①

A.   CLIENT IDENTIFICATION

*Full Name of Account Holder   *SIN

*Address

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

②

* NBDB Client Account Number   *NBDB Account Currency:
☐ CAD   ☐ USD

* NBDB Registered Account Type *(check one box only and applies to both account numbers above-mentioned, if applicable):*

☐ RRSP   ☐ Spousal RRSP   ☐ RRIF   ☐ Spousal RRIF   ☐ TFSA

☐ LIRA *(Legislation: ____)*   ☐ Locked-In RRSP *(Legislation: FED)*   ☐ RLSP *(Federal Restricted)* ☐ FHSA   ☐ PRIF

☐ LIF *(Legislation: ____)*   ☐ Locked-In RRIF *(Legislation: FED)*   ☐ RLIF *(Federal Restricted)*   ☐ 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
☐	☐	☐				☐		
☐	☐	☐				☐		
☐	☐	☐				☐		
☐	☐	☐				☐		
☐	☐	☐				☐		
☐	☐	☐				☐		
☐	☐	☐				☐		
☐	☐	☐				☐		
☐	☐	☐				☐		
☐	☐	☐				☐		
☐	☐	☐				☐		
☐	☐	☐				☐		

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, frational shares must be liquidated of left with the ceding institution (if applicable).

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①

Client Identification

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

②

Account Type

> Enter your NBDB account number and check the currency.

> **Check only one** of the account types.

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.

D. CLIENT AUTHORIZATION

I hereby request the transfer of my account as directed in the Section "C" above. In the case of a full transfer, please cancel all open orders, all contribution by pre-authorized debit plan and systematic withdrawal plan for my account 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 and Transfers, section Investment products | Mutual funds on nbdb.ca website.

For a transfer from my FHSA to my RRSP or RRIF: I understand that if I have an excess FHSA amount at the time of the transfer and I transfer property from my FHSA to my RRSP or RRIF, any portion of the amount transferred that exceeds the total fair market value (FMV) of all the property held in all of my FHSAs at the time of the transfer minus the excess FHSA amount at the time of the transfer, will be treated as both:

- a taxable withdrawal from my FHSA, which must be included as income on my income tax and benefit return for the year of the transfer

- a new RRSP contribution at the time of the transfer to my RRSP or RRIF

For a transfer from my RRSP to my FHSA: I certify that the amount transferred does not result in an excess FHSA amount.

For a transfer from a spousal RRSP of which I am the annuitant to my FHSA: I understand that if I intend to transfer property from my spousal RRSP, I am not permitted to transfer any amounts from the RRSP if my spouse has contributed any amounts to any of my spousal RRSPs during the current year or the two preceding calendar years. If I make such a transfer, the amount of the transfer will be both:

- a taxable withdrawal from my RRSP

- a new contribution to my FHSA

4

X _____   _____
*Signature of Account Holder   *Date (YYYY MM DD)

Guaranteed Signature (for Head Office use only)

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).