

# LEGACY Funds<sup>TM</sup> Transfer Form

(RSP to RIF & LIRA to LIF/LRIF)

CI Policy Number \_\_\_\_\_

## 1. Transfer of existing CI Plan

Transfer existing RSP Policy to a RIF Policy  
 Transfer existing Spousal RSP Policy to a Spousal RIF Policy  
 Transfer existing CI Locked-in RSP Policy to a CI LIF/LRIF Policy

Transfer existing CI LIRA Policy to a CI LIF Policy  
 Transfer existing CI LIRA Policy to a CI LRIF Policy

## 2. Owner Information

Mr. Mrs. Miss Ms Dr.

Surname \_\_\_\_\_ First Name \_\_\_\_\_ Date of Birth (MM/DD/YYYY) \_\_\_\_\_ Social Insurance Number (SIN) \_\_\_\_\_

## 3. Distribution Information

Dealer Name \_\_\_\_\_ Dealer Number \_\_\_\_\_

Representative Name \_\_\_\_\_ Rep Number \_\_\_\_\_ Signature (mandatory) \_\_\_\_\_ Phone Number \_\_\_\_\_

## 4. Plan Payment Details

**Note:** The payment date may be between the 1st and 25th of any month

Please accept this authorization to redeem sufficient shares/units to provide the following payment (please choose only one):

The minimum annual gross amount (**Payment will begin in the first full calendar year following the initial investment**)

The maximum annual gross amount (**for LIF and LRIF plans only**)

An annual amount of \$ \_\_\_\_\_ Gross **OR** Net of fees and withholding taxes

Start Date (MM/DD/YYYY) \_\_\_\_\_ Frequency: Monthly Quarterly Semi-Annually Annually

**Note:** If no date or payment amount is specified, CI will pay out the RIF/LIF/LRIF minimum during the month of December and will redeem units proportionately across all Funds.

**TERMS OF PAYMENT:** I elect the minimum annual amount to be based on (select one):

My age Birth Date (MM/DD/YYYY) \_\_\_\_\_ Age of my spouse Birth Date (MM/DD/YYYY) \_\_\_\_\_

### ELECTION OF SPOUSE AS ANNUITANT (Not Applicable For LIF/LRIF)

In event of my death, I elect that payment continue to my spouse named below if he or she survives me and is my spouse on the date of my death.

Full Name of Spouse \_\_\_\_\_ Date of Birth (MM/DD/YYYY) \_\_\_\_\_ Social Insurance Number (SIN) \_\_\_\_\_

Fund Name	Surrender Amount \$ or %

## 5. Banking Information (Please attach a void cheque here)

Bank Account Owner(s) Name(s) \_\_\_\_\_ Bank Address \_\_\_\_\_

Name of Financial Institution \_\_\_\_\_ Bank Number \_\_\_\_\_ Transit Number \_\_\_\_\_ Account Number \_\_\_\_\_

## 6. LIF Information

### a) SPOUSE

Do you have a spouse within the meaning of the applicable pension legislation?    Yes    No

**Note:** If you have a spouse within the meaning of the applicable pension legislation, then the spousal consent/waiver form referred to in Section 8 must be fully completed and accompany this Application.

### b) COMMUTED VALUE OF PENSION BENEFIT (Applicable if the source of the deposit is Ontario, Nova Scotia or New Brunswick pension funds)

Was the commuted value of the pension benefit, being transferred to this policy, determined in a manner which differentiates on the basis of gender?

No    Yes

If "Yes", then state the portion of the pension benefit being transferred which was determined in a manner which so differentiates \_\_\_\_\_ %

**Note:** If you do not know the answer to this question, a statement to such effect must be provided from the relevant pension plan administrator.

### c) PENSION BENEFIT CREDIT (Applicable if the source of the deposit is federal pension funds)

Was the pension benefit credit which is being transferred to this policy varied according to the gender of the plan member?    No    Yes

If "Yes" then state the portion of the pension benefit credit being transferred which is so varied \_\_\_\_\_ %

**Note:** If you do not know the answer to this question, a statement to such effect must be provided from the relevant pension plan administrator.

## 7. Request for Registration and Declaration of Owner or Annuitant

I confirm that all other terms and conditions of the policy will remain the same, including the beneficiary designation. I request that ivari convert the Contract to, and register the Contract as, a Retirement Income Fund (RIF) or Life Income Fund (LIF), as applicable, under the provisions of the Income Tax Act (Canada) and, if applicable, under any provincial pension legislation. I understand that the Contract will be subject to the provisions of said Acts. I declare that I am the owner of the Contract. I understand that as a consequence of registering the Contract as a RIF or a LIF, the Contract provides that an income will become payable thereunder, commencing not later than the last day of the first calendar year following the calendar year in which the conversion to a RIF or LIF, as applicable, becomes effective.

