

# How To Read Your NPMC Portfolio Transactions Report

**WHAT IS THIS AND WHERE DID IT COME FROM?** You have engaged the services of Nelson Portfolio Management Corp. (NPMC) to provide to you discretionary portfolio management services (ie: to manage your investment portfolio on your behalf). To keep you up to date, we will provide to you a series of reports every 3 months, for the periods ending March, June, September and December. This report is produced by NPMC from a software program called Croesus (For more information: <https://www.croesus.com>). This is a software program that NPMC pays for so as to provide to you these reports.

**THIS IS A CONSOLIDATED STATEMENT REPRESENTING THE ACTIVITY OF ALL OF YOUR ACCOUNTS COMBINED:** This report combines the transactions from all of your different investment accounts into one consolidated report. This same report can be run for each of your individual accounts should you wish for us to do so.

**DISCLOSURE:** The figures provided on this report are for information purposes only. Your official statement of account is provided to you by NBCN, and will always take precedence over the information contained in this report. In some situations, for various reasons, and for short periods of time, the figures shown under the columns noted below may be slightly different than the figures shown on your NBCN statement.

**THE TOP SECTION:** The top section of this report shows the date range of the report<sup>1</sup> as well as your name. This means that the report represents all of your transactions for all of your accounts over the date range provided (typically the last three months).

**THE COLUMN HEADERS:** A description of each of the columns is as follows (from left to right):

1. **Account Number**<sup>2</sup>: This is the account in which the transaction took place.
2. **Transaction Date**<sup>3</sup>: This is the date the transaction took place. Note that the report is sorted in order by transaction date.
3. **Settlement Date**<sup>4</sup>: This is the date that the transaction was settled and completed. The settlement date is typically 3 business days following the transaction date.

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<sup>1</sup> See item #1 on the NPMC Portfolio Summary Report.

<sup>2</sup> See item #2 on the NPMC Portfolio Summary Report.

<sup>3</sup> See item #3 on the NPMC Portfolio Summary Report.

<sup>4</sup> See item #4 on the NPMC Portfolio Summary Report.

4. **Type**<sup>5</sup>: This column indicates the type of transaction that took place. In this column you will typically see the following titles:

- **Transfer**: A transfer could be one of several types of transactions. It could indicate a planned and regular RRIF payment or a transfer of money from one institution to another.
- **Management Fee**: This is a fee drawn by Nelson Portfolio Management Corp. to cover your portfolio management fee expense.
- **GST**: This typically indicates the GST or HST charged on portfolio management fees.
- **Dividends**: This is a dividend received by your portfolio from one of the investments inside your portfolio.
- **Interest**: This is an interest payment received by your portfolio from one of the investments inside your portfolio.
- **Buy**: This indicates money invested into a security inside your portfolio.
- **Sell**: This indicates the full or partial sale of a security inside your portfolio. This sell may have taken place to help fund withdrawals or management fees in the portfolio, for rebalancing purposes and / or to capture profit or reduce the risk of your portfolio.
- **Fees**: This typically indicates a fee charged to you by NBCN.
- **Contribution**: This typically indicates new money invested into either an RRSP or a TFSA or it could also represent a regular contribution into a pool or a fund.
- **Deposit**: This is typically new lump sum money added to the cash portion of an account. This could be a one-time deposit made by cheque or a regular monthly transfer from your bank account to your non-registered portfolio account.
- **Withdrawal**: This is typically a withdrawal of money from your portfolio and sent to you either by cheque or automatic bank transfer.

5. **Quantity**<sup>6</sup>: This column indicates the number of shares involved in the transaction. You would typically see information in this column if the transaction related to a specific security, such as a buy, sell, or dividend payment.

6. **Description**<sup>7</sup>: This column provides a more thorough description of each transaction, such as the name of the security, the type of payment or details of a transfer.

7. **Unit Price**<sup>8</sup>: In some situations you will see the unit price of the specific transaction. This information could be displayed for a buy, sell, or dividend distribution, depending on the situation.

8. **Transaction Total**<sup>9</sup>: This column represents the dollar amount of the transaction.

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<sup>5</sup> See item #5 on the NPMC Portfolio Summary Report.

<sup>6</sup> See item #6 on the NPMC Portfolio Summary Report.

<sup>7</sup> See item #7 on the NPMC Portfolio Summary Report.

<sup>8</sup> See item #8 on the NPMC Portfolio Summary Report.

