Investment Advisor Selector

Interview Advantage Questionnaire

Professional Wealth Management Since 1901

RBC Dominion Securities

BUILDING WEALTH BY PROTECTING WEALTH

This questionnaire helps you gather information about the support team of prospective investment advisors and their firms in order to help you select the best advisor for your needs.

HOW TO USE THE QUESTIONNAIRE

1. Identify and arrange an interview with a prospective Investment Advisor.
2. Ask the questions provided in this questionnaire.
3. After the interview is completed, use the Investment Advisor Selector Scorecard to rate the advisor's team and compare with the other advisors you interview.

Investment Advisor team name	**The Stanton Group of RBC Dominion Securities**
Address, location and pertinent details	**Box 910, 1106 Main Street**
	Smithers, British Columbia, V0J 2N0
	Situated conveniently in the Royal Bank on Main Street.
Phone numbers	**250-847-6666 Smithers**
	250-692-4844 Burns Lake
	250-638-8888 Terrace
Toll-free phone number	**1-888-834-3311**
Web site	**www.thestantongroup.ca**
Date of interview	**October 2010**

1. ABOUT THE FIRM:

What is the name of the firm?	**RBC Dominion Securities**
When was the firm established?	**1901**
Who owns the firm?	**RBC Dominion Securities is a member of RBC. It was purchased by the Royal Bank of Canada in 1987.**
What is the size of the firm?	**small** ☐ **medium** ☐ **large** ☒
How many advisors does the firm have?	**About 1300**

Would you have access to worldwide financial services through this organization?

The diversity and depth of resources offered by RBC gives us the ability to offer virtually any financial solution you may require. To make it easy for you to get the various services you need in a coordinated fashion, we can also assist you by providing access to a team of specialists, including: accountants, bankers, financial planners, insurance consultants, lawyers and Will and estate consultants.

2. ABOUT THE INVESTMENT ADVISOR'S PRACTICE:

How many clients does the team serve?	**150 families**
What are the total assets under management?	**$150 million**
What is the average asset level for clients?	**$1,000,000 per family**

Could you provide some comments regarding your client base/mix?

The Stanton Group of RBC Dominion Securities provides a full range of wealth management services to a diverse clientele. Many clients come to us for assistance when they are going through major changes in their lives. Others come to us to alleviate the time pressures of their professional or personal lives, including busy senior executives and successful entrepreneurs. They seek the freedom that comes from delegating the management of their investments with confidence. While the circumstances may be different, they all have one thing in common—a desire to achieve clarity and peace of mind about their financial future.

3. ABOUT THE INVESTMENT ADVISOR'S TEAM:

Name	Role	Designations/Education
Richard Stanton, BA, FCSI, CIM	**Portfolio Manager**	**BA, FCSI, CIM**
Tracy Dykens	**Administrative Associate**	
Ellen Ward	**Administrative Associate**	

4. ABOUT THE WEALTH MANAGEMENT PROCESS:

How will this advisory team work together to identify my goals and objectives?

The Personal Portfolio Approach is a proven approach created by The Stanton Group of RBC Dominion Securities to help clients achieve their financial and life goals. Through the Personal Portfolio Approach, we handle all aspects of your portfolio plan, from creation to implementation to ongoing management.

1. Your Vision

During this introductory session, we help you clearly articulate your personal and financial goals. Recognizing that money is just an enabler, we will take the time to understand why you are investing and what you personally hope to accomplish in life.

2. Planning
Once we understand your vision, we begin planning your individual portfolio. We consider factors specific to your situation and needs, including your current investment holdings, tax considerations, risk tolerance, or income requirements. We also determine the optimal asset mix for your personal situation and future goals. Other key components include wealth protection, as well as Will, estate, insurance and succession planning.

3. Your Personal Plan
This comprehensive written document summarizes your vision, and provides a detailed "action plan" to achieve your investment objectives. We carefully review the plan with you in person to ensure you are comfortable with our recommendations.

4. Implementation
Once you approve your plan, we put it into action, seamlessly handling every detail.

5. Ongoing Management
We monitor and manage your portfolio on an ongoing basis, to ensure it continues to meet your vision and specific investment objectives.

6. Personal Portfolio Progress Sessions
We conduct regular portfolio review sessions, scheduled to suit your personal needs, in order to maintain ongoing communication, make any adjustments to your portfolio plan, and ensure your overall satisfaction with our services.

What will be the outcome of the wealth management process?

Financial advice and consistent support that provides peace of mind about your money, protects your assets and delivers solid investment results.

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5. ABOUT OUR WORKING RELATIONSHIP AND COMMUNICATIONS:

What will my service plan be?

The Stanton Group of RBC Dominion Securities creates a customized investment and service plan that addresses both your individual needs and your personal preferences. Your investment portfolio is just one major consideration in the overall management of your wealth. Concerns such as tax minimization, Will and estate planning, wealth protection, insurance and succession planning may all be important in your situation. We will be there every step of the way, guiding you and your family towards your personal goals at each stage of your life. By working together, we can ensure that you get the specialized expertise you need, when you need it, from professionals who see the big picture.

Who will be my primary contact for day-to-day questions?

Richard leads the wealth management process and is supported by Tracy for client service and administration.

How often will I receive communications from the investment team?

It depends on your personal needs and preferences. Some clients wish to be actively involved with the management of their investments and have frequent communication. Others simply want to be kept informed of their progress at regular intervals, while they pursue their own interests and manage other responsibilities.

How often will I receive reports/statements about my accounts?

You will receive account statements at least quarterly—monthly if there is account activity. Plus you can access your account information 24/7 through DS Online.

How often will you review my performance and/or financial plan with me?

Quarterly, semi-annually or annually, depending on your needs and preferences.

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6. ABOUT THE COSTS OF MANAGING YOUR INVESTMENTS:

How will I be charged for your services?

An all-inclusive fee that covers all the portfolio management services provided to you.

What other account fees, commissions or other costs should I be aware of?

(i.e.: RRSP, RRIF, RESP, custodial, etc.)

There may be small fees for certain administrative services handled by the firm (schedule available upon request).

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7. ABOUT THE RANGE OF FINANCIAL SOLUTIONS ACCESSIBLE THROUGH THE INVESTMENT ADVISOR:

Does the Investment Advisor have access to other experts who offer services such as:

- [x] Investment Management
- [x] Estate Planning
- [x] Tax Consultations
- [x] Insurance
- [x] Financial Planning
- [x] Business Planning

8. IS THERE ANYTHING ELSE I SHOULD KNOW ABOUT YOUR SERVICES?

We ensure a high level of focused, personal attention is delivered and offer one of the best client/staff ratios in the investment industry.

Our team members know each client, and vice versa. We also take pride in our stability and consistency, especially in an industry known for frequent client and staff turnover. Our long-standing relationships between clients and team members, built over time, stand the test of time. Together, our team has over 22 years of financial services experience, the majority of which is with RBC Financial Group. Our experience and focused service enable us to provide highly disciplined, process-driven wealth management solutions.

Summary/Other Comments:

Our goal is to provide clients with peace of mind about their financial future. Understanding and meeting the needs of each individual client is the foundation of our approach to wealth management.

The interview ends here.

Ask yourself these final questions.

Will I get my money's worth?

Did the Investment Advisor listen to me?

Did the Investment Advisor seem to have an understanding of my needs?

Did the Investment Advisor try to sell me something at our first meeting?

Did the Investment Advisor answer my questions directly?

Am I willing to share details of my life with this individual?

Do I feel I trust this individual?

Do I feel the Investment Advisor, the team and the firm are the right match for me?

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Richard Stanton