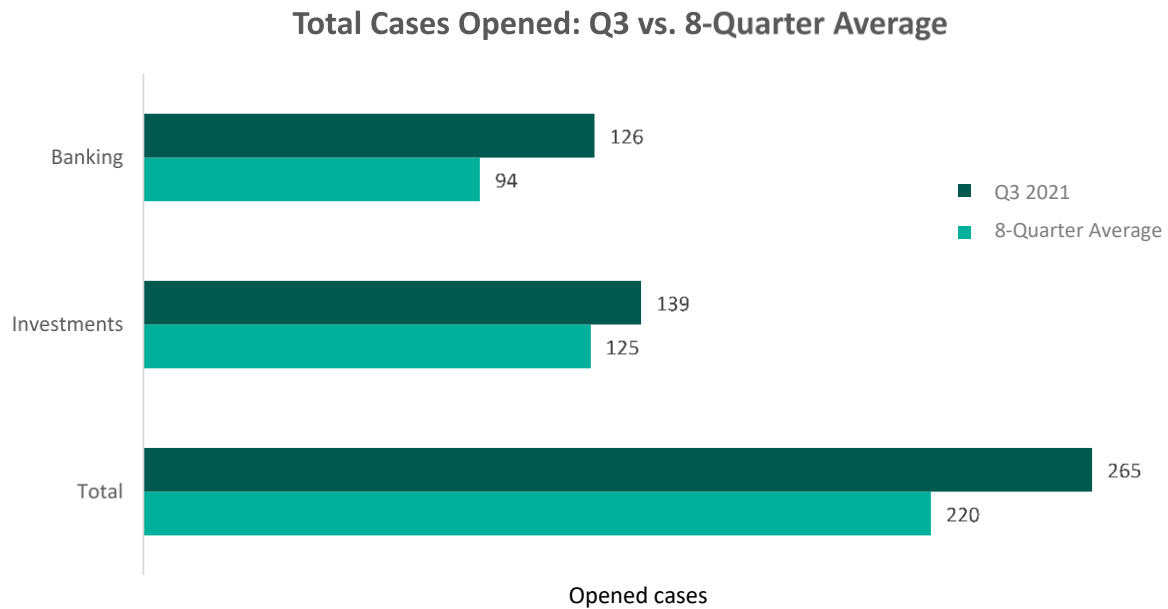


Q3 2021 Statistics

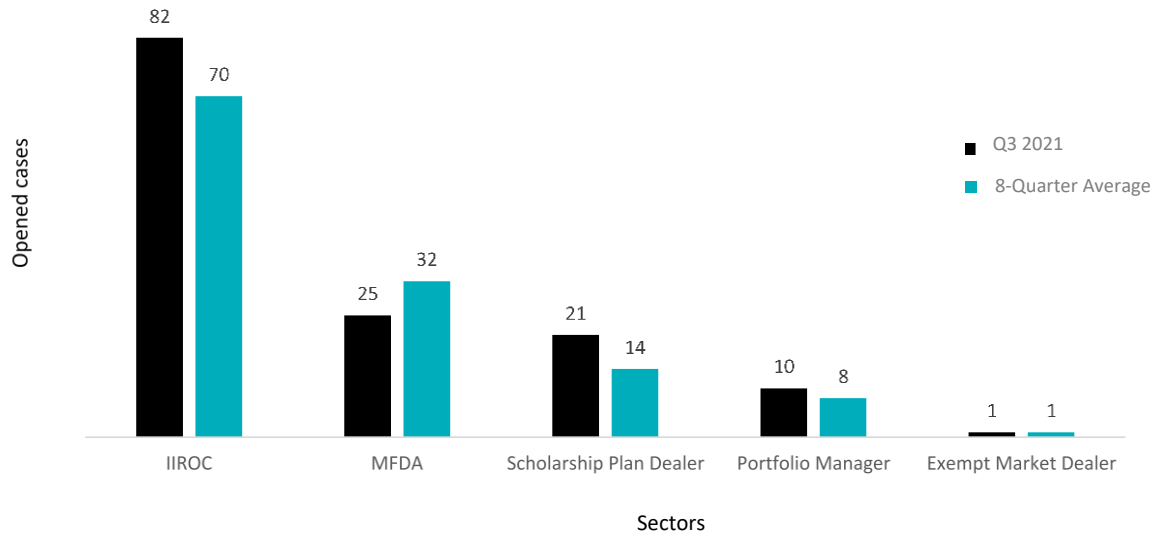
May 1 – July 31, 2021

The case volume charts below present preliminary case data from our most recent quarter alongside the eight-quarter rolling average for historical context.



