



Non-Registered Account Transfer Form Fax Cover Checklist

Initiating Transfer To:

- TD Waterhouse and TD Investment Services (TD Mutual Funds): Fax 1-877-639-4547
- TD Canada Trust (GIC / Term): Forward originals to the OFI

* Your ACF Logon:	
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Transfer Checklist:

- Attach a copy of the most recent client statement from the delivering institution (if available)**
- Ensure **client information** section is complete. **Note:** Ensure client information at delivering institution is identical to the client information at TD Waterhouse, TD Mutual Funds or TD Canada Trust.
- Ensure the account **plan type is similar** at the delivering institution and TD Waterhouse, TD Mutual Funds or TD Canada Trust
- Check the **In-Cash, In-Kind, Mixed or Partial** indicator (do **not** select the \$ sign if requesting an In-Kind transfer).
- Review **assets with a maturity term**; submit requests to transfer them 30 days prior to maturity
- Ensure that the transfer form is **signed** and **dated** by the client within the six (6) months

Transfer procedures including filing of original **transfer documentation**, transfer tips, instructions, completion timelines and delivering institutions refer to:

http://www.onewealth.isd.tdbank.ca/products_services/account_admin/common/client_transfer_services/
or

B-Web: <http://w3.td.com/td/intranet/tdct/investing/transfers>

External Transfer In <input type="checkbox"/>	Internal Transfer <input type="checkbox"/>
Number of pages including cover	
* Contact Name	
* Telephone Number	
RR/IA code (FP and PIA only)	
Approximate Transfer Value \$	
Receiving Account Number <small>(TD Waterhouse, TD Mutual Funds or TD Canada Trust)</small>	

*** = mandatory information required**

This fax is intended only for the use of the addressee(s), and is confidential and may be privileged. If you are not an intended recipient or responsible for delivering the message to an intended recipient, any review, disclosure, retransmission, dissemination, reproduction or other use of any part of this communication is strictly prohibited, as is the taking or omitting of any action in reliance upon this communication. If you receive this communication in error or without authorization please notify us immediately and destroy the entire communication.



Authorization to Transfer Non Registered Accounts

Please note: The data entered on this form may be scanned electronically. Please print neatly to ensure completeness and accuracy.

(For Branch Use Only) Transit #
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Complete this form only if you want to transfer your account from another institution.

Receiving Institution Information

(see reverse for mailing address)

- TD Waterhouse Discount Brokerage
- TD Waterhouse Financial Planning
- TD Waterhouse Private Investment Advice
- TD Waterhouse Institutional Services
- TD Waterhouse Private Investment Counsel Inc.
- TD Asset Management USA Inc. (Private Investment Counsel)
- The Canada Trust Company (Private Trust)
- TD Investment Services Inc. (TD Mutual Funds)
- TD Canada Trust

Client name _____

Address _____

City _____

Province _____ Postal Code _____

SIN _____ Telephone _____

Dealer/Rep Code _____

FINS# _____ CUID _____ DTC _____ Euroclear# **99123**

Contact Name _____

Contact Telephone _____

Delivering Institution _____

Address _____

Contact _____ Telephone _____

This is my authorization to you to deliver to the receiving institution, the account(s) you are carrying for me and for the receiving institution to receive this account(s). This includes all securities long and short and debit or credit balance. Delivery is to be made by the receiving institution of all securities short against payment. These instructions are given subject to the receiving institution's approval of my account(s).

	Account number at delivering institution	Account number at receiving institution	All	Cdn \$ only	US \$ only	only
1.	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Transfer: (check one box only)

- All In-Kind (as is)
- All In-Cash*
- Partial* as listed below, or on attached list
- All assets* mixed In-Cash and In-Kind (as is) see below or attached list
- List attached

*Please refer to statement in bold Client Authorization section.

In-Kind or Cash	<input type="checkbox"/> Dollars <input type="checkbox"/> Shrs/Units	Investment Amount	Symbol and/or Certificate Number or Policy Number
		Investment Description	
In-Kind or Cash	<input type="checkbox"/> Dollars <input type="checkbox"/> Shrs/Units	Investment Amount	Symbol and/or Certificate Number or Policy Number
		Investment Description	
In-Kind or Cash	<input type="checkbox"/> Dollars <input type="checkbox"/> Shrs/Units	Investment Amount	Symbol and/or Certificate Number or Policy Number
		Investment Description	

For use by Relinquishing Institution							
Delay Delivery Until							
D	D	M	M	Y	Y	Y	Y
Delay Delivery Until							
D	D	M	M	Y	Y	Y	Y
Delay Delivery Until							
D	D	M	M	Y	Y	Y	Y

Client Authorization: I hereby request the transfer of my account and its investments as described above.

