

# USER GUIDE

## BOND TRADER SYSTEM



**TAILOR-MADE**  
SOLUTIONS AT YOUR SERVICE







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# INTRODUCTION

The Industrial Alliance Securities Bond Trader system is a web-based transactional bond platform. This platform allows you to transact (buy/sell) fixed-income products. The system is set up for four types of users:

1. Internal Industrial Alliance Securities Investment Advisors
2. External Dealers (admin or non-admin functions)
3. Money Managers
4. Industrial Alliance Securities Traders

Before executing a transaction, you will access the order entry screen where you will be able to prefigure your buy or sell order with the client price, the yield, the commission (if any), the nominal face value and the total disbursement amount. Also, you will be able to allocate the transaction to a specific account.

## MAIN FEATURES

- Order entry screen
- Description page by security
- Multiple sort feature
- Favorites section
- Security search engine
- Order search engine
- Order export function
- Trading basket with multiple allocations



## MAIN TABS

### INVENTORY

Section used to submit an order.

- Category** To execute an order (buy/sell), you must access an inventory sheet shown under one of the main categories (Money market, Federal, Provincial, Municipal, Corporate or Coupon/Residual).
- Favorites** Each security can be added to the Favorites section simply by clicking on the star beside the CUSIP. The star will be blacked in once added.
- Search** You can also access a search engine to find a specific bond or a specific selection by entering different criteria.

### ORDERS

All orders can be monitored or found in this section under their respective status.

- Pending** All orders not yet filled
- Filled** All filled orders
- Rejected** Orders rejected before they are filled
- Cancelled** Orders cancelled after they are filled
- Search** You can also access a search engine to find specific orders or a specific selection of orders by entering different criteria
- Export orders** You can export all or a number of orders to Excel

### BASKET

Section used to submit several orders at the same time for one or more securities/accounts. All orders have to be prefigured in Excel before pasting them into the Basket section.

- Amount** If a commission is required, it can be entered by amount
- Price markup** If a commission is required, it can be entered by price markup
- Commission not built in** If a commission is required, it must be checked and a commission amount must be provided
- Validate** Next step before submitting multiple orders at the same time

### MORE

- Calculator**
- Calendar**



## REQUESTING A LOGIN

In order to create a user, the following information is required:

- First name
- Last name
- Phone number
- Email address
- Firm name

**Once we have received the information, we will create a user name and temporary password.**

**Once a login has been created, an email will be sent to you with your login details.**

Our platform works best with the Chrome browser, which you can download using the following link:

<https://www.google.com/intl/en/chrome/browser/>

You can access our system using the following link: <https://portal.iagto.ca/>

## LOGGING INTO THE SYSTEM

Once you have received your user name and your temporary password, just follow the link indicated in the email:

<https://portal.iagto.ca/>

### Sign-in page

**Sign in**

ID

Password

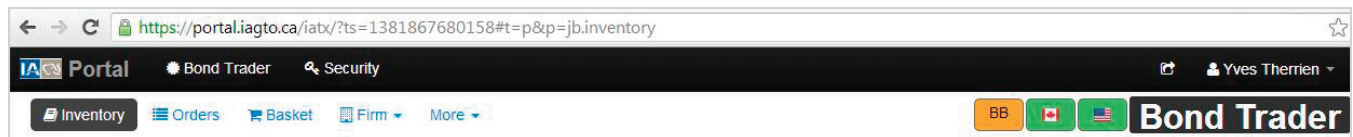
☐ Remember my ID

In order to access the system, your user name and your temporary password will be required. Upon your initial login, you will be asked to change your temporary password. The system will also require setting up three security questions. You will be required to answer one of these questions every time you log into the system.

Once this step is completed (creating your own password), you will be invited to log back into the system with your user name and your new password.



## MAIN MENUS AND TIPS



### MAIN MENU FOR ALL TABS

The main menu is always at the top of the page, no matter where you are in the system. The inventory page is the default page you will see when logging into the system for the first time.

If you click on your name in the top right corner of the main menu, you will be able to:

1. Change the language
2. Change your password
3. Set as start page (from any page, just click on 'Set as start page' to select it as the page you would like to start with when logging in)
4. Sign out

### HOW TO USE THE MULTIPLE SORT FEATURE

You can use the multiple sort feature anywhere in the system by following these steps:

For example, if you select Provincial under the Category tab in the Inventory main tab:

#### Step 1

#	★	CUSIP	Issuer	Coupon	Maturity / Call date *	Bid qty	Bid yield	Bid price	Offer price	Offer yield	Offer qty
1	☆	803854JD1	PROVINCE OF SASKATCHEWAN	4.9	2013-12-03	250,000	1.13	100.465	100.475	1.05	1
2	☆	563469EY7	MANITOBA (PROVINCE OF)	5.05	2013-12-03	500,000	1.15	100.481	100.501	1	20
3	☆	31739ZAC9	FINANCEMENT QUEBEC	4.25	2014-03-01	500,000	1.09	101.166	101.203	0.99	50

**Note:** The default sort is by maturity date. Please note the arrow indicator. Sort is ascending when pointing up, descending when pointing down.





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Click on any heading to sort by that heading. Click again on the same heading to switch from ascending to descending, or vice versa.

As step 2, if you want to sort first by Issuer and then by Maturity, click on Issuer first, then hold down the Shift key and click on Maturity.

### Step 2

https://portal.iagto.ca/iabx/?ts=1381867680158#t=p&p=jb.inventory

Portal Bond Trader Security Yves Therrien

Inventory Orders Basket Firm More

Category Favorites Search

Money market Federal Provincial Municipal Corporate Coupon/Residual

T-BILL Canada Quebec Quebec Investment grade Federal  
Bankers acceptances Other Ontario Other High yield Provincial  
Corporate  
Municipal

