

User Guide



Point of Sale Delivery Solution POS3 – Enhancements

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1 OVERVIEW

The InvestorCOM Point of Sale (POS) Delivery Solution is our repository and workflow solution. Designed for advisors delivering Fund Facts and other disclosure documents to investors in compliance with stages 2 and 3 of the "Point of Sale" (National Instrument 81-101 Mutual Fund Prospectus Disclosure) and "CRM2" (National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations) regulations.

You can search for the most recently filed Fund Facts documents and send them to your clients – either electronically, in-person or print and mail. InvestorPOS offers the only repository to contain the complete universe of SEDAR-filed and approved Fund Facts documents, available on both an individual subscription basis to advisors or on an enterprise basis to dealers.

Advisors can securely store their client contact information and track all Fund Facts delivery orders. The InvestorPOS system maintains an audit trail of all delivery activity to clients – whether delivered electronically, print/mail or printed and hand delivered in-person to the client in the advisor's office or branch.

Key Features:

- Contains over 100,000 mutual Fund Facts & ETF Facts from 120+ Asset Managers;
- Simple, intuitive end user interface for search and delivery of Fund Facts documents;
- System automatically creates a personal quick list – the Fund Facts that you use the most.

Benefits:

- Productivity – find all Fund Facts on one site, with advanced search capabilities;
- Leverage e-delivery convenience while providing print/mail or print/in-person options as well
- Compliant reporting and audit trail of all Fund Facts delivery activity.

2 USER GUIDE

2.1 Logging In

Sign in using your email address and password created at the time of registration. If you have not been provided with these credentials, please refer to your branch representative for assistance.

Investor | POS
Simple. Compliant. Point of Sale.

[You have 0 items in your Cart](#)

Email Address Password **SIGN IN**

[CRM2](#) | [Register](#) | [Help](#) | [Français](#)

February 24, 2016 [About Us](#)

Search Documents Delivery and Investor Info Confirm and Send

FundSERV code, Document Name, CUSIP, etc. **GO**

Having trouble finding what you're looking for? Try [Advanced Search](#)

Enter email address and password here

2.2 Resetting a Password

Click on *Edit My Profile* from the menu at the top of the page. Your profile details will load. Click on *CHANGE PASSWORD* at the bottom of the page:

Investor | POS
Simple. Compliant. Point of Sale.

You have 0 items in your Cart
Welcome, Elyse Hein | [Sign Out](#)

[CRM2 Tips](#) | [Edit My Profile](#) | [Compliance Reporting](#) | [Help](#) | [Français](#)

February 24, 2016 [About Us](#)

Search Documents | **Delivery and Investor Info** | Confirm and Send

Your Personal Information

Your personal information is displayed below.

First Name *	Last Name *	Designation
<input type="text" value="Elyse"/>	<input type="text" value="Hein"/>	<input type="text" value="Client Services"/>
Company Name		
<input type="text" value="InvestorCOM"/>		
Address 1 *	Address 2	
<input type="text" value="67 Yonge St"/>	<input type="text" value="Suite 700"/>	
City *	Postal Code *	
<input type="text" value="Toronto"/>	<input type="text" value="M5E 1J8"/>	
Province/State *	Country *	
<input type="text" value="Ontario"/>	<input type="text" value="Canada"/>	
Phone Number	Email Address *	
<input type="text" value="519.805.4918"/>	<input type="text" value="ehein@investorcom.com"/>	

Language Preference: English French

Enter BCC email below for electronic deliveries.

Would you like an email confirmation when documents are sent?

The page will refresh and request you enter your current password and new password. Click on **SAVE** once complete.

Your Password

Fill out the information below to change your password.

Password successfully changed.

Current Password *

New Password *

Confirm Password *

SAVE your changes to continue

Once saved, a confirmation message will appear

Enter old / new credentials

2.3 Modifying Advisor Information

Click on *Edit My Profile* from the menu at the top of the page. Your profile details will load and you can make any modifications necessary.

Investor | POS
Simple. Compliant. Point of Sale.

You have 0 items in your Cart
Welcome, Elyse Hein | [Sign Out](#)
[2 Tips](#) | [Edit My Profile](#) | [Compliance Reporting](#) | [Help](#) | [Français](#)

February 24, 2016 [About Us](#)

Search Documents | **Delivery and Investor Info** | **Confirm and Send**

Your Personal Information

Your personal information is displayed below.

