

Instructions

What is the deadline for data submissions?

Fund managers must submit their data by **January 16, 2015**.

What types of funds should be included in the data request?

Fund managers should provide monthly data for all open end investment funds that were offered under a simplified prospectus ("mutual fund") and that **did not** trade in the secondary market (i.e. not ETFs or ETF series). In situations where a non-redeemable ("closed end fund") was converted to an open end investment fund, the fund manager should report monthly data starting from the month at which the fund was first offered as an open end investment fund.

Should I report data for funds that have closed or merged?

Fund managers should report monthly data for all mutual funds that were distributed between January 1, 2003 and October 31, 2014 **including** those funds that were liquidated or merged.

How much historical data am I required to report?

Fund managers should report data for all requested data fields (see specific instructions below for each data field) going back to the date of fund series/purchase option inception or January 2003 (as applicable).

How granular should the data be reported?

Unless otherwise indicated, data should be reported at the level of the purchase option underlying each mutual fund series (i.e. at the fundSERV fund code level). Fund managers should report one worksheet per series/purchase option combination (e.g. A series/DSC, A series/FE should be reported as two separate worksheets).

Should I report only on the funds which I distribute?

Fund managers should report on all mutual funds that they distribute, all mutual funds that were distributed by an affiliated fund manager and, where applicable, all mutual funds by an acquired fund manager that were distributed between January 1, 2003 and October 31, 2014. We should receive only one submission per parent company.

In what currency should I report the data?

Unless otherwise indicated, all data - returns, assets under management, minimum investment etc. - should be reported in the series/purchase option combination's base currency (i.e. USD series/purchase options should be reported in USD etc.)

The data requested for many of the fields in the 'General Fund Information' section rarely/never changes. Do I still need to repeat this data each month in the spreadsheet?

No. Please report the data in the month of fund launch or at January 2003 (as applicable) then update it as needed in the month of a change. For example, if a fund's risk classification was 'Low' at fund launch in November 2005 then changed to 'Low to Medium' in February 2011, you would report 'Low' in the November 2005 cell then 'Low to Medium' in the February 2011 cell and leave all other cells blank.

Where/Who do I submit my completed data request files to?

DO NOT SEND COMPLETED DATA REQUEST FILES TO THE CSA.

Completed data request files should be sent to the attention of **Professor Douglas Cumming**.

Data can be sent via e-mail at: **dcummingsurvey14@schulich.yorku.ca**

Data can also be submitted on a USB key (encrypted if preferred) or on another storage format and delivered to: **Douglas Cumming, Schulich School of Business, York University, 4700 Keele Street, Toronto, Ontario, M3J 1P3**

Fund companies may also prefer to hand deliver the data on a USB key or other electronic storage format directly to Professor Cumming. Please contact Professor Cumming via Dennis Yanchus or Chantal Mainville (contact details provided below) to arrange delivery.

What file format should used to complete the data request?

We strongly encourage you to use Excel and the Excel template provided to submit your data however if you would prefer to report the data in another file format, please contact Dennis Yanchus or Chantal Mainville using the contact information provided below to ensure that your preferred file format is acceptable.

What if some data is available now and other data will take more time to gather? Can I submit my data in stages?

Yes, fund companies may opt to report data in stages if that is more convenient.

I cannot fit all of the data requested into one file. Can I submit multiple files?

Yes, however please ensure that all submitted files share the same file formats. File names should also be identical but include sequential numbering to ensure that submissions are easily matched. For example, if Acme funds submitted five files, file naming should be similar to the following - Acme_1_of_5, Acme_2_of_5, Acme_3_of_5, Acme_4_of_5, Acme_5_of_5.

Who should I contact if I have questions about the data request?

Please contact Dennis Yanchus or Chantal Mainville at the OSC using the contact information provided below if you have any questions about the data request.

