



**ALIGNED**  
capital partners inc.

## Securing your **Investments**

### Security and **You**

At Aligned Capital Partners Inc., security of client assets that have been entrusted to our advisors is paramount. It is central to our core mission – “Client focused, advisor driven”.

### Security and Safekeeping

Aligned Capital Partners Inc. is required by industry regulators to employ appropriate procedures for handling investments, maintain proper business records, and sustain enough capital to manage any and all risks. Investments owned by our clients are tracked using independent service providers such as FundSERV for mutual fund business and the Canadian Depository for Securities for individual stock and bonds. Any securities held physically at ACPI are held separate from securities related to corporate investing activities and are audited on an annual basis; thus, client investments are not subject to risks related to the dealer’s activities.

Custodial services at Aligned Capital Partners Inc. for all clients’ accounts are provided by either B2B Securities Services Inc. or the National Bank Correspondent Network. Both custodians are wholly owned subsidiaries of schedule 1 banks. As such, clients are able to benefit from multiple parties’ involvement in account activity as well as custodial monitoring of administrative procedures from financially reputable sources. Furthermore, because assets are not held at the dealer, no cheques from clients will be made payable to ACPI but rather the respective custodian of the account.

### Independence Built on Strong Industry Experience

The founding partners of Aligned Capital Partners Inc. have more than 80 years combined of experience serving the Canadian investor. The success of this partnership has been built on a simple premise – a client’s best interest is always the most important consideration in any corporate initiative.

*It is this “client centric” approach that will continue to govern both the growth and success of each of our partnering advisors and ultimately our firm.*





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## Multiple Stakeholders Working in Tandem to Give **You Peace of Mind**

### Adhesion to Industry Standards

As a member of the Investment Industry Regulatory Organization of Canada (IIROC), Aligned Capital Partners Inc. is required to adhere to strict regulations regarding the protection of its clientele. IIROC regularly monitors the firm through independent audits to ensure fiduciary duties and proper recordkeeping are in place. Regulatory examiners conduct thorough compliance audits of the firm including examinations of marketing materials, trade suitability, disclaimers on documentation, and general operations to make sure that adherence to regulatory policies is consistent. Consequently, all advisors associated with ACPI are also subject to regulatory oversight to provide maximum protection to the end client.

**For More Information about how your assets are protected, please visit these online sources:**

Investment Industry Regulatory Organization of Canada  
[www.iiroc.ca](http://www.iiroc.ca)

Canadian Investor Protection Fund  
[www.cipf.ca](http://www.cipf.ca)

Canadian Securities Administrators  
[www.securities-administrators.ca](http://www.securities-administrators.ca)

Investment Funds Institute of Canada  
[www.ific.ca](http://www.ific.ca)

OSC's Investor Education Fund  
[www.investorED.ca](http://www.investorED.ca)



### The Canadian Investor Protection Fund

CIPF is a protection fund that was set up by the investment industry to return, within defined limits, the assets that you hold in an account at a CIPF Member if the CIPF Member is not able to return them because it is insolvent.

CIPF covers customers of Members who have suffered or may suffer financial loss solely as a result of the insolvency of a Member. Such loss must be in respect of a claim for the failure of the Member to return or account for securities, cash balances, commodities, futures contracts, segregated insurance funds or other property, received, acquired or held by, or in the control of, the Member for the customer, including property unlawfully converted. CIPF may exercise its discretion in respect of determining the customers eligible for protection and the financial loss suffered.

For more information please refer to the CIPF Coverage Policy available on the CIPF website.

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