

# User guide NBI Advisor

# Configuration requirements

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*If you are using a different web browser or an earlier version than the ones mentioned below, you may experience difficulties with some functionalities of NBI Advisor. In addition, you will need the « Adobe Reader plug-in » to view the reports.*

## **Browsers and Application**

- Chrome: version 38 or higher
- Internet Explorer: version 9 or higher
- Adobe Reader plug-in: version 7 or higher









## **Screen resolution**

- For registration: 870 pixels in height or more
- For authentication and site navigation: 725 pixels in height or more

If your screen resolution is lower than the required set above, you will not be able to view the page entirely. Therefore, you should reduce the display of the browser window so that all fields are displayed. To reduce the display, click <Ctrl +/-> or <Ctrl> to view all of the information on the same page.

# NBI Advisor – Overview of the different tabs

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- |   |                       |  |
|---|-----------------------|--|
|    | <b>IA Codes</b> 1     | 1. <b>IA codes:</b> If you have more than one IA code you can select one in this section, it can help you refine your search |
|    | <b>Clients</b> 2      | 2. <b>Clients:</b> List of your clients  |
|    | <b>Accounts</b> 3     | 3. <b>Accounts:</b> List of your clients' accounts   |
|    | <b>Portfolio</b> 4    | 4. <b>Portfolio:</b> You can view (for a selected client or account) which securities (funds) are held by the client         |
|    | <b>Transactions</b> 5 | 5. <b>Transactions:</b> You can view the transactions that took place in the client's account since December 31st, 2009      |
|    | <b>Securities</b> 6   | 6. <b>Securities:</b> List of mutual funds and their price   |
|  | <b>Reports</b> 7      | 7. <b>Reports:</b> Allows you to generate various reports  |
|  | <b>Tax Slips</b> 8    | 8. <b>Tax slips:</b> Allows you to access your client's tax slips for the current fiscal year.                               |

# NBI Advisor – Overview of the different boxes

1 IA Codes: All 2 Selection: None 3 Search... 4 5

1. **IA Codes:** If you have selected an IA code, the number of codes selected will appear in this box
2. **Selection:** This box indicates how many clients/accounts/fund codes are selected
3. **Search:** This will help you make a quick search. The information you can search depends on which tab is selected. You can only search for information that is visible in the selected tab (ex: clients, accounts, etc. ...)
4. **User name:** You can update the information in your profile, add/remove representative codes and disconnect from the database
5. **Date:** All of the information in the database are as of the last evaluation date

# What type of information can I find on NBI advisor?

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1. Tax slips
2. Evaluation Report
3. Transaction Report
4. Free Unit Report
5. Systematic Plan Report
6. Trailer Fees Report
7. Holder Report
8. **\*\* New Report: Deferred Sales Charge Report \*\***

*Please note that these reports are available in more than one tab, we will use the Client tab for illustration purposes in the following slides*

# How can I find a Tax slip?

# How can I find a Tax slip?

Tax slips are available from the *Clients* and *Accounts* tabs. **Only one client/account can be selected at a time**, if more than one is selected, the *Tax slips* section will not be available.

1. Click on the *Clients* tab
2. In the « search » box, type in your client's name
3. Select the client by clicking on the checkbox next to their name
4. Click on the « Tax Slips » tab. This will open a tax slips window with two options: no data available or a list of tax slips



IA Codes: All  Selection: None

## Tax Slips

Name :

Fiscal Year :

Type	Status	Account	Symbol	Security	Mailing Status
No data available					

## Tax Slips

Name :

Fiscal Year : 2014

Type	Status	Account	Symbol	Security	Mailing Status
<input type="checkbox"/> T3-R16	Original	Issued			Mailed

5. Select the client by clicking on the checkbox next to their name
6. Click on the « Tax Slips » tab. This will open the tax slips window with two options: no data available or a list of tax slips

*Note: NBI Advisor only offers tax slips for the current fiscal year. In accordance with Canada Revenue Agency (CRA) rules, no T5 tax slip is issued unless the amount of dividends and/or interest totals \$50 or more*

# How can I create an Evaluation report?



# How can I create an Evaluation report?

Evaluation reports are available from the following tabs: *Clients*, *Accounts* and *Portfolio*. You can create more than one report at a time, depending on which tab you have selected.

