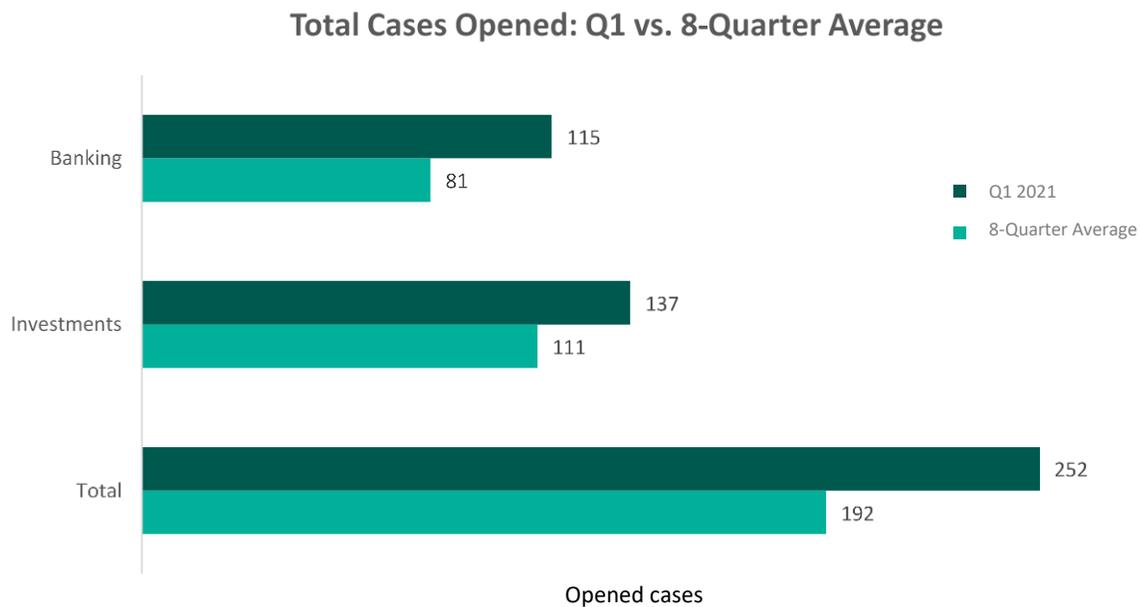


## Q1 2021 Statistics

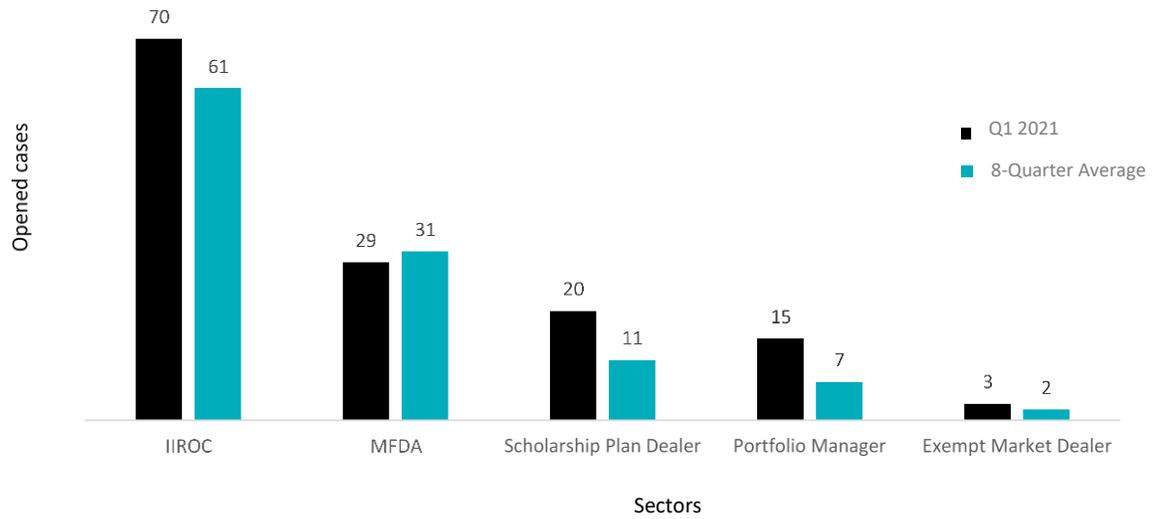
November 1, 2020 – January 31, 2021

The case volume charts below present preliminary case data from our most recent quarter alongside the eight-quarter rolling average for historical context.



