Quadrus Investment Services Ltd.

Your business. Your way.

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A trusting relationship between you and your clients helps you build a strong practice.

Quadrus Investment Services Ltd. (Quadrus) partners with you to offer the leading mutual funds to your clients. We also help you keep your practice compliant in today's rapidly changing regulatory environment.

Why Quadrus?

Broad range of product choice

Our product shelf offers industry-leading fund manufacturers and fund mandates from Canada's most prominent investment firms.

Competitive technology

We invest in industry-leading technology and process enhancements to help you be more competitive, spend less time on day-to-day administration and deliver a great experience to your clients.

Exceptional service and support

Having the right support is critical to your business's success. You can rely on our teams of experts to help you and your clients.

Industry-leading compensation

Competitive compensation paired with a client fee-friendly dealer gives you another reason to trust your mutual fund business with Quadrus.

Compliance expertise

We're here to help. We don't just follow industry regulations; we help shape them. We're a voice at the table with regulators, advocating for your business.

With Quadrus, you have the tools and products you need to make the right recommendations for your clients.

What is Quadrus?

Quadrus is one of the largest and fastest growing mutual fund dealers in in the country. We're a member of the Mutual Fund Dealers Association of Canada (MFDA).

five-year compound annual growth rate (CAGR)

Over
$22 billion
assets under administration (AUA)

As of September 2021

35+ fund manufacturers

with thousands of fund options and access to a diverse range of funds across asset categories and themes

200,000+
clients

3,900+
investment representatives across Canada

300,000+
accounts in place

We regularly reach out for your feedback.
Our annual survey learns what's working well and what could be better. Having a direct relationship with your mutual fund dealer means you can help shape business decisions and we can act on your feedback.

With Quadrus you have access to great people, great ideas and great solutions.

Build your business your way

You're the expert on your business. You know your clients and their goals. With Quadrus, you can structure your business the way you want, while having the support you need to remain compliant.

Our program offering

Nominee platform

Use our nominee platform to get a consolidated view and reporting of your clients' portfolios. Enhancing your processing capability gives you more control of their business.

Training and development

With our self-serve and on-demand training modules, you can get the information you need, in a way that best fits your practice.

Looking to stay up-to-date on the latest industry trends, market insights and product news? Our dealer events deliver value to you and your business by offering continuing education (CE) accredited events, webinars and courses.

Fee-based options

With Quadrus's fee-based options you can set up your business how you want. Quadrus gives you the flexibility you need to meet your clients' goals.

Administrative expertise

Our advisor service representatives (ASRs) provide administrative expertise for you and your operations team. They help with complex process and paperwork questions, Investment Centre or Investment Summary inquiries, client transaction summaries and setting up client accounts.

Our annual dealer conference is your chance to hear more about the future of Quadrus and connect with industry experts on wealth trends. Be the first to see digital enhancements and training developed to help your business succeed, hear from top fund managers and learn about future dealer enhancements.

Digital solutions for your business

You want to work smarter, not harder. That's why we're **committed to technology enhancements** so you can remain competitive. Our digital, mobile and easy-to-access options make it simpler to do business. As regulatory requirements grow, we keep investing in the technology and tools that reduce your administrative time and paperwork so you can spend more time with your clients. Our industry-standard dealer fee allows us to continue producing these enhancements.

Univeris fund administration platform

Through the Univeris fund administration platform, with Investment Centre as the front end, you'll easily manage your clients' mutual funds and guaranteed investment certificates (GICs) with real-time trading capabilities and expanding self-serve options.

eSignature solutions

eSignature solutions are fully integrated with Investment Centre and enable you to do business digitally. You can open many account types and complete system-generated forms without needing to meet your clients face-to-face.

Investment Summary

Investment Summary is an online portal where your clients view their account information and market values and update their contact information.

KYC eApproval

With KYC eApproval, available within Investment Summary, you and your clients easily update and approve KYC changes online.