1. Click on the *Clients* tab
2. In the « search » box, type in your client's name
3. Select the client by clicking the checkbox next to their name
4. Click on « Reports», it will open the following window :
5. Click on “Evaluation Report”
6. Click on “Build this report” and indicate the desired date
7. Click on “Include Graphic” if you wish to do so
8. Select the desired language
9. Click on “OK”



IA Codes: All x Selection: None x

### Clients Reports

▼ **Evaluation Report**

Build this Report  
At:

Include Graphic

▶ **Transaction Report**

▶ **Free Unit Report**

▶ **Systematic Plan Report**

Language:

> CANCEL > OK

# How can I create a Transaction report?

# How can I create a Transaction report?

Transaction reports are available from the following tabs: *Clients*, *Accounts* and *Securities*. You can create more than one report at a time.

1. Click on the *Clients* tab
2. In the « search » box, type in your client's name
3. Select the client by clicking the checkbox next to their name
4. Click on « Reports», and it will open the following window :
5. Click on “Transaction Report”
6. Click on “Build this report”, and select the desired period
7. Select the type of transaction you wish to include in the report (buy, sell, etc.....)
8. Select the desired language
9. Click on “OK”



IA Codes: All  Selection: None

### Clients Reports

- ▶ Evaluation Report
- ▼ Transaction Report
  - Build this Report
    - Start Date:
    - End Date:
    - Buy  Sell  Income  Transfer  Others
- ▶ Free Unit Report
- ▶ Systematic Plan Report

Language:

How can I create a Free Unit report?

# How can I create a Free Unit report?

Free unit reports are available from the following tabs: *Clients* and *Accounts*. You can create more than one report at a time.

1. Click on the *Clients* tab
2. In the « search » box, type in your client's name
3. Select the client by clicking the checkbox next to their name
4. Click on « Reports», and it will open the following window :
5. Click on “Free Unit Report”
6. Click on “Build this report”
7. Select the desired language
8. Click on “OK”



IA Codes: All  Selection: None

### Clients Reports

- ▶ Evaluation Report
- ▶ Transaction Report
- ▼ Free Unit Report
  - Build this Report
- ▶ Systematic Plan Report

Language



# How can I create a Systematic Plan report?

# How can I create a Systematic Plan report?

Systematic plan reports are available from the following tabs: *Clients*, *Accounts* and *Securities*. You can create more than one report at a time.

1. Click on the *Clients* tab
2. In the « search » box, type in your client's name
3. Select the client by clicking the checkbox next to their name
4. Click on « Reports», and it will open the following window :
5. Click on “Systematic Plan Report”
6. Click on “Build this report”
7. Enter the requested information to produce the report
8. Select the desired language
9. Click on “OK”



IA Codes: All [x] Selection: None [x]  [x]

### Clients Reports [x]

- ▶ Evaluation Report
- ▶ Transaction Report
- ▶ Free Unit Report
- ▼ **Systematic Plan Report**

Build this Report

Sort By: Account number [v]

Plan Type: All [v]

Date Type: Start date [v]

Start Date: 2015-08-10

End Date: 2015-09-09

Language: Default [v]

[>] CANCEL [OK]

How can I create a Trailer Fees report?



# How can I create a Trailer Fees report?

Trailer fees reports are available from the *Securities* tab. If you have more than one IA code registered, you must select at least one code before creating this report.

