

Direct Transfer of DPSP, RPP or LIRA

This form should be used to record a direct transfer of a DPSP, RPP or LIRA to a Group Plan at Open Access®. Please check the boxes that apply to you, then print, sign and mail this form. Sections, subsections and paragraph references on this form refer to the Income Tax Act (Canada).

SECTION 1: APPLICANT

*Required Information

Surname*

First Name and Initial*

- Mr. Mrs.
 Ms.

Address*

City or Town*

Province*

Postal Code*

Phone Number*

S.I.N.*

If the transfer is from a Deferred Profit Sharing Plan (DPSP), complete Parts A, C & D below. If the transfer is from a Registered Pension Plan (RPP), complete Parts B, C & D below. A locked-in agreement completed by your current provider must accompany this form.

PART A: TRANSFER FROM AN DPSP

- I am an employee or former employee who is a beneficiary of the DPSP.
- I am a current or former beneficiary spouse or common-law partner requesting a transfer because of the death of an employee or former employee who was the beneficiary of the DPSP.
- I am a current or former beneficiary spouse or common-law partner of an employee or former employee who was the beneficiary of the DPSP requesting a transfer because of a breakdown of our marriage or common-law partnership.

Employer's Name and Address

Plan Number

Canada Revenue Agency's DPSP registration number

PART B: TRANSFER FROM AN RPP

- I am a member of the RPP (Registered Pension Plan)
- I am a current or former beneficiary spouse or common-law partner requesting a transfer because of the death of a member of the RPP.
- I am the RPP member's current or former spouse or common-law partner requesting a transfer because of a breakdown of the marriage or common-law partnership.

Employer's Name and Address

Plan Number

Canada Revenue Agency's RPP registration number

PART C: DESCRIPTION OF THE AMOUNT TO BE TRANSFERRED

- Please transfer my whole entitlement under the plan identified in Part A or B, **in cash**.
- Please transfer \$ _____, which is my partial entitlement under the plan identified in Part A or B, **in cash**.

PART D: DESCRIPTION OF THE AMOUNT TO BE TRANSFERRED

- Please transfer the RPP or DPSP single amount to my registered retirement savings plan (RRSP).
Individual Plan Number _____ Name of Plan and approved Specimen Plan Number
Open Access Group Retirement Savings Plan 574-350
- Please transfer the RPP or DPSP single amount to my registered retirement income fund (RRIF).
Individual Plan Number _____ Name of Plan and approved Specimen Plan Number
Open Access Group Retirement Income Fund RIF-564
- Please transfer the RPP or DPSP single amount to my account as a member of this RPP.
- Please transfer the DPSP single amount to my account as a beneficiary under this DPSP.

Employer's Name

Name of Plan or approved Specimen Plan Number

Transferee's Name

Applicants Signature

Date

Open Access Limited
1 Richmond Street West Suite 701
Toronto ON M5H 3W4

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SECTION 2: TRANSFEROR'S CERTIFICATION

- The \$ _____ transferred is the applicant's: whole or partial entitlement under:
 the DPSP identified in Part A of Section 1 or the RPP identified in Part B of Section 1
 - We have transferred \$ _____ according to:
 subsection 147(19) (a DPSP lump sum transfer to a RPP, a RRSP, a RRIF or another DPSP); or
 one of the following subsections: 147.3(1) to (8) (an RPP lump sum transfer to an RRSP, a RRIF or another RPP)
 - A lock-in provision applies to \$ _____ of the amount we transferred from the RPP identified in Part B of Section 1, under the Pension Benefits Standards Act or a provincial pension benefits act (specify the act) _____ Does not apply
 - We did not transfer \$ _____ of the RPP single amount indicated in item 1 according to one of the following subsections: 147.3(1) to (7). We will report this amount as the applicant's income on a T4A slip.
- I certify that the information given on this form is, to the best of my knowledge, correct and complete.

Transferor's Name

Date

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Authorized person's signature

Position or Office

SECTION 3: TRANSFEEE'S CERTIFICATION

- We have received \$ _____ and we have credited it to:
 the applicant's RRSP identified in Part D of Section 1
 the applicant's RRIF identified in Part D of Section 1
 the applicant's account as a member of the RPP identified in Part D of Section 1; or
 the applicant's account as beneficiary under the DPSP identified in Part D of Section 1
- The plan to which the single amount has been transferred is registered under the Income Tax Act (Canada).
- We will administer the amount indicated in item 3 of Section 2 as a locked-in amount under the recipient fund or plan.
- We will issue a receipt for the amount indicated in item 4 of Section 2.

I certify that the information given on this form is, to the best of my knowledge, correct and complete.

Transferee's Name

Date

Open Access Limited

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Authorized person's signature

Position or Office

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