



Decades of Leadership in Institutional Asset Management

Putting 60 years of experience in your portfolio

01 A reputation earned over six decades

\$48.8B

IN INSTITUTIONAL AUM*

12 YEARS

AVERAGE TENURE OF INVESTMENT TEAM MEMBERS AT GUARDIAN CAPITAL



Guardian Capital Group Limited has been managing institutional client assets since 1962.†

Our core values of stability, trustworthiness and integrity have led to institutional clients that have been with us for decades. We have a reputation for putting our clients and partners first and delivering results.

* Guardian Capital LP AUM as at September 30, 2021. Total AUM for Guardian Capital LP includes its subsidiaries GuardCap Asset Management Limited, Alta Capital Management LLC and Agincourt Capital Management LLC, but excludes \$4.3B of AUM related to the Wealth Management segment.

Our stable and growing core of institutional business, including pension plans, insurers, foundations, endowments, mutual funds and ETFs, has allowed Guardian Capital LP (Guardian Capital) to attract and retain top investment professionals who have implemented systematic and repeatable processes; affording us the ability to focus on consistent, high-quality outcomes for clients that range from private businesses to sovereign wealth funds.

† Guardian Capital LP is a wholly owned subsidiary of Guardian Capital Group Limited and the successor to its original investment management business, which was founded in 1962.

02 Bringing this advantage to retail investors

When your reputation is built upon focusing on clients and partners, you don't stand still.

This is why we are now excited to offer our highly sought-after institutional strategies and highly experienced, global portfolio management teams to Canadian investors, through SMAs, mutual funds and ETFs.

While we began as a small Canadian investment firm, today we are positioned as a large, global entity. Our historical investment performance, dedication to consistent processes and results, risk management, fiduciary responsibility and environmental, social and corporate governance (ESG) integration have been instrumental in growing our institutional client-base worldwide, and now form the foundation of our Canadian retail investor portfolios.

Growing Global Client Base



Source: Guardian Capital, unaudited as at September 30, 2021. Total AUM for Guardian Capital LP includes its subsidiaries GuardCap Asset Management Limited, Alta Capital Management LLC and Agincourt Capital Management LLC, but excludes AUM related to the Wealth Management segment.



03 Why institutional investors trust us

Guardian Capital seeks to meet the highest set of standards and requirements of current and prospective institutional clients and consultants that conduct this extensive due diligence – often over several years. This is why we are so proud of our global institutional client base; their partnership is a testament to our offerings and their belief in us.

At Guardian Capital, we know most retail investors do not have access to the institutional teams and resources needed to perform such detailed reviews. That's why, by making these institutional strategies and teams available, we're levelling the playing field.

Our investment teams and strategies are trusted by large institutional investors around the world who leverage their significant resources to perform rigorous due diligence.

Now, retail investors are able to access the benefits of this thorough vetting process when they invest in our strategies.

This extensive process typically includes ▶



STEP 1

Institution identifies need for specific strategy in their total portfolio

- Decides whether portfolio change is required and identifies specific needs (i.e. investment style, geographic characteristics) in selecting new investment manager.



STEP 2

Institution conducts manager research

- Institution utilizes internal research staff or hires investment consultant.
- Databases are screened for strategy style, minimum size of assets, long-term returns, risk profiles and more.
- Detailed portfolio review examines both incumbent and potential new managers in search of ideal diversification and risk-adjusted results based on historical holdings and returns.



STEP 3

Institution reaches out to initial candidates

- Institution requests updated strategy returns (generally 5+ years' worth), due diligence questionnaire (average of 20-30 pages) and copy of a recent pitch book.
- Introductory call to discuss people, investment philosophy and process, portfolio construction, buy/sell decisions, ESG factors and portfolio holdings.



STEP 4

Institution holds interviews with shortlist of candidates

- Details of the team's investment process are discussed at length.



STEP 5

Institution invites remaining candidates to finalist presentation

- Guardian Capital meets with institution's investment committee.
- Remaining candidates typically have strong return and risk profiles, as well as a solid process and organization.



STEP 6

On-site visit

- Lead manager visited by institution's investment staff for in-depth, onsite due diligence meeting to review operational side of company.
- Meeting typically involves the Trading, Portfolio Operations, IT, Compliance, Risk, Legal and Reporting teams.



STEP 7

Manager selected and ongoing due diligence

- Once signed as an institutional client, Guardian Capital holds regular review meetings.
- Guardian Capital sends institution comprehensive monthly and quarterly review packages.

04 Investing in a better world

Our dedicated approach to responsible investing and to integrating ESG throughout all of our investment teams and processes is led by our Responsible Investing group, whose leadership boasts decades of experience in portfolio management, with a history of asking companies the hard questions on governance and strategy.

This unique approach was chosen to ensure that our commitment to doing what's right melds with our aim to maximize our investing success.

As a global citizen, we have taken responsible investing very seriously for many years, well before ESG became an industry buzzword. We refuse to lose sight of where we come from, and have combined that foundation with our successful growth to try to make a difference.



05 Why Guardian Capital stands apart

Our extensive history has allowed us to remain committed to our time-tested approach to trusted stewardship of client capital.

While many mutual fund and ETF providers exist in Canada today, few have our institutional pedigree. We are confident that the combination of this pedigree, our quality products and our sustainability ratings differentiates us from other asset managers. We embed responsible investing through ESG integration and active ownership across all of our portfolios, with a clear objective of enhancing long-term investment performance while doing our part for the greater good.

We take a long-term view with an aim to exploit both the short-term focus and increased speculation now so prevalent amongst market participants.

Guardian Capital is a signatory of:



Additionally, Guardian Capital is a member of:





www.guardiancapital.com/investmentsolutions/



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Contact your financial advisor to discuss how Guardian's investment solutions can help optimize your portfolio.

Disclaimer:

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