Inactive securities only Market: CAD

#	★	CUSIP	Issuer	<sup>1</sup> Coupon	Maturity / Call date *	<sup>2</sup> Bid qty	Bid yield	Bid price	Offer price	Offer yield	Offer qty
1	☆	803854JD1	PROVINCE OF SASKATCHEWAN	4.9	2013-12-03	250,000	1.13	100.465	100.475	1.05	7
6	☆	803854JF6	PROVINCE OF SASKATCHEWAN	5.25	2014-06-03	250,000	1.09	102.588			
22	☆	803854JK5	PROVINCE OF SASKATCHEWAN	4.25	2015-12-03	250,000	1.43	105.875	105.961	1.39	9
67	☆	803854JS8	PROVINCE OF SASKATCHEWAN	3.9	2020-07-28	250,000	2.76	107.02	107.18	2.73	25
102	☆	803854GY8	PROVINCE OF SASKATCHEWAN	5.75	2029-03-05	250,000	3.88	121.567	121.959	3.85	25
111	☆	803854HN1	PROVINCE OF SASKATCHEWAN	6.4	2031-09-05	250,000	3.98	130.819	131.2	3.95	25
116	☆	803854JA7	PROVINCE OF SASKATCHEWAN	5.8	2033-09-05	250,000	4.03	124.015	124.407	4.01	25
123	☆	803854JH2	PROVINCE OF SASKATCHEWAN	5.6	2035-09-05	250,000	4.07	121.986	122.316	4.05	25
128	☆	803854J8	PROVINCE OF SASKATCHEWAN	5	2037-03-05	250,000	4.09	113.578	113.904	4.07	25
139	☆	803854JL3	PROVINCE OF SASKATCHEWAN	4.75	2040-06-01	250,000	4.1	110.459	110.891	4.08	25
148	☆	803854JT6	PROVINCE OF SASKATCHEWAN	3.4	2042-02-03	250,000	4.11	88.177	88.56	4.09	25
12	☆	748148RN5	PROVINCE OF QUEBEC	5.5	2014-12-01	1,000,000	1.19	104.783	104.826	1.15	1,00
19	☆	748148RP0	PROVINCE OF QUEBEC	5	2015-12-01	1,000,000	1.49	107.301	107.36	1.46	1,00
31	☆	74814ZDH3	PROVINCE OF QUEBEC	4.5	2016-12-01	1,000,000	1.83	108.074	108.147	1.8	1,00
40	☆	74814ZDR1	PROVINCE OF QUEBEC	4.5	2017-12-01	1,000,000	2.23	108.902	108.968	2.21	1,00
51	☆	74814ZDU4	PROVINCE OF QUEBEC	4.5	2018-12-01	1,000,000	2.55	109.291	109.374	2.54	1,00
57	☆	74814ZEE9	PROVINCE OF QUEBEC	4.5	2019-12-01	1,000,000	2.84	109.276	109.381	2.82	1,00

**Note:** The two sorts will be indicated by the numbers 1 (first sort criteria) and 2 (second sort criteria) in the column headings.

This two-level sort will remain active everywhere as long as you don't change it. To remove the dual sort, click on any heading to return to a single sort by that heading.

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## BOND TRADER SYSTEM



## INVENTORY / CATEGORY

All menus under the Inventory tab will allow you to place orders. The first subtab is Category. By clicking on any category (main or sub-) such as Money market, Federal, Provincial, Municipal, Corporate or Coupon/Residual, the underlying inventory will be shown. Again, all columns can be used to sort the information displayed (in ascending or descending order).

### Example of Provincial category

← → ↻ <https://portal.iagto.ca/iatx/?ts=1381874341944#t=p&p=jb.inventory> ☆

Portal Bond Trader Security Yves Therrien

Inventory Orders Basket Firm More

Category ☆ Favorites Search Inactive securities only Market: CAD

**Money market**  
 T-BILL  
 Bankers acceptances

**Federal**  
 Canada  
 Other

**Provincial**  
 Quebec  
 Ontario  
 Other

**Municipal**  
 Quebec  
 Other

**Corporate**  
 Investment grade  
 High yield

**Coupon/Residual**  
 Federal  
 Provincial  
 Corporate  
 Municipal

★	CUSIP	Issuer	Coupon	Maturity / Call date *	Bid qty	Bid yield	Bid price	Offer price	Offer yield	Offer qty
☆	803854JD1	PROVINCE OF SASKATCHEWAN	4.9	2013-12-03	250,000	1.12	100.467	100.477	1.04	200,000
☆	563469EY7	MANITOBA (PROVINCE OF)	5.05	2013-12-03	500,000	1.14	100.483	100.503	0.98	205,000
☆	31739ZAC9	FINANCEMENT QUEBEC	4.25	2014-03-01	500,000	1.09	101.166	101.204	0.99	500,000
☆	683234UF3	ONTARIO (PROVINCE OF)	5	2014-03-08	1,000,000	1.07	101.525	101.553	1	1,000,000
☆	31739ZAM7	FINANCEMENT QUEBEC	3.25	2014-06-01	500,000	1.11	101.318	101.346	1.07	500,000
☆	803854JF6	PROVINCE OF SASKATCHEWAN	5.25	2014-06-03	250,000	1.09	102.588			

### Example of Ontario category

← → ↻ <https://portal.iagto.ca/iatx/?ts=1381874341944#t=p&p=jb.inventory> ☆

Portal Bond Trader Security Yves Therrien

Inventory Orders Basket Firm More

Category ☆ Favorites Search Inactive securities only Market: CAD

**Money market**  
 T-BILL  
 Bankers acceptances

**Federal**  
 Canada  
 Other

**Provincial**  
 Quebec  
**Ontario**  
 Other

**Municipal**  
 Quebec  
 Other

**Corporate**  
 Investment grade  
 High yield

**Coupon/Residual**  
 Federal  
 Provincial  
 Corporate  
 Municipal

CUSIP	Issuer	Coupon	Maturity / Call date *	Bid qty	Bid yield	Bid price	Offer price	Offer yield	Offer qty	Note	Up
683234UF3	ONTARIO (PROVINCE OF)	5	2014-03-08	1,000,000	1.07	101.525	101.553	1	1,000,000	201	
6832348C5	ONTARIO (PROVINCE OF)	3.25	2014-09-08	1,000,000	1.1	101.895	101.925	1.07	1,000,000	201	
683234WM6	ONTARIO (PROVINCE OF)	4.5	2015-03-08	1,000,000	1.22	104.503	104.55	1.19	1,000,000	201	
683234C30	ONTARIO (PROVINCE OF)	3.15	2015-09-08	1,000,000	1.37	103.299	103.342	1.35	1,000,000	201	
683234YC6	ONTARIO (PROVINCE OF)	4.4	2016-03-08	1,000,000	1.54	106.673	106.72	1.52	1,000,000	201	
68323AAAF1	ONTARIO (PROVINCE OF)	3.2	2016-09-08	1,000,000	1.72	104.166	104.232	1.69	1,000,000	201	





