Industrial Organization and Finance Division

Quarterly Survey of Financial Statements
Investment Dealers

F4

Confidential document when completed

Please return completed copy within 30 days of quarter end

Si vous préférez ce questionnaire en français, veuillez cocher ☐

Please correct name and address, if necessary

For information only

INFORMATION

AUTHORITY

"This survey is conducted under the authority of the Statistics Act, Revised Statutes of Canada, 1985, c. S-19. Completion of this questionnaire is a legal requirement under the Statistics Act."

PURPOSE

The information you provide is used in the preparation of industry financial statements for the Canadian financial sector; also, these financial statements are used as inputs to the National Economic Accounts.

CONFIDENTIALITY

Statistics Canada is prohibited by law from publishing any statistics which would divulge information obtained from this survey that relates to any identifiable institution without the previous written consent of that institution. The data reported on this questionnaire will be treated in confidence, used for statistical purposes and published in aggregate form only. The confidentiality provisions of the Statistics Act are not affected by either the Access to Information Act or any other Legislation.

INSTRUCTIONS

- Report amounts in thousands of Canadian dollars.
- This report should cover Canadian operations only. Please exclude foreign branches, subsidiaries and affiliates.
- Securities received under resale or "sell-back" arrangements should be reported as receivable in item 3 rather than as increases in the applicable investments. Similarly, securities delivered under repurchase or "buy-back" arrangements should be reported as a liability in item 21.9 rather than as reductions in the applicable investments.
- If actual financial data is not available, estimates may be used in this report.

DEFINITIONS

The term "parent, subsidiaries and affiliates" used in this questionnaire covers non-consolidated parent, subsidiary and affiliated corporations; head offices, branches and divisions; affiliated joint ventures and partnerships; directors; officers and individual shareholders. Affiliated companies are corporations which are effectively controlled or whose operations are significantly influenced by the reporting entity or a common owner or group of owners.

FURTHER INFORMATION

Please refer to " Financial Statistics Reporting Guide" or contact:

Operations and Integration Division
Statistics Canada,
Ottawa, Canada,
K1A 0T6

Telephone: (877) 898-6686
Fax: (800) 552-4428

REPORTING ENTITY

1. This report covers *(please mark one only)*:

☐ a single corporation

☐ part of a corporation (e.g. branch, division, head office)

☐ consolidated family of corporations

☐ other *(please specify)* _____

2. Does this reporting entity have investments in partnerships or joint ventures?

☐ Yes ☐ No

3. Has this reporting entity purchased or sold business(es) during the current reporting period which affects assets or revenue by more than 10%?

☐ Yes ☐ No

- Please verify the enclosed profile of the entities covered by this report, correct it if necessary and return the profile document with the completed questionnaire.
- Please explain any significant changes in accounting or basis of reporting affecting the comparison of this return with that of the previous quarter.

This report covers the period from:

month _____ 2 0 ☐☐ to month _____ 2 0 ☐☐

Company official to contact regarding this form *(Please print)*	Position	
Signature _____ Date	Telephone number	Facsimile number
	E-Mail address	

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Rec'd:	Captured:	Analyzed:	Edited:

5-4800-60.1: 2003-04-24 STC/IOF-435-60184

SECTION A – BALANCE SHEET

01 Balance Sheet Date (year month day)

			Thousands of dollars
	ASSETS		
1.	**Cash and demand deposits** (report term deposits, deposit receipts, debentures and like instruments under item 2)		
1.1	Cash and Canadian currency demand deposits in chartered bank branches in Canada	11110	
1.8	Other Canadian currency demand deposits	11180	
1.9	Foreign currency demand deposits	11200	
2.	**Term deposits**		
2.1	Bearer deposit notes	11620	
2.2	Other term deposits and deposit receipts		
2.2.1	Canadian currency		
2.2.1.1	Chartered bank branches in Canada	11631	
2.2.1.9	Other institutions	11638	
2.2.9	Foreign currency	11680	
3.	**Accounts receivable and accrued revenue** (before deducting allowance for doubtful accounts; including amounts receivable from clients, brokers and dealers for securities sold and from purchase and resale arrangements; report amounts due from parent, subsidiaries and affiliates in item 4.3)	12100	
3.9	Less: Allowance for doubtful accounts	12800	( )
4.	**Investment in and claims on parent, subsidiaries and affiliates** (before deducting provision for losses-item 14)		
4.1	Cost of shares		
4.1.1	Canadian corporations	14110	
4.1.2	Foreign corporations	14120	
4.2	Accumulated earnings less dividends received (to be used only by companies employing the equity method of accounting for unconsolidated subsidiaries and affiliates)	14200	
4.3	Loans, advances, mortgages, notes, bonds and other claims		
4.3.1	Canadian companies, officers and shareholders	14310	
4.3.2	Foreign companies, officers and shareholders	14320	
5.	**Inventory of securities on hand and to be sold long, at market value** (including short-term investments; excluding bearer deposit notes and term deposits - see item 2)	61810	
6.	**Long-term investments at amortized cost**	61600	
7.	**Real estate held for income** (including properties held for sale; before deduction of accumulated depreciation and encumbrances)	18320	
8.	**Land and depreciable assets - gross** (including real estate and ground rents, machinery, equipment, buildings, leasehold improvements, etc. for own use and vehicles and equipment in the hands of lessees under operating leases; before deduction of accumulated depreciation and amortization, and encumbrances)	18310	
9.	**Less: Accumulated depreciation on real estate held for income and fixed assets**	18350	( )
10.	**Intangible assets** (net of accumulated amortization)	19100	
14.	**Other assets** (including provision for losses and write-downs of investments)	19800	
15.	**TOTAL ASSETS**	**10000**	

SUPPLEMENTARY QUESTION: SECURITIES AND INVESTMENTS INCLUDED IN ITEMS 5 AND 6 ABOVE (If amortized cost is not available for securities and investments below, market value would be acceptable)

			Thousands of dollars
16.	**Canadian securities and investments - non-affiliates, at amortized cost** (before deducting provisions or allowances for losses - item 14)		
16.1	Government of Canada treasury bills	15110	
16.2	Bankers' acceptances and finance and other short-term paper (with an original term to maturity of less than one year; including provincial and municipal government short-term bills and notes)	15120	
16.3	Government of Canada debt	15130	
16.4	Provincial and municipal government debt (excluding short-term bills and notes - item 16.2)		
16.4.1	Provincial	15141	
16.4.2	Municipal	15142	
16.5	Corporate bonds and debentures and (including mortgage bonds; exclude short-term paper - item 16.2)	15150	
16.6	Corporate shares (including share warrants and options)	15160	
16.9	Other Canadian investments (including precious metals, gold and silver certificates, commodity options, etc.)	15180	
17.	**Foreign securities and investments - non-affiliates, at amortized cost** (before deducting provisions or allowances for losses - item 14)	15200	
18.	**TOTAL SECURITIES AND INVESTMENTS** (SHOULD EQUAL SUM OF ITEMS 5 AND 6)	**61700**	

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SECTION A – BALANCE SHEET - Continued

