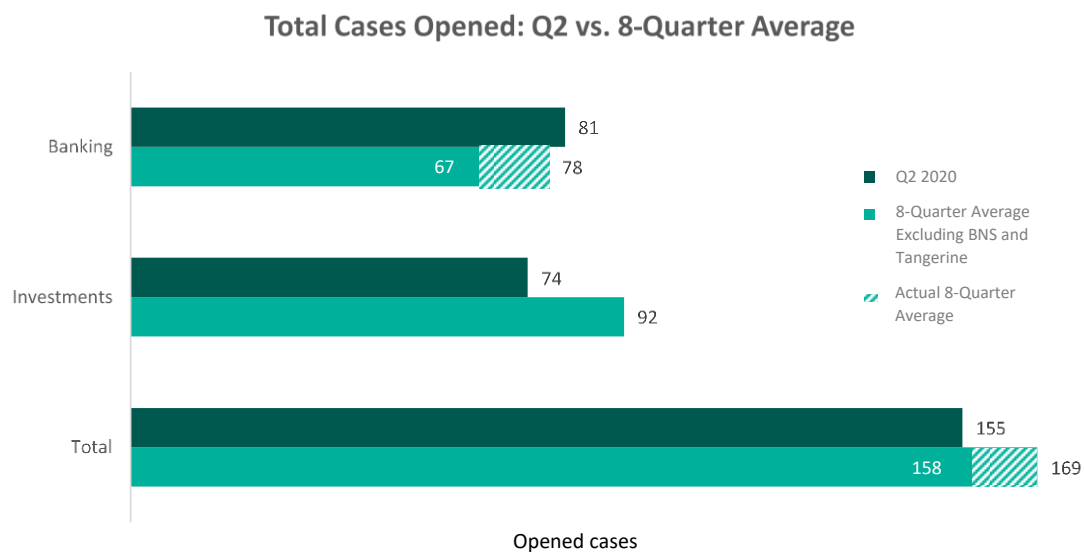


Q2 2020 Statistics

February 1 – April 30, 2020

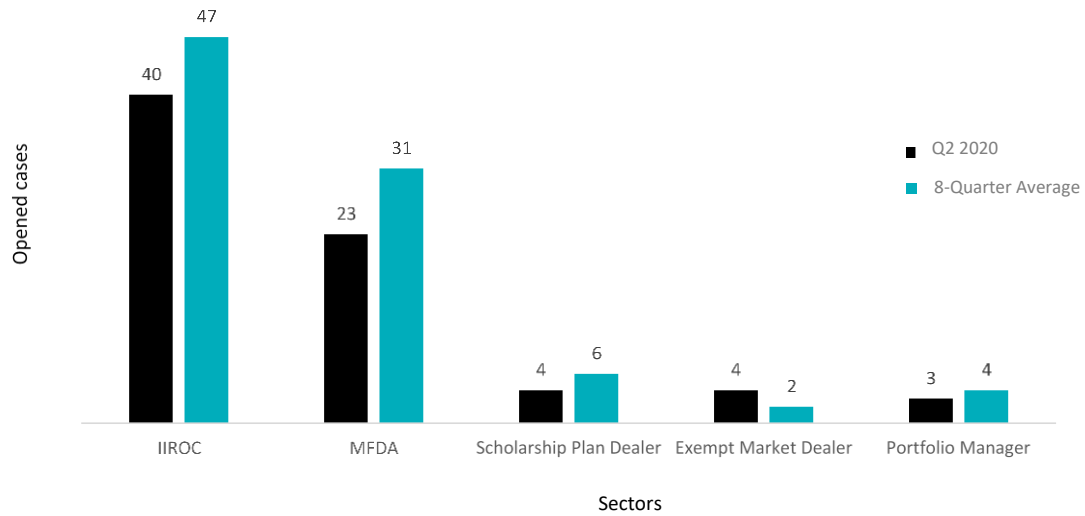
To better compare this quarter's case volumes against our historical norms, the case volume charts are presented with an eight-quarter rolling average. For banking cases, this eight-quarter average is illustrated both including and excluding the cases from Bank of Nova Scotia (BNS) and its subsidiary Tangerine, which are no longer participating banks. The eight-quarter average including these firms is also shown and is noted by the striped shaded bar. Investment cases are unaffected by these departures. All figures are preliminary and subject to change.



In the second quarter of 2020, total cases opened (banking and investments combined) were 8% lower than the eight-quarter average. The lower number of total cases opened is largely due to the reduction in banking case volume caused by the departure of the Bank of Nova Scotia (BNS) and its subsidiary Tangerine at the end of the 2018 fiscal year.

