

Your Risk & Regulatory Partners

Setting up a compliant practice can feel overwhelming. Put your mind at ease by partnering with NBIN.



Expert Guidance

We have helped hundreds of wealth managers launch their own firms. Our mission is to provide guidance and expertise through sound policies and procedures, professional knowledge, skills, and experiences.

Compliance Solutions

We provide referrals to experienced compliance professionals with whom we have worked for many years. These third-party experts can help you to:

- Set up your new corporation with the provincial government
- Register yourself and your firm as an advising representative with a provincial securities commission
- Set up compliant processes and procedures to run your business

We are experienced in working with our clients on matters that are unique or require extra attention. Our team is available for contact by all our clients, and we can help provide guidance in a variety of complex situations.

The Benefits of Working with NBIN

As a wholly owned subsidiary of a major Canadian bank, NBIN offers access to resources that are not available at private and smaller-sized institutions.

We have robust controls to ensure your accounts are serviced according to all applicable laws and regulations, and key protections are in place such as:

- Extensive safeguards for protecting your clients' information
- Dedicated cyber security team monitoring for potential vulnerabilities
- Canadian Investors Protection Fund for assets custodied with NBIN
- Internal and external audit infrastructure
- Due diligence and ongoing monitoring of third parties

Helping You Stay Ahead of the Curve

NBIN actively monitors the evolving regulatory environment and is an active participant across many industry committees. We know when change is coming and work diligently to ensure we adhere to the latest requirements. We also host regulatory calls with our clients to keep them up to date of changes that could impact their business.

Protecting You and Your Clients

NBIN has a well-defined framework to manage risks ranging from business continuity to information security, so that you and your clients are in safe hands. We are careful in setting our risk appetite and then monitoring it via risk indicators and tolerance thresholds.

Sound compliance is in everyone's best interest. Leverage our expertise to facilitate your journey.

Contact Us

At NBIN, we've helped hundreds of individuals join the independent portfolio management industry. Talk to our team.

Contact us at NBINinformation@nbc.ca.

nbin.ca

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