01 Balance Sheet Date (year month day)

Thousands of dollars

	LIABILITIES		
21.	**Accounts payable and accrued liabilities** (exclude securities sold short - item 23)		
21.1	Clients' free credit balances	22200	
21.9	Other accounts payable and accrued liabilities (including amounts payable to clients, brokers and dealers for securities purchased and under repurchase or "buy-back" arrangements; report amounts due to parent subsidiaries and affiliates in item 24)	22100	
22.	**Income taxes payable** (report income taxes recoverable in item 3)	23000	
23.	**Securities sold short**		
23.1	Corporate shares	29210	
23.9	Other (please specify)	29280	
24.	**Amounts owing to parent, subsidiaries and affiliates** (including accounts payable, notes, loans, mortgages and bonds)		
24.1	In Canada	24100	
24.2	Outside Canada	24200	
25.	**Borrowing - non-affiliates**		
25.1	Loans and overdrafts (exclude subordinated loans - item 36)		
25.1.1	With chartered bank branches in Canada	25110	
25.1.9	With others (including capital lease obligations)	25180	
25.2	Bankers' acceptances and short-term notes and paper (original term to maturiy of less than one year; exclude subordinated debt - item 36)	25200	
25.3	Bonds and debentures (include only debts securities offered to the public, and private placements; including mortgage bonds; exclude subordinated debt - item 36)	25400	
28.	**Future income taxes**	27000	
29.	**Minority interest in subsidiaries consolidated in this report**	28000	
30.	**Other liabilities** (including unrealized gains and losses on the translation of foreign currency; excluding debt capital - item 37)	29800	
35.	**TOTAL LIABILITIES**	**61910**	
	DEBT CAPITAL		
36.	**Subordinated debt**		
36.1	Chartered banks	67110	
36.2	Parent, affiliates and shareholders	67120	
36.9	Other subordinated debt	67180	
37.	**TOTAL DEBT CAPITAL**	**67000**	
	SHAREHOLDERS' EQUITY		
38.	**Share capital**		
38.1	Preferred	31100	
38.2	Common	31200	
39.	**Contributed surplus**	33000	
40.	**Appraisal increase credits (debits)**	34000	
41.	**Retained earnings**	35000	
45.	**TOTAL SHAREHOLDERS' EQUITY**	**30000**	
49.	**TOTAL DEBT CAPITAL AND SHAREHOLDERS' EQUITY**	**61920**	
50.	**TOTAL LIABILITIES, DEBT CAPITAL AND SHAREHOLDERS' EQUITY**	**39000**	

SUPPLEMENTARY QUESTIONS

A.	**Amounts owing to parent, subsidiaries and affiliates** (related to item 24 and 36.2)		
	(i) interest bearing debt	61405	
	(ii) non-interest bearing debt	61407	

		Residents		Non-Residents	
B.	Reverse Repurchase Agreements (included in Assets. Item 3)	69110		69120	
C.	**Obligations Related to Assets sold under Repurchase Agreements** (included in Liabilities Item 21.9)	69210		69220	

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SECTION B - STATEMENT OF RETAINED EARNINGS

02 Period Covered From ___ ___ ___
03 To ___ ___ ___ (year month day)

			Thousands of dollars
55.	**Retained earnings, opening balance**	38100	
	ADD (DEDUCT):		
56.	**Net income (loss) for the current period** (transfer from item 100)	88200	
59.	**Other additions (deductions)** - please specify major items	38700	
	DEDUCT:		
60.	**Dividends declared**		
60.1	Cash – Preferred Shares 38804	Cash dividends declared - total	38810
	Common Shares 38806		
60.2	Other	38880	
70.	**RETAINED EARNINGS, CLOSING BALANCE** (SHOULD EQUAL ITEM 41)	**38000**	