Please cancel all open orders (G.T.C./SWF/PAC, etc.) for my account(s) on your books.

* Where I have requested a transfer in cash, I authorize the liquidation of all or part of my investments. I agree to pay any applicable fees, charges or adjustments (as per disclosure on reverse).

I acknowledge that, if a GIC or Term Deposit is transferred from a TD Canada Trust registered plan to a TD Waterhouse registered plan, then any maturity instruction of renew principal and interest shall be changed to payout principal and interest.

I HAVE READ THE DISCLOSURE ON REVERSE AND AUTHORIZE TRANSFER AS ABOVE	Signature Guarantee Stamp
Signature of Account Holder _____	
_____ Date _____	
Joint Account Holder Signature _____	
_____ Date _____	

SHADED AREAS FOR HEAD OFFICE USE ONLY

TD Waterhouse Canada Inc.,
TD Waterhouse Private Investment Counsel Inc.
TD Waterhouse Institutional Services and
TD Asset Management USA Inc. (Private Investment Counsel)
TD Investment Services Inc.
Client Transfer Services
Client Documentation Department
3500 Steeles Avenue East
Tower 2, 2nd Floor
Markham, ON L3R 0X1

The TD Canada Trust Company
Private Trust
Client Transfer Services
Client Documentation Department
3500 Steeles Avenue East
Tower 2, 2nd Floor
Markham, ON L3R 0X1

TD Canada Trust

Account Transfer Client Disclosure

In our business we are dedicated to continually improving Client Service. This Client Disclosure and informational document was developed to help you understand the account transfer process. **It is important to read this document carefully before signing the section called CLIENT AUTHORIZATION on this Account Transfer form.** Should you have any questions after reading this document, please be sure to address your inquiries with your Receiving Institution's Investment Representative.

What is the difference between In-Cash and In-Kind?

In-Cash means that all your assets which are not currently in liquid form are to be liquidated, sold, redeemed, etc. in order that your account can be transferred to the Receiving Institution in the form of cash.

It is important to note that if you have indicated an **In-Cash** transfer of your account, the trades will be executed at market. The trades will be placed on a best efforts basis subsequent to the receipt of the transfer form and are subject to normal commission charges. In order to avoid delays, you may place the trades yourself with the delivering institution at the time of signing this transfer form.

In-Kind means that you want the account transferred, **as is**. If you hold investment products and a cash balance, then the investment products may be transferred as well as the cash balance in their current state.

How long will my transfer take?

The time required to completely transfer your account will for the most part depend on the type of account you are transferring and type of investment products you currently hold. Please note that all your assets may not all be transferred at exactly the same time.

Non-registered Accounts:

Under current IIROC (Investment Industry Regulatory Organization of Canada) regulations, this type of transfer may **take approximately 10 business days from the time of receipt by the Delivering Institution**, if it is being delivered via the Automated Transfer Online Notification System (ATON). If the transfer is not being delivered via ATON, the length of time to complete the transfer could exceed 10 business days.

Types of Investment Products

Mutual Funds:

Currently, mutual fund products take longer to fully transfer, and may result in a possible delay into your new account, due to the requirement of re-registering the mutual fund at the Fund Companies. **On average mutual funds require 5 - 10 business days to transfer from the time the mutual fund power of attorney is received** by the Receiving Institution.

Guaranteed Investment Certificates & Term Deposits:

Generally, a Guaranteed Investment Certificate (GIC) **is not transferable IN-KIND (as is) prior to the maturity date**. Most GIC's must be transferred IN-CASH upon their maturity. Please check the terms and conditions with the Institution which currently holds your investment. If your GIC matures in more than 6 months' time, please submit your transfer request one month prior to maturity.

Other Investment Products:

There are many other investment products which may be non-transferable, non-redeemable or subject to other delays. Some of these products include Mortgages, Foreign Securities, Non-transferable Bonds (minimum denomination requirements).

Rejected Transfers:

An account transfer request may be rejected by the Delivering Institution for a number of reasons, such as, insufficient funds to cover fees, account not in good standing i.e. undermargin, short position(s), etc. If for any reason your transfer has been rejected by the Delivering Institution, they may return the transfer to the Receiving Institution unprocessed. **When the rejection has been rectified, the transfer process may begin again and the Delivering Institution may then have approximately 10 business days, from the date of receipt of the transfer documents to process the transfer.**

How much will it cost to transfer my account?

Transfer Fees:

Most institutions charge a transfer out fee at which the cost vary. It is important to ensure that you have sufficient funds available in your account at the delivering institution to cover your transfer and administration fees, as the delivering institution may reject the transfer unprocessed, thus creating a lengthy delay.