Dennis Yanchus, Senior Economist
dyanchus@osc.gov.on.ca
416-593-8095

Chantal Mainville, Senior Legal Counsel
cmainville@osc.gov.on.ca
416-593-8168

Definitions and question specific instructions

| Question Number | Question | Explanation / Examples |
|-----------------|----------|------------------------|
|-----------------|----------|------------------------|

| General Fund Information | | |
|--------------------------|--|---|
| 1 | Parent Fund Company Name | Please include the name of your parent company. Only one parent fund company name should be used for all fund manager subsidiaries and only one submission should be made for each parent company which should include the data for all of its subsidiaries. Examples: Fidelity Canada, IGM Financial, RBC Global Asset Management. Please report the name of the current parent fund company only in the month of fund series/purchase option launch. You are not required to report any historical name changes for this field. |
| 2 | Fund Family Name | Please report the subsidiary fund company name here. Where no subsidiary exists, fund managers should duplicate the parent fund company name (question #1). Examples: Mackenzie, Investors Group, RBC Funds, Phillips Hager & North. Please report the name of the current fund family name only in the month of fund series/purchase option launch. You are not required to report any historical name changes for this field. |
| 3 | Fund Name | Please provide the name of the mutual fund (e.g. RBC Monthly Income Fund). Please do not include any series/purchase option information in the fund name. The fund name should correspond to the overall branding name used in simplified prospectus. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 4 | FundSERV fund code | Please report the full fundSERV fund code associated with the fund series/purchase option for which you are submitting data. If you do not distribute your funds via FundSERV, please use the fund series/purchase option code you use internally. Please use a different worksheet to report data for each FundSERV code. Examples: BNS1385, CIG016T8. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 5 | Fund Series/Class Name | Please include the fund series/class nomenclature used by your firm. Examples: Investor, Advisor, A, B, I, O, F, T8, T6 etc. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 6 | Fund of Funds | Please indicate whether the mutual fund is a fund of funds (FOF) product. A fund-of-funds product is a mutual fund that invests in other investment funds and is typically sold as a total portfolio solution. Please note that only mutual funds should be reported here, fund wrap programs (managed accounts, separately managed accounts etc.) should not be included in your data submission. If the fund is a FOF please indicate "Y" for yes, otherwise indicate "N" for no. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 7 | Target Fixed Distribution Series/Class | The fund series/class is designed to pay a fixed (typically as a percentage of assets per unit) monthly target distribution to unitholders. If true please indicate "Y" for yes, otherwise indicate "N". Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 8 | Purchase Option Type | <p>Please indicate the purchase option type of the fund series/class reported. Permissible values are:</p> <ol style="list-style-type: none"> No Load (NL) - the purchase option does not include a front end commission nor can it attract deferred sales charges but it does pay a trailer fee to the fund dealer. Do-it-yourself or discount brokerage ("D series") purchase options should also be reported as a no load purchase option if they pay a trailer fee but do not pay a front end commission nor charge a deferred sales charge. Please indicate "NL" for no load purchase options. Deferred Sales Charge (DSC) - the purchase option requires the investor to pay a redemption fee if the units are sold before a predetermined period has elapsed. Low load purchase options - a form of shortened DSC purchase option - should also be reported as a DSC purchase option. Please indicate "DSC" for deferred sales charge purchase options. Front End (FE) or initial sales charge - the purchase option allows the fund dealer the option of charging a negotiable front end commission directly upon initial sale. Please indicate "FE" for front end purchase options. Fee Based (FB) - the purchase option does not allow for a front end commission to be charged, it cannot attract deferred sales charges and there are no trailer fees paid to the dealer. Fee based options where there is a default trailer fee triggered (also sometimes termed a service fee) if the investor does not opt out should be reported as no load (NL). High net worth or institutional series/purchase options where there is no front end commission, deferred sales charge or trailer fee paid should also be reported as fee-based. Please indicate "FB" for fee-based purchase options. <p>Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made.</p> |

