



# Quarterly Survey of Financial Statements Investment Dealers

**F4**

Confidential document when completed

Please return completed copy within 30 days of quarter end

Si vous préférez ce questionnaire en français, veuillez cocher

Please correct name and address, if necessary

## INFORMATION

### AUTHORITY

Collected under authority of the Statistics Act, Revised Statutes of Canada, 1985, Chapter S19.

### PURPOSE

The information you provide is used in the preparation of industry financial statements for the Canadian financial sector; also, these financial statements are used as inputs to the National Economic Accounts.

### CONFIDENTIALITY

Statistics Canada is prohibited by law from publishing any statistics which would divulge information obtained from this survey that relates to any identifiable institution without the previous written consent of that institution. The data reported on this questionnaire will be treated in confidence, used for statistical purposes and published in aggregate form only. The confidentiality provisions of the Statistics Act are not affected by either the Access to Information Act or any other Legislation.

### INSTRUCTIONS

- Report amounts in thousands of Canadian dollars.
- This report should cover Canadian operations only. Please exclude foreign branches, subsidiaries and affiliates.

- Securities received under resale or "sell-back" arrangements should be reported as receivable in item 3 rather than as increases in the applicable investments. Similarly, securities delivered under repurchase or "buy-back" arrangements should be reported as a liability in item 21.9 rather than as reductions in the applicable investments.
- If actual financial data is not available, estimates may be used in this report.

### DEFINITIONS

The term "parent, subsidiaries and affiliates" used in this questionnaire covers non-consolidated parent, subsidiary and affiliated corporations; head offices, branches and divisions; affiliated joint ventures and partnerships; directors, officers and individual shareholders. Affiliated companies are corporations which are effectively controlled or whose operations are significantly influenced by the reporting entity or a common owner or group of owners.

### FURTHER INFORMATION

Please refer to " Financial Statistics Reporting Guide" or contact:

Operations and Integration Division  
Statistics Canada,  
Ottawa, Canada,  
K1A 0T6

Telephone: (877) 898-6686  
Fax: (800) 552-4428

## REPORTING ENTITY

1. This report covers (please mark one only):

- a single corporation
- part of a corporation (e.g. branch, division, head office)
- consolidated family of corporations
- other (please specify) \_\_\_\_\_

2. Does this reporting entity have investments in partnerships or joint ventures?

- Yes
- No

3. Has this reporting entity purchased or sold business(es) during the current reporting period which affects assets or revenue by more than 10%?

- Yes
- No

● Please verify the enclosed profile of the entities covered by this report, correct it if necessary and return the profile document with the completed questionnaire.

● Please explain any significant changes in accounting or basis of reporting affecting the comparison of this return with that of the previous quarter.

This report covers the period from:

month \_\_\_\_\_ 2 0 | | | to month \_\_\_\_\_ 2 0 | | |

Company official to contact regarding this form  
(Please print)

Signature

Position

Date

Telephone number

( )

## FOR STATISTICS CANADA USE ONLY

Rec'd:

Captured:

Analyzed:

Edited:

<b>SECTION A – BALANCE SHEET</b>		Balance Sheet Date		
		01		
		year	month	day
<b>ASSETS</b>		Thousands of dollars		
1.	<b>Cash and demand deposits</b> (report term deposits, deposit receipts, debentures and like instruments under item 2)			
1.1	Cash and Canadian currency demand deposits in chartered bank branches in Canada . . . . .	11110		
1.8	Other Canadian currency demand deposits . . . . .	11180		
1.9	Foreign currency demand deposits . . . . .	11200		
2.	<b>Term deposits</b>			
2.1	Bearer deposit notes . . . . .	11620		
2.2	Other term deposits and deposit receipts			
2.2.1	Canadian currency			
2.2.1.1	Chartered bank branches in Canada . . . . .	11631		
2.2.1.9	Other institutions . . . . .	11638		
2.2.9	Foreign currency . . . . .	11680		
3.	<b>Accounts receivable and accrued revenue</b> (before deducting allowance for doubtful accounts; including amounts receivable from clients, brokers and dealers for securities sold and from purchase and resale arrangements; report amounts due from parent, subsidiaries and affiliates in item 4.3) . . . . .	12100		
3.9	Less: Allowance for doubtful accounts . . . . .	12800	(	)
4.	<b>Investment in and claims on parent, subsidiaries and affiliates</b> (before deducting provision for losses-item 14)			
4.1	Cost of shares			
4.1.1	Canadian corporations . . . . .	14110		
4.1.2	Foreign corporations . . . . .	14120		
4.2	Accumulated earnings less dividends received (to be used only by companies employing the equity method of accounting for unconsolidated subsidiaries and affiliates) . . . . .	14200		
4.3	Loans, advances, mortgages, notes, bonds and other claims			
4.3.1	Canadian companies, officers and shareholders . . . . .	14310		
4.3.2	Foreign companies, officers and shareholders . . . . .	14320		
5.	<b>Inventory of securities on hand and to be sold long, at market value</b> (including short-term investments; excluding bearer deposit notes and term deposits - see item 2)	61810		
6.	<b>Long-term investments at amortized cost</b> . . . . .	61600		
7.	<b>Real estate held for income</b> (including properties held for sale; before deduction of accumulated depreciation and encumbrances) . . . . .	18320		
8.	<b>Land and depreciable assets - gross</b> (including real estate and ground rents, machinery, equipment, buildings, leasehold improvements, etc. for own use and vehicles and equipment in the hands of lessees under operating leases; before deduction of accumulated depreciation and amortization, and encumbrances) . . . . .	18310		
9.	<b>Less: Accumulated depreciation on real estate held for income and fixed assets</b> . . . . .	18350	(	)
10.	<b>Intangible assets</b> (net of accumulated amortization) . . . . .	19100		
14.	<b>Other assets</b> (including provision for losses and write-downs of investments) . . . . .	19800		
15.	<b>TOTAL ASSETS</b> . . . . .	<b>10000</b>		

**SUPPLEMENTARY QUESTION: SECURITIES AND INVESTMENTS INCLUDED IN ITEMS 5 AND 6 ABOVE (If amortized cost is not available for securities and investments below, market value would be acceptable)**

		Thousands of dollars		
16.	<b>Canadian securities and investments - non-affiliates, at amortized cost</b> (before deducting provisions or allowances for losses - item 14)			
16.1	Government of Canada treasury bills . . . . .	15110		
16.2	Bankers' acceptances and finance and other short-term paper (with an original term to maturity of less than one year; including provincial and municipal government short-term bills and notes) . . . . .	15120		
16.3	Government of Canada debt . . . . .	15130		
16.4	Provincial and municipal government debt (excluding short-term bills and notes - item 16.2)			
16.4.1	Provincial . . . . .	15141		
16.4.2	Municipal . . . . .	15142		
16.5	Corporate bonds and debentures and (including mortgage bonds; exclude short-term paper - item 16.2)	15150		
16.6	Corporate shares (including share warrants and options) . . . . .	15160		
16.9	Other Canadian investments (including precious metals, gold and silver certificates, commodity options, etc.) . . . . .	15180		
17.	<b>Foreign securities and investments - non-affiliates, at amortized cost</b> (before deducting provisions or allowances for losses - item 14) . . . . .	15200		
18.	<b>TOTAL SECURITIES AND INVESTMENTS</b> (SHOULD EQUAL SUM OF ITEMS 5 AND 6) . . . . .	<b>61700</b>		