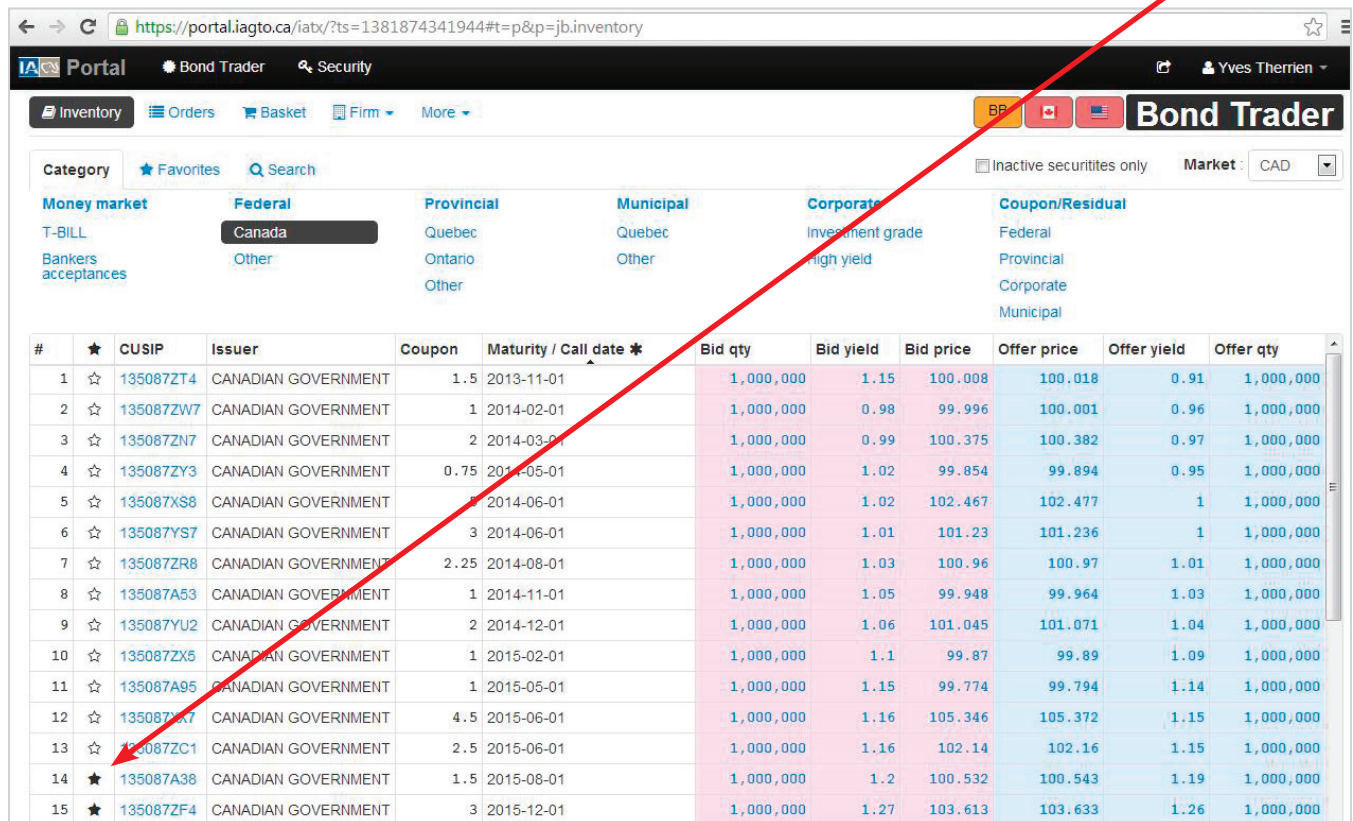
# USER GUIDE

## BOND TRADER SYSTEM

## INVENTORY / FAVORITES

All menus under the Inventory tab will allow you to place orders. The second subtab is Favorites. The first time you click on the Favorites tab it will be empty. You can add securities to the Favorites section just by clicking on the star beside the security's CUSIP in the Category section or after a search in the Search section. Each bond you add to the Favorites section will be indicated with a blacked-in star. To remove a security from the Favorites section, simply click on the blacked-in star. The star will then be white again and the security will no longer appear in the Favorites section.

**Step 1 – Example of Canada category under Inventory/Category. Two securities have been marked as favorites (see blacked-in stars).**



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Inventory Orders Basket Firm More

Category Favorites Search

Money market T-BILL Bankers acceptances

Federal Canada Other

Provincial Quebec Ontario Other

Municipal Quebec Other

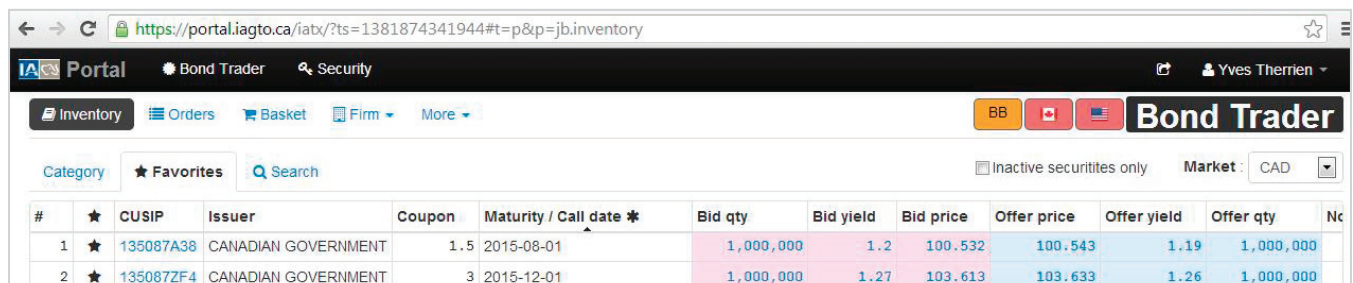
Corporate Investment grade High yield

Coupon/Residual Federal Provincial Corporate Municipal

Inactive securities only Market: CAD

#	★	CUSIP	Issuer	Coupon	Maturity / Call date *	Bid qty	Bid yield	Bid price	Offer price	Offer yield	Offer qty
1	☆	135087ZT4	CANADIAN GOVERNMENT	1.5	2013-11-01	1,000,000	1.15	100.008	100.018	0.91	1,000,000
2	☆	135087ZW7	CANADIAN GOVERNMENT	1	2014-02-01	1,000,000	0.98	99.996	100.001	0.96	1,000,000
3	☆	135087ZN7	CANADIAN GOVERNMENT	2	2014-03-01	1,000,000	0.99	100.375	100.382	0.97	1,000,000
4	☆	135087ZY3	CANADIAN GOVERNMENT	0.75	2014-05-01	1,000,000	1.02	99.854	99.894	0.95	1,000,000
5	☆	135087XS8	CANADIAN GOVERNMENT	1	2014-06-01	1,000,000	1.02	102.467	102.477	1	1,000,000
6	☆	135087YS7	CANADIAN GOVERNMENT	3	2014-06-01	1,000,000	1.01	101.23	101.236	1	1,000,000
7	☆	135087ZR8	CANADIAN GOVERNMENT	2.25	2014-08-01	1,000,000	1.03	100.96	100.97	1.01	1,000,000
8	☆	135087A53	CANADIAN GOVERNMENT	1	2014-11-01	1,000,000	1.05	99.948	99.964	1.03	1,000,000
9	☆	135087YU2	CANADIAN GOVERNMENT	2	2014-12-01	1,000,000	1.06	101.045	101.071	1.04	1,000,000
10	☆	135087ZX5	CANADIAN GOVERNMENT	1	2015-02-01	1,000,000	1.1	99.87	99.89	1.09	1,000,000
11	☆	135087A95	CANADIAN GOVERNMENT	1	2015-05-01	1,000,000	1.15	99.774	99.794	1.14	1,000,000
12	☆	135087X7	CANADIAN GOVERNMENT	4.5	2015-06-01	1,000,000	1.16	105.346	105.372	1.15	1,000,000
13	☆	135087ZC1	CANADIAN GOVERNMENT	2.5	2015-06-01	1,000,000	1.16	102.14	102.16	1.15	1,000,000
14	★	135087A38	CANADIAN GOVERNMENT	1.5	2015-08-01	1,000,000	1.2	100.532	100.543	1.19	1,000,000
15	★	135087ZF4	CANADIAN GOVERNMENT	3	2015-12-01	1,000,000	1.27	103.613	103.633	1.26	1,000,000