| | | |
|-----------------------------|--|---|
| 9 | Series can be purchased directly from the fund manager | <p>Please indicate whether the series/purchase option combination reported can be purchased directly from the fund company (i.e. the fund manager is also registered as a fund dealer or has received exemptive relief to allow purchases directly from investors). Please indicate "Y" if the series/purchase option combination can be purchased directly from the fund company and "N" otherwise. Do not indicate "Y" if the only direct purchases are from employees of the fund manager or the employees of any affiliated companies (e.g. for employee retirement savings plan programs etc.).</p> <p>Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made.</p> |
| 10 | Discount Brokerage Series | <p>Please indicate if the series/purchase option combination has been created primarily for distribution through the discount brokerage channel (e.g. "D series"). Please indicate "Y" if true and "N" otherwise.</p> <p>Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made.</p> |
| 11 | Minimum Purchase Amount | <p>Please indicate the minimum initial investment amount in dollars (base currency) for the series/purchase option as reported in the simplified prospectus at the time of purchase. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made.</p> |
| 12 | Fund series currency | <p>Please indicate the currency used to determine the unit price of the fund series. Please indicate "CAD" for Canadian dollars and "USD" for U.S. dollars. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made.</p> |
| 13 | Fund structure | <p>Please indicate whether fund is structured as a mutual fund trust or a mutual fund corporation. If the mutual fund is structured as a trust, please indicate "T". If the mutual fund is structured as a corporation please indicate "C". Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made.</p> |
| 14 | Index Fund | <p>Please indicate whether the mutual fund qualifies as an index mutual fund as defined in National Instrument 81-102 Part 1. If it does, please indicate "Y" and "N" otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made.</p> |
| 15 | CIFSC Fund Category | <p>Please indicate the fund category as assigned by the Canadian Investment Funds Standards Committee (CIFSC). Fund category assignments and definitions can be found at www.cifsc.org. If a fund has not been assigned to a CIFSC fund category, please review the current fund category definitions and choose the category that best matches the fund's holdings and investment objectives. Current fund categorization should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier). You are not required to report any changes over time to the fund categorization, just the current CIFSC fund category or fund category at time of fund closure/merger is required.</p> |
| 16 | Fund Risk Classification | <p>Please indicate the fund risk rating as reported in the fund facts document (or in the "Who is this fund for?/Who should invest in this fund?" sections of the simplified prospectus before 2011) at the time of purchase. Permitted values are "H" for high, "HM" for medium to high, "M" for medium, "LM" for low to medium and "L" for low. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made.</p> |
| 17 | Fund Series Inception Date | Please provide the fund series inception date in the month of fund series launch |
| 18 | Fund Inception Date | Please provide the fund inception date in the month of fund series launch |
| 19 | Fund Series Closure/Merger Date | Please provide the fund series closure/merger date (if applicable) in the month of fund series launch |
| 20 | Fund Closure/Merger Date | Please provide the fund closure/merger date (if applicable) in the month of fund series launch |
| 21 | Closed to investment | <p>Please indicate if the fund was closed to new and/or existing investor investment in the month reported. Please indicate "Y" if it does and "N" otherwise.</p> |
| Fund Fee Information | | |
| 22 | DSC Schedule Length (Years) | <p>If you indicated "DSC" for this series/purchase option type, please indicate the length, in number of years, of the redemption fee schedule as reported in the simplified prospectus at the time of purchase. If you did not indicate "DSC" for the purchase option type please leave this field blank. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made.</p> |
| 23 | DSC Applies to (O - Original Cost, C - Current Value) | <p>If you indicated "DSC" for this series/purchase option type, please indicate whether the redemption fees were calculated based on the original investment amount or the current value of the investment at redemption. Please indicate "O" if redemption fees are calculated based on the original investment amount or "C" if redemption fees are calculated based on the value of the investment at redemption. If you did not indicate "DSC" for the purchase option type please leave this field blank. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made.</p> |