SECTION A – BALANCE SHEET - Continued		Balance Sheet Date		
		01	year	month
		Thousands of dollars		
<b>LIABILITIES</b>				
21.	<b>Accounts payable and accrued liabilities</b> (exclude securities sold short - item 23)			
21.1	Clients' free credit balances .....	22200		
21.9	Other accounts payable and accrued liabilities (including amounts payable to clients, brokers and dealers for securities purchased and under repurchase or "buy-back" arrangements; report amounts due to parent subsidiaries and affiliates in item 24) .....	22100		
22.	<b>Income taxes payable</b> (report income taxes recoverable in item 3) .....	23000		
<b>Securities sold short</b>				
23.1	Corporate shares .....	29210		
23.9	Other (please specify) .....	29280		
24.	<b>Amounts owing to parent, subsidiaries and affiliates</b> (including accounts payable, notes, loans, mortgages and bonds)			
24.1	In Canada .....	24100		
24.2	Outside Canada .....	24200		
<b>Borrowing - non-affiliates</b>				
25.1	Loans and overdrafts (exclude subordinated loans - item 36)	25110		
25.1.1	With chartered bank branches in Canada .....			
25.1.9	With others (including capital lease obligations) .....	25180		
25.2	Bankers' acceptances and short-term notes and paper (original term to maturity of less than one year; exclude subordinated debt - item 36) .....	25200		
25.3	Bonds and debentures (include only debts securities offered to the public, and private placements; including mortgage bonds; exclude subordinated debt - item 36) .....	25400		
28.	<b>Deferred income taxes</b> .....	27000		
29.	<b>Minority interest in subsidiaries consolidated in this report</b> .....	28000		
30.	<b>Other liabilities</b> (including unrealized gains and losses on the translation of foreign currency; excluding debt capital - item 37) .....	29800		
35.	<b>TOTAL LIABILITIES</b> .....	<b>61910</b>		
<b>DEBT CAPITAL</b>				
36.	<b>Subordinated debt</b>			
36.1	Chartered banks .....	67110		
36.2	Parent, affiliates and shareholders .....	67120		
36.9	Other subordinated debt .....	67180		
37.	<b>TOTAL DEBT CAPITAL</b> .....	<b>67000</b>		
<b>SHAREHOLDERS' EQUITY</b>				
38.	<b>Share capital</b>			
38.1	Preferred .....	31100		
38.2	Common .....	31200		
39.	<b>Contributed surplus</b> .....	33000		
40.	<b>Appraisal increase credits (debits)</b> .....	34000		
41.	<b>Retained earnings</b> .....	35000		
45.	<b>TOTAL SHAREHOLDERS' EQUITY</b> .....	<b>30000</b>		
49.	<b>TOTAL DEBT CAPITAL AND SHAREHOLDERS' EQUITY</b> .....	<b>61920</b>		
50.	<b>TOTAL LIABILITIES, DEBT CAPITAL AND SHAREHOLDERS' EQUITY</b> .....	<b>39000</b>		
<b>SUPPLEMENTARY QUESTIONS</b>				
A.	<b>Amounts owing to parent, subsidiaries and affiliates</b> (related to item 24 and 36.2)	61405		
	(i) interest bearing debt .....			
	(ii) non-interest bearing debt .....	61407		
B.	<b>Reverse Repurchase Agreements</b> (included in Assets. Item 3) .....	69110	69120	
C.	<b>Obligations Related to Assets sold under Repurchase Agreements</b> (included in Liabilities Item 21.9) .....	69210	69220	

<b>SECTION B - STATEMENT OF RETAINED EARNINGS</b>		Period Covered						
		02	From	Year				
		03	To	Year				
				Month				
				Day				
		Thousands of dollars						
55.	<b>Retained earnings, opening balance</b> .....	38100						
<b>ADD (DEDUCT):</b>								
56.	<b>Net income (loss) for the current period</b> (transfer from item 100) .....	38200						
59.	<b>Other additions (deductions)</b> - please specify major items .....	38700						
<b>DEDUCT:</b>								
60.	<b>Dividends declared</b>							
60.1	Cash - Preferred Shares <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td>38804</td><td></td></tr><tr><td>38806</td><td></td></tr></table> Cash dividends declared - total .....	38804		38806		38810		
38804								
38806								
60.2	Other .....	38880						
70.	<b>RETAINED EARNINGS, CLOSING BALANCE</b> (SHOULD EQUAL ITEM 41) .....	<b>38000</b>						