**Step 2 – Securities now found in the Favorites section.**



Portal Bond Trader Security Yves Therrien

Inventory Orders Basket Firm More

Category Favorites Search

Inactive securities only Market: CAD

#	★	CUSIP	Issuer	Coupon	Maturity / Call date *	Bid qty	Bid yield	Bid price	Offer price	Offer yield	Offer qty
1	★	135087A38	CANADIAN GOVERNMENT	1.5	2015-08-01	1,000,000	1.2	100.532	100.543	1.19	1,000,000
2	★	135087ZF4	CANADIAN GOVERNMENT	3	2015-12-01	1,000,000	1.27	103.613	103.633	1.26	1,000,000

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## BOND TRADER SYSTEM



## INVENTORY/SEARCH

All menus under the Inventory tab will allow you to place orders. The third subtab is Search. This section allows you to find securities using specific search criteria. Simply enter the criteria of your choice and click on Go to view the results.

### Step 1 – Search for a specific CUSIP: 87262KAB1

The screenshot shows the 'Search' subtab of the 'Inventory' section. The 'Cusip' field is populated with '87262KAB1'. Other fields like 'Rating', 'Coupon', 'Price', 'Yield', and 'Maturity' are empty. The 'Market' is set to 'CAD'. A red arrow points to the 'Cusip' field.

### Step 2 – Results displayed after clicking Go

The screenshot shows the search results for CUSIP 87262KAB1. The table below displays the search results.

#	★	CUSIP	Issuer	Coupon	Maturity / Call date ★	Bid qty	Bid yield	Bid price	Offer price	Offer yield	Offer qty	Note	Benchmark	Bid spread	Offer spread	DBRS rate	SP rate
1	☆	87262KAB1	TMX GROUP LTD	4.461	2023-08-03 ★	500,000	4.20	102.038	102.523	4.14	495,000		CAN1.5/23	169	164 AH		N.A.





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## BOND TRADER SYSTEM

## DESCRIPTION PAGE

In any Inventory subtab where you can access available inventory (Category, Favorites or Search), you can also access the description page of any security by clicking on the CUSIP beside that security.

### Step 1 – View available inventory under either Category, Favorites or Search

#	★	CUSIP	Issuer	Coupon	Maturity / Call date *	Bid qty	Bid yield	Bid price	Offer price	Offer yield	Offer qty
1	☆	135087ZT4	CANADIAN GOVERNMENT	1.5	2013-11-01	1,000,000	1.15	100.008	100.018	0.91	1,000,000
2	☆	135087ZW7	CANADIAN GOVERNMENT	1	2014-02-01	1,000,000	0.98	99.996	100.001	0.96	1,000,000
3	☆	135087ZN7	CANADIAN GOVERNMENT	2	2014-03-01	1,000,000	0.99	100.375	100.382	0.97	1,000,000
4	☆	135087ZY3	CANADIAN GOVERNMENT	0.75	2014-05-01	1,000,000	1.02	99.854	99.894	0.95	1,000,000

### Step 2 – Click on CUSIP (in this case, 135087A38)

**Issuer**

CUSIP: 135087A38  
 CUSIP (override for ISM):  
 BB Number: EJ1505217  
 Issuer: CANADIAN GOVERNMENT  
 Category: Federal

**Security**

Country: Canada  
 Currency: CAD  
 Day count: ACT/ACT  
 Calc type: BANK OF CANAD  
 Coupon: 1.5  
 Frequency: 2  
 Interest accrual date: 30 Apr. 2012  
 Maturity: 1 Aug. 2015  
 First settl. date: 30 Apr. 2012  
 First coupon date: 1 Aug. 2012

**Rating**

☒ S&P  
 AAA  
☒ DBRS  
 AAA

**Quantities**

Issued: 2,147,483,647  
 Outstanding: 2,147,483,647  
 Minimum: 1,000  
 Multiple of: 1,000

**Available**

Bid quantity: 1,000,000  
 Offer quantity: 1,000,000

**Price**

Bid price: 100.532  
 Bid yield: 1.20  
 Offer price: 100.542999  
 Offer yield: 1.192319

**Callable**

Next callable date:   
 Next callable price: 0  
 Worst callable date:   
 Worst callable price: 0

**Features**

☐ Trade flat



# OVERVIEW ON HOW TO PLACE AN ORDER

All menus under the Inventory tab will allow you to place orders. Within any of these menus, the Bid qty, Bid yield and Bid price are displayed in pink and the Offer price, Offer yield and Offer qty in blue. By clicking in any Bid column, you can access the 'order entry screen' to sell a security, and by clicking in any Offer column, you can access the 'order entry screen' to buy a security.