1. (If applicable). Click on the *IA code* tab, select a code, then click on “OK”
2. Click on the *Securities* tab
3. In the « search » box, type in the fund code



4. Select the fund by clicking the checkbox next to the fund code
5. Click on « Reports», and it will open the following window:
6. Click on “Trailer Fees Report”
7. Click on “Build this report”
8. Click on “All records” if applicable
9. Specify the requested period
10. Select the desired language
11. Click on “OK”

*Trailer fees are paid on a monthly basis.*

A screenshot of the 'Securities Reports' window in the National Bank Investments system. At the top, there are three dropdown menus: 'IA Codes: All', 'Selection: None', and a search box labeled 'Search...'. Below this is a dark header bar with the title 'Securities Reports' and a close button. The main content area lists several report types: 'Holder Report', 'Deferred Sales Charge Report', 'Transaction Report', 'Trailer Fees Report', and 'Systematic Plan Report'. The 'Trailer Fees Report' is expanded, showing options to 'Build this Report' (checked) or 'All records'. Below these are two date input fields: 'Start Date: 2017-01-01' and 'End Date: 2017-01-31'. At the bottom left, there is a 'Language' dropdown menu set to 'Default'. At the bottom right, there are two buttons: a red 'CANCEL' button and a grey 'OK' button.

# How can I create a Holder report?

# How can I create a Holder report?

Holder reports are only available from the *Securities* tab.

1. Click on the *Securities* tab
2. In the « search » box, type in the fund code



IA Codes: All  Selection: None

3. Select the fund by clicking the checkbox next to their fund code
4. Click on « Reports» and it will open the following window :
5. Click on “Holder Report”
6. Click on “Build this report”
7. Select the desired language
8. Click on “OK”

A screenshot of the 'Securities Reports' window. The window title is 'Securities Reports' with a close button (X) in the top right. The main content area has a dark header with a dropdown arrow and the text 'Holder Report'. Below this, there is a checkbox labeled 'Build this Report'. Underneath, there are four buttons: 'Transaction Report', 'Trailer Fees Report', and 'Systematic Plan Report', each with a right-pointing arrow. The 'Holder Report' button is highlighted in red.

Language


# How can I create a Deferred Sales Charge report?

# How can I create a Deferred Sales Charge report?

Deferred sales charge reports are only available from the *Securities* tab.

1. Click on « IA Codes » and select at least one code and click on « OK »
2. Click on the *Securities* tab
3. Click on « Reports» and it will open the following window:

4. Click on “Deferred Sales Charge Report”
5. Select “Build this report” and “All records”
6. Select the desired language
7. Click on “OK”



The screenshot shows a window titled "Securities Reports" with a close button (X) in the top right corner. The window contains several report categories, each with a right-pointing arrow icon:

- Holder Report
- Deferred Sales Charge Report (expanded, showing two checked options: "Build this Report" and "All records")
- Transaction Report
- Trailer Fees Report
- Systematic Plan Report

At the bottom of the window, there is a "Language" dropdown menu set to "Default" and two red buttons: "CANCEL" and "OK". A red arrow points to the "Build this Report" checkbox in the "Deferred Sales Charge Report" section.

# Summary

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## Which tab can I use to create a report?

	Clients	Accounts	Portfolio	Securities
Tax slips	✗	✗		
Evaluation report	✗	✗	✗	
Transaction report	✗	✗		✗
Free units report	✗	✗		
Systematic plan report	✗	✗		✗
Trailer fees report				✗
Holder report				✗

# Granting access to assistants of Investment Advisors

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## By Phone:

- When assistants of Investment Advisors call Dealer Services, they need to make sure that the Investment Advisor is available to confirm to the agent over the phone that he/she grants access to the assistant.

## By Email:

- The Investment Advisor must send an email to [Dealer.Services@nbc.ca](mailto:Dealer.Services@nbc.ca) granting access to the assistant for their specific codes. The correspondence must include: the assistant's name, email address as well as his/her dealer code and all the representative codes to be delegated.