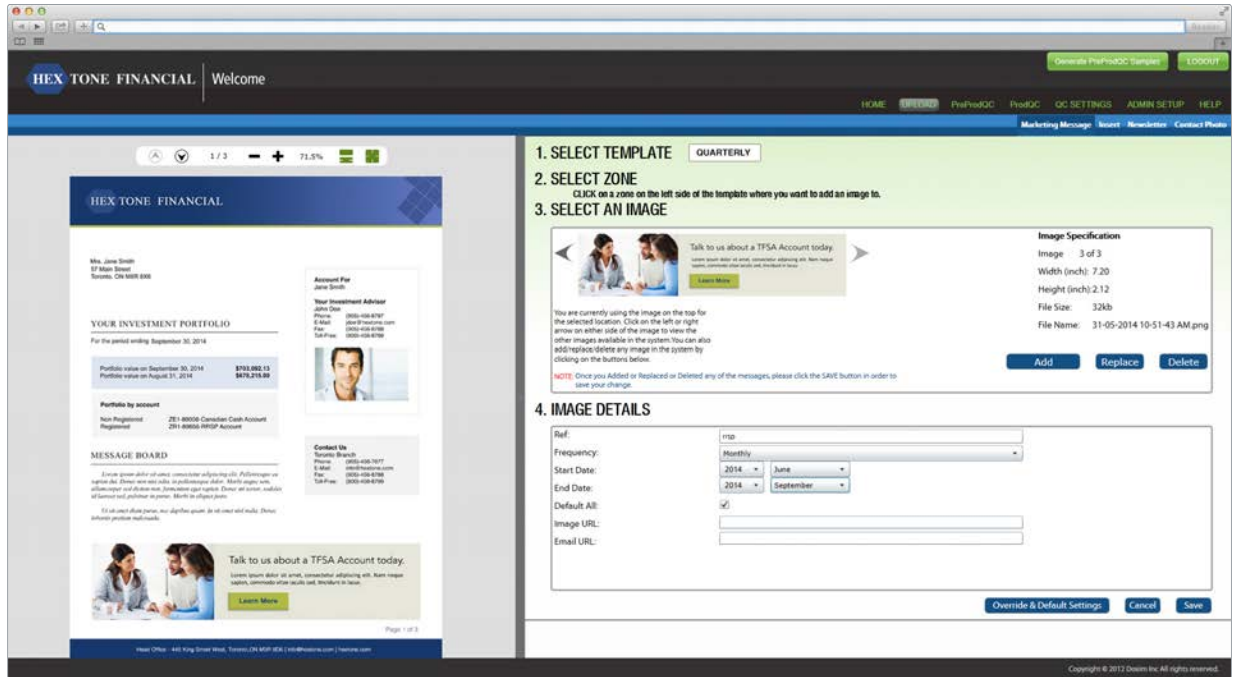
to your content management solution or investor portal, allowing your customers to access and print their statements securely 24/7.

Broadridge is the leading global provider of investor communications, technology-driven solutions and data and analytics to the financial industry.

Your competitive advantage

More effective statements will not only meet regulatory requirements, but also drive improved client communications, engagement, and increase opportunities for your advisors to promote other products and services.

When you implement Broadridge's intelligent account statement solution, you provide a new level of automation and sophistication to building lasting client relationships.



Communication Manager dashboard

Communication Manager

Communication Manager is a web-based message and content management console. It is used for uploading and selecting advertising messages and other content (advisor photos, Message Board content, etc.) for inclusion in the various message zones on a statement. Communication Manager also supports different ads for print and electronic statements. This enables tailored messaging by statement delivery channel based on investor preferences.

e-newsletters and e-inserts

The e-newsletters and e-inserts capability allows an electronic statement to be viewed online as a single document. Appending these documents to statements ensures that clients who have opted out of print statements will still continue to receive these important communications.

In-line newsletters and inserts

Inserts and newsletters can be printed in-line with statements. This saves money, by avoiding the need to separately print, fold, insert and distribute these documents.

Personalized statement marketing

Our solution flexibility lets you build personalized, targeted statement layouts, either by client or segment, for printed and electronic versions.

Multi-segment marketing

You have access to all the message zones and content in real-time. After defining the customer segments you want to target, select the zone in which you want to place content. Select an image from a carousel of uploaded images or prepared messages, and check the statement sample online in real-time.

Intelligent Account Statement features:

- Intelligent design, layout and messaging
- Designed for your business model
- Support for data feeds from multiple sources
- Data conversion and optimization
- Secure data processing environment
- Electronic document production for e-delivery and digital distribution according to investor delivery preferences

Broadridge is the right partner to help your firm turn regulatory mandates into business-building opportunities.