| | | |
|----|---|--|
| 24 | DSC Amount Year 1 (%) | Please enter the deferred sales charge rate, as reported in the simplified prospectus at the time of purchase, that applied if the units/shares were subsequently redeemed during year 1. (e.g. for purchases made in September 2004, the investor would be charged 7% if they subsequently redeemed during the first year after purchase therefore you would indicate "7" in this field). Please leave blank if you did not indicate "DSC" as the purchase option type. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 25 | DSC Amount Year 2 (%) | Please enter the deferred sales charge rate, as reported in the simplified prospectus at the time of purchase, that applied if the units/shares were subsequently redeemed during year 2. Please leave blank if you did not indicate "DSC" as the purchase option type or if no DSC applies. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 26 | DSC Amount Year 3 (%) | Please enter the deferred sales charge rate, as reported in the simplified prospectus at the time of purchase, that applied if the units/shares were subsequently redeemed during year 3. Please leave blank if you did not indicate "DSC" as the purchase option type or if no DSC applies. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 27 | DSC Amount Year 4 (%) | Please enter the deferred sales charge rate, as reported in the simplified prospectus at the time of purchase, that applied if the units/shares were subsequently redeemed during year 4. Please leave blank if you did not indicate "DSC" as the purchase option type or if no DSC applies. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 28 | DSC Amount Year 5 (%) | Please enter the deferred sales charge rate, as reported in the simplified prospectus at the time of purchase, that applied if the units/shares were subsequently redeemed during year 5. Please leave blank if you did not indicate "DSC" as the purchase option type or if no DSC applies. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 29 | DSC Amount Year 6 (%) | Please enter the deferred sales charge rate, as reported in the simplified prospectus at the time of purchase, that applied if the units/shares were subsequently redeemed during year 6. Please leave blank if you did not indicate "DSC" as the purchase option type or if no DSC applies. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 30 | DSC Amount Year 7 (%) | Please enter the deferred sales charge rate, as reported in the simplified prospectus at the time of purchase, that applied if the units/shares were subsequently redeemed during year 7. Please leave blank if you did not indicate "DSC" as the purchase option type or if no DSC applies. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 31 | DSC Amount Year 8 (%) | Please enter the deferred sales charge rate, as reported in the simplified prospectus at the time of purchase, that applied if the units/shares were subsequently redeemed during year 8. Please leave blank if you did not indicate "DSC" as the purchase option type or if no DSC applies. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 32 | DSC Amount Year 9 (%) | Please enter the deferred sales charge rate, as reported in the simplified prospectus at the time of purchase, that applied if the units/shares were subsequently redeemed during year 9. Please leave blank if you did not indicate "DSC" as the purchase option type or if no DSC applies. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 33 | DSC Amount Year 10 (%) | Please enter the deferred sales charge rate, as reported in the simplified prospectus at the time of purchase, that applied if the units/shares were subsequently redeemed during year 10. Please leave blank if you did not indicate "DSC" as the purchase option type or if no DSC applies. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 34 | Sales Commission paid for DSC purchases (%) | If you indicated "DSC" as the purchase option type, please indicate the sales commission rate paid by the fund company to the fund dealer as reported in the simplified prospectus at the time of purchase (e.g. if at June 2007, the fund company paid a 5% commission to the fund dealer for each DSC purchase please indicate "5" in this field). Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 35 | Maximum Front End Commission for FE purchases (%) | If you indicated "FE" as the purchase option type, please indicate the maximum front end commission rate as reported in the simplified prospectus at the time of purchase (e.g. if at June 2009 the maximum front end commission rate that applied was 4% please indicate "4" in this field). Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 36 | Maximum Posted Switch Fee (%) | Please indicate the maximum switch fee rate as reported in the simplified prospectus at the time of purchase (e.g. if at June 2009 the maximum switch fee rate that applied was 2%, please indicate "2" in this field). Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |

| | | |
|----|---|---|
| 37 | Does the Trailer Fee Change Over Time? | If you indicated "FE", "DSC" or "NL" as the purchase option type, please indicate whether the trailer fee paid to the fund dealer changes over time. Please indicate "Y" if the trailer fee paid does change and "N" otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 38 | Initial Trailer Fee Length (Years) | If you indicated "FE", "DSC" or "NL" as the purchase option type please enter the length in years that the initial trailer fee applied (e.g. if at June 2011, an initial trailer fee of 0.5% was paid to the fund dealer for the first 3 years, then the trailer fee was adjusted up to 1% subsequently, you would indicate "3" in this field). Please indicate "P" for perpetual if the initial rate does not change over time. Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 39 | Maximum Posted Initial Trailer Fee (%) | If you indicated "FE", "DSC" or "NL" as the purchase option type please enter the maximum trailer fee annualized rate that applied to assets held during the period reported (e.g. if at June 2011, a trailer fee of 0.5% was paid to the fund dealer you would indicate "0.5" in this field). Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 40 | Subsequent Trailer Fee (%) | If you indicated "FE", "DSC" or "NL" as the purchase option type and you indicated that the trailer fee changes over time, please enter the maximum subsequent trailer fee annualized rate that applied to assets held during the period reported (e.g. if at June 2011, an initial trailer fee of 0.5% was paid to the fund dealer for the first 3 years, then the trailer fee was adjusted up to 1% subsequently, you would indicate "1" in this field). Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 41 | Length of Subsequent Trailer Fee (Years or P for Perpetual) | If you indicated "FE", "DSC" or "NL" as the purchase option type and you indicated that the trailer fee, for purchases made during the period reported, changes over time, please enter the length in years that any subsequent trailer fee applied. If subsequent trailer fee rates are perpetual please indicate "P" in this field (e.g. if at June 2011, an initial trailer fee of 0.5% was paid to the fund dealer for the first 3 years, then the trailer fee was adjusted up to 1% in all subsequent years, you would indicate "P" in this field). Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 42 | Subsequent Trailer Fee 2 (%) | If the trailer fee continues to change over time, please indicate the next maximum trailer fee rate that applied to assets held during the period reported. Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 43 | Length of Subsequent Trailer Fee 2 (Years or P for Perpetual) | If the trailer fee continues to change over time, please indicate the length in years that the next rate applies. If subsequent trailer fee rates are perpetual please indicate "P" in this field. Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 44 | Subsequent Trailer Fee 3 (%) | If the trailer fee continues to change over time, please indicate the next maximum trailer fee rate that applied to assets held during the period reported. Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 45 | Length of Subsequent Trailer Fee 3 (Years or P for Perpetual) | If the trailer fee continues to change over time, please indicate the length in years that the next rate applies. If subsequent trailer fee rates are perpetual please indicate "P" in this field. Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 46 | Subsequent Trailer Fee 4 (%) | If the trailer fee continues to change over time, please indicate the next maximum trailer fee rate that applied to assets held during the period reported. Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 47 | Length of Subsequent Trailer Fee 4 (Years or P for Perpetual) | If the trailer fee continues to change over time, please indicate the length in years that the next rate applies. If subsequent trailer fee rates are perpetual please indicate "P" in this field. Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 48 | Subsequent Trailer Fee 5 (%) | If the trailer fee continues to change over time, please indicate the next maximum trailer fee rate that applied to assets held during the period reported. Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 49 | Length of Subsequent Trailer Fee 5 (Years or P for Perpetual) | If the trailer fee continues to change over time, please indicate the length in years that the next rate applies. If subsequent trailer fee rates are perpetual please indicate "P" in this field. Please leave this field blank otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |

