APPENDIX "B"

DATA FILE TEMPLATES AND NOTES

	OPTION 1 - HOUSEHOLD TEMPLATE				
Field Name	**Household ID**	**City**	**Province**	**Country**	**Forward Sortation Area**
Data Type	*ALPHA-NUMERIC*	*ALPHA*	*ALPHA*	*ALPHA*	*ALPHA-NUMERIC*
Cell Notes:	1	2	3	4	5
Example	Household ID#1	Toronto	ON	CAN	M5H
Example	Household ID#2	Toronto	ON	CAN	M5H
Example	Household ID#3	Toronto	ON	CAN	M5H

	OPTION 1 - ACCOUNT TEMPLATE									
Field Name	**Account Number ID**	**Account Type**	**Leveraged Account**	**Account Inception Date**	**Household ID**	**Account Holder Birth Year**	**Joint Account Holder Birth Year**	**Rep Code**	**1 Year Rate of Return**	**1 Year Charges and Comp**
Data Type	*ALPHA-NUMERIC*	*ALPHA*	*ALPHA*	*YYYY-MM-DD*	*ALPHA-NUMERIC*	*YYYY*	*YYYY*	*ALPHA-NUMERIC*	*NUMERIC*	*NUMERIC*
Cell Notes:	6	7	8	9	10	11	11	12	13	14
Example	Account Number ID#1	SDRSP	No	2014-05-23	Household ID#1	1970		R001	7.25	356.12
Example	Account Number ID#2	TFSA	No	2015-02-19	Household ID#1	1970		R001	-3.25	177.56
Example	Account Number ID#3	OPEN	Yes	2009-07-03	Household ID#1		1986	R001		
Example	Account Number ID#4	OPEN	No	2005-12-06	Household ID#2	1986	1989	R123	6.53	56.52
Example	Account Number ID#5	OPEN	Yes	2016-05-13	Household ID#2	1990	1993	R123	-1.17	453.56
Example	Account Number ID#6	RIF	No	2003-03-15	Household ID#3	1944		R456	5.01	251.01

Field Name	Address Line 1	Address Line 2	Address Line 3	City	Province	Country	Postal Code	Account Number ID	Account Type	Leveraged Account	Account Inception Date	Account Holder Birth Year	Joint Account Holder Birth Year	Rep Code	1 Year Rate of Return	1 Year Charges and Comp
OPTION 2 - HOUSEHOLD/ACCOUNT TEMPLATE																
Data Type	*ALPHA-NUMERIC*	*ALPHA-NUMERIC*	*ALPHA-NUMERIC*	*ALPHA*	*ALPHA*	*ALPHA*	*ALPHA-NUMERIC*	*ALPHA-NUMERIC*	*ALPHA*	*ALPHA*	*YYYY-MM-DD*	*YYYY*	*YYYY*	*ALPHA-NUMERIC*	*NUMERIC*	*NUMERIC*
Cell Notes:	1	1	1	2	3	4	5	6	7	8	9	11	11	12	13	14
Example	123 Main St.			Toronto	ON	CAN	M5H 3T9	Account Number ID#1	SDRSP	No	2014-05-23	1970		R001	7.25	356.12
Example	123 Main St.			Toronto	ON	CAN	M5H 3T9	Account Number ID#2	TFSA	No	2015-02-19	1970		R001	-3.25	177.56
Example	123 Main St.			Toronto	ON		M5H 3T9	Account Number ID#3	OPEN	Yes	2009-07-03	1985	1986	R001		
Example	999 Any Drive	Apt 605		Calgary	AB	CAN	T2J 1M9	Account Number ID#4	OPEN	No	2005-12-06	1986	1989	R123	6.53	56.52
Example	999 Any Drive	Apt 605		Calgary	AB	CAN	T2J 1M9	Account Number ID#5	OPEN	Yes	2016-05-13	1990	1993	R123	-1.17	453.56
Example	Suite 105	555 Some Dr.		Vancouver	BC	CAN	V6H 6H8	Account Number ID#6	RIF	No	2003-03-15	1944		R456	5.01	251.01

OPTION 1&2 - POSITION TEMPLATE			
Field Name	**Account Number ID**	**Investment Product Code**	**Investment Product Market Value**
Data Type	*ALPHA-NUMERIC*	*ALPHA-NUMERIC*	*NUMERIC*
Cell Notes:	15	16	17
Example	Account Number ID#1	ABC123	8675.73
Example	Account Number ID#1	CBA4322	13725.25
Example	Account Number ID#2	GIC	5235.32
Example	Account Number ID#2	ABC123	9250.88
Example	Account Number ID#3	CBA4322	15760.25
Example	Account Number ID#3	SEG1234	3125.50

OPTION 1&2 - REPRESENTATIVE TEMPLATE		
Field Name	**Rep Code**	**Rep Name**	**NRD #**
Data Type	*ALPHA-NUMERIC*	*ALPHA-NUMERIC*	*NUMERIC*
Cell Notes:	18	19	20
Example	R444	Jane Smith	325611
Example	R123	Ron Jones	185672
Example	R123	Jane Smith	325611
Example	R456	Bob Roberts	875683
Example	R789	Murphy/Roberts	875683
Example	R789	Murphy/Roberts	958741
Example	R789	Murphy/Roberts	958741
Example	R001	House Account	

