Enhancing your professional network

RBC Dominion Securities

Becoming partners in client service

As a professional, you provide vital services to your clients. They look to you for your expertise and high standards of professionalism. And when they need assistance from other professionals, your clients look to you for access to your network.

Your network is a group of trusted, highly qualified individuals who provide specialized services that complement your own services. Through this network, you can facilitate truly client-focused solutions to meet the most complex needs. Indeed, having the right people in your professional network is a key competitive advantage.

At RBC Dominion Securities, we understand that before you can welcome a new member to your network, you need to know that they are committed to the same standards of ethics and professionalism as you.

By adding an Investment Advisor from RBC Dominion Securities to your professional network, you are adding a highly trained and committed individual who can provide you and your clients with access to the resources of Canada's leading full-service investment firm. Moreover, you are adding a team player—

someone who respects your relationship with your clients, and is there to support you over the long term.

By working together to meet the needs of our shared clients, we can become partners in client service. Just as you can help us meet the needs of our clients, we can help you meet the needs of your clients when they require professional investment advice and wealth management.

About RBC Dominion Securities

RBC Dominion Securities has been helping individuals, businesses and organizations achieve their investment goals since 1901. Today, we're Canada's leading full-service investment firm, with over 500,000 clients worldwide.

Through the last century, our underlying philosophy has remained the same—to always put the best interests of our clients first. Part of this commitment is to work together as a team with professionals such as yourself who provide specialized services.

Helping clients achieve their investment goals

A time-proven investment discipline

Before you welcome a new member to your network, you need to know that this individual shares the same high level of professional standards as you. Specifically, when it comes to referring clients to providers of investment services, you need to know that your clients will receive the advice and products most appropriate for their situation.

We accomplish this through the “portfolio approach”— an investment management system designed to manage risk while achieving long-term financial objectives. There are four main components to the system:

1. An in-depth analysis of a client’s current financial situation and long-term financial goals.

2. An investment policy statement that sets the framework for subsequent investment recommendations.

3. A selection process to determine the specific securities that will comprise an investment portfolio.

4. Ongoing review and monitoring to ensure a client’s portfolio remains appropriate for their personal situation, as well as changing market and economic conditions.

Professional services

We can provide a wide range of services to help you help your clients.

Tax reporting

We can send you a copy of a client's annual tax reporting package when requested by the client. This package can include a summary of security dispositions, plus an income summary totalling interest, dividends and other taxable distributions for the year.

What can you expect when you make an Investment Advisor from RBC Dominion Securities part of your professional network?

- A committed team player who can help you enhance your important client relationships
- A knowledgeable professional with expertise that complements your expertise
- One convenient contact for a comprehensive range of wealth management services
- Access to the resources of Canada's leading full-service investment firm, RBC Dominion Securities
- The backing of RBC Financial Group — "Canada's most respected corporation"

Investment updates

To help keep you up-to-date on a client's investments, we can provide quarterly or annual portfolio reviews, including summaries of dividend income, interest income and capital gains.

Simplifying estate processing

We can help reduce the amount of paperwork involved in estate processing. When your client registers their securities with us, we only need one copy of required documentation to ensure that all securities are transferred according to your client's wishes. Holding securities with us can also reduce legal costs during estate settlement.

Assistance with tax, estate and financial issues

An extensive team of tax, estate and financial planning experts supports our Investment Advisors. They provide various services, including:

- Assistance with tax-loss selling
- Analysis of the tax implications of corporate reorganizations in Canada and the U.S.
- Will and estate consultations from an investment perspective
- Insurance consultations to determine viability of insurance-based wealth transfer and protection strategies

Access to the resources of Canada's leading full-service investment dealer

Independent and proprietary research

We offer access to research from a variety of sources. RBC Capital Markets covers approximately 700 companies in all major industry sectors in North America. Exclusive to RBC Dominion Securities, independent research firm Veritas focuses on select companies with its unique "forensic accounting" approach. In addition, several leading U.S. investment firms provide us with U.S. and international research.

Investment strategy

Every quarter, a committee comprised of our senior economists, investment strategists and research analysts provides an in-depth review and outlook for the global economy and markets. It also makes asset mix and security recommendations that form the basis of several of our proprietary investment management systems.

Canada's largest inventory of fixed-income instruments

We offer access to the greatest selection of fixed-income products in Canada, including bonds and money market instruments. This vast choice—along with real-time pricing and up-to-date credit ratings on domestic issuers—enables clients to select the most appropriate fixed-income products.

A range of investment account styles

We offer a variety of discretionary and non-discretionary fee-based options, in addition to traditional transaction-based accounts.

Your link to the resources of Canada's largest financial institution

We provide access to the worldwide resources of RBC Financial Group, including investment, trust and banking services.

RBC Dominion Securities… we’re on your team

With the addition of an RBC Dominion Securities Investment Advisor to your professional network, you can provide your clients with access to the most comprehensive wealth management services in Canada. As Canada’s leading full-service investment dealer, we have a long tradition of providing wealth management services to affluent Canadians. And we are committed to providing these services with the highest levels of professionalism and ethical conduct.

Moreover, when you work with an Investment Advisor from RBC Dominion Securities, it is a reciprocal relationship. Just as you can refer your clients to us for wealth management services, we can refer our clients to you when they require the specialized services that you provide.

We hope that you consider welcoming RBC Dominion Securities to your professional network, so we can work together to provide the comprehensive solutions our shared clients need.

RBC Dominion Securities

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