First Name *	Last Name *	Designation
<input type="text" value="Elyse"/>	<input type="text" value="Hein"/>	<input type="text" value="Client Services"/>
Company Name		
<input type="text" value="InvestorCOM"/>		
Address 1 *	Address 2	
<input type="text" value="67 Yonge St"/>	<input type="text" value="Suite 700"/>	
City *	Postal Code *	
<input type="text" value="Toronto"/>	<input type="text" value="M5E 1J8"/>	
Province/State *	Country *	
<input type="text" value="Ontario"/>	<input type="text" value="Canada"/>	
Phone Number	Email Address *	
<input type="text" value="519.805.4918"/>	<input type="text" value="ehein@investorcom.com"/>	

Language Preference: English French

Enter BCC email below for electronic deliveries.

Would you like an email confirmation when documents are sent?

SAVE **CHANGE PASSWORD**

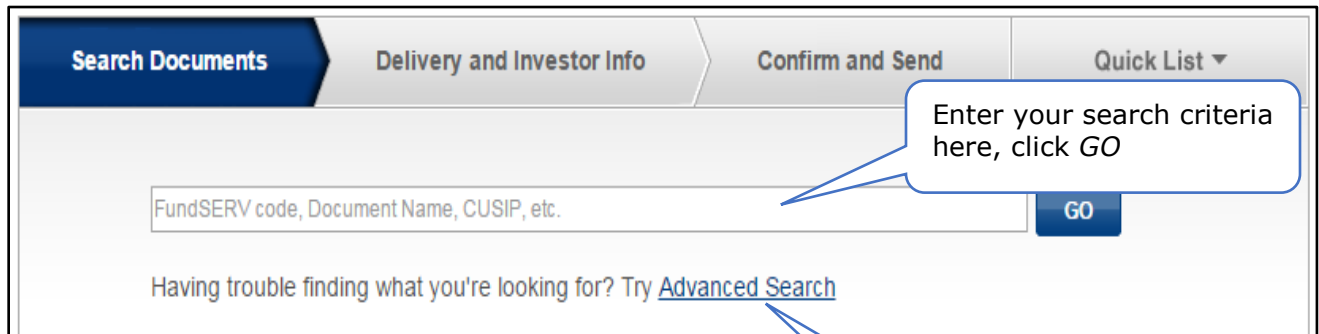
Click *Edit My Profile*

Edit your Personal Information here

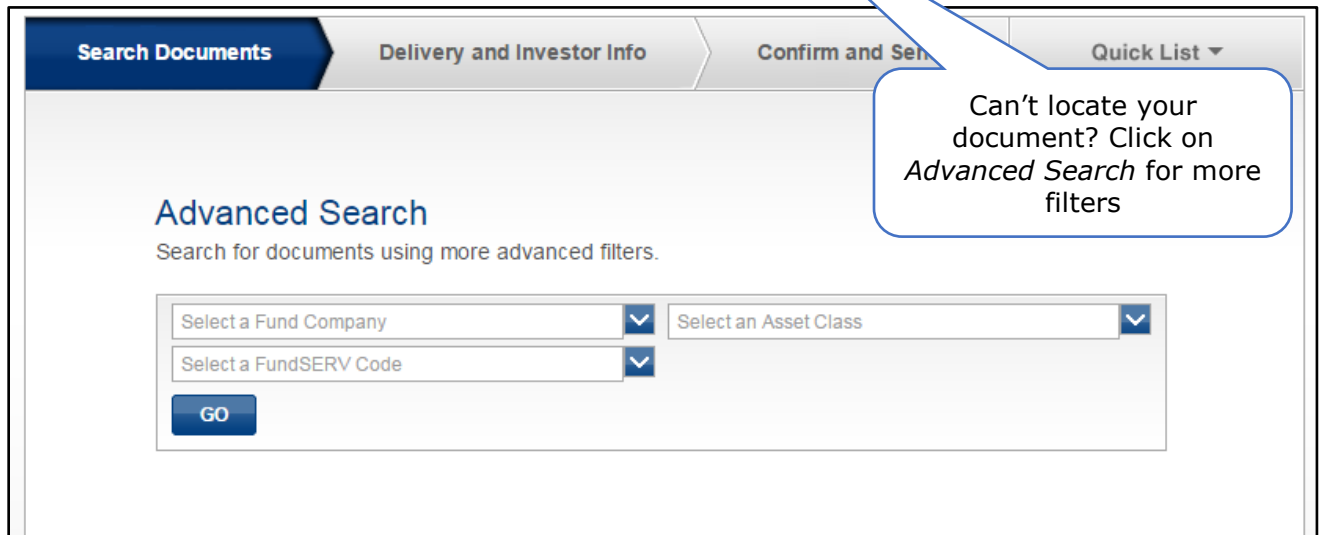
SAVE your changes to continue

2.4 Searching and Selecting Documents

Searching for documents is easy; search by FundSERV Code, Fund Name, CUSIP, etc... If you are unable to find what you're looking for by using the quick search, you can try the Advanced Search option using more advanced filters. Once you've located the document(s) required, select it and add to your cart. Upon making your selection and adding to your cart, a checkout screen will appear. You have the opportunity to check out, or add more documents;



The screenshot shows the top navigation bar with four tabs: "Search Documents" (active), "Delivery and Investor Info", "Confirm and Send", and "Quick List". Below the navigation is a search input field with the placeholder text "FundSERV code, Document Name, CUSIP, etc." and a blue "GO" button. A callout box points to the input field with the text "Enter your search criteria here, click GO". Below the input field is a link that says "Having trouble finding what you're looking for? Try [Advanced Search](#)".



The screenshot shows the "Advanced Search" page. The navigation bar is the same as in the previous screenshot. The main heading is "Advanced Search" with the subtext "Search for documents using more advanced filters." Below this is a form with three dropdown menus: "Select a Fund Company", "Select a FundSERV Code", and "Select an Asset Class". A blue "GO" button is located at the bottom left of the form. A callout box points to the "Advanced Search" link from the previous screenshot with the text "Can't locate your document? Click on *Advanced Search* for more filters".

Search Documents
Delivery and Investor Info
Confirm and Send
Quick List ▾

