

# What BMO Nesbitt Burns Offers



## Who are we?

As a member of the BMO Financial Group and part of the organization's Private Client Group, BMO Nesbitt Burns has the expertise to manage even the most sophisticated wealth needs. Our skilled and knowledgeable Investment Advisors, coupled with our wealth advisory services and industry leading solutions, help our clients build and protect their wealth.

BMO Nesbitt Burns focuses on meeting the needs of individual investors through a customized approach to wealth management. A BMO Nesbitt Burns Investment Advisor can draw upon the full depth and breadth of the BMO Financial Group of Companies to provide clients with an integrated and multi-disciplinary wealth management solution. This includes all aspects of managing, protecting and transferring wealth, including investments, insurance, tax efficiency, estate planning, retirement planning, cash management, planned giving, trusts and wills.

## Our history?

The firm has had an unwavering belief in the power of the Advisor-Client relationship. BMO Nesbitt Burns is a core part of the success of BMO, Canada's oldest bank, founded in 1817.

The origins of BMO Nesbitt Burns' predecessor firms date back to 1912. In 1987, BMO Bank of Montreal acquired Nesbitt Thomson, then one of Canada's oldest and most respected

investment houses. In 1994, BMO Bank of Montreal also acquired Burns Fry, one of the largest dealers of Canadian equities and debt securities. Nesbitt Thomson and Burns Fry were then merged to become BMO Nesbitt Burns.

## How are clients protected?

Making certain that clients assets are as safe and secure as possible is obviously very important. As a Canadian investment dealer, BMO Nesbitt Burns is a member of and/or are governed by a number of self-regulatory bodies.

These include:

- Investment Industry Regulatory Organization of Canada (IIROC)
- Toronto Stock Exchange (TSX)
- Bourse de Montréal (ME)
- TSX Venture Exchange (TSXVE)
- Winnipeg Commodity Exchange (WCE)
- Market Regulation Services Inc. (RS)

IIROC is responsible for member regulation and investment industry standards.

While the TSX, ME, TSXVE, ME and RS are responsible for market regulation, which involves monitoring and regulating members' trading activities on the exchanges. Each organization is in turn governed by the Provincial Securities Commissions or other securities regulatory authorities.