<sup>9</sup> See item #9 on the NPMC Portfolio Summary Report.

9. **Accrued Interests<sup>10</sup>:** You would typically see information in this column if an individual bond was bought or sold. This column typically indicates any interest earned but not paid as of yet.

**THE MIDDLE SECTION:** The middle section provides a list of the transactions by date, typically over the past three months (see the report date range in the top section). Please note that we can provide to you additional reports that can break down the transactions by transaction type, such as interest and dividends, and for realized gains and losses. Please let us know what information you are looking for and we will do our best to provide it to you.

**THE BOTTOM SECTION<sup>11</sup>:** At the bottom of the report you will see the number of transactions and the total dollar value of the transactions.

**READING YOUR REPORT:** This report provides to you a listing of all of the activity in your accounts over a specific date range. You could compare this information to the Transaction History section of your NBCN statements.

You may also have additional questions such as:

- How much were my RRIF withdrawals?
- How much were my deposits?
- What were the dividends and interest payments for tax purposes?
- What were the realized gains and losses over the past year?

Questions such as these may be better answered from different reports. Please let us know what information you are looking for and we would be happy to generate a report for you that may be more applicable to your question.

**SUMMARY:** If we can be of any assistance, please let us know.

Our contact information can be found at: [www.nelsonfinancial.ca](http://www.nelsonfinancial.ca)  
You can reach us by phone at 204-956-0519.

**ADDITIONAL DISCLOSURE<sup>12</sup>:** At the bottom of this report, additional disclosures have been provided.

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<sup>10</sup>See item #10 on the NPMC Portfolio Summary Report.

<sup>11</sup> See item #11 on the NPMC Portfolio Summary Report.

<sup>12</sup> See item #12 on the NPMC Portfolio Summary Report.

**TRANSACTIONS (CAD)**

1. Period from April 1, 2015 to September 30, 2015

SAMPLE CLIENT

TOP SECTION

Nelson Portfolio Management

Account 2	Transaction Date 3	Settlement Date 4	Type 5	Quantity 6	Description 7	Unit Price 8	Transaction Total 9	Accrued Interests 10
27- -T	04/02/2015	04/06/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-2,663.01	
27- -T	04/02/2015	04/02/2015	Management Fee		ACCOUNT BALANCE CAD Monthly Portfolio Managem		-66.67	
27- -T	04/02/2015	04/02/2015	GST		ACCOUNT BALANCE CAD GST -5%		-3.33	
27- -T	04/02/2015	04/06/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-1,408.46	
27- -Y	04/02/2015	04/06/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-742.54	
27- -T	04/07/2015	04/07/2015	Dividends	462	BMO LOW VOL CDN EQ ETF		64.68	
27- -T	04/10/2015	04/15/2015	Sell	(1,032.169)	NFC TAC AA PL-F/NL/N OTHER COMM: 25.00 AS OF APR 10,2015	11.626	11,975.00	
27- -T	04/13/2015	04/13/2015	Dividends	1,371	HORIZONS ACT F/R BD-E ETF		25.61	
27- -T	04/13/2015	04/13/2015	MIDDLE SECTION	1,394	HORIZONS ACT F/R PFD-E		40.38	
27- -T	04/13/2015	04/13/2015	Dividends	637	HORIZONS ACT F/R BD-E ETF		11.90	
27- -T	04/13/2015	04/13/2015	Dividends	737	HORIZONS ACT F/R PFD-E		21.35	
27- -T	04/16/2015	04/16/2015	Interest		ACCOUNT BALANCE CAD INTEREST TO APR 16		-10.29	
27- -T	04/30/2015	04/30/2015	Dividends	532	ISHRS S&P/TSX CDN DIV ETF		42.38	
27- -T	04/30/2015	04/30/2015	Dividends	525	ISHARES CDN S/T BOND ETF		31.67	
27- -T	04/30/2015	04/30/2015	Dividends	410	ISHRS US DV GRW C\$HDG ETF		17.91	
27- -T	04/30/2015	04/30/2015	Dividends	350	ISHARES CDN S/T BOND ETF		21.11	
27- -T	05/04/2015	05/05/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-2,663.01	