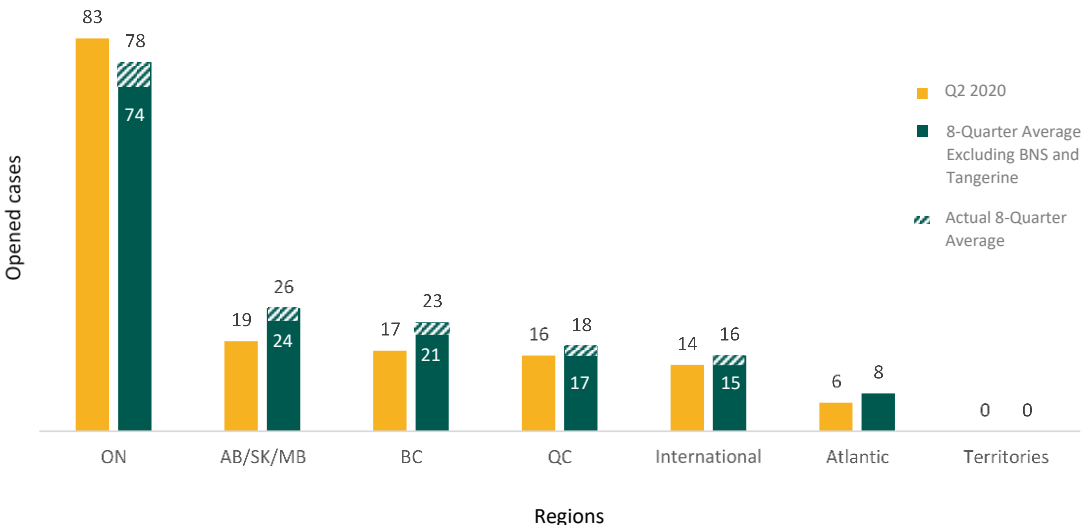
On an adjusted basis, banking cases opened were 21% higher than the eight-quarter average, while investment cases opened were 24% lower than the eight-quarter average. Total cases opened in the second quarter were 2% lower than the adjusted eight-quarter average.

Cases Opened by Investment Sector: Q2 vs. 8-Quarter Average



The second quarter of 2020 saw MFDA cases 35% lower and IIROC cases 18% lower than the eight-quarter average. Cases involving scholarship plan dealers were also lower than recent norms in Q2, while exempt market dealer case numbers were slightly higher. Case volumes for portfolio managers remained approximately consistent with recent quarters.

Cases Opened by Region: Q2 vs. 8-Quarter Average



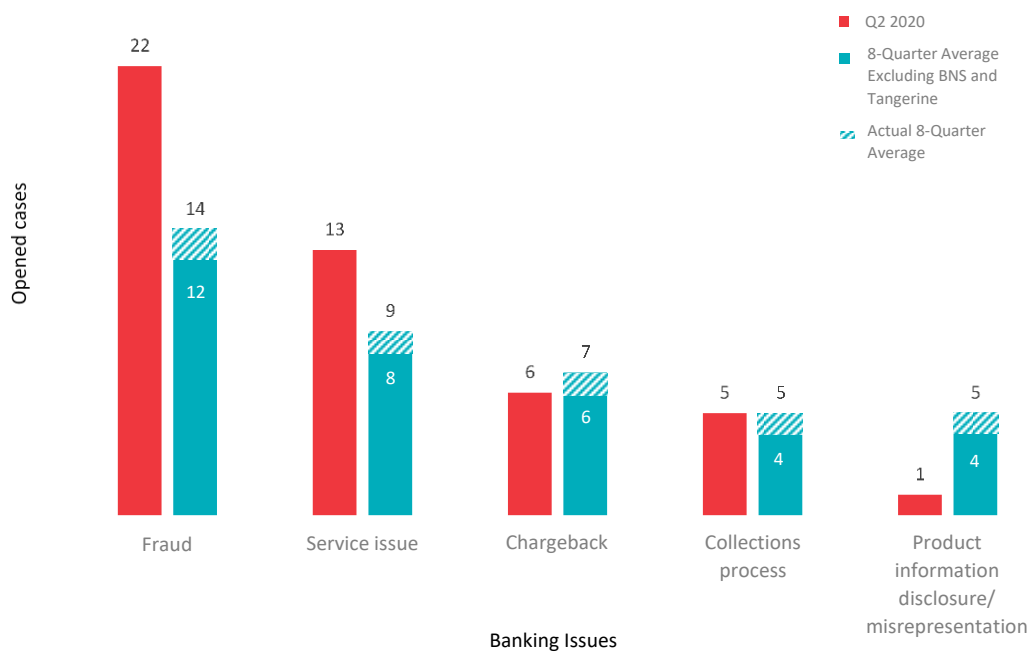
In Ontario, cases opened during the second quarter of 2020 were 12% higher than the eight-quarter average, while the Prairie provinces, and BC all saw case volumes lower than the adjusted eight-quarter average. Cases originating in Quebec, Atlantic Canada, the Territories and outside of Canada all remained approximately within historical norms.

