

2018 DEALERS' REPORT CARD

How financial advisors rated their firms

	FULL-SERVICE AND MUTUAL FUND DEALERS								INDEPENDENT DEALERS			Performance average	Importance average
	Assante Wealth Management	Desjardins Financial Security	Hollis-Wealth	Investment Planning Counsel	Investors Group	Manulife Securities	Peak Financial Group	Worldsource Wealth Management	Global Maxfin Investments	Portfolio Strategies	Sterling Mutuals		
Number of advisors surveyed per firm	50	50	50	50	50	50	50	50	25	40	40		
Firm's total compensation	8.5	7.8	8.2	8.3	7.4	7.9	8.7	8.2	7.9	8.7	8.5	8.2	8.9
Firm's reward/recognition program	7.8	7.9	6.1	6.2	6.5	6.9	N/C	N/C	N/A	N/A	N/A	6.9	5.2
Firm's support for advisors operating within a fee-based model	8.5	7.2	7.3	7.5	7.6	7.3	8.6	6.6	N/A	N/A	7.8	7.6	8.2
Technology tools & advisor desktop	8.0	7.8	5.8	7.3	7.3	6.7	8.0	4.7	6.0	6.4	8.6	7.0	8.8
Support for mobile technology & the mobile advisor	7.8	7.0	6.1	6.9	6.5	6.7	7.2	5.3	N/A	N/A	7.0	6.7	7.6
Support for using social media	7.1	6.4	6.8	6.8	7.7	6.8	N/C	N/A	N/A	4.9	N/A	6.7	6.4
Back office & administrative support	8.2	7.4	5.6	7.5	7.0	7.4	8.6	7.0	7.7	7.5	8.1	7.5	9.3
Firm's marketing support for advisor's practice	8.1	6.6	5.8	7.6	7.2	6.5	N/C	N/A	4.4	N/A	5.6	6.5	6.4
Client account statements	8.2	7.4	5.3	7.1	7.5	7.0	8.0	6.0	7.0	6.8	8.1	7.1	8.5
Online account access for clients	8.5	7.5	6.8	7.7	6.9	5.6	8.7	6.7	8.0	8.2	9.1	7.6	8.4
Ongoing training	8.1	7.2	6.4	6.9	8.4	6.7	7.2	5.8	4.7	5.4	7.5	6.8	7.4
Your branch manager	8.8	7.4	8.3	8.6	7.8	8.6	8.3	8.7	7.2	8.5	8.5	8.2	8.6
Firm's succession program for advisors	8.3	7.7	8.0	7.4	N/C	N/C	N/C	N/C	6.5	N/A	N/C	7.6	7.9
Products & support for high net-worth clients	9.4	6.8	6.6	7.9	8.4	7.7	N/C	7.5	N/A	N/C	7.3	7.7	8.1
Support for developing a financial plan for clients	8.7	6.3	N/C	6.1	8.8	7.9	N/A	N/A	N/A	N/C	N/A	7.6	8.2
Support for developing an investment plan for clients	8.7	7.4	7.1	7.7	8.6	N/C	N/A	N/A	N/A	N/C	N/A	7.9	8.3
Support for wills and estate planning	8.8	6.4	N/C	N/C	8.3	N/C	N/A	N/A	N/A	N/A	N/A	7.9	8.3
Support for tax planning	8.8	6.1	N/C	N/A	8.5	N/C	N/A	N/A	N/A	N/A	N/A	7.8	8.0
Support for insurance planning	8.6	8.0	7.9	N/C	7.2	8.3	N/C	N/A	N/A	N/A	N/A	8.0	8.3
Quality of firm's product offering	9.1	8.7	9.0	8.4	8.0	8.3	9.6	8.8	9.0	8.9	9.2	8.8	9.1
Firm's stability	9.5	8.3	8.0	9.4	8.9	9.3	9.4	8.6	7.2	7.8	8.3	8.6	9.2
Firm's strategic focus	8.8	7.3	6.7	8.2	8.0	7.3	8.7	6.9	6.2	7.3	8.0	7.6	8.3
Firm's effectiveness in keeping advisors informed	8.8	7.4	6.5	7.8	8.0	7.3	8.2	6.4	7.0	6.9	7.5	7.4	8.4
Firm's receptiveness to advisor feedback	8.4	7.1	7.4	7.9	7.6	6.7	8.5	6.6	6.7	7.4	7.4	7.4	8.6
Firm's corporate culture	8.7	7.5	7.0	8.5	7.9	8.0	9.0	7.2	6.4	7.8	7.9	7.8	8.0
Firm's reputation with clients and/or prospective clients	8.9	8.2	7.1	7.5	7.7	8.5	8.4	6.4	6.2	6.6	7.3	7.5	8.2
Firm's ethics	9.4	8.6	8.9	8.8	9.2	9.1	9.3	9.0	8.0	9.0	9.2	9.0	9.5
Support for dealing with changes in the regulatory environment	8.7	8.2	8.0	8.2	9.0	8.3	8.9	7.9	7.2	7.7	8.3	8.2	9.0
Advisor's relationship with compliance department	8.8	8.4	7.8	8.6	8.5	8.4	8.8	8.4	8.6	8.5	8.5	8.5	8.9
Freedom to make objective product choices	9.4	9.2	9.0	9.2	8.6	9.5	9.8	9.2	9.4	9.6	9.5	9.3	9.6
Firm's delivery on promises	8.4	7.9	6.4	8.5	7.8	7.9	8.8	7.9	7.9	8.6	8.8	8.1	9.1
IE RATING (AVERAGE OF ALL CATEGORIES)	8.6	7.5	7.1	7.8	7.9	7.7	8.6	7.3	7.1	7.6	8.1	7.8	
Overall rating by advisors	8.9	7.9	6.6	8.4	7.9	7.9	8.9	7.4	7.4	8.1	8.4	8.0	

ALL SCORES ARE BASED ON A SCALE OF 0 TO 10

N/A MEANS A CATEGORY DOES NOT APPLY TO A COMPANY; N/C MEANS THE CATEGORY IS NOT CALCULABLE, AS NOT ENOUGH ADVISORS RATED IT TO PRODUCE A REASONABLE SAMPLE

NUMBERS IN GREEN INDICATE A RATING HAS INCREASED BY AT LEAST 0.5 OF A POINT FROM LAST YEAR. NUMBERS IN RED OR IN A RED BOX INDICATE A RATING HAS DECREASED BY AT LEAST 0.5 OF A POINT FROM LAST YEAR

THE "PERFORMANCE AVERAGE" TALLIES ALL THE SCORES IN A GIVEN CATEGORY AND AVERAGES THEM TOGETHER. YOU CAN CHECK TO SEE IF A COMPANY IS ABOVE OR BELOW THE WEIGHTED AVERAGE

THE "IMPORTANCE AVERAGE" TALLIES ALL THE IMPORTANCE SCORES IN A GIVEN CATEGORY AND AVERAGES THEM TOGETHER. THIS FIGURE IS INTENDED TO MEASURE HOW IMPORTANT ADVISORS THINK A REPORT CARD CATEGORY IS TO THEIR BUSINESS

THE "IE RATING" IS AN AVERAGE OF ALL OF A COMPANY'S CATEGORY SCORES, EXCLUDING THE "OVERALL RATING BY ADVISORS." THE "OVERALL RATING BY ADVISORS" IS THE RATING ADVISORS GAVE THEIR FIRM AS A WHOLE