



Mapping Fees into the *Model Report on Charges and Compensation*

| Section 1: Amounts you paid for general administration of your account | | |
|---|---|----------------------------------|
| Line in IFIC's <i>Model Report on Charges and Compensation</i> | Location in FundSERV Standards Files¹ | FundSERV Transaction Type |
| RSP administration | FS & TS Files | Fee |
| Transfer fee | FS & TS Files | Fee |
| Fee-based charge | FS & TS Files | Fee |
| De-registration / Re-registration | FS & TS Files | Fee |
| Trustee fee | FS & TS Files | Fee |

¹ If the Fee transactions are initiated by the manufacturer, they would be only reported in the TS file.

| Section 2: Amounts you paid for your specific purchase, sale or other transaction | | |
|--|---|---|
| Line in IFIC's <i>Model Report on Charges and Compensation</i> | Location in FundSERV Standards Files | FundSERV Element/Commission Type |
| Fee for switching to different funds or products | FS & TS Files WS File | Exchange-in Fee (2% commission) CommType – Normal (Client Paid Commission) |
| Mark-up fee | n/a | (not processed through FundSERV) |
| Front-end sales commission | FS & TS Files WS File | Client-paid commission (F/E Load) – TS/FS File CommType – Normal |

| Section 3: Payments we received from investment managers or others to service your account | | |
|---|--|--|
| Line in IFIC's <i>Model Report on Charges and Compensation</i> | Located in the FundSERV Standards Files | FundSERV Transaction/Commission Type |
| Commission from investment managers for DSC investments | FS & TS Files WS File | Fund-paid commission (DSC) CommType – Normal |
| Management fee rebate (dealer portion) | TS File | Management Fee Rebate TransactionType 5 Blank F |
| Payment from GIC issuers | n/a | (not processed through FundSERV) |
| Trailing commission | SS & LS File | Service Fees – Normal/Special (Trailer) |
| Trailing commission rebate | TS File LS & SS Files | 5 Blank Z Comm Type – T Trailer Fee Rebate |

Note: This tool reflects how costs that flow through FundSERV can be mapped to the charges and compensation reports that you prepare for your clients to meet the 2016 requirements of CRM2. The language in the left-hand column reflects language contained in the *Model Report on Charges and Compensation* prepared by The Investment Funds Institute of Canada (IFIC). If other amounts are charged to your clients' accounts that are not captured by this tool, include them by adding a line to your charges and compensation reports.