# TRANSFER AUTHORIZATION FOR REGISTERED INVESTMENTS

Reset Form

## 1. Client identification

| | | | |
|---|---|---|---|
| Accountholder last name | | First name | |
| Address (number, street) | City | Province | Postal code |
| Social Insurance Number | Home telephone | Business telephone | |

## 2. Receiving institution information

**Empire Life Investments Inc.**
**259 King Street East, Kingston ON K7L 3A8 Telephone: 1 855 823-6883 Fax: 1 866 970-0135**

| | | |
|---|---|---|
| Dealer name | Dealer number | Dealer account number |
| Advisor name | | Advisor number |

Account number

Registered type: (check one) ◯ RRSP ◯ Spousal RRSP ◯ LRSP ◯ LIRA ◯ TFSA ◯ RRIF ◯ Spousal RRIF ◯ LRIF ◯ PRIF ◯ LIF

**Investment Instructions**

| Fund name | Fund code | FE commission % | Wire order number | Amount ◯ $ or ◯ % |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |

**Locked-in Confirmation**

Empire Life Investments Inc. , as agent for Citi Trust Company Canada, agrees to administer all locked-in funds transferred under this transfer authorization in accordance with the governing pension legislation indicated in Section 5 below. Any subsequent transfer of these locked-in funds to another Trustee or financial institution will be made only to another registered plan, which must continue to be administered in accordance with legislation of the jurisdiction noted in Section 5 below. No transfer of locked-in funds will be permitted unless the receiving plan is appropriately registered and in compliance with the applicable pension legislation, regulations and the *Income Tax Act (Canada)*.

Authorized Signature

## 3. Client direction to relinquishing institution

| | | | |
|---|---|---|---|
| Relinquishing institution name | | Account/contract number | |
| Address (number, street) | City | Province | Postal code |

**Transfer** (select one) ◯ All in cash ◯ All in kind ◯ All assets*, mixed in cash and in kind as listed below ◯ Partial as listed below
**Please refer to the statement in bold in the Client Authorization section below.*

| | | | |
|---|---|---|---|
| ◯ In cash ◯ In kind | ◯ Shares/units ◯ Dollars | Amount | Investment description |
| ◯ In cash ◯ In kind | ◯ Shares/units ◯ Dollars | Amount | Investment description |

## 4. Client authorization

I authorize the transfer of all or part of my account and investments as indicated 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.**

**Signature of Accountholder**
X

**Date**

(For locked-in plans) Spouse: I consent to the transfer of the locked-in account.

**Signature of Spouse** (if applicable)
X

**Date**

## 5. For use by relinquishing institution only

**Registered type:** ◯ RRSP ◯ LRSP ◯ LIRA ◯ LRIF ◯ PRIF ◯ RLIF ◯ RLSP ◯ TFSA ◯ LIF ◯ RRIF — ◯ Qualifying ◯ Non-Qualifying

| | | |
|---|---|---|
| Spousal plan ◯ yes ◯ no | Contributor name (first, middle, last) | Social Insurance Number |
| Locked-in ◯ yes ◯ no | Governing legislation | Locked-in funds $ |
| **Authorized signature** X | Date (dd/mm/yyyy) | Contact information |

**SEE REVERSE FOR INSTRUCTIONS**



Empire Life Investments



MF-REG-611-EN-06/16

# INSTRUCTIONS FOR COMPLETION

This form can be used for transferring an RRSP, LIRA, LRSP, RRIF, LRIF, LIF, PRIF or TFSA, except 1) RRIF to RRSP transfers, 2) RRIF or RRSP to TFSA transfers, 3) TFSA to RRIF or RRSP transfers, 4) Transfers involving marital breakdown, 5) Transfers due to death.

## Who completes this form?

### Accountholder Requesting the Transfer:

- The Accountholder must complete the “Client Identification” section and complete and sign the “Client Direction to Relinquishing Institution” section.
- The Accountholder should retain a copy of this form for their records.

### Advisor:

- The Advisor should complete the “Receiving Institution Information” section with the Accountholder requesting the transfer and provide either Dealer/Advisor or Empire Life Investments Inc. mailing address as applicable.
- A copy of this form is to remain with the client.
- Forward the signed form to the Relinquishing Institution. The Relinquishing Institution will return a copy to Empire Life Investments Inc. upon completion of the transfer.

