



## Reminder: Dealer Communication

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April 4, 2018

### Fund Company Name

Ninepoint Partners LP

### Fund Company Code

SPR

### IIROC Custodial Agreement

Yes

### MFDA Custodial Agreement

Yes

### Head Office Address: Marketing & Performance Information

Royal Bank Plaza, South Tower  
200 Bay Street, Suite 2700, PO Box 27  
Toronto, ON M5J 2J1

### Head Office Phone

+ 1 416 362 7172  
+ 1 888 362 7172

### Head Office Fax

+ 1 416 628 2397

### Head Office Website

[www.ninepoint.com](http://www.ninepoint.com)

### Fund Record Keeper

RBC Investor & Treasury Services

### Administration Mailing Address

Shareholder Services  
3<sup>rd</sup> Floor Imaging Team  
PO Box 7500, Station A  
Toronto, ON M5W 1P9

### Administrator Phone - Account Inquiry

+ 1 877 874 0899

### Dealer Relations

+ 1 866 932 6597

### Administration Fax

+ 1 416 955 7769  
+ 1 866 716 2977

### Administrator Web Site

[www.rbcits.com](http://www.rbcits.com)

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As per the dealer communication of March 22, effective close of business day of April 13, 2018, Ninepoint Partners LP is **changing management company codes from SPR to NPP**. RBC Investor and Treasury Services (RBC I&TS) will continue to be the record keeper for company code NPP.

- 1) To assist your dealership with the conversion, prices for April 13, 2018 will be made available on April 13<sup>th</sup> for both the SPR and NPP fund company codes in the Fundserv RS files. A price file will be made available to Fundserv on or about April 16, 2018 for the period January 1, 2018 – April 12, 2018 for the converted NPP funds.
- 2) You can expect the following:
  - a. The fund company code is changing from SPR to NPP.
  - b. The fund name and fund codes are not changing.
  - c. This is a non-taxable event.
  - d. No transactions will be processed in conjunction with this conversion; therefore no conversion records will appear in the daily Transaction Reconciliation (TSP) file.
  - e. A Fund Account Identifier Conversion (AE) file will be made available to each dealer on or about April 16, 2018. Dealers who would like post-conversion Position Reconciliation files (PSP) should contact Dealer Relations at [dealer.relations@rbc.com](mailto:dealer.relations@rbc.com).
  - f. Distribution options and fund company run systematic plans will be carried over to NPP.
  - g. Commissions for the period ending April 13, 2018 will be paid out under company code SPR.
  - h. Trailer fees for the period starting April 1, 2018 will be paid out under company code NPP.
  - i. For any dealers who subscribe to the Fund Set Up (FD) file through Fundserv, it will be available on or about April 9, 2018 with an effective date of April 13, 2018.
  - j. Trades for daily priced funds with a settlement date on or before April 17, 2018 will settle under fund company code **SPR**; however, confirmations for trades that settle on or after April 16, 2018 will appear in the TSP file under fund company code **NPP**.
  - k. Trades for daily priced funds with a trade date of April 16, 2018 or later will contract under fund company code NPP.
  - l. Uncontracted trades for monthly priced funds placed under SPR will be cancelled and rebooked by the fund company with new wire order numbers under NPP. The trades will then contract and settle under NPP.

## Schedule & Trading Restrictions

- Trades will be accepted with fund company code SPR over Fundserv until 4:00PM Eastern, April 13, 2018.
- Trades will be accepted with fund company code NPP over Fundserv starting 8:00AM Eastern, April 16, 2018.

As noted, an FD file will be made available to those dealers who subscribe to the services on or about April 9, 2018. Kindly advise via email to **dealer.relation@rbc.com** if you require an FD file with the action code of MRG.

If you have any questions, please contact Ninepoint Partners LP or RBC Investor & Treasury Services.

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