GO

Having trouble finding what you're looking for? [Click here for help](#)

Mutual Fund Facts

ADD TO CART

Fund Name	FundSERV Code(s)	Language	Select All
Fidelity American Balanced Fund Series E1	FID4120 FID4149	English	<input checked="" type="checkbox"/>
Fonds Fidelity Équilibre Amérique Série E1	FID4120 FID4149	French	<input type="checkbox"/>

Displaying 1-2 of 2

ADD TO CART

Select the Document you require and click **ADD TO CART** to continue

ADD TO CART

CHECKOUT or, if desired, ADD MORE DOCUMENTS

✕

You have selected the following document(s) to be sent your investor(s). Please proceed to checkout.

Documents

Fidelity American Balanced Fund Series E1	Remove
	✕

* Please preview documents to ensure correct documents are selected

ADD MORE DOCUMENTS
CHECKOUT

2.5 Adding New Investors

Once you have added your document(s) to your cart, you can specify the investor(s) to whom you wish to send documents. You have the option of selecting from your Address Book, or adding a new investor. To add a new investor to your list, complete all required fields marked with (*), click on *Add another client identifier* if desired, then click *ADD* to add the investor to your list; it will now populate on the right under *My Investor List*. Click *Next* to continue.

Select Investors

Specify the investor(s) to whom you wish to send documents.

Investor information is strictly confidential and is used for delivery of documents only. Please refer to InvestorPOS [privacy policy](#) for further information.

Complete the information below to send documents.

SELECT FROM ADDRESS BOOK

Delivery Method

Email ? In-Person ? Mail ?

First Name - Recipient*

Last Name - Recipient*
Company Name
Email *
Confirm Email *

ADD

Use "Add" to add investor to your "Investor List".
Please note you can add multiple investors to each delivery event.

My Investor List

No recipients selected

When finished selecting investor, click "Next".

NEXT

Select your preferred delivery method

Enter mandatory fields, click on *Add another client identifier* if desired and click *ADD* to complete

NEXT to continue

2.6 Searching and Selecting Investors

Search for an existing investor in your Address Book. If you have previously entered a delivery order for your investor, their information is automatically saved. You are able to select the investor from your Address Book. Click on *Select From Address Book* and place a checkmark beside the investor you wish to send documents to. Upon making your selection, click on *ADD SELECTED TO MAILING LIST* to continue.

Select Investors

Specify the investor(s) to whom you wish to send documents.

