

1

A. CLIENT IDENTIFICATION

*Full Name of Account Holder _____

Full Name of Joint Account Holder (if applicable) _____

*Address _____

*City _____ *Province _____ *Postal Code _____ Telephone Number – Home _____ Telephone Number – Business _____

*SIN _____

SIN (if applicable) _____

2

*NBDB Client Account Number

1. _____

2. _____

*NBDB Account Type:

Cash Margin Other: _____

Cash Margin Other: _____

*NBDB Account Currency:

CAD USD Other: _____

CAD USD Other: _____

3

*Transfer (check one box only):

Full in Kind (as is / no sell) Full in Cash** (all assets will be sold)

Full Mix** (please indicate below assets to sell and assets to transfer as is) Partial** (please indicate below assets to transfer) List Attached**

In Kind (as is)	In Cash** (asset to sell)	Cash Balance or GIC at Maturity (no sell)	Security Symbol and/or Policy or Certificate Number	Investment Description	GIC Maturity Date (YYYY-MM-DD)	Full Asset	Partial Asset (please complete one box)	
							Amount	Quantity
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>		

Balance of the account (if applicable): In Kind (as is) or In Cash** (asset to sell)

Special Feature of Certain Institutions

- > For all institutions, GICs are non-transferable.

Wealthsimple

- > Please pay particular attention to the note on fractional shares*.
- > FHSA is transferable in cash only.

Tangerine

- > The institution accepts scanned document, but requires a handwritten signature.

FTQ

- > The institution does not allow transfers in kind. The FTQ redemption form is required. In addition, for clients under age 65, proof of retirement is required.

***Special Feature for Fractional Shares**

Before requesting a transfer, fractional shares must be liquidated or left with the ceding institution (if applicable).

1

Client Identification

- > Complete all fields. **Social Insurance Number (SIN)** is mandatory.

2

Account Type

- > Enter your account number.
- > Check the **account type** and **currency**
- > **Attention:** only one account per form.

3

Transfer

- > **Check one box only.** If you check:
 - > **“Full in Kind” box**
Do not add details.
 - > **“Full in Cash” box**
Do not add details. Note: Sales will be made to the selling broker.
 - > **“Full Mix” box**
Full transfer, including part of the assets to be sold and the balance of the assets to be retained. Complete the table to specify your request.
 - > **“Partial” box**
Complete the table to specify your request.

4

D. CLIENT AUTHORIZATION

I hereby request the transfer of my account(s) as directed in the Section "C" above. In the case of a full transfer, please cancel all open orders, all pre-authorized debit plan and systematic withdrawal plan for my account(s) mentioned above. **I ACKNOWLEDGE** that fees and taxes could be charged to process the transfer and I authorize the liquidation of part of my assets as necessary to complete my transfer request. **I ACKNOWLEDGE** that as long as a trailing commission investment fund held in my account has not been exchanged for an identical or similar fund, which exchange shall be done without prior instructions from me, NBDB shall grant me a rebate equal to the amount of the commission received by NBDB. For more information, refer to the FAQ – Dealer Rebate, section Investment products | Mutual funds on nbdb.ca website.

X

Signature of Account Holder

Date (YYYY-MM-DD)

Guaranteed Signature (for Head Office use only)

X

Signature of Joint Account Holder (if applicable)

Date (YYYY-MM-DD)

VOID

4

Signature

- > The **account holder's signature** is mandatory, and the **date** must be entered.
- > A form signed electronically using Adobe software is also accepted.
- > The document is valid for 6 months.

Sending the Form

- > **It is important** to send the transfer request via the secure **Message Centre** of the online brokerage platform.
- > Attach a copy of the most recent statement from the ceding institution (if available).