Cell Note #	Cell Name	Format	Anonymization	Cell Notes
				NOTES
				OPTION 1 - HOUSEHOLD TEMPLATE
1	Household ID	*ALPHA-NUMERIC*	Yes	See Anonymization guidance
2	City	ALPHA	No	Use full city name
3	Province	ALPHA	No	For Canadian jurisdictions, use provincial short codes
				For USA jurisdictions, use state short codes
				For Other jurisdictions, may use full province/state name or relevant short codes (if available)
4	Country	ALPHA	No	May use full country name or short codes
5	Forward Sortation Area	ALPHA-NUMERIC	No	First 3 characters of Postal Code
6	Account Number ID	*ALPHA-NUMERIC*	Yes	See Anonymization guidance
7	Account Type	*ALPHA*	No	Use actual account types from the Member's system (e.g. RSP, RIF, OPEN, TFSA)
8	Leveraged Account	*ALPHA*	No	Respond "Yes" if account is leveraged
9	Account Inception Date	*YYYY-MM-DD*	No	Since Inception Date used for CRM2 Reports
10	Household ID	*ALPHA-NUMERIC*	-	Use Household ID from the Household template
11	Account Holder Birth Year/ Joint Account Holder Birth Year	*YYYY*	No	
12	Rep Code	*ALPHA-NUMERIC*	No	From the Representative template (where applicable)
13	1 Year Rate of Return	*NUMERIC*	No	Use the 1 year rate of return reported on the most recent Annual Performance Report
				Use whole percentages. For example, 7.54% return should read as "7.54" in the cell
				Use negative numbers where return is negative "-7.54"
				Leave blank where account has been opened for less than 1 year
14	1 Year Charges and Compensation	*NUMERIC*	No	Use the total charges and compensation amount reported on the most recent Charges and Other Compensation Report issued to the client
				Leave blank if no report has been issued
				Use whole numbers or numbers including 2 decimals
				No commas
				Must include trailing commissions and all other charges and compensation (may exclude referral fee compensation)
15	Account Number ID	*ALPHA-NUMERIC*	-	Use Account Number ID from the Account or Household/Account template
16	Investment Product Code	*ALPHA-NUMERIC*	No	Include all investment productsOne investment product code per line
17	Investment Product Market Value	*NUMERIC*	No	Market value to be reported in the currency in which the position is reported on the client account statements
				Use either whole numbers or numbers with 2 decimal points
				No commas
18	Rep Code	*ALPHA-NUMERIC*	No	May appear more than once for joint codes
19	Rep Name	*ALPHA-NUMERIC*	No	For joint codes, only 1 name per row
20	NRD #	*NUMERIC*	No	Not required for "House Accounts"

	NOTES			
	OPTION 2 - HOUSEHOLD/ACCOUNT TEMPLATE			
Cell Note #	**Cell Name**	**Format**	**Anonymization**	**Cell Notes**
1	Address Line 1 Address Line 2 Address Line 3	*ALPHA-NUMERIC*	No	Full address including Apartment/Unit numbers must be included
2	City	ALPHA	No	Use full city name
3	Province	ALPHA	No	For Canadian jurisdictions, use provincial short codes For USA jurisdictions, use state short codes For Other jurisdictions, may use full province/state name or relevant short codes (if available)
4	Country	ALPHA	No	May use full country name or short code
5	Postal Code	ALPHA-NUMERIC	No	Postal Code required for Canadian addresses only. Example "A1A 1A1"
6	Account Number ID	*ALPHA-NUMERIC*	Optional	See Anonymization guidance
7	Account Type	*ALPHA*	No	Use actual account types from the Member's system (e.g. RSP, RIF, OPEN, TFSA)
8	Leveraged Account	*ALPHA*	No	Respond "Yes" if account is leveraged
9	Account Inception Date	*YYYY-MM-DD*	No	Since Inception Date used for CRM2 Reports
11	Account Holder Birth Year/ Joint Account Holder Birth Year	*YYYY*	No	
12	Rep Code	*ALPHA-NUMERIC*	No	From the Representative template (where applicable)
13	1 Year Rate of Return	*NUMERIC*	No	Use the 1 year rate of return reported on the most recent Annual Performance Report Use whole percentages. For example, 7.54% return should read as "7.54" in the cell Use negative numbers where return is negative "-7.54" Leave blank where account has been opened for less than 1 year
14	1 Year Charges and Compensation	*NUMERIC*	No	Use the total charges and compensation amount reported on the most recent Charges and Other Compensation Report issued to the client Leave blank if no report has been issued Use whole numbers or numbers including 2 decimals No commas Must include trailing commissions and all other charges and compensation (may exclude referral fee compensation)
15	Account Number ID	*ALPHA-NUMERIC*	-	Use Account Number ID from the Account or Household/Account template
16	Investment Product Code	*ALPHA-NUMERIC*	No	Include all investment products One investment product code per line
17	Investment Product Market Value	*NUMERIC*	No	Market value to be reported in the currency in which the position is reported on the client account statements Use either whole numbers or numbers with 2 decimal points No commas
18	Rep Code	*ALPHA-NUMERIC*	No	May appear more than once for joint codes
19	Rep Name	*ALPHA-NUMERIC*	No	For joint codes, only 1 name per row
20	NRD #	*NUMERIC*	No	Not required for "House Accounts"