

APPENDIX “B”

TOTALS		
1. Has your firm ever been surveyed by any party regarding your current capacity or infrastructure to readily adopt Document Agreements?	Yes 0%	No 100%
2. Where do original/copies of physical client documents currently reside at your firm? (Note: not including nominee self-directed Registered Plans)	Branch 71%	Head Office 29%
3. Do you currently allow your Financial Advisors to send physical account opening and trade settlement documents directly to the Fund Companies?	Yes 75%	No 25%
4. Does your firm currently have an electronic means for records retention?	Yes 57%	No 43%
5. If yes, which method of electronic storage does your firm use?	Imaging 100%	Micro-filming 0%
6. Does your firm have the capacity and infrastructure to readily adopt Document Agreements?	Yes-full 0%	Mostly-close 0%
	Some 100%	Not at all 0%
7. Please estimate the investment your firm would have to make in order to build the infrastructure required to adopt Document Agreements.	Minimal 0%	Medium 0%
	Significant 86%	Very significant 14%