SECTION C - INCOME STATEMENT

			Thousands of dollars
	REVENUE (net of goods and services tax)		
71.	**New issues: Underwriting revenue, trading profits and losses and commissions on placement of new issues** (including commissions and consulting fees on short-term paper)	41300	
72.	**Principal transaction revenue**	41400	
73.	**Brokerage commissions**	44200	
74.	**Interest revenue** (please enter total interest revenue in item 75 if amounts received cannot be split between Canadian and foreign sources)		
74.1	From Canadian sources (report interest from parent, subsidiaries and affiliates in item 74.1.2)	45100	
74.1.1	Bonds, debentures and notes	45800	
74.1.2	Other	47200	
74.2	From foreign sources	78100	
74.9	**TOTAL INTEREST REVENUE**		
75.	**Dividends** (exclude dividends from corporations accounted for on the equity basis)	46000	
75.1	From Canadian corporations	47100	
75.2	From foreign corporations	48000	
76.	**Gains (losses) on the sale of assets** (before income taxes; report extraordinary items under item 95.3)	78200	
77.	**Trading profits and losses on inventories of securities** (realized and unrealized, including adjustments to market)	49000	
79.	**Other revenue**	**40000**	
80.	**TOTAL REVENUE**		
	EXPENSES		
81.	**Purchased goods, materials and services**	55001	
82.	**Wages and Salaries**	55210	
83.	**Employer portion of employee benefits**	55220	
84.	**Indirect taxes**	55002	
85.	**Depreciation**	52120	
85.1	Construction, buildings, structures and leasehold improvements	52130	
85.2	Machinery and equipment		
86.	**Amortization of**		
86.1	Intangible assets	52310	
86.2	Deferred charges	52320	
87.	**Interest expense** (report interest paid to parent, subsidiaries and affiliates in item87.3)	53230	
87.1	Clients' free credit balances	53300	
87.2	Security inventory positions	53100	
87.3	Other	55003	
88.	**Other expenses** (**Include only**: bad debt expense; write-down of accounts receivable and inventory; charitable donations; resource royalties)	**50000**	
89.	**TOTAL EXPENSES**		
90.	**Gains (losses) on the translation of foreign currency** (including amortization of foreign exchange gains (losses) on monetary assets and liabilities; exclude unrealized gains and losses on the translation of financial statements of self-sustaining foreign operations - item 30)	56100	

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SECTION C - INCOME STATEMENT - Concluded

02 Period Covered From ___ ___ ___
03 To ___ ___ ___ (year month day)

			Thousands of dollars
91.	**Write-offs and valuation adjustments, not classified as extraordinary** (report extraordinary items under item 95.3; exclude amounts reported in item 78)	56200	
92.	**Income (loss) before income taxes**	**58460**	
93.	**Canadian income taxes**	57100	
93.1	Current	57200	
93.2	Future	**58470**	
94.	**Income (loss) after income taxes**		
95.	**Other gains (losses)**		
95.1	Equity in net income (loss) of unconsolidated subsidiaries, affiliates, joint ventures and partnerships (to be used only if investment carried on the equity basis)	58100	
95.2	Minority shareholders' portion of net income (loss) of subsidiaries and affiliates consolidated in this report	58200	
95.3	Extraordinary gains (loss) (realized and unrealized; net of income taxes)	58300	
96.	**NET INCOME (LOSS)** (TRANSFER TO ITEM 56)	**58480**	

SUPPLEMENTARY QUESTIONS – INCOME STATEMENT

			Thousands of dollars
A.	**Dividends received from corporations accounted for on the equity method and credited to the investment account**		
	Canadian	75100	
	Foreign	75200	
B.	**Unusual revenues, expenses, gains/losses from continuing business operations** (reported in income statement)	74700	
C.	**Interest expense on debt owing to parent, subsidiaries and affiliates** (reported in item 87.3)	74100	
D.	**Average number of people employed during the reporting period**	80003	

E. **Does your enterprise have revenue between divisions or companies that are eliminated upon the consolidation of your accounts?** ☒ **No** ☐ **Yes (If yes specify)** 40012 — **Total amount of these eliminations (in thousands of dollars)**

SUPPLEMENTARY SCHEDULE A: YEAR-END AND PRIOR YEAR'S ADJUSTMENTS

If this report covers your fourth fiscal quarter and the reported revenues and expenses include year-end adjustments (eg. adjustments from preliminary estimates to actual, or year-end accruals not made in the interim financial statements)

OR

If this report includes adjustments through retained earnings pertaining to the prior year's operations (eg. year-end adjustments of the prior year made after the prior year's fourth quarter report was prepared):

SPECIFY BELOW THE REVENUE OR EXPENSE ACCOUNTS AFFECTED BY THE ADJUSTMENTS AND THE AMOUNT OF INCREASE OR DECREASE.

Report only adjustments in excess of $500 thousand.

ITEM DESCRIPTION	ITEM NUMBER	INCREASE	DECREASE
		Thousands of dollars	

Approximately how many hours did you spend collecting the data and completing this questionnaire? 80005 ____ hours

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