Investor information is strictly confidential and is used for delivery of documents only. Please refer to InvestorPOS [privacy policy](#) for further information.

Complete the information below to send documents.

Click *SELECT FROM ADDRESS BOOK*

SELECT FROM ADDRESS BOOK

Delivery Method

Email ? In-Person ? Mail ?

First Name - Recipient*

Last Name - Recipient*

Company Name

Email *

Confirm Email *

Add another client identifier

ADD

Use "Add" to add investor to your "Investor List".
Please note you can add multiple investors to each delivery event.

My Investor List

No recipients selected

When finished selecting investor, click "Next".

NEXT

Address Book

Search by First Name, Last Name, Address, Client Identifier **SEARCH**

Delivery	Name	Address	Client Identifier	Email	
<input type="checkbox"/> Email	test 1	n/a		test1@investorcom.com	<input type="checkbox"/>
<input type="checkbox"/> Email	test 2	n/a		test2@investorcom.com	<input type="checkbox"/>
<input type="checkbox"/> Email	test 3	n/a		test3@investorcom.com	<input type="checkbox"/>
<input type="checkbox"/> Email	test 4	n/a		test4@investorcom.com	<input type="checkbox"/>
<input type="checkbox"/> Email	test 5	n/a	555555	test5@hotmail.com	<input type="checkbox"/>
<input type="checkbox"/> Email	test 6	n/a		test6@gmail.com	<input type="checkbox"/>
<input type="checkbox"/> Email	test 7	n/a		mjean@investorcom.com	<input type="checkbox"/>
<input type="checkbox"/> Email	test 8	n/a		test8@gmail.com	<input type="checkbox"/>

Displaying 1 - 8 of 8

ADD SELECTED TO MAILING LIST

CLOSE

Select your investor and delivery method

Click the rolodex card to edit your investor's profile OR click the 'X' to delete the investor from your address book.

Once selection is made, click ADD SELECTED TO MAILING LIST

SELECT FROM ADDRESS BOOK

Delivery Method

Email In-Person Mail

First Name - Recipient*

Last Name - Recipient*

Company Name

Email *

Confirm Email *

ADD

Use "Add" to add investor to your "Investor List". Please note you can add multiple investors to each delivery event.

My Investor List

Exception

Investor Name	Delivery Method	
4, test	Email	<input type="checkbox"/>

Once your selection is made, investor information will populate in your Investor List

2.7 Tracking an Exception

Upon selecting the investor you wish to deliver documents to, you have the option to log and track an exception. Simply click on the *Exception* option and select your reason from the drop-down menu.

The screenshot displays a web form for adding an investor. On the left, there is a 'SELECT FROM ADDRESS BOOK' section with a 'Delivery Method' section containing radio buttons for 'Email', 'In-Person', and 'Mail'. Below this are input fields for 'First Name - Recipient*', 'Last Name - Recipient*', 'Company Name', 'Email *', and 'Confirm Email *'. A button labeled 'Add another client identifier' is present. At the bottom of this section is a blue 'ADD' button and a note: 'Use "Add" to add investor to your "Investor List". Please note you can add multiple investors to each delivery event.' Below the form is the instruction: 'When finished selecting investor, click "Next".'

On the right, the 'My Investor List' section has a checked 'Exception' checkbox. Below it is a dropdown menu with the following options: 'Please select one', 'Please select one', 'Verbal Disclosure', and 'Exception2'. A callout bubble points to the dropdown menu with the text: 'Select *Exception* and choose an option from the drop-down menu'. At the bottom right of the form is a blue 'NEXT' button, with a callout bubble pointing to it that says: 'NEXT to continue'.

2.8 Reviewing the Order Summary



The *Summary of Order* is where you are able to review and finalize your order. If all appears as it should, click *PROCESS* to proceed with the delivery.

Summary of Order

Please finalize the details below. You can make additional changes to your order before it is processed.

**Please preview documents to ensure the correct documents are being sent. Quantity is not relevant to email and in-person orders.*

Investors: All of the following investors will be sent the documents above.