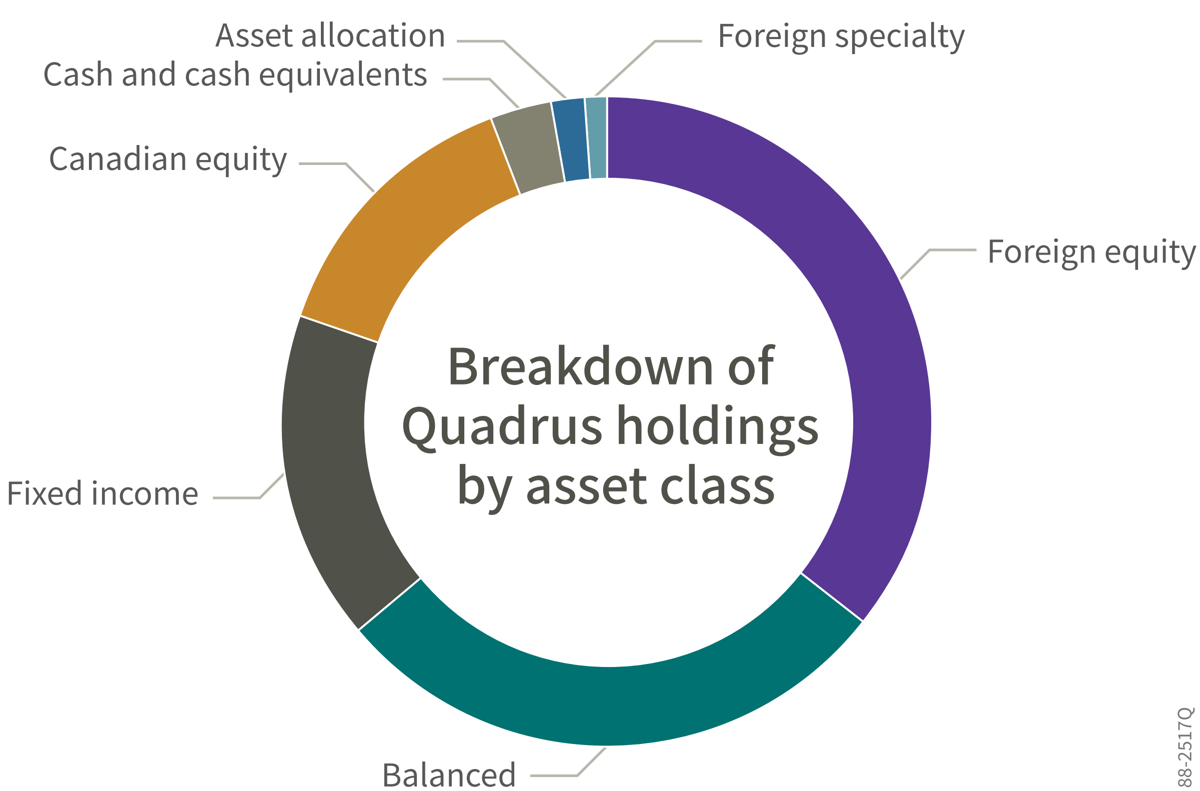
CapIntel

CapIntel is an efficient sales enablement software that will streamline your compliance activities, so you can maximize your time with clients. It's a proven, trusted technology designed for the unique needs of our industry.

One-stop-shop for mutual funds and GICs

- You choose from our curated list to make recommendations that support your clients' goals.
- You have more than 35 fund companies to choose from, like Mackenzie Financial, Fidelity Investments and AGF, across a variety of traditional and niche mandates to best serve your clients' needs. You can choose GICs from seven manufacturers.
- Quadrus is also the exclusive dealer of Canada Life Mutual Funds and Canada Life Pathways mutual funds, managed by Canada Life Investment Management Ltd. (CLIML).

Clients expect you to recommend the right products for their individual needs. To do that, you need a diverse product shelf.



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Every fund we offer is subject to our due diligence process.

Quadrus has a thorough review process to ensure the products available to you meet standards of compliance, soundness, operational compatibility and long-term business strategy.

Every product on the Quadrus shelf has been carefully reviewed. That includes offering documents, regulatory rules that might impact the product, a full assessment of the features and costs, an assessment of operational compatibility and potential conflicts of interest. We understand how important it is for you to have a full suite of the best funds in the Canadian marketplace. And we'll work with you to help ensure we offer the funds you want.

Day-to-day compliance support

- Our compliance department provides the right expertise at the right time to make it easier for you to do business.
- Our compliance branch managers and regional compliance consultants help you run a compliant business. You can work with a regional compliance consultant to navigate the regulatory requirements for mutual funds – we have boots-on-the-ground available to you in the markets where you live and work.
- Regulations are always changing and being compliant can be challenging and time-consuming. Our compliance team is here to navigate the complexities and help you run your business with easy-to-use tools like CapIntel and KYC eApproval.

Investment dealer checklist

- ✓ Third-party research
- ✓ Real-time client account access
- ✓ Consolidated dealer statements
- ✓ Technical support centre with a toll-free number
- ✓ Financial planning software
- ✓ Mobile-friendly client portal
- ✓ Clients access dealer statements online through Investment Summary
- ✓ Transition consultant for orientation and questions
- ✓ Dedicated transition team
- ✓ Operations orientation
- ✓ Technology orientation
- ✓ Advisory services orientation
- ✓ Registration orientation
- ✓ Compliance orientation
- ✓ Regional education conferences
- ✓ Annual national dealer day conference
- ✓ Continuing education credits

Put the power of Quadrus to work for you

www.quadrusinvestmentservices.com

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