**SECTION C - INCOME STATEMENT**

		Thousands of dollars	
71.	<b>REVENUE</b> (net of applicable goods and services tax)		
	<b>New issues: Underwriting revenue, trading profits and losses and commissions on placement of new issues</b> (including commissions and consulting fees on short-term paper) .....	41900	
72.	<b>Principal transaction revenue</b> .....	41400	
73.	<b>Brokerage commissions</b> .....	44200	
74.	<b>Interest revenue</b> (please enter total interest revenue in item 74.9 if amounts received cannot be split between Canadian and foreign sources)		
74.1	From Canadian sources (report interest from parent, subsidiaries and affiliates in item 74.1.9)		
74.1.1	Bonds, debentures and notes .....	45100	
74.1.9	Other .....	45800	
74.2	From foreign sources .....	47200	
74.9	<b>TOTAL INTEREST REVENUE</b> .....	78100	
75.	<b>Dividends</b> (exclude dividends from corporations accounted for on the equity basis)		
75.1	From Canadian corporations .....	46000	
75.2	From Foreign corporations .....	47100	
76.	<b>Gains (losses) on the sale of assets</b> (before income taxes, report extraordinary items under item 96.3) .....	48000	
77.	<b>Trading profits and losses on inventories of securities</b> (realized and unrealized, including adjustments to market) .....	78200	
79.	<b>Other revenue</b> .....	49000	
80.	<b>TOTAL REVENUE</b> .....	<b>40000</b>	
<b>EXPENSES</b>			
81.	<b>Depreciation</b>		
81.1	Construction, buildings, structures and leasehold improvements .....	52120	
81.2	Machinery and equipment .....	52130	
82.	<b>Amortization of</b>		
82.1	Intangible assets .....	52310	
82.2	Deferred charges .....	52320	
83.	<b>Interest expense</b> (report interest paid to parent, subsidiaries and affiliates in item 83.9)		
83.1	Clients' free credit balances .....	53230	
83.2	Security inventory positions .....	53300	
83.9	Other .....	53100	
89.	<b>Other expenses</b> .....	55000	
90.	<b>TOTAL EXPENSES</b> .....	<b>50000</b>	
91.	<b>Gains (losses) on the translation of foreign currency</b> (including amortization of foreign exchange gains (losses) on monetary assets and liabilities; exclude unrealized gains and losses on the translation of financial statements of self-sustaining foreign operations - item 30) .....	56100	
92.	<b>Write-offs and valuation adjustments, not classified as extraordinary</b> (report extraordinary items under item 96.3; exclude amounts reported in item 77) .....	56200	
93.	<b>Income (loss) before income taxes</b> .....	<b>58460</b>	
94.	<b>Canadian income taxes</b>		
94.1	Current .....	57100	
94.2	Deferred .....	57200	

<b>SECTION C - INCOME STATEMENT - Concluded</b>		02	Period Covered			
		03	From			
			To			
				year	month	day
		Thousands of dollars				
95.	<b>Income (loss) after income taxes</b> .....	<b>58470</b>				
96.	<b>Other gains (losses)</b>					
96.1	Equity in net income (loss) of unconsolidated subsidiaries, affiliates, joint ventures and partnerships (to be used only if investment carried on the equity basis) .....	58100				
96.2	Minority shareholders' portion of net income (loss) of subsidiaries and affiliates consolidated in this report ..	58200				
96.3	Extraordinary gains (loss) (realized and unrealized; net of income taxes) .....	58300				
100.	<b>NET INCOME (LOSS) (TRANSFER TO ITEM 56)</b> .....	<b>58480</b>				

**SUPPLEMENTARY QUESTIONS – INCOME STATEMENT**

		Thousands of dollars			
A.	<b>Dividends received from corporations accounted for on the equity method and credited to the investment account</b>				
	Canadian .....	75100			
	Foreign .....	75200			
B.	<b>Unusual revenues, expenses, gains/losses from continuing business operations</b> (reported in income statement) .....	74700			
C.	<b>Interest expense on debt owing to parent, subsidiaries and affiliates</b> (reported in item 83.8) .....	74100			
D.	<b>Average number of people employed during the reporting period</b> .....	80003			
E.	<b>Does your enterprise have revenue between divisions or companies that are eliminated upon the consolidation of your accounts?</b> <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes (if yes specify)	40012	Total amount of these eliminations (in thousands of dollars)		

**SUPPLEMENTARY SCHEDULE A: YEAR-END AND PRIOR YEAR'S ADJUSTMENTS**

If this report covers your fourth fiscal quarter and the reported revenues and expenses include year-end adjustments (eg. adjustments from preliminary estimates to actual, or year-end accruals not made in the interim financial statements)

OR

If this report includes adjustments through retained earnings pertaining to the prior year's operations (eg. year-end adjustments of the prior year made after the prior year's fourth quarter report was prepared).

**SPECIFY BELOW THE REVENUE OR EXPENSE ACCOUNTS AFFECTED BY THE ADJUSTMENTS AND THE AMOUNT OF INCREASE OR DECREASE.**

Report only adjustments in excess of \$500 thousand.

ITEM DESCRIPTION	ITEM NUMBER	INCREASE	DECREASE
		Thousands of dollars	