Edit	Investor Name	Delivery Method	Remove	Exception	Total Price
	4, test Documents	Email		Verbal Disclosure	\$0.00
	Fidelity American Balanced Fund Series B		Delivery Required	<input checked="" type="checkbox"/>	

Subtotal	\$0.00
Applicable Taxes	\$0.00
Total	\$0.00

PREVIOUS PROCESS Cancel

2.9 Submitting an Order

Once you have processed your order, a confirmation page will appear. Additionally, if you have opted to have an email confirmation when documents are sent (this option is found in *Edit My Profile*), it will be electronically sent within a few minutes. Here you can select whether or not CRM2 Fee Disclosure was completed, add notes if desired, or search for new documents.

The screenshot shows the 'Confirm and Send' step of the order submission process. At the top, there are three navigation tabs: 'Search Documents', 'Delivery and Investor Info', and 'Confirm and Send' (which is highlighted in dark blue). Below the tabs, the main content area displays a confirmation message: 'Thank you for your order' followed by 'Your order has been processed.' and 'An email will be sent to your email account for your records.' There are three callout boxes with blue borders and white text: 1) A callout pointing to a checkbox labeled 'CRM2 Fee Disclosure Completed for all Recipients' with the text 'Select this option if CRM2 Fee Disclosure was completed'. 2) A callout pointing to a dark blue button labeled 'SEARCH FOR DOCUMENTS' with the text 'Click SEARCH FOR DOCUMENTS to start a new delivery order'. 3) A callout pointing to two blue hyperlinks, 'Click here to add notes' and 'Click here for more CRM2 details', with the text 'Click here to add notes to your delivery order'.

2.10 Creating Reports

Compliance Reporting shows a detailed list of all processed orders. By clicking on the small arrow at the the side of the order number, a snapshot of the order will display outlining all information. You can sort your report by any of the filters, and export for your records.

Compliance Reporting
Please allow 5 minutes for a delivery transaction to register in compliance reporting.

REMOVE FILTERS
EXPORT TO CSV

Drag a column header and drop it here to group by that column

Order Number	Delivery Type	Delivery Date	First Name	Last Name	
▼ 265681	Email	02-26-2016	test	4	

Copy Order

Email: test4@yahoo.ca
 Client Identifiers: 444444
Delivery Status: The email failed to deliver to the recipient
 Opened Status: Email not opened yet
 CRM2 Status: Fee disclosure not completed
 CRM2 Fee Disclosure Completed
[Click here to add notes](#)

Delivered Documents

Documents	Viewed Status
Fidelity American Balanced Fund Series B Fund Serv Code	Document not viewed yet FID2958,FID2974,

▶ 265453	Email	02-25-2016	test	7	777777
▶ 265446	Email	02-25-2016	test	8	888888
▶ 265394	Email	02-24-2016	test	1	111111;dtech01;e
▶ 265323	Email	02-23-2016	test	3	333333
▶ 265322	Email	02-23-2016	test	2	222222
▶ 265270	Email	02-22-2016	test	1	111111;dtech01;e
▶ 265269	Email	02-22-2016	test	1	
▶ 265268	Email	02-22-2016	test	1	111111
▶ 265254	Email	02-22-2016	test	8	888888
▶ 265253	Email	02-22-2016	test	7	777777
▶ 265252	Email	02-22-2016	test	6	666666
▶ 265251	Email	02-22-2016	test	5	555555
▶ 265250	Email	02-22-2016	test	4	444444
▶ 265249	Email	02-22-2016	test	3	333333

⏪ ⏩ 1 2 3 4 5 6 7 8 9 10 ... ▶ ▶▶
Page size: 15 219 items in 15 pages

Click **EXPORT TO CSV** for an exported copy of your report

3 CUSTOMER SUPPORT

3.1 Common Support Requests

Following are a number of FAQs related to our document delivery solution, InvestorPOS.

1. **Does the InvestorPOS repository contain all Fund Facts documents in Canada?**

Yes, our repository contains all Canadian mutual fund regulatory Fund Facts documents & ETF Facts documents that have been filed through SEDAR. Unlike SEDAR where fund companies file the documents as large, multi-document PDFs, the documents are stored in our repository as single PDF documents and tagged with appropriate metadata for searching ease. Our repository may not contain all documents on a mutual fund company's web site, if those documents were not filed on SEDAR.

2. **Does the InvestorPOS repository contain all Exchange-Traded Fund (ETF) Facts Documents in Canada?**

Yes, the repository contains all ETF summary disclosure documents.

3. **How often are documents updated?**

The Canadian regulation currently requires all fund companies to file updated documents on SEDAR on an annual basis, or more frequently if there is a material change to the underlying mutual fund. Documents are updated regularly in the InvestorPOS repository as they become available through SEDAR.

