

# Transfer Authorization for Registered Investments



This form should be used to record a direct transfer of your RRSP/RRIF/TFSA to a Group Plan at Open Access. Please print and check the boxes that apply to you. Legislative references on this form are references to the Income Tax Act (Canada).

## SECTION 1: CLIENT IDENTIFICATION

\*Required Information

Surname*		First Name and Initial*	
<input type="checkbox"/> Mr.	<input type="checkbox"/> Mrs.		
<input type="checkbox"/> Ms.			
Address*	City or Town*	Province*	Postal Code*
Phone Number*		S.I.N.*	

## SECTION 2: RECEIVING INSTITUTION INFORMATION

Receiving Institution Name	Contact Name	Contact Number	Contact Fax
<b>Open Access Limited</b>	<b>Account Transfer Department</b>	<b>1 (866) 625 4777</b>	<b>1 (866) 955 4878</b>
Address	City or Town	Province	Postal Code
<b>1 Richmond Street West Suite 701</b>	<b>Toronto</b>	<b>ON</b>	<b>M5H 3W4</b>
Client Account Number	Dealer Number	Agent Number	
	<b>9060</b>	<b>1100</b>	
Registered Plan Type:	<input type="checkbox"/> RRSP	<input type="checkbox"/> RRIF	<input type="checkbox"/> TFSA
	<input type="checkbox"/> Spousal RRSP	<input type="checkbox"/> Spousal RRIF	<input type="checkbox"/> LIF
	<input type="checkbox"/> LRSP	<input type="checkbox"/> LRIF	<input type="checkbox"/> LIRA

## SECTION 3: CLIENT DIRECTION TO RELINQUISHING INFORMATION

Relinquishing Institution Name	Group Plan Number (if applicable)	Client Account/Policy Number	
Address	City	Province	Postal Code

Transfer: (check one box only for asset transfer instructions and an additional box if asset list is attached)

- All in kind (as is)  Cash balance only as at date of transfer by Relinquishing Institution
- Partial\*: see list below or check here  if list is attached  All in cash\*
- All assets\*, but mixed in cash and in kind; see list below or check here  if list is attached

\*Please refer to statement in bold in Client Authorization section below.

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

## SECTION 4: CLIENT AUTHORIZATION

I hereby request the transfer of my account and its investments as described above

**WHERE I HAVE REQUESTED A TRANSFER IN CASH, I AUTHORIZE THE LIQUIDATION OF ALL OR PART OF MY INVESTMENTS AND AGREE TO PAY ANY APPLICABLE FEES, CHARGES OR ADJUSTMENTS.**

	Date
	Y Y Y Y / M M / D D
Signature of Account Holder	Date
	Y Y Y Y / M M / D D
Signature of Irrevocable Beneficiary/Former Spouse (if applicable)	Date
(For locked-in plans) Spouse: I consent to the transfer of the account.	Y Y Y Y / M M / D D
Signature of Spouse (if applicable)	

## SECTION 5: FOR USE BY RELINQUISHING INSTITUTION

Registered Type:  RRSP  LIRA  LRSP  RRIF:  Qualified  Non-qualified  
 PRIF  RLIF  RLSP  TFSA  LRIF  LIF:  Federal LIF  Old LIF  New LIF

Spousal Plan:  No  Yes \*If yes: Surname \_\_\_\_\_ First Name and Initial \_\_\_\_\_

S.I.N. \_\_\_\_\_

- The default is "unisex;" if sex-distinct, check here
- Current year's investment earnings to date: \$ \_\_\_\_\_
- If Spouse waver/consent form attached, check here

Locked-In:  No  Yes

If yes, locked-in confirmation attached  Locker-in funds: \$ \_\_\_\_\_ Governing legislation \_\_\_\_\_

Contact Name

Contact Number

Fax Number

Date

Y Y Y Y / M M / D D

Authorized Signature

## INSTRUCTION FOR TRANSFEROR:

For cash transfer, please make cheque payable to "Canadian Western Trust".  
For in-kind transfer, please attach a statement of the account indicating the book value of all assets.  
Please forward all documentation to:

Open Access Limited  
Attn: Customer Service  
1 Richmond St. W  
Suite 701  
Toronto, ON  
M5H 3W4

Telephone: (416) 364-6667  
Toll-free: 1-866-OAL-GRSP (625-4777)  
Fax: (416) 955-4878  
Toll-free fax: 1-(866)-955-4878  
Email: [inquiry@openaccessltd.com](mailto:inquiry@openaccessltd.com)