**TRANSACTIONS (CAD)**

Period from April 1, 2015 to September 30, 2015

SAMPLE CLIENT

Nelson Portfolio Management

Account	Transaction Date	Settlement Date	Type	Quantity	Description	Unit Price	Transaction Total	Accrued Interests
27- -T	05/04/2015	05/05/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-1,408.46	
27- -Y	05/04/2015	05/05/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-742.54	
27- -T	05/05/2015	05/05/2015	Management Fee		ACCOUNT BALANCE CAD Monthly Portfolio Management		-66.67	
27- -T	05/05/2015	05/05/2015	GST		ACCOUNT BALANCE CAD GST -5%		-3.33	
27- -T	05/08/2015	05/13/2015	Sell	(524.205)	NFC TAC AA PL-F/NL/N OTHER COMM: 25.00 AS OF MAY 08,2015	11.446	5,975.00	
27- -T	05/12/2015	05/12/2015	Dividends	1,371	HORIZONS ACT F/R BD-E ETF		23.36	
27- -T	05/12/2015	05/12/2015	Dividends	1,394	HORIZONS ACT F/R PFD-E		43.70	
27- -T	05/12/2015	05/12/2015	Dividends	637	HORIZONS ACT F/R BD-E ETF		10.85	
27- -T	05/12/2015	05/12/2015	Dividends	737	HORIZONS ACT F/R PFD-E		23.10	
27- -T	05/16/2015	05/16/2015	<b>MIDDLE SECTION</b>		ACCOUNT BALANCE CAD INTEREST TO MAY 16		-2.50	
27- -T	05/29/2015	05/29/2015	Dividends	532	ISHRS S&P/TSX CDN DIV ETF		42.38	
27- -T	05/29/2015	05/29/2015	Dividends	525	ISHARES CDN S/T BOND ETF		31.50	
27- -T	05/29/2015	05/29/2015	Dividends	410	ISHRS US DV GRW C\$HDG ETF		17.91	
27- -T	05/29/2015	05/29/2015	Dividends	350	ISHARES CDN S/T BOND ETF		21.00	
27- -T	06/02/2015	06/02/2015	Management Fee		ACCOUNT BALANCE CAD Monthly Portfolio Managem		-66.67	
27- -T	06/02/2015	06/02/2015	GST		ACCOUNT BALANCE CAD GST -5%		-3.33	
27- -T	06/04/2015	06/05/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-2,663.01	

**TRANSACTIONS (CAD)**

Period from April 1, 2015 to September 30, 2015

SAMPLE CLIENT

Nelson Portfolio Management

Account	Transaction Date	Settlement Date	Type	Quantity	Description	Unit Price	Transaction Total	Accrued Interests
27- -T	06/04/2015	06/05/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-1,408.46	
27- -Y	06/04/2015	06/05/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-742.54	
27- -T	06/10/2015	06/10/2015	Dividends	1,371	HORIZONS ACT F/R BD-E ETF		23.36	
27- -T	06/10/2015	06/10/2015	Dividends	1,394	HORIZONS ACT F/R PFD-E		43.70	
27- -T	06/10/2015	06/10/2015	Dividends	637	HORIZONS ACT F/R BD-E ETF		10.85	
27- -T	06/10/2015	06/10/2015	Dividends	737	HORIZONS ACT F/R PFD-E		23.10	
27- -Y	06/16/2015	06/16/2015	Interest		ACCOUNT BALANCE CAD INTEREST TO JUN 16		-0.24	
27- -T	06/19/2015	06/19/2015	Dividends	514	MANULIFE FIN-A-PFD S-2		149.38	
27- -Y	06/19/2015	06/19/2015	Dividends	1,473	MANULIFE FIN-A-PFD S-2		428.10	
27- -T	06/30/2015	06/30/2015	<b>MIDDLE SECTION</b>	2,093	BROOKFIELD ASSET-A S17 PF		621.36	
27- -T	06/30/2015	06/30/2015	Dividends	532	ISHRS S&P/TSX CDN DIV ETF		42.38	
27- -T	06/30/2015	06/30/2015	Dividends	525	ISHARES CDN S/T BOND ETF		30.49	
27- -T	06/30/2015	06/30/2015	Dividends	295	ISHARES CDN RL RET BD ETF		67.21	
27- -T	06/30/2015	06/30/2015	Dividends	410	ISHRS US DV GRW C\$HDG ETF		17.91	
27- -T	06/30/2015	06/30/2015	Dividends	350	ISHARES CDN S/T BOND ETF		20.33	
27- -T	06/30/2015	06/30/2015	Dividends	796	SUN LF FL-A-N/CM-2 PF PER		238.80	
27- -T	06/30/2015	06/30/2015	Dividends		NFC TAC AA PL-F/NL/N		1,073.73	

