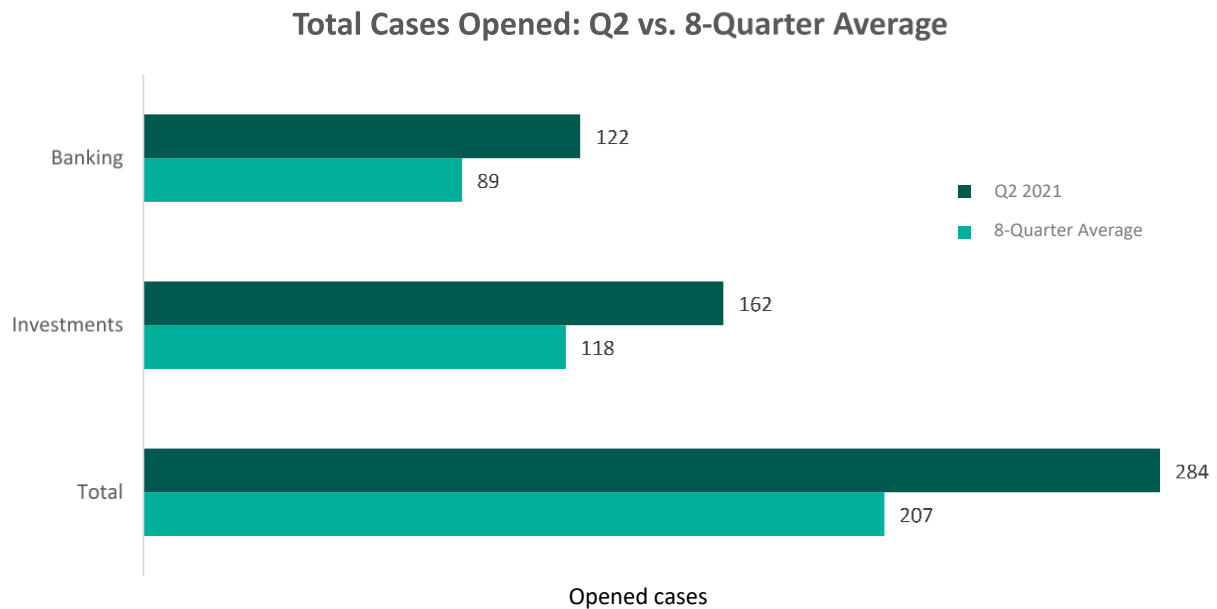


Q2 2021 Statistics

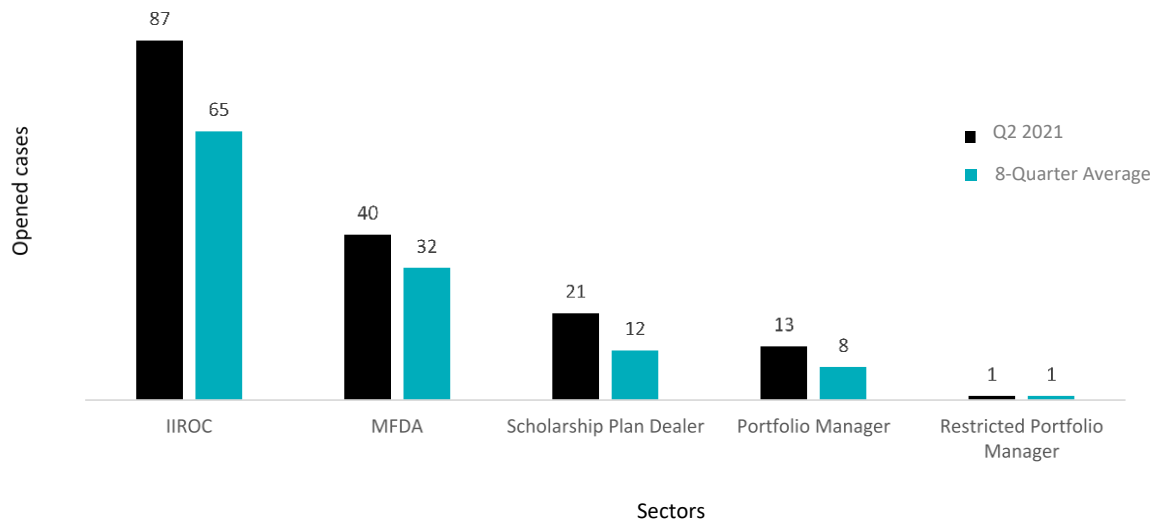
February 1 – April 30, 2021

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



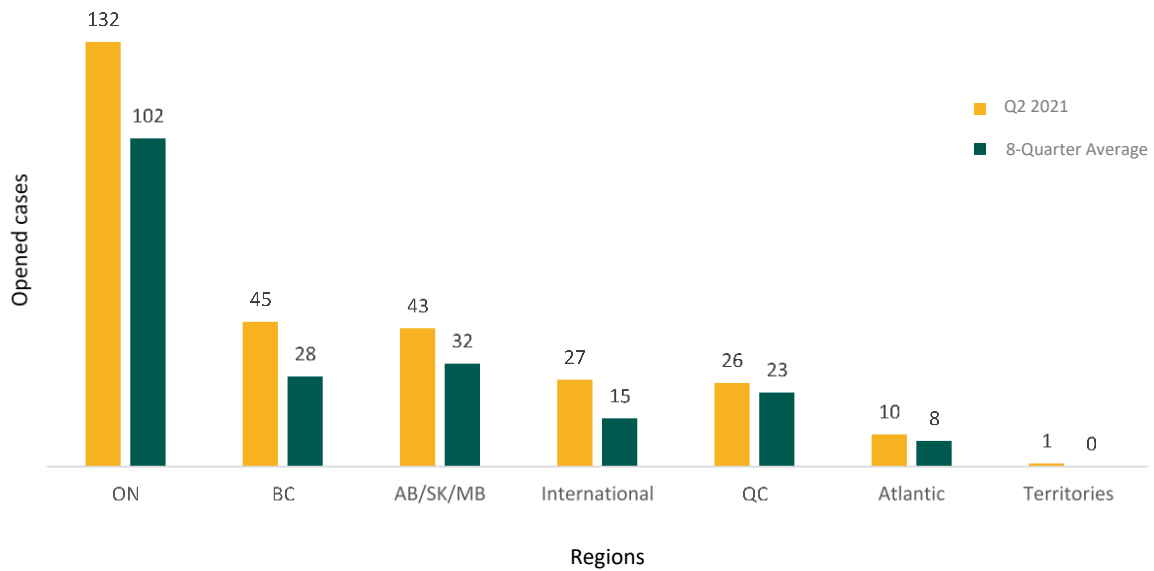
The second quarter of 2021 was characterized by higher-than-normal case volumes, continuing a trend that began in Q3, 2020. During the quarter, banking, investment, and overall cases opened were 37% above the eight-quarter average.

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



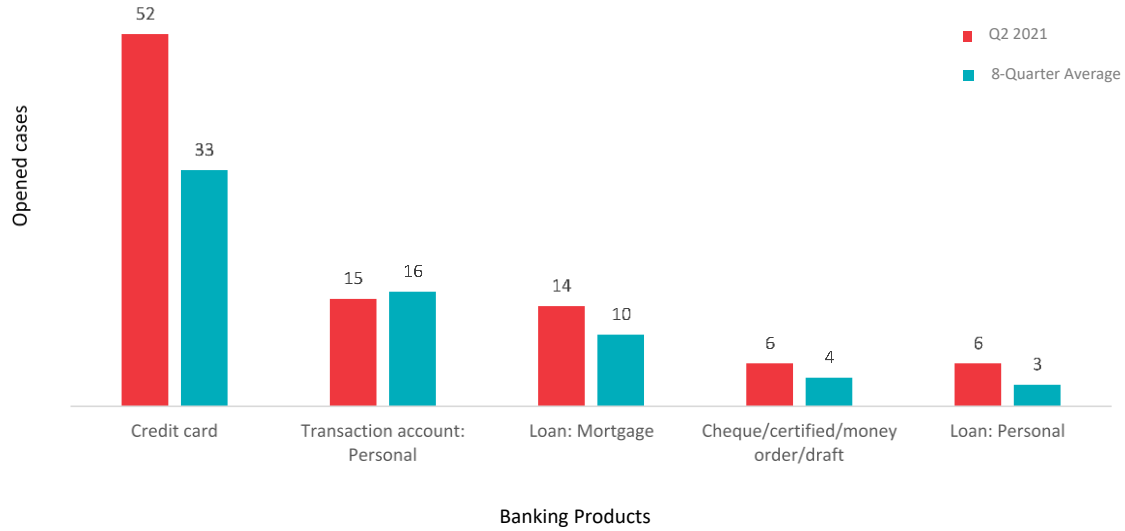
In the second quarter of 2021, IIROC cases were 34% higher and MFDA cases were 25% higher than the eight-quarter average. Cases volumes for scholarship plan dealers were 75% above the eight-quarter average, while case volumes for portfolio managers were 63% above the eight-quarter average. Case volumes for restricted portfolio managers were consistent with historical norms.

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



During Q2 of 2021, cases volumes were above historical levels across Canada and from outside Canada. In Ontario, cases opened were 29% higher than the eight-quarter average. The Prairie provinces saw a 34% increase in cases, while BC cases were 61% higher than the eight-quarter average. Cases in the Territories, Atlantic provinces and Quebec were slightly above historical norms. International cases trended upwards toward nearly double the eight-quarter average.