The first quarter of 2021 was characterized by higher-than-normal case volumes. During the quarter, banking cases opened were 42% higher than the eight-quarter average, while investment cases opened were 23% higher than the eight-quarter average. Total cases opened in Q1 were 31% higher than the eight-quarter average.

## Cases Opened by Investment Sector: Q1 vs. 8-Quarter Average



In the first quarter of 2021, IIROOC cases were 58% higher and MFDA cases were 6% lower than the eight-quarter average. Case volumes for scholarship plan dealers and portfolio managers were approximately double the eight-quarter average. Exempt market dealer cases remained consistent with historical norms.

### Cases Opened by Region: Q1 vs. 8-Quarter Average



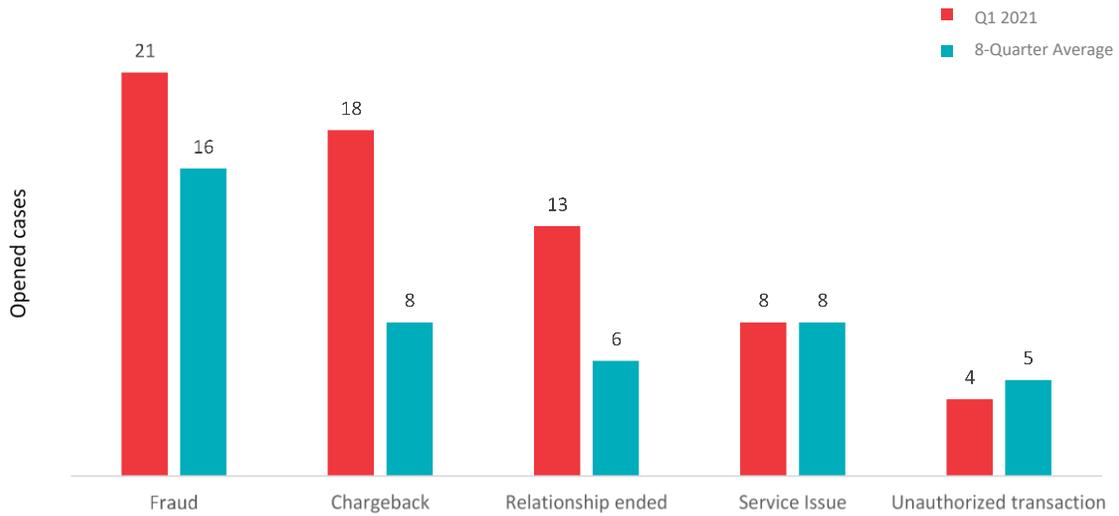
During Q1 of 2021, case volumes steadily increased in most provinces. In Ontario, cases opened were 33% higher than the eight-quarter average. When compared to historical norms, the Prairie provinces were 42% higher, while case volumes from Quebec were 45% higher and cases originating from BC were 58% above the eight-quarter average. International cases were also on the rise and 67% higher than the eight-quarter average. Cases in the Territories and Atlantic provinces remained consistent with historical norms.

### Top 5 Banking Products: Q1 vs. 8-Quarter Average



In the first quarter of 2021, cases involving credit cards remained the most common subject of banking complaints and were 41% above the eight-quarter average. Personal transaction account complaints and mortgage complaints increased slightly from historical norms, while cases related to debit cards and wire transfers were approximately double the eight-quarter average.