**TRANSACTIONS (CAD)**

Period from April 1, 2015 to September 30, 2015

SAMPLE CLIENT

Nelson Portfolio Management

Account	Transaction Date	Settlement Date	Type	Quantity	Description	Unit Price	Transaction Total	Accrued Interests
27- -T	06/30/2015	06/30/2015	Dividends		NFC TAC AA PL-F/NL/N		492.63	
27- -Y	06/30/2015	06/30/2015	Dividends		NFC TAC AA PL-F/NL/N		324.96	
27- -W	06/30/2015	06/30/2015	Dividends	16.621	NFC TAC AA PL-F/NL/N VALUE = 188.29	11.328		
27- -A	06/30/2015	06/30/2015	Dividends	1.725	NFC TAC AA PL-F/NL/N VALUE = 19.54	11.328		
27- -W	06/30/2015	06/30/2015	Dividends	16.706	NFC TAC AA PL-F/NL/N VALUE = 189.25	11.328		
27- -T	07/02/2015	07/02/2015	Dividends	136	VANGUARD FTSE PACIFIC ETF CONVERT TO CAD @ 1.25630		76.89	
27- -T	07/02/2015	07/02/2015	Management Fee		ACCOUNT BALANCE CAD Monthly Portfolio Managem		-66.67	
27- -T	07/02/2015	07/02/2015	GST		ACCOUNT BALANCE CAD GST -5%		-3.33	
27- -T	07/02/2015	07/02/2015		136	VANGUARD FTSE PACIFIC ETF CONVERT TO CAD @ 1.25630		76.89	
27- -T	07/03/2015	07/06/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-2,663.01	
27- -T	07/03/2015	07/06/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-1,408.46	
27- -Y	07/03/2015	07/06/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-742.54	
27- -T	07/07/2015	07/07/2015	Dividends	462	BMO LOW VOL CDN EQ ETF		64.68	
27- -T	07/13/2015	07/13/2015	Dividends	1,371	HORIZONS ACT F/R BD-E ETF		23.36	
27- -T	07/13/2015	07/13/2015	Dividends	1,394	HORIZONS ACT F/R PFD-E		43.70	
27- -T	07/13/2015	07/13/2015	Dividends	637	HORIZONS ACT F/R BD-E ETF		10.85	
27- -T	07/13/2015	07/13/2015	Dividends	737	HORIZONS ACT F/R PFD-E		23.10	

MIDDLE SECTION

**TRANSACTIONS (CAD)**

Period from April 1, 2015 to September 30, 2015

SAMPLE CLIENT

Nelson Portfolio Management

Account	Transaction Date	Settlement Date	Type	Quantity	Description	Unit Price	Transaction Total	Accrued Interests
27- -Y	07/16/2015	07/16/2015	Interest		ACCOUNT BALANCE CAD INTEREST TO JUL 16		-0.22	
27- -T	07/28/2015	07/31/2015	Sell	(532)	ISHRS S&P/TSX CDN DIV ETF	23.800	12,635.96	
27- -T	07/28/2015	07/31/2015	Sell	(410)	ISHRS US DV GRW C\$HDG ETF	31.660	12,953.30	
27- -T	07/31/2015	07/31/2015	Dividends	532	ISHRS S&P/TSX CDN DIV ETF		40.33	
27- -T	07/31/2015	07/31/2015	Dividends	525	ISHARES CDN S/T BOND ETF		30.53	
27- -T	07/31/2015	07/31/2015	Dividends	410	ISHRS US DV GRW C\$HDG ETF		19.86	
27- -T	07/31/2015	07/31/2015	Dividends	350	ISHARES CDN S/T BOND ETF		20.35	
27- -T	08/03/2015	08/05/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-2,663.01	
27- -T	08/03/2015	08/05/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-1,408.46	
27- -Y	08/03/2015	08/05/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-742.54	
27- -Y	08/07/2015	08/12/2015	Sell	(441.365)	NFC TAC AA PL-F/NL/N OTHER COMM: 25.00 AS OF AUG 07,2015	11.329	4,975.00	
27- -T	08/13/2015	08/13/2015	<b>MIDDLE SECTION</b>	1,371	HORIZONS ACT F/R BD-E ETF		22.32	
27- -T	08/13/2015	08/13/2015	Dividends	1,394	HORIZONS ACT F/R PFD-E		40.84	
27- -T	08/13/2015	08/13/2015	Dividends	637	HORIZONS ACT F/R BD-E ETF		10.37	
27- -T	08/13/2015	08/13/2015	Dividends	737	HORIZONS ACT F/R PFD-E		21.59	
27- -Y	08/16/2015	08/16/2015	Interest		ACCOUNT BALANCE CAD INTEREST TO JUL 17		-0.02	
27- -Y	08/16/2015	08/16/2015	Interest		ACCOUNT BALANCE CAD INTEREST TO AUG 16		-3.40	