## Step 1 – Find a security in the Inventory section

← → ↺ <https://portal.iagto.ca/iabx/?ts=1381874341944#t=p&p=jb.inventory> ☆ ☰

**Portal** Bond Trader Security Yves Therrien

Inventory Orders Basket Firm More

BB CA US **Bond Trader**

Category ☆ Favorites 🔍 Search ☐ Inactive securities only Market: CAD

**Money market**  
 T-BILL  
 Bankers acceptances

**Federal**  
 Canada  
 Other

**Provincial**  
 Quebec  
 Ontario  
 Other

**Municipal**  
 Quebec  
 Other

**Corporate**  
 Investment grade  
 High yield

**Coupon/Residual**  
 Federal  
 Provincial  
 Corporate  
 Municipal

#	☆	CUSIP	Issuer	Coupon	Maturity / Call date *	Bid qty	Bid yield	Bid price	Offer price	Offer yield	Offer qty
9	☆	135087YU2	CANADIAN GOVERNMENT	2	2014-12-01	1,000,000	1.06	101.045	101.071	1.04	1,000,000
10	☆	135087ZX5	CANADIAN GOVERNMENT	1	2015-02-01	1,000,000	1.1	99.87	99.89	1.09	1,000,000
11	☆	135087A95	CANADIAN GOVERNMENT	1	2015-05-01	1,000,000	1.15	99.774	99.794	1.14	1,000,000
12	☆	135087XX7	CANADIAN GOVERNMENT	4.5	2015-06-01	1,000,000	1.16	105.346	105.372	1.15	1,000,000
13	☆	135087ZC1	CANADIAN GOVERNMENT	2.5	2015-06-01	1,000,000	1.16	102.14	102.16	1.15	1,000,000
14	★	135087A38	CANADIAN GOVERNMENT	1.5	2015-08-01	1,000,000	1.2	100.532	100.543	1.19	1,000,000
15	★	135087ZF4	CANADIAN GOVERNMENT	3	2015-12-01	1,000,000	1.27	103.613	103.633	1.26	1,000,000
16	☆	135087A79	CANADIAN GOVERNMENT	1.25	2016-02-01	1,000,000	1.29	99.909	99.929	1.28	1,000,000
17	☆	135087YB4	CANADIAN GOVERNMENT	4	2016-06-01	1,000,000	1.35	106.799	106.816	1.35	1,000,000
18	☆	135087ZL1	CANADIAN GOVERNMENT	2	2016-06-01	1,000,000	1.36	101.653	101.671	1.35	1,000,000
19	☆	135087B29	CANADIAN GOVERNMENT	1	2016-08-01	1,000,000	1.44	98.808	98.826	1.43	1,000,000
20	☆	135087ZQ0	CANADIAN GOVERNMENT	2.75	2016-09-01	1,000,000	1.46	103.628	103.651	1.45	1,000,000
21	☆	135087ZV9	CANADIAN GOVERNMENT	1.5	2017-03-01	1,000,000	1.57	99.779	99.803	1.56	1,000,000
22	☆	135087YF5	CANADIAN GOVERNMENT	4	2017-06-01	1,000,000	1.63	108.29	108.316	1.62	1,000,000
23	☆	135087A46	CANADIAN GOVERNMENT	1.5	2017-09-01	1,000,000	1.74	99.1	99.123	1.74	1,000,000
24	☆	135087A87	CANADIAN GOVERNMENT	1.25	2018-03-01	1,000,000	1.86	97.439	97.467	1.86	1,000,000
25	☆	135087YL2	CANADIAN GOVERNMENT	4.25	2018-06-01	1,000,000	1.88	110.419	110.497	1.87	1,000,000
26	☆	135087B37	CANADIAN GOVERNMENT	1.25	2018-09-01	1,000,000	1.94	96.82	96.85	1.93	1,000,000
27	☆	135087YR9	CANADIAN GOVERNMENT	3.75	2019-06-01	1,000,000	2.08	108.826	108.869	2.07	1,000,000



# USER GUIDE

## BOND TRADER SYSTEM

### Step 2 – Click on the security you want to buy

### Characteristics of the order entry screen

The system allows you 2 minutes to execute the trade at the indicated price. (A)

There are 4 sections in the order entry screen

**BUY/SELL indicator (B)** The BUY/SELL indicator clearly shows the type of transaction you are about to carry out

**Details of the security (C)** Indicates the security you are about to trade

**Transfer column (D)** The transfer column shows the price you will pay

**Client column (E)** The client column shows what your client will pay (if commission is added)

**Action buttons (F)**  
Click on Reset to restart the process  
Click on Cancel to close the window  
Click on Validate to confirm the trade

If there is no commission, the client price (yield) will be the same as the transfer price (yield).

The default settlement date is that of the selected security. This date can be changed if necessary.

You can enter either the nominal face value or the total amount to be spent. Once a value in one field is entered, the system will automatically calculate the other.



# USER GUIDE

## BOND TRADER SYSTEM



If there is any commission, you must enter one of the following: client price, client yield, price markup or commission all in. Once one of these is entered, the system will calculate the others.

If there is any commission taken, you may want to have it built in (default) or not built in (as with a stock trade). If the box is checked, the client will see the commission.

For internal Industrial Alliance Securities investment advisors, the account field must be completed.

For users that are external to Industrial Alliance Securities, the account number field is optional. If it is completed, the system will keep it on the trading blotter for external firm accounting purposes only.

For money managers, the default account number will be our 'split account' (bulk account) unless another account number is specified by the user. All available account numbers will be listed in the account field drop-down list in the order entry screen. Accounts can be added to this list upon request. If the split account is chosen, the trade allocation(s) must be provided by email or telephone following the trade.

**Once all fields are completed**, you must click on the Validate button. The system will then make sure all required fields are completed and you must click on Submit to confirm the trade.

**Once the order is submitted, the transaction will be displayed with a status of pending.** Before closing the order entry interface, you can view the status at the bottom of the screen, which refreshes every 10 seconds. A trader from Industrial Alliance Securities will then fill the order.

After you close the order entry screen, the order can be found in the orders section and printed at any time. Orders can also be exported to an Excel file.

**Example – A purchase of 10,000 with a price markup of \$1.00. The client price is now 100.123 and the client yield is now 1.47%. This order is ready to be submitted.**

#	★	CUSIP	Issuer
11	☆	135087A95	CANADIAN GOV
12	☆	135087XX7	CANADIAN GOV
13	☆	135087ZC1	CANADIAN GOV
14	★	135087A38	CANADIAN GOV
15	★	135087ZF4	CANADIAN GOV
16	☆	135087A79	CANADIAN GOV
17	☆	135087YB4	CANADIAN GOV
18	☆	135087ZL1	CANADIAN GOV
19	☆	135087B29	CANADIAN GOV
20	☆	135087ZQ0	CANADIAN GOV
21	☆	135087ZV9	CANADIAN GOV
22	☆	135087YF5	CANADIAN GOV
23	☆	135087A46	CANADIAN GOV
24	☆	135087A87	CANADIAN GOV
25	☆	135087YL2	CANADIAN GOV

Trade date	Settl. date	Price	Yield	Available quantity	Face value	Principal amount	Accrued interests	Total amount
2013-10-15	2013-10-18	99.123	1.74	1,000,000	10,000	9,912.30	19.32	9,931.62

Trade date	Settl. date	Price	Yield	Available quantity	Face value	Principal amount	Accrued interests	Total amount
2013-10-15	T+3 2013-10-18	100.123	1.47	1,000,000	10,000	10,012.30	19.32	10,031.62

Offer yield	Offer qty
1.14	1,000,000
1.15	1,000,000
1.15	1,000,000
1.19	1,000,000
1.26	1,000,000
1.28	1,000,000
1.35	1,000,000
1.35	1,000,000
1.43	1,000,000
1.45	1,000,000
1.56	1,000,000
1.62	1,000,000
1.74	1,000,000
1.86	1,000,000
1.87	1,000,000

Transfer	Client
Trade date: 2013-10-15	Trade date: 2013-10-15
Settl. date: 2013-10-18	Settl. date: T+3 2013-10-18
Price: 99.123	Price: 100.123
Yield: 1.74	Yield: 1.47
Available quantity: 1,000,000	Available quantity: 1,000,000
Face value: 10,000	Face value: 10,000
Principal amount: 9,912.30	Principal amount: 10,012.30
Accrued interests: 19.32	Accrued interests: 19.32
Total amount: 9,931.62	Total amount: 10,031.62
Minimum quantity: 1,000	Price markup: 1.00
Multiple of: 1,000	Commission All in: 100.00
	<input type="checkbox"/> Commission not built in
	Account: 123456

Expire in 45 sec.

