

WFG Dealer Connect

Who are we?

The WFG Dealer Connect team is proud to have been providing Back Office Administration for WFG since 2002. WFG Dealer Connect is a part of FundEX Investments Inc. and the team's sole focus is on providing excellent service for the WFG line of business and its advisors. The main areas of responsibility are Business Processing and Client Services.

WFG DC – Key Responsibilities

Business Processing/Settlements

WFG Dealer Connect (WFG DC) is responsible for processing mutual fund and segregated fund trades received by the Approved Person (AP). Trades are processed on the back office system Winfund/W.Connect which are sent electronically to the fund companies via Fundserv. W.Connect is a great tool that is available to all APs with assets, and should be used to assist the AP with the follow up of transactions. Once the trade is processed, WFG DC will “settle” the trades with the appropriate fund companies by sending any required documents and funds.

Reconciliation/ Data integrity

WFG DC is also responsible for ensuring the accuracy of data on Winfund. If data discrepancies between Winfund and the fund companies are identified, you may contact WFG DC for assistance in getting the discrepancy corrected.

Submitting Business

All mutual and segregated fund trades and supporting documents must be submitted directly to WFG DC for processing. Prior to submitting documents, you should ensure everything is fully completed, in good order.

All non-financial requests to have client information updated should be submitted on a signed client change form, all updates will be completed by WFG DC.

Although the majority of documents must be submitted to WFG DC via courier, faxing is permitted for redemptions and switches only. Fax wire order forms can be found on W.Connect & WFG Online. You can also contact WFG DC for further clarification.

For Transfers, all original documents should be submitted to WFG DC via courier for processing. The documents will be processed once they have been approved by the RBM. The original transfer form along with the approved copy will be sent out to the relinquishing company for processing. The Trade ticket, KYC, and a copy of the transfer (clearly indicated as a copy), attached to any applicable original applications will then be sent to the receiving

company.

Regional Branch Managers

WFG has a regional branch manager (RBM) supervisory structure. The RBM's are WFG employees located at the WFG Head office and all provinces are under RBM supervision. All documents need to be sent directly to WFGDC for processing, they should not be sent to the RBM's directly and should only be submitted once to avoid duplication. Once they are received they will be added to the RBM review queue. Trades and non-financial updates will be processed by WFGDC while they are being reviewed by the RBM's. For leveraged trade the documents will be first be reviewed by the RBM's and once approved will then be reviewed by WFG Compliance for approval before being processed. If the trade is not approved or the RBM's require additional information a delay notice will be sent to the AP.

Delays in Processing

If documents are received and are not in good order, these trades may be delayed if we are unable to proceed. These types of delayed trades are referred to as Delay in Processing (DIP). Once a trade has been delayed by WFG DC, a notification will be sent to the AP. If a response is not received and the DIP has not been corrected, the documents will be mailed back to the branch office. Common reasons for a DIP are incomplete forms, missing documentation and unclear trading instructions. In order to avoid these delays you should always review your documents for potential issues to ensure they are corrected prior to submitting your business to WFG DC.

Cheques

- All cheques must be payable to "WFG Securities" for Mutual fund Dealer 9960 and "World Financial Group Insurance Agency of Canada Inc" for Seg Fund Dealer 3057 with the exception for B2B 2/1 and 3/1 loans; the cheque must be made payable to B2B Bank
- Post-dated cheques are not accepted
- Cheques that are worth \$250,000 and over must be certified by the bank that the cheque is issued from
- 3rd party cheques will only be accepted if accompanied by a 3rd Party Determination Form
- Counter cheques which are client cheques with no pre-printed address or client information will not be accepted.

Fund Code Discrepancies

When submitting business, please ensure that the fund codes and fund names correspond on the trade ticket. Trades are processed using the fund codes only (fund names are not verified). If there is a discrepancy between the fund code and the fund name, we will process the trade using the fund code. Also ensure that the fund codes on the trade ticket and the fund company application correspond. If there is a discrepancy between the trade ticket and the fund company application, we will process the trade using the fund code on the trade ticket. Any reversals or adjustments of trades due to these discrepancies will be the representative's responsibility.