**TRANSACTIONS (CAD)**

Period from April 1, 2015 to September 30, 2015

SAMPLE CLIENT

Nelson Portfolio Management

Account	Transaction Date	Settlement Date	Type	Quantity	Description	Unit Price	Transaction Total	Accrued Interests
27- -T	08/17/2015	08/17/2015	Management Fee		ACCOUNT BALANCE CAD Monthly Portfolio Managem		-66.67	
27- -T	08/17/2015	08/17/2015	GST		ACCOUNT BALANCE CAD GST -5%		-3.33	
27- -T	08/31/2015	08/31/2015	Dividends	525	ISHARES CDN S/T BOND ETF		30.59	
27- -T	08/31/2015	08/31/2015	Dividends	350	ISHARES CDN S/T BOND ETF		20.39	
27- -T	09/03/2015	09/03/2015	Management Fee		ACCOUNT BALANCE CAD Monthly Portfolio Managem		-66.67	
27- -T	09/03/2015	09/03/2015	GST		ACCOUNT BALANCE CAD GST -5%		-3.33	
27- -T	09/04/2015	09/08/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-2,663.01	
27- -T	09/04/2015	09/08/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-1,408.46	
27- -Y	09/04/2015	09/08/2015	Transfer		ACCOUNT BALANCE CAD RE: RETIREMENT PAYMENT		-742.54	
27- -T	09/11/2015	09/11/2015	<b>MIDDLE SECTION</b>	1,371	HORIZONS ACT F/R BD-E ETF		22.32	
27- -T	09/11/2015	09/11/2015	Dividends	1,394	HORIZONS ACT F/R PFD-E		40.84	
27- -T	09/11/2015	09/11/2015	Dividends	637	HORIZONS ACT F/R BD-E ETF		10.37	
27- -T	09/11/2015	09/11/2015	Dividends	737	HORIZONS ACT F/R PFD-E		21.59	
27- -T	09/21/2015	09/21/2015	Dividends	514	MANULIFE FIN-A-PFD S-2		149.38	
27- -Y	09/21/2015	09/21/2015	Dividends	1,473	MANULIFE FIN-A-PFD S-2		428.10	
27- -T	09/30/2015	09/30/2015	Dividends	2,093	BROOKFIELD ASSET-A S17 PF		621.36	
27- -T	09/30/2015	09/30/2015	Dividends	525	ISHARES CDN S/T BOND ETF		30.53	

**TRANSACTIONS (CAD)**

Period from April 1, 2015 to September 30, 2015

SAMPLE CLIENT

Nelson Portfolio Management

Account	Transaction Date	Settlement Date	Type	Quantity	Description	Unit Price	Transaction Total	Accrued Interests
27- -T	09/30/2015	09/30/2015	Dividends	350	ISHARES CDN S/T BOND ETF		20.35	
27- -T	09/30/2015	09/30/2015	Dividends	796	SUN LF FL-A-N/CM-2 PF PER		238.80	
27- -W	09/30/2015	09/30/2015	Dividends	21.372	NFC TAC AA PL-F/NL/N VALUE = 233.52	10.926		
27- -A	09/30/2015	09/30/2015	Dividends	2.218	NFC TAC AA PL-F/NL/N VALUE = 24.24	10.929		
27- -W	09/30/2015	09/30/2015	Dividends	21.482	NFC TAC AA PL-F/NL/N VALUE = 234.72	10.926		
27- -T	09/30/2015	09/30/2015	Dividends		NFC TAC AA PL-F/NL/N		1,325.61	
27- -T	09/30/2015	09/30/2015	Dividends		NFC TAC AA PL-F/NL/N		608.19	
27- -Y	09/30/2015	09/30/2015	Dividends		NFC TAC AA PL-F/NL/N		373.01	

**Total** **27,759.70**

**Number of Transactions Performed: 110**

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**BOTTOM SECTION**