The third quarter of 2021 was characterized by higher-than-normal case volumes, continuing a trend that began in Q3, 2020. During the quarter, banking cases opened were 34% higher than the eight-quarter average, while investment cases opened were 11% higher than the eight-quarter average. Total cases opened in Q3 were 20% higher than the eight-quarter average.

Cases Opened by Investment Sector: Q3 vs. 8-Quarter Average



In the third quarter of 2021, IIROC cases were 17% above and MFDA cases were 22% below the eight-quarter average. Cases volumes for scholarship plan dealers were 43% higher than the eight-quarter average, while case volumes for portfolio managers were 25% higher than the eight-quarter average. Case volumes for exempt market dealers were consistent with historical norms.

Cases Opened by Region: Q3 vs. 8-Quarter Average



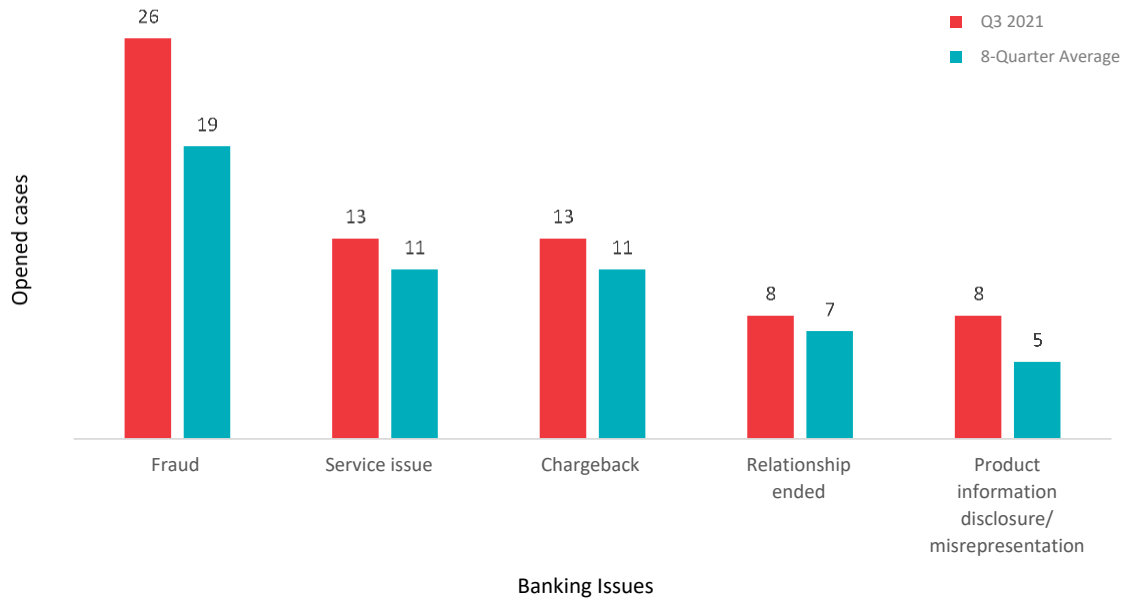
During Q3 of 2021, Ontario cases were 25% higher than the eight-quarter average, while BC saw a 26% increase in cases. In the Prairie provinces, cases were 26% below the eight-quarter average. Cases in Quebec and the Atlantic provinces were slightly above historical norms. International cases trended upwards toward nearly double the eight-quarter average.

Top 5 Banking Products: Q3 vs. 8-Quarter Average



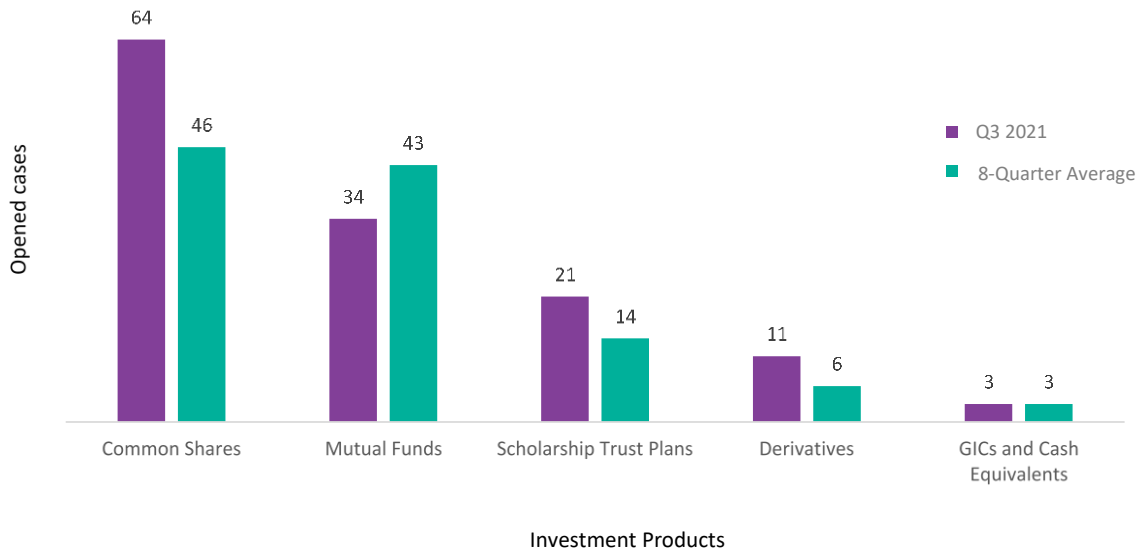
In the third quarter of 2021, cases involving credit cards were the leading banking complaint with volumes 9% higher than the eight-quarter average. Mortgage complaints were more than double the eight-quarter average. Personal transaction account complaints were 24% higher than the eight-quarter average. Cases related to wire transfers and case related to cheques and money orders were also above historical norms.