| | | |
|------------------------------|--|---|
| 50 | Management Expense Ratio (MER) (%) | Please provide the management expense ratio (MER) after waivers and absorptions as reported in the management report of fund performance (or the financial statements before 2006) at the time of purchase. Please refer to National Instrument 81-106 part 15 for the calculation. |
| 51 | Performance Fee | Please indicate if the fund manager charged an incentive fee to the fund for the period reported. Please indicate "Y" if it does and "N" otherwise. Data should be entered at month of fund series/purchase option launch or at January 2003 (if inception date is earlier) then only updated as needed if changes were made. |
| 52 | Management Fee (%) | Please provide the management fee (%) for the fund series/purchase option as reported in the simplified prospectus at the time of purchase. |
| 53 | Trading Expense Ratio (TER) % | Please provide the trading expense ratio (%) for the fund series/purchase option as reported in the management report of fund performance at the time of purchase. For periods before 2006, please calculate (estimates are acceptable) and report the TER as outlined in National Instrument 81-106F1. |
| 54 | Total One-Time Referral Fees (\$) | Please provide the total amount, in base currency dollars, of one-time referral fees associated with new monthly inflows |
| 55 | Total On-Going Referral Fees Paid (\$) | Please provide the total amount, in base currency dollars, of on-going referral fees paid each month. |
| 56 | Other Payments to Dealer-Brokers (\$) | Please provide the total amount, in base currency dollars, of payments made each month to dealer-brokers that do not qualify as trailer fees, DSC sales commissions or referral fees and that are tied to fund series/purchase type inflows or assets under management held in each fund series/purchase type. |
| 57 | Front End Commissions Paid (\$) | If you selected "FE" as the purchase option, please provide the total amount, in base currency dollars, of front end commissions paid each month. |
| 58 | Negotiated Management Fees Paid (\$) | Where the management fees of a particular fund series/purchase option are typically negotiated, please provide the total amount, in base currency dollars, of management fees received each month. This should include any payments made to the fund and any payments made directly to the fund company (or an affiliate) for fund management. |
| Fund Size and Returns | | |
| 59 | Fund Series/Purchase option assets under management held at Month End (\$) | Please provide the total amount of net assets under management, in base currency, at month end for the fund series/purchase option combination reported. |
| 60 | Monthly Returns (Gross) (%) | Please provide the monthly percentage total return, in base currency, gross of fees for the fund series/purchase option reported. If you have not stored gross monthly returns, please estimate the monthly gross returns using the following formula: $GR = (NR + 1)/(1 - (MER + TER)/12) - 1$ Where, GR = Gross return for month i NR = Net return for month i (as reported in question #61 below) MER = Management expense ratio after waivers and absorptions as reported in the management report of fund performance (or the financial statements before 2006) at the time of purchase. TER = Trading expense ratio for the fund series/purchase option as reported in the management report of fund performance at the time of purchase (or estimated for TERs calculated before 2006). |
| 61 | Monthly Returns (Net of Fees) (%) | Please provide the monthly percentage total return, in base currency, net of fees for the fund series/purchase option reported. Monthly total net returns should be calculated in accordance with National Instrument 81-102 part 15. |
| Fund Flows | | |
| 62 | Total monthly inflows (\$) | Please provide the total dollar amount, in base currency, of gross purchases into the fund series/purchase option reported during the month. This field should include new purchases, pre-authorized contribution plan purchases (PACs), switches in and reinvested distributions. |
| 63 | Total monthly pre-authorized contribution plan (PAC) inflows (\$) | Please provide the total dollar amount, in base currency, of pre-authorized contribution plan (PAC) purchases into the fund series/purchase option reported during the month. |
| 64 | Total monthly switches in (\$) | Please provide the total dollar amount, in base currency, of switches into the fund series/purchase option from other fund series/purchase options reported during the month. |
| 65 | Total monthly re-invested distributions (\$) | Please provide the total dollar amount, in base currency, of re-invested distributions into the fund series/purchase option reported during the month. |
| 66 | Total monthly outflows (\$) | Please provide the total dollar amount, in base currency, of gross redemptions out of the fund series/purchase option reported during the month. This field should include one time redemptions, systematic withdrawal plan (SWP) redemptions, switches out and distributions made to unitholders. |
| 67 | Total monthly systematic withdrawal plan (SWP) outflows (\$) | Please provide the total dollar amount, in base currency, of systematic withdrawal plan (SWP) redemptions out of the fund series/purchase option reported during the month. |
| 68 | Total monthly switches out (\$) | Please provide the total dollar amount, in base currency, of switches out of the fund series/purchase option and into other fund series/purchase options reported during the month. |
| 69 | Total monthly distributions to unitholders (\$) | Please provide the total dollar amount, in base currency, of all distributions (both re-invested and taken in cash) made to unitholders of the fund series/purchase option reported during the month during the month. |
| Affiliated Activity | | |