Top 5 Banking Products: Q2 vs. 8-Quarter Average



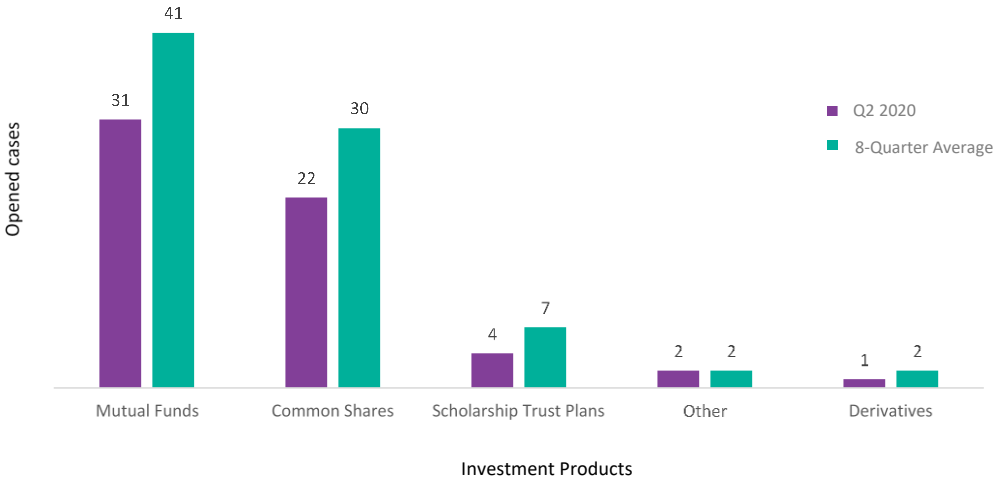
In the second quarter of 2020, credit card complaints were 36% higher and personal transaction account complaints were 29% higher than the adjusted average. Mortgage complaints dropped below the adjusted eight-quarter average. Cases relating to lines of credit and personal loans remained consistent with historical norms.

Top 5 Banking Issues: Q2 vs. 8-Quarter Average



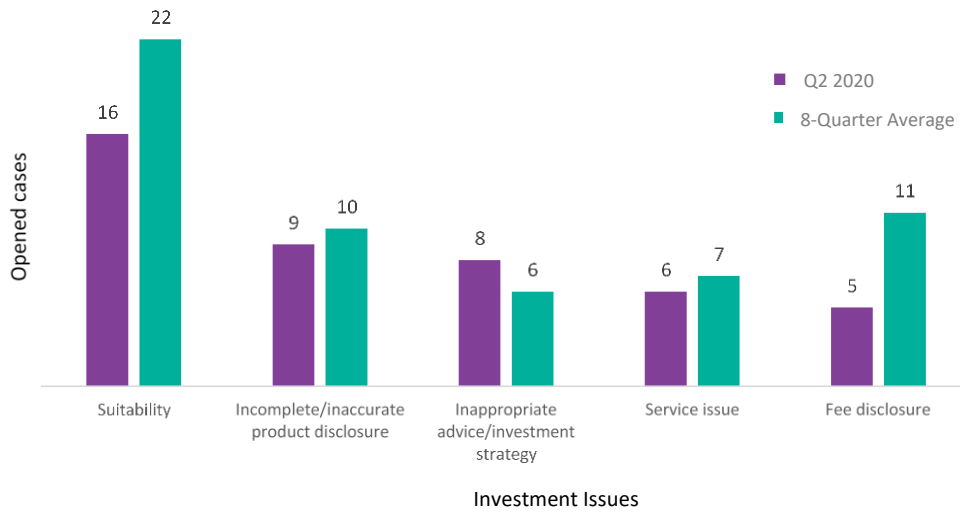
Fraud continued to be the most reported banking issue in the second quarter, at nearly double the adjusted eight-quarter average. Service issue complaints were also significantly higher in the quarter compared to the eight-quarter average, while complaints related to product information disclosure were below the adjusted eight-quarter average and complaints related to all other banking issues remained consistent with historical norms.

Top 5 Investment Products: Q2 vs. 8-Quarter Average



In the second quarter, cases related to mutual funds were 24% below and common shares complaints were 27% below the eight-quarter average, while complaints relating to scholarship trust plans decreased compared to the eight-quarter average. Complaints related to derivatives and other investment products remained low, consistent with historical norms.

Top 5 Investment Issues: Q2 vs. 8-Quarter Average



Suitability continued to be the most complained about investment issue in the second quarter, though case volumes were 27% below the eight-quarter average. Complaints related to inappropriate advice or investment strategy in Q2 were somewhat above the eight-quarter average, while fee disclosure complaints were significantly below the eight-quarter average. Complaints related to incomplete or inaccurate product disclosure and service issues remained approximately consistent with historical norms.