Back Cancel Submit





# ORDERS

The Orders section allows you to:

- Access Pending, Filled, Rejected, Cancelled or All trades
- View and print orders and modify order account numbers and/or client prices (same day only)
- Search for orders
- Export orders into Excel

## Pending subtab in the Orders section

uat.portal.iagto.ca/iatx/?ts=1381891897971#t=p&p=jb.orders

Portal

Bond Trader

Inventory

Orders

Basket

Firm

More

Pending

Filled

Rejected

Cancelled

All

Search

Select

#	Status	Side	CUSIP	Face value	Issuer	Coupon	Maturity	Trader price	Transfer price	Transfer yield	Client price	Client yield	Account	Trader account	User

By clicking on each subtab, you can access Pending, Filled, Rejected, Cancelled or All trades.

- Pending:** Any order not confirmed by a trader will be in this section
- Filled:** All filled orders will be in this section
- Rejected:** An order may be rejected by a trader for various reasons (wrong price, wrong quantity, etc.)
- Cancelled:** A cancelled order is an order that has been filled **and then cancelled** by a trader after it has been executed (wrong bond, wrong quantity, etc.)
- All:** List of all Pending, Filled, Rejected and Cancelled orders

Any time after an order has been submitted, you can:

- View and print the order, or modify the account number and/or client price (same day only)

# USER GUIDE

## BOND TRADER SYSTEM



Step 1 – By clicking on the right side of the screen, you will see the options View and Modify (if same day).

Portal • Bond Trader

Inventory Orders Basket Firm More

Pending Filled Rejected Cancelled All Q Search

Export orders

Status  Market  Cusip  Trade date, from  3 Sep, 2013 to  30 Oct, 2013 Client account  User

Reset Go

#	Status	Side	CUSIP	Face value	Issuer	Coupon	Maturity	Trader price	Transfer price	Transfer yield	Client price	Client yield	Account	Trader account	User	Trader	Trade date
1	Pending	Sell	29253ZAD7	2,000	ENCANA CORP	5.8	2018-01-18	109.832	109.832	3.34	109.832	3.34	37Z510A		anna@yahoo.ca		2013-09-17
2	Pending	Sell	31807ZAM4	2,000	FINNING INTL INC	3.232	2020-07-03	96.282	96.282	3.86	96.282	3.86	37Z510A		anna@yahoo.ca		2013-09-17
3	Pending	Sell	448055AH6	2,000	HUSKY ENERGY INC	5	2020-03-12	107.430	107.430	3.70	107.430	3.70	37Z510A		anna@yahoo.ca		2013-09-17
4	Pending	Buy	45834ZAC3	5,000	INTER PIPELINE FUND	3.776	2022-05-30	96.435	96.435	4.27	96.435	4.27	37Z510A		anna@yahoo.ca		2013-09-17
5	Pending	Buy	86721ZAC3	5,000	SUNCOR ENERGY INC	5.8	2018-05-22	111.345	111.345	3.17	111.345	3.17	37Z510A		anna@yahoo.ca		2013-09-17
6	Pending	Buy	880789AB8	5,000	TERANET HOLDINGS LP	4.807	2020-12-16	104.116	104.116	4.14	104.116	4.14	37Z510A		anna@yahoo.ca		2013-09-17
7	Pending	Sell	31807ZAE2	2,000	FINNING INTL INC	6.02	2018-06-01	111.531	111.531	3.35	111.531	3.35	37Z510A		anna@yahoo.ca		2013-09-17

Step 2 – After clicking on View in Step 1, because it is not the same day, you can only view and print the order. No modifications are allowed.

Order

Rejected Cancelled All Q Search

Market

**SELL**

Issuer: ENCANA CORP  
CUSIP: 29253ZAD7  
Coupon: 5.80  
Maturity: 2018-01-18  
Rating:

**Transfer**

Trade date: 2013-09-17  
Settl. date: 2013-09-20  
Price: 109.832  
Yield: 3.34  
Available quantity: 1,000,000  
Face value: 2,000  
Principal amount: 2,196.64  
Accrued interests: 20.34  
Total amount: 2,216.98  
Minimum quantity: 1,000  
Multiple of: 1,000

**Client**

Trade date: 2013-09-17  
Settl. date: T+3 2013-09-20  
Price: 109.832  
Yield: 3.34  
Available quantity: 1,000,000  
Face value: 2,000  
Principal amount: 2,196.64  
Accrued interests: 20.34  
Total amount: 2,216.98  
Price markup: 0.00  
Commission All in: 0.00  
☐ Commission not built in  
Account: CAD Splits Account (37Z51)

Status: Pending Updated by: anna@yahoo.ca At: 2013-09-17 15:16

Print Close



# USER GUIDE

## BOND TRADER SYSTEM

## SEARCH

All orders are available the same day in the Filled, Rejected, Cancelled and All sections. If you would like to search for past orders, you must use the Search function.