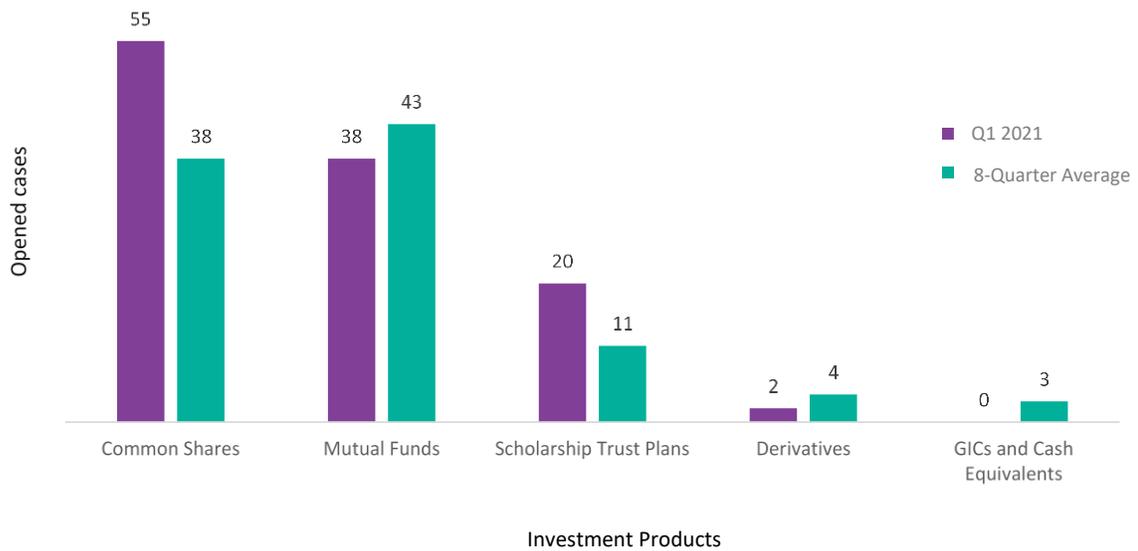
### Top 5 Banking Issues: Q1 vs. 8-Quarter Average



#### Banking Issues

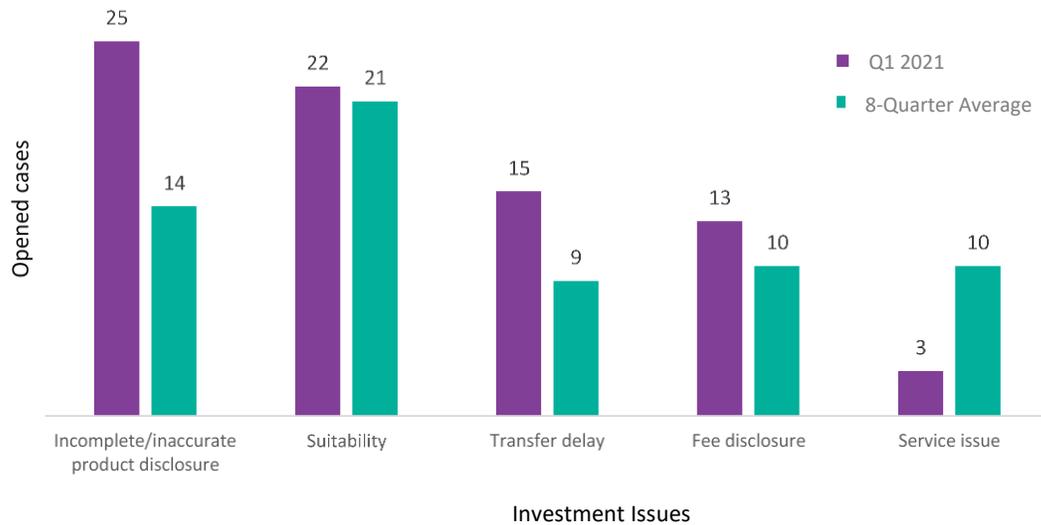
Fraud continued to be the most reported banking issue in the first quarter of 2021, with case volumes 31% higher than the eight-quarter average. Cases related to chargebacks and relationship-ended cases were also very common in the quarter, with volumes more than doubled when compared to the eight-quarter average. Service issue complaints and cases related to unauthorized transactions remained consistent with historical norms.

### Top 5 Investment Products: Q1 vs. 8-Quarter Average



Cases related to common shares were the most common investment complaint in the quarter, with volumes 45% higher than the eight-quarter average. Mutual fund complaints were 12% below the eight-quarter average, while cases related to scholarship trust plans were nearly double the eight-quarter average. Cases related to derivatives, along with cases related to GICs and cash equivalents remained low and both declined in volume compared to the eight-quarter average.

### Top 5 Investment Issues: Q1 vs. 8-Quarter Average



Complaints related to incomplete or inaccurate product disclosure increased significantly in the quarter, to 79% above the eight-quarter average and replaced suitability as the most common investment issue for cases opened. Suitability complaints remained common, consistent with historical norms. Complaints related to transfer delays and fee disclosure were both significantly higher than the eight-quarter average. Service issue complaints declined by approximately two-thirds.