Intermediary Accounts – B2B Bank

Often times, clients have money available in their cash account to initiate purchases. We ask that when you fill out trade tickets for such purchases that you provide us with an exact dollar amount. We cannot process a purchase for 100% or the Total amount of the cash account. Therefore, prior to sending in your trade tickets, please confirm the amount available in your client's cash account and indicate this amount on the trade ticket.

When a notification is received by the representative indicating money has come into the cash account and a trade is to be processed, these notifications must be sent to WFG DC with trade instructions in order to have the trade processed.

In order to avoid any delays we would also ask that you fill out the Intermediary trade ticket and clearly indicate the Intermediary name and account number on all documents submitted.

Follow-Up On Transactions

W.Connect should be utilized by the AP to follow up on their clients' transactions.

Although WFG DC does have various quality control measures in place to ensure successful placement and settlement of transactions; the ultimate responsibility to confirm that transactions are processed as intended by the advisor and the client resides with the representative. Transaction follow-up is not only a compliance requirement, but it provides a value-added service to your clients and could ultimately protect you from exposure to trade losses.

As it is the advisor's responsibility to follow up on client transactions, advisors have 10 business days to report any WFG DC processing errors. WFG Dealer Connect will then have the transaction corrected and assume all potential losses. However, if the advisor does not follow up on client transactions and the error is not caught within this timeframe, the potential losses incurred to have the trade corrected will then be the advisor's responsibility.

Call Centre/ Problem Resolution

WFG DC has a client service team that should be your first point of contact for questions about your mutual fund or segregated fund transactions. Client services will also be able to assist you with a variety of issues such as processing procedures, LOI requests, Delays in Processing, and W.Connect navigation.

Account Inquiries & Problem Resolution

The WFG DC client services team is here to assist you with any issues you may have with your clients' transactions. Client services can be reached by phone or email between 8:30 am and 5:00 pm EST. We ask that when you send an email to service@wfgdc.com, that you please remember to include the following:

- Representative Name and Number
- Who do we contact regarding the account inquiry?
- Fund Company/Intermediary Account Number
- Fund Codes

- Wire Order Number(s) – if applicable
- Date of Transaction(s)
- Description of Problem

As all representatives with assets now have access to W.Connect, checking W.Connect prior to contacting us may help eliminate the need for an inquiry.

W.Connect

W.Connect is WFG Canada's investment portal that gives advisors 24/7 Access to real time client information and statements. It provides account information for Mutual fund and Segregated fund accounts held under WFG Advisors. The site is accessible through the wfg-online.com website, and only requires a single login. Advisor access to the site is read only. The site provides a lot of tools to assist the advisor:

- Client reports and statements – the advisor can generate several different types of reports right from the site
- Pre-printed forms – there are a number of forms and applications that can be pre-filled with client information
- Fund company forms and application – There are blank forms and applications from WFG and various fund companies available.

The site is great place to start following up on your clients transactions.

W.compliance | W.access | Français | Sitemap | Help | Logout

WFG | World Financial Group
PROUD TO BE DIFFERENT

May 20, 2014

MY CLIENTS | REPORTS | APPS & FORMS | RESOURCES | NEWS | SETUP

Home > My Clients > Account Management

MY CLIENTS

First Name * Last Name SIN Home Phone

File ID Status Dealer Advisor

Client ID Plan ID Use Advanced Search

Total clients found: 0

Name	Client ID	File ID	Status	Home Phone	Address
1/1					

Account Management

- New Client
- Edit Client
- Plan
- Investments
- Term Deposit
- Fixed Income
- Insurance
- Notes
- Client Documents
- Transaction Application Grouping
- Pre-filled Generic Apps & Forms
- Pre-filled Fund Company Apps & Forms

Trading

Account Maintenance

How to reach us

Address:
400 Applewood Crescent
3rd Floor
Vaughan, Ontario
L4K 0C3

Phone: 905-479-3907
Toll Free: 1-877-59WFGDC (877-599-3432)
Fax: 1-800-922-7740
Email: service@wfgdc.com
Hours of Operation: 8:30 am to 5:00 pm EST.