**Step 1 – For example, you can search for all orders between two dates**

**Step 2 – Results displayed after clicking Go**

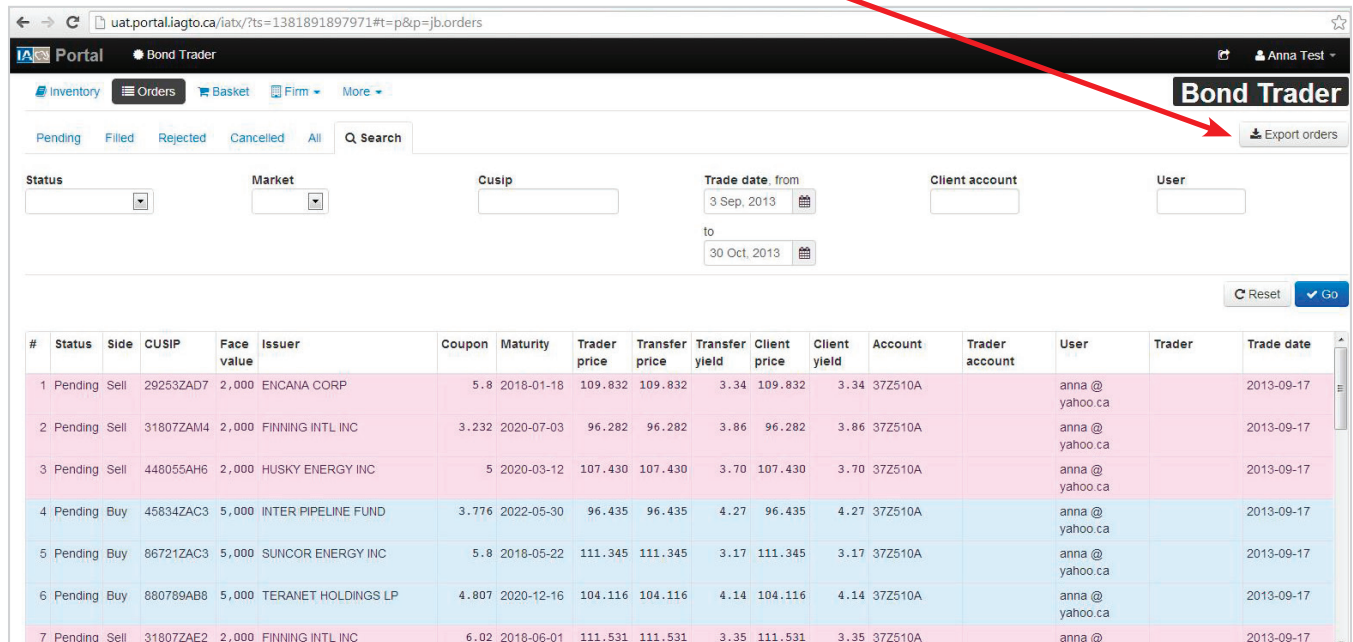
#	Status	Side	CUSIP	Face value	Issuer	Coupon	Maturity	Trader price	Transfer price	Transfer yield	Client price	Client yield	Account	Trader account	User	Trader	Trade date
1	Pending	Sell	29253ZAD7	2,000	ENCANA CORP	5.8	2018-01-18	109.832	109.832	3.34	109.832	3.34	37Z510A		anna@yahoo.ca		2013-09-17
2	Pending	Sell	31807ZAM4	2,000	FINNING INTL INC	3.232	2020-07-03	96.282	96.282	3.86	96.282	3.86	37Z510A		anna@yahoo.ca		2013-09-17
3	Pending	Sell	448055AH6	2,000	HUSKY ENERGY INC	5	2020-03-12	107.430	107.430	3.70	107.430	3.70	37Z510A		anna@yahoo.ca		2013-09-17
4	Pending	Buy	45834ZAC3	5,000	INTER PIPELINE FUND	3.776	2022-05-30	96.435	96.435	4.27	96.435	4.27	37Z510A		anna@yahoo.ca		2013-09-17
5	Pending	Buy	86721ZAC3	5,000	SUNCOR ENERGY INC	5.8	2018-05-22	111.345	111.345	3.17	111.345	3.17	37Z510A		anna@yahoo.ca		2013-09-17
6	Pending	Buy	880789AB8	5,000	TERANET HOLDINGS LP	4.807	2020-12-16	104.116	104.116	4.14	104.116	4.14	37Z510A		anna@yahoo.ca		2013-09-17
7	Pending	Sell	31807ZAE2	2,000	FINNING INTL INC	6.02	2018-06-01	111.531	111.531	3.35	111.531	3.35	37Z510A		anna@yahoo.ca		2013-09-17

# USER GUIDE

## BOND TRADER SYSTEM

### EXPORT ORDERS

As mentioned before, you are able to export all trades to Excel. This can be done by clicking Export orders at the top right of the screen. An Excel file will then appear below the list of trades. Click to access the Excel file.



The screenshot shows the Bond Trader web application. At the top right, there is a button labeled 'Export orders'. A red arrow points from the text 'Click to access the Excel file.' to this button. Below the button is a table of trades with columns: #, Status, Side, CUSIP, Face value, Issuer, Coupon, Maturity, Trader price, Transfer price, Transfer yield, Client price, Client yield, Account, Trader account, User, and Trade date. The table contains 7 rows of trade data.

#	Status	Side	CUSIP	Face value	Issuer	Coupon	Maturity	Trader price	Transfer price	Transfer yield	Client price	Client yield	Account	Trader account	User	Trade date
1	Pending	Sell	29253ZAD7	2,000	ENCANA CORP	5.8	2018-01-18	109.832	109.832	3.34	109.832	3.34	37Z510A		anna @ yahoo.ca	2013-09-17
2	Pending	Sell	31807ZAM4	2,000	FINNING INTL INC	3.232	2020-07-03	96.282	96.282	3.86	96.282	3.86	37Z510A		anna @ yahoo.ca	2013-09-17
3	Pending	Sell	448055AH6	2,000	HUSKY ENERGY INC	5	2020-03-12	107.430	107.430	3.70	107.430	3.70	37Z510A		anna @ yahoo.ca	2013-09-17
4	Pending	Buy	45834ZAC3	5,000	INTER PIPELINE FUND	3.776	2022-05-30	96.435	96.435	4.27	96.435	4.27	37Z510A		anna @ yahoo.ca	2013-09-17
5	Pending	Buy	86721ZAC3	5,000	SUNCOR ENERGY INC	5.8	2018-05-22	111.345	111.345	3.17	111.345	3.17	37Z510A		anna @ yahoo.ca	2013-09-17
6	Pending	Buy	880789AB8	5,000	TERANET HOLDINGS LP	4.807	2020-12-16	104.116	104.116	4.14	104.116	4.14	37Z510A		anna @ yahoo.ca	2013-09-17
7	Pending	Sell	31807ZAE2	2,000	FINNING INTL INC	6.02	2018-06-01	111.531	111.531	3.35	111.531	3.35	37Z510A		anna @	2013-09-17