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



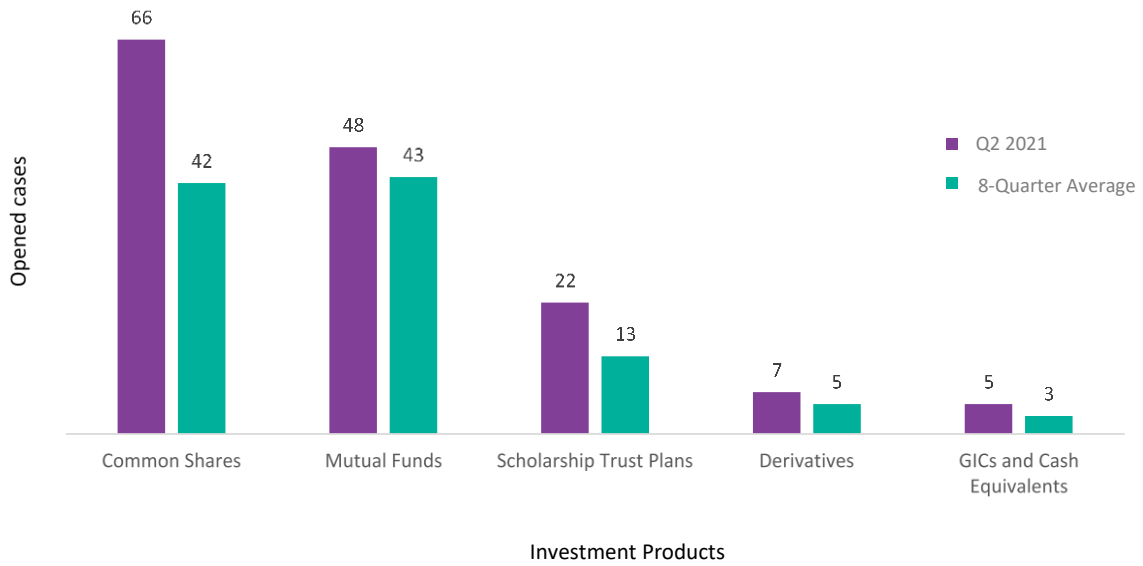
In the second quarter of 2021, cases involving credit cards were the leading complaint for banking with volumes 58% higher than the eight-quarter average. Mortgage complaints were 40% higher than the eight-quarter average. Personal transaction account complaints were slightly lower than historical norms. Cases related to cheques and money orders, and cases related to personal loans increased compared to the eight-quarter average.

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



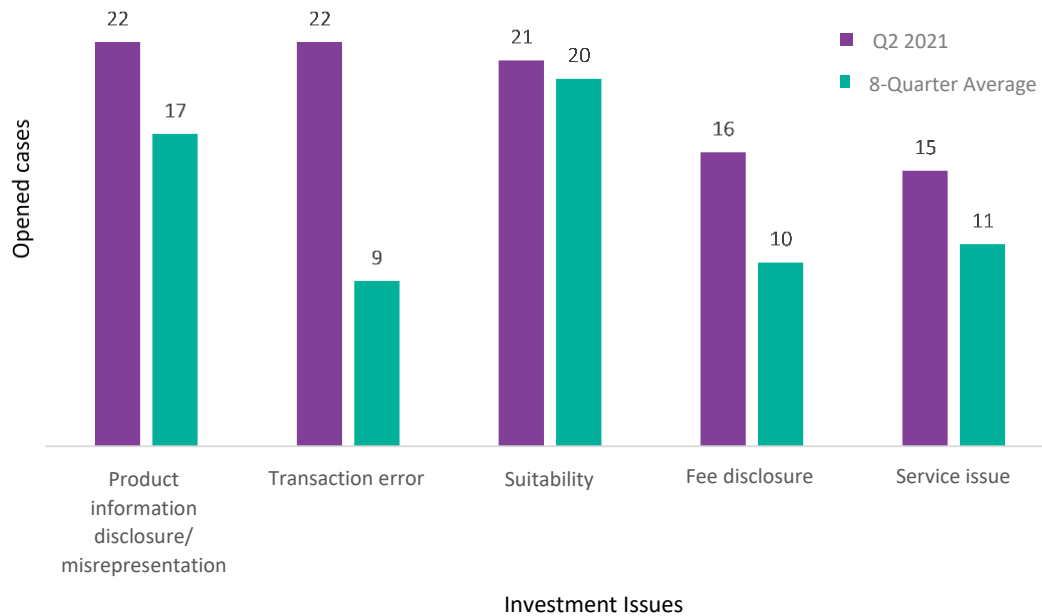
Service issues (non-technical) became the most reported banking issue in the second quarter of 2021, with volumes more than double the eight-quarter average. Fraud complaints remained at high levels and were higher than historical norms for the quarter. Chargebacks were also double the eight-quarter average. Cases related to incomplete or inaccurate product disclosure and relationship-ended complaints were slightly higher than historical norms.

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



In the second quarter of 2021, cases related to common shares were the most common investment complaint, with volumes 57% higher than the eight-quarter average. Mutual fund complaints were slightly higher than historical norms, while cases related to scholarship trust plans were 69% higher than the eight-quarter average. Cases related to derivatives and cases related to GICs and cash equivalents were slightly above historical norms.

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



In Q2 of 2021, complaints related to incomplete or inaccurate product disclosure increased 29% when compared to the eight-quarter average, while complaints related to transaction errors were more than double the eight-quarter average. Both issues replaced suitability as the most common investment issue for cases opened, while suitability complaints remained consistent with historical norms. Complaints related to fee disclosure were 60% higher than the eight-quarter average, while service issues (non-technical) complaints were 36% higher than the eight-quarter average.