The CRM2 solution for delivering a better investor experience

CRM2 requires your statements to be enhanced to include position cost and market value information. Further enhancements include disclosure on charges and other compensation, as well as annual investment performance. With our intelligent account statements, you can integrate this information into a single client communication.

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REPORT OF CHARGES AND COMPENSATION

For the period of January 1, 2016 - December 31, 2017
Account RRSP-223-71240067

This report summarizes the compensation that we received from you and/or third parties during 2016 related to the maintenance of this account and the services we provided. Charges paid by you are those, if any, that were paid directly by you, either as a deduction from your account or by you making a payment to us, for the annual operation and maintenance of this account and for transactional charges such as those for purchases, sales and other transactions. Payments from third parties are for the services we provided to you related to the securities in your account. For example, mutual funds and other investments charge management fees which are deducted from the funds and a portion of those fees are paid to us. It is important to consider all fees and charges because they help to explain the cost of services provided to you.

Charges paid by you	
RSP Administration Fee	\$ 100.00
Total Operating Charges	\$ 101.00
Commissions on Mutual Fund Purchases	\$ 573.00
Switch Fees	\$ 45.00
Total Transaction Charges	\$ 146.00
Compensation we received from third parties	
Commissions from investment fund managers	\$ 573.00
Trailing commissions from investment fund managers	\$ 673.00
Other compensation	\$ 50.00
Total compensation we received through third parties	\$1296.00
Total Charges and Compensation	\$1622.00

Investment fund fees and charges
If you purchased units of certain investment funds on a deferred sales charge (DSC) basis, we may have received a commission from the investment fund manager. You would have paid no sales charge at the time of the purchase, but you may be subject to a deferred charge if you redeem your units before the prescribed end of the DSC period. We will provide you with the approximate amount of the DSC charge, if any, before your redeem. We may also receive trailing commissions from investment fund managers for the ongoing services we provide to you. Information about fund fees are available in a fund's prospect or fund fact document. All fees that apply to this account are itemized in this report.

Schedule of Charges
Included with report is our current schedule of operating charges. Please speak to your advisor if you have any questions about the charges and compensation that you pay.

Head Office - 445 Financial Street, Big City, ON M3R 8D6 | info@hextone.com | hextone.com

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INVESTMENT PERFORMANCE REPORT

For the period of January 1, 2016 - December 31, 2017
Account RRSP-223-71240067

This report tells you how your account has performed to December 31, 2017. It can help you assess your progress toward meeting your investment goals. Speak to your representative if you have questions about this report. It is important that you tell your representative if your personal or financial circumstances have changed. Your representative can recommend adjustments to your investments to keep you on track to meeting your goals.

Total value summary

Your investments have increased by **\$36,492.34** since you opened the account
Your investments have increased by **\$2,928.85** during the past year

Change in the value of your account

This table is a summary of the activity in your account. It shows how the value of your account has changed based on the type of activity.

	Past year	Since you opened your account
Opening market value	\$51,063.49	\$0.00
Deposits/Transfers In	\$4,000.00	\$21,500.00
Withdrawals/Transfers Out	\$(5,200.00)	\$(5,200.00)
Change in the market value of your account	\$2,928.85	\$36,492.34
Closing market value	\$52,792.34	\$52,792.34

Your personal rates of return

The table below shows the total percentage return of your account for periods ending December 31, 2017. Returns are calculated after charges have been deducted. These include charges you pay for advice, transaction charges and account-related charges, but not income tax. Keep in mind your returns reflect the mix of investments and risk level of your account. When assessing your returns, consider your investment goals, the amount of risk you're comfortable with, and the value of the advice and services you receive.

	Past year	Past 3 years	Past 5 years	Past 10 years	Since you opened your account
Your account	5.51%	10.92%	12.07%	12.90%	13.00%

Calculation method
We use a money weighted method to calculate rates of return. Contact your advisor if you want more information about this calculation. The returns in this table are your personal rates of return. Your returns are affected by changes in the value of the securities you have invested in, dividends and interest that they paid, and also deposits and withdrawals to and from your account.

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Contact Us

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About Broadridge

Broadridge Financial Solutions, Inc. (NYSE:BR) is the leading provider of investor communications and technology-driven solutions for broker-dealers, banks, mutual funds and corporate issuers globally. Broadridge's investor communications, securities processing and business process outsourcing solutions help clients reduce their capital investments in operations infrastructure, allowing them to increase their focus on core business activities.

With over 50 years of experience, Broadridge's infrastructure underpins proxy voting services for over 90% of public companies and mutual funds in North America, and processes more than \$5 trillion in fixed income and equity trades per day. Broadridge employs approximately 6,400 full-time associates in 13 countries.



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