Example of the exported file below: All fields will be available

Order Id	Status	Side	Cusip	Face Value	Issuer	Coupon	Maturity	Trader Price	Transfer Price	Transfer Yield	Client Price	Client Yield	Client Account	Trader Account
15252	PENDING	SELL	29253ZAD7	2000	ENCANA CORP	5.8	01/18/2018	109.832	109.832	3.34	109.832	3.34	37Z510A	
15254	PENDING	SELL	31807ZAM4	2000	FINNING INTL INC	3.232	07/03/2020	96.282	96.282	3.86	96.282	3.86	37Z510A	
15256	PENDING	SELL	448055AH6	2000	HUSKY ENERGY INC	5	03/12/2020	107.43	107.43	3.7	107.43	3.7	37Z510A	
15258	PENDING	BUY	45834ZAC3	5000	INTER PIPELINE FUND	3.776	05/30/2022	96.435	96.435	4.27	96.435	4.27	37Z510A	
15260	PENDING	BUY	86721ZAC3	5000	SUNCOR ENERGY INC	5.8	05/22/2018	111.345	111.345	3.17	111.345	3.17	37Z510A	
15262	PENDING	BUY	880789AB8	5000	TERANET HOLDINGS LP	4.807	12/16/2020	104.116	104.116	4.14	104.116	4.14	37Z510A	
15253	PENDING	SELL	31807ZAE2	2000	FINNING INTL INC	6.02	06/01/2018	111.531	111.531	3.35	111.531	3.35	37Z510A	
15255	PENDING	SELL	448055AG8	2000	HUSKY ENERGY INC	3.75	03/12/2015	102.469	102.469	2.05	102.469	2.05	37Z510A	
15257	PENDING	BUY	45834ZAD1	5000	INTER PIPELINE LTD	3.448	07/20/2020	97.648	97.648	3.84	97.648	3.84	37Z510A	





## BASKET

The trading basket section allows you to place several orders at the same time. It is a powerful and efficient tool.

### Characteristics of the basket

Orders may contain a single CUSIP for multiple accounts and/or multiple CUSIPs for the same account.

You may place as many orders as you want.

You can also make modifications to the original request before submitting the final trades.

Also, once all prices are displayed, you can keep or reject all or part of the order before submitting it for execution. To remove a specific trade, simply uncheck the unwanted trade.

Here are the steps to follow to create a basket:

First, create an Excel spreadsheet with the following columns, in this order:

- CUSIP (mandatory)
- SIDE (Buy or Sell)
- QUANTITY
- COMMISSION (can be by amount or price markup, or not built in)
- ACCOUNT NUMBER

To take advantage of the strength of this feature, we strongly recommend that external users use only the following criteria: CUSIP, SIDE and QUANTITY.

### Step 1 – Sample of Excel spreadsheet for trading basket

68323AAX2	Buy	5000
683234ZQ4	Buy	5000
683234TQ1	Buy	5000
68323ABR4	Buy	5000
683234B80	Sell	5000
683234WT1	Sell	5000
6832348J0	Sell	5000
68323AAD6	Sell	5000

### Step 2 – Empty Basket section

The screenshot shows the Bond Trader system interface. The top navigation bar includes 'Portal', 'Bond Trader', and a user profile 'Anna Test'. The main menu has 'Inventory', 'Orders', 'Basket', 'Firm', and 'More'. The 'Basket' section is active, showing a 'Commission type' section with radio buttons for 'Amount' (selected), 'Price markup', and 'Commission not built in'. Below this is an 'Order list' section with a header row: 'Paste/edit rows: CUSIP (mandatory), SIDE, QUANTITY, COMMISSION, ACCOUNT'. The table below has 8 rows, with the first row containing the numbers 1 through 8 in the first column, and the rest of the columns are empty.

# USER GUIDE

## BOND TRADER SYSTEM



### Step 3 – Excel from Step 1 pasted into Basket section

uat.portal.iagto.ca/iatx/?ts=1381891897971#t=p&p=jb.basket

**Portal** • Bond Trader Anna Test

[Inventory](#) [Orders](#) [Basket](#) [Firm](#) [More](#)

**Bond Trader**

**Commission type**  
☒ Amount ☐ Price markup ☐ Commission not built in

**Order list** Paste/edit rows: CUSIP (mandatory), SIDE, QUANTITY, COMMISSION, ACCOUNT

1	68323AAX2	Buy	5000		
2	683234ZQ4	Buy	5000		
3	683234TQ1	Buy	5000		
4	68323ABR4	Buy	5000		
5	683234B80	Sell	5000		
6	683234WT1	Sell	5000		
7	6832348J0	Sell	5000		
8	68323AAD6	Sell	5000		

### Step 4 – View after clicking Validate in Step 3

uat.portal.iagto.ca/iatx/?ts=1381891897971#t=p&p=jb.basket

**Portal** • Bond Trader Anna Test

[Inventory](#) [Orders](#) [Basket](#) [Firm](#) [More](#)

**Bond Trader**

**Commission type**  
☒ Amount ☐ Price markup ☐ Commission not built in

**Trade date**  
 2013-10-16

**Order list** [Select](#)

#	CUSIP	Issuer	Coupon	Maturity / Call date *	Side	Face value	Bid TRF price	Bid CLT price	Bid CLT yield	Ask TRF price	Ask CLT price	Ask CLT yield	Total amount	Commission All in	Account	Settl. date
1	68323AAX2	ONTARIO (PROVINCE OF)	1.9	2017-09-08	Buy	5000				99.293	99.293	2.090	4,975.84		CAD Splits Account (37Z51)	T+3 2013-10-2
2	683234ZQ4	ONTARIO (PROVINCE OF)	4.2	2018-03-08	Buy	5000				108.036	108.036	2.270	5,426.54		CAD Splits Account (37Z51)	T+3 2013-10-2
3	683234TQ1	ONTARIO (PROVINCE OF)	5.5	2018-06-02	Buy	5000				113.661	113.661	2.360	5,789.28		CAD Splits Account (37Z51)	T+3 2013-10-2
4	68323ABR4	ONTARIO (PROVINCE OF)	2.1	2018-09-08	Buy	5000				98.574	98.574	2.410	4,941.07		CAD Splits Account (37Z51)	T+3 2013-10-2
5	683234B80	ONTARIO (PROVINCE OF)	4.4	2019-06-02	Sel	5000	109.042	109.042	2.660				5,537.09		CAD Splits Account (37Z51)	T+3 2013-10-2
6	683234WT1	ONTARIO (PROVINCE OF)	4.85	2020-06-02	Sel	5000	111.500	111.500	2.930				5,668.68		CAD Splits Account (37Z51)	T+3 2013-10-2
7	6832348J0	ONTARIO (PROVINCE OF)	4.2	2020-06-02	Sel	5000	107.644	107.644	2.920				5,463.32		CAD Splits Account (37Z51)	T+3 2013-10-2
8	68323AAD6	ONTARIO (PROVINCE OF)	4	2021-06-02	Sel	5000	105.498	105.498	3.180				5,352.16		CAD Splits Account (37Z51)	T+3 2013-10-2

Expire in 01 min. 49 sec.

[Back](#) [Submit](#)

After Step 4, you are ready to click Submit if you accept the prices displayed. Unselect any unwanted securities simply by unchecking them, and those trades will not be executed.





There for you  
from coast to coast

Industrial Alliance Securities  
has several offices in Canada.

Contact our head office or  
visit our website to find the  
advisor nearest you!

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The elephant,  
a symbol of Industrial Alliance's  
120 years of strength and solidity.