### Relinquishing Institution:

- The Relinquishing Institution must complete all the applicable information in the “For Use by Relinquishing Institution Only” section.
- For transfers from RRSP or RRIF products using this form, no income tax receipt will be issued by the Receiving Institution for the amount transferred and no T4RSP or T4RIF tax slip should be issued by you.
- Retain a copy of this form for your records and return a copy to Empire Life Investments Inc..

| Fund Names | Sales Charge Options | Fund Codes | | | | |
|---|---|---|---|---|---|---|
| | | Series A | Series F | T6 Series | T8 Series | Series I |
| **Empire Life Emblem Portfolios™** | | | | | | |
| Empire Life Emblem Diversified Income Portfolio | FE | ELM8001 | ELM8003 | ELM8006 | N/A | ELM8000 |
| | LL | ELM8031 | N/A | ELM8036 | N/A | N/A |
| | DSC | ELM8071 | N/A | ELM8076 | N/A | N/A |
| Empire Life Emblem Conservative Portfolio | FE | ELM8101 | ELM8103 | ELM8106 | N/A | ELM8100 |
| | LL | ELM8131 | N/A | ELM8136 | N/A | N/A |
| | DSC | ELM8171 | N/A | ELM8176 | N/A | N/A |
| Empire Life Emblem Balanced Portfolio | FE | ELM8301 | ELM8303 | ELM8306 | ELM8308 | ELM8300 |
| | LL | ELM8331 | N/A | ELM8336 | ELM8338 | N/A |
| | DSC | ELM8371 | N/A | ELM8376 | ELM8378 | N/A |
| Empire Life Emblem Moderate Growth Portfolio | FE | ELM8501 | ELM8503 | ELM8506 | ELM8508 | ELM8500 |
| | LL | ELM8531 | N/A | ELM8536 | ELM8538 | N/A |
| | DSC | ELM8571 | N/A | ELM8576 | ELM8578 | N/A |
| Empire Life Emblem Growth Portfolio | FE | ELM8701 | ELM8703 | ELM8706 | ELM8708 | ELM8700 |
| | LL | ELM8731 | N/A | ELM8736 | ELM8738 | N/A |
| | DSC | ELM8771 | N/A | ELM8776 | ELM8778 | N/A |
| Empire Life Emblem Aggressive Growth Portfolio | FE | ELM8901 | ELM8903 | ELM8906 | ELM8908 | ELM8900 |
| | LL | ELM8931 | N/A | ELM8936 | ELM8938 | N/A |
| | DSC | ELM8971 | N/A | ELM8976 | ELM8978 | N/A |
| **Empire Life Mutual Funds** | | | | | | |
| Empire Life Money Market Mutual Fund | FE | ELM101 | N/A | N/A | N/A | ELM100 |
| | LL | ELM131 | N/A | N/A | N/A | N/A |
| | DSC | ELM171 | N/A | N/A | N/A | N/A |
| Empire Life Monthly Income Mutual Fund | FE | ELM301 | ELM303 | ELM306 | ELM308 | ELM300 |
| | LL | ELM331 | N/A | ELM336 | ELM338 | N/A |
| | DSC | ELM371 | N/A | ELM376 | ELM378 | N/A |
| Empire Life Dividend Growth Mutual Fund | FE | ELM501 | ELM503 | ELM506 | ELM508 | ELM500 |
| | LL | ELM531 | N/A | ELM536 | ELM538 | N/A |
| | DSC | ELM571 | N/A | ELM576 | ELM578 | N/A |
| Empire Life Canadian Equity Mutual Fund | FE | ELM701 | N | ELM706 | ELM708 | ELM700 |
| | LL | ELM731 | N/A | ELM736 | ELM738 | N/A |
| | DSC | ELM771 | N/A | ELM776 | ELM778 | N/A |
| Empire Life Small Cap Equity Mutual Fund | FE | ELM901 | N/A | ELM906 | ELM908 | ELM900 |
| | LL | ELM931 | N/A | ELM936 | ELM938 | N/A |
| | DSC | ELM971 | N/A | ELM976 | ELM978 | N/A |

FE = Front End or Initial Sales Charge  LL = Low Load  DSC = Deferred Sales Charge