Top 5 Banking Issues: Q3 vs. 8-Quarter Average



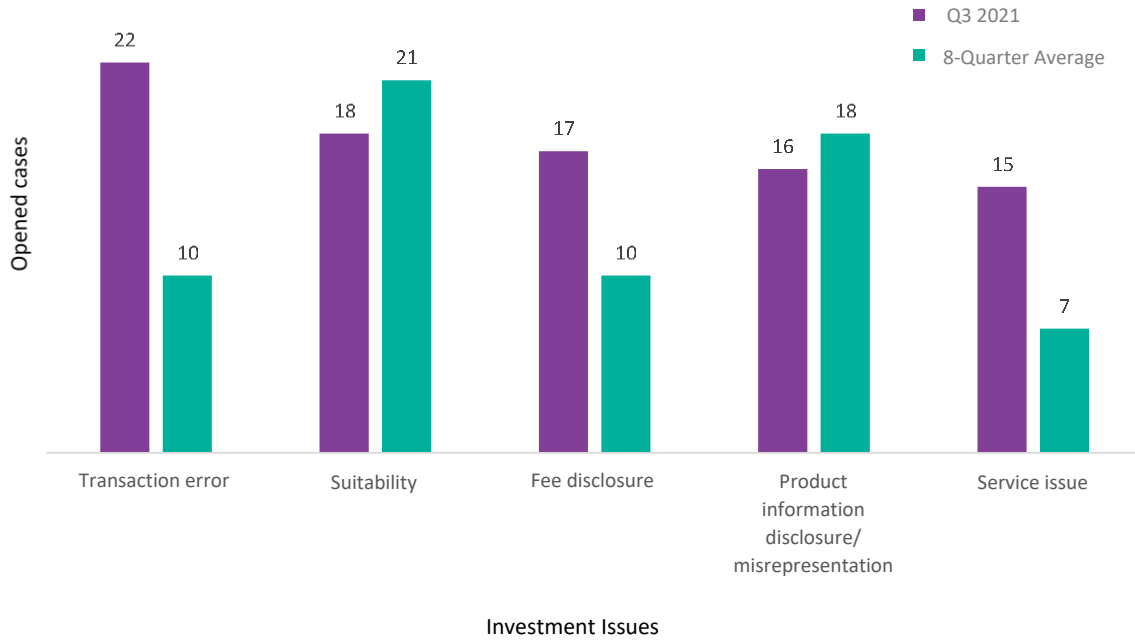
Fraud continued to be the most reported banking issue in the third quarter of 2021, with volumes 37% higher than the eight-quarter average. Cases related to service issues, chargebacks, relationship-ended and incomplete or inaccurate product disclosure were all also higher than historical norms.

Top 5 Investment Products: Q3 vs. 8-Quarter Average



In the third quarter of 2021, cases related to common shares were the most common investment complaint, with volumes 39% higher than the eight-quarter average. Mutual fund complaints were 21% below the eight-quarter average, while cases related to scholarship trust plans were 50% higher than the eight-quarter average. Cases related to derivatives nearly doubled the eight-quarter average and cases related to GICs and cash equivalents were consistent with historical norms.

Top 5 Investment Issues: Q3 vs. 8-Quarter Average



In Q3 of 2021, complaints related to transaction errors were more than double the eight-quarter average, replacing suitability as the most common investment issue for cases opened. Suitability complaints were slightly below historical norms. Complaints related to fee disclosure were 70% higher than the eight-quarter average, while complaints related to incomplete or inaccurate product disclosure were slightly lower than historical norms. Complaints related to service issues were more than double the eight-quarter average.