4. **Am I required to deliver a Fund Fact to my client?**

The Canadian regulators have announced that as of May 30, 2016 and as part of Stage 3 of the Point of Sale regulation, Fund Facts must be delivered to investors in lieu of prospectus and prior to the order submission (buy) of the mutual fund purchase.

5. **Is the InvestorPOS website secure?**

InvestorPOS understands that the confidentiality, integrity, and availability of our customers' information are vital to their business operations and our own success. We use a multi-layered approach to protect that key information, constantly monitoring and improving our application, systems, and processes to meet the growing demands and challenges of security..

6. **I cannot find the documents I am looking for. What should I do?**

The InvestorPOS repository contains all Canadian Mutual Fund Facts and ETF summary disclosure documents filed on SEDAR. If you are unable to find a document, try searching by FundSERV (for Fund Facts) or CUSIP (for ETFs) code, fund name, fund company or asset class. Advanced Search page can be accessed by clicking on "Advanced Search" on home page.

7. When will my order be delivered?

For the vast majority of email orders, the time between clicking “Process” to the time the order lands in the investor’s inbox is often a matter of seconds or minutes. Sometimes, though, an email doesn’t get to someone’s inbox when you might expect it to. Delays in email delivery can be caused by a variety of factors including but not limited to bandwidth at the ISP or recipient mail server, temporary DNS issues, heavy internet traffic in the region, etc. InvestorPOS’ compliant reporting includes a feature that enables the user to track when emails have been sent and opened. If the document is sent via regular mail, the order leaves our production facility within 24 hours and may take up to 7 business days to arrive, depending on where the order is being delivered per Canada Post delivery standards.

8. How do I use the Quick List feature?

To use this feature simply login to the site and click on the “Quick List” button. Documents appearing on the list are based on your own usage and delivery activity. Select the documents you would like to send and click “Add to Cart”. You may add more documents or click on the “Delivery and Investor Info” button to checkout.

9. Is the InvestorPOS repository available with a French user interface?

Yes, you can click on the “Français” button in the top right corner of the home page and the language will change to French. Documents are also available in French and availability of French documents is dependent on the fund company filing in both languages.

10. Can I view my order history?

Yes, once you sign in you can click on the “Compliance Reporting” link at the top right of the home page to see all delivery events. A list of orders that you have placed will appear here, with the most recent order at the top of the page. You can then choose your order number by clicking on the arrow on the left side of the order number. Compliance reporting for that order will be displayed. You may also filter these searches by any of the fields that appear at the top of the report.

11. How do I remove the watermark from the Fund Facts PDF documents that appear in the application?

All documents display a watermark when viewed prior to delivery. Once you place the order to deliver the documents, the watermark is removed from the document. The watermark is used to ensure that the delivery process is completed in compliance with POS Stage 3 requirements.

12. Where are the email orders sent from?

The email orders are sent from InvestorPOS’ secure mail servers. For investors receiving a document delivery email, the “from” field in the email order sent by InvestorPOS is donotreply@investorcom.com. If this email is being blocked by the investor’s email provider, you may need to ensure that this email address is added to their safe senders’ list with their service provider to confirm the email will be received in their inbox. If in your

advisor profile on InvestorPOS you have requested that an email confirmation is sent to you when documents are sent to the investor, you may need to ensure donotreply@investorcom.com is added to your safe senders' list with your service provider to confirm the email will be received in your inbox.

13. As an asset manager, is there a cost to offer my company's documents in the InvestorPOS repository?

There is no cost to the asset manager for having documents included in the InvestorPOS repository. Our site contains all Canadian mutual fund Fund Facts documents and ETF Facts summary disclosure documents that have been filed with SEDAR.

14. How do I add an address to my Address Book?

When you place an order on InvestorPOS, the delivery address will automatically be saved in your Address Book.

15. How long is address information kept in the Address Book?

Address information for your documents deliveries is maintained in the system securely for as long as you choose. You are able to add, delete or edit address information at any time.

16. Who do I contact to discuss InvestorPOS solutions for my company?

You may email InvestorPOS at info@investorcom.com to request more information about InvestorPOS solutions for your company, or visit www.InvestorCOM.com.

17. How are the taxes calculated on my order?

For all goods and services provided online, sales taxes are charged based on the home province of the order placer.