\_\_\_\_\_

Mandatory Signature of Owner

\_\_\_\_\_

Mandatory Signature of Spouse (Required for Locked-In Plans)

\_\_\_\_\_

Date (MM/DD/YYYY)

## 8. Spousal Consent or Waiver Form

**Spousal consent may be required.**

The spousal consent forms are available on CI Advisor Online.

### CI INVESTMENTS INC.'S PRIVACY NOTICE

CI Investments Inc. doing business under the registered business name of CI Global Asset Management ("CI GAM", "we", "our", "us") are committed to respecting and protecting the privacy and confidentiality of the information you have entrusted with us. This Privacy Notice outlines how we collect, use, disclose, store and safeguard your personal information.

### WHAT INFORMATION DO WE COLLECT?

We collect information, including sensitive personal information, such as social insurance number, required to establish and service your accounts in compliance with federal and provincial laws as well as our financial self-regulatory organization requirements. We maintain audio recordings of in-coming and outgoing telephone calls. You may access our full Privacy Policy Notice online at [www.cifinancial.com/ci-gam/ca/en/legal/privacy.html](http://www.cifinancial.com/ci-gam/ca/en/legal/privacy.html). If you choose to interact with us online via our web portal or through e-mail, we will monitor and record your usage information (please see our Online and Mobile Privacy Policy at [www.cifinancial.com/ci-gam/ca/en/legal/privacy.html](http://www.cifinancial.com/ci-gam/ca/en/legal/privacy.html) for additional details).

### HOW DO WE COLLECT INFORMATION?

We collect information directly from you or from your authorized representative(s), such as your financial advisor or their dealership. Depending on how you choose to do business with us, this information may be collected on applications, forms, over the phone, in person, through the internet, through your mobile device or through other forms of communication. We also collect information about you indirectly where permitted by law. We limit the collection of information to what is necessary to fulfill the purpose for which the information is collected.

### HOW DO WE USE THE PERSONAL INFORMATION WE COLLECT?

In addition to the purposes set out in our full Privacy Policy Notice ([www.cifinancial.com/ci-gam/ca/en/legal/privacy.html](http://www.cifinancial.com/ci-gam/ca/en/legal/privacy.html)), we may use your information to:

- I. Provide and manage products and services you have requested, including to:
  - a) Open and operate your account,
  - b) Verify your identity,
  - c) Execute your transactions,
  - d) Record and report account status back to you,
  - e) Provide personalized service and support, and
  - f) Respond to any request or questions you may have.
- II. Understand our customers and to develop and tailor our products and services by performing data analytics to:
  - a) Determine suitability of products and services for you,
  - b) Determine your eligibility for certain of our products or services of others,
  - c) Communicate with you about products and services that may be of interest,
  - d) Provide you with quality individualized client service and support, and
  - e) Market and advertise to clients and prospective clients.
- III. Legal and Regulatory Obligations
  - a) Provide all required tax reporting,
  - b) Comply with legal, regulatory, and contractual requirements, or as otherwise permitted by law,
  - c) Fulfill obligations under federal anti-money laundering and suppression of terrorism legislation,
  - d) Meet obligations as a member of various self-regulatory organizations,
  - e) Protect our interests, including recovering any debts you may owe us, and
  - f) Protect against fraud and other crime and to manage risk, including conducting investigations and proactive crime prevention measures.

We do not sell or rent client lists or personal information to third parties.

### DISCLOSURE OF YOUR PERSONAL INFORMATION

Employees or authorized representatives of CI Investments Inc. ("CI GAM"), who will be responsible for functions relevant to the purposes identified above, and other persons authorized by you or by law, will have access to the personal information contained in your file. We share your personal information with CI Financial company affiliates, such as Assante Wealth Management (Canada) Ltd. ("AWM"), CI Private Counsel LP, ("CIPC"), CI Investment Services Inc. ("CIIS"), and WealthBar Financial Services Inc. ("WealthBar") and their subsidiaries where necessary to administer and service your account.

We provide your information to third parties, including:

- Third party service providers for the servicing purposes described above – We do not authorize our service providers to use or disclose the personal information for their own marketing or other purposes. We engage service providers pursuant to a written agreement which requires them to protect personal information with equivalent safeguards that we would use. Our service providers may be located in Canada or other jurisdictions or countries and may disclose information in response to valid demands or requests from governments, regulators, courts and law enforcement authorities in those jurisdictions or countries in accordance with the applicable law in that jurisdiction or country. For more information on our information sharing practices, please contact our Privacy Officer.
- To governments, government agencies, regulators, including self-regulatory authorities, when required or permitted to do so by law, including in response to a search warrant, court order, or other demand or inquiry which we believe to be valid.
- To your financial advisor and their dealership where necessary to administer and service your account.
- To your legal representatives and/or with other third parties at your direction for the purposes which you specify at the time of the direction.
- To financial institutions, securities dealers and mutual fund companies where necessary to administer and service your account.
- To protect our interests, we may disclose information to any person or organization, including an investigative body, in order to prevent, detect or suppress, financial abuse, fraud, criminal activity, protect our assets and interests, or manage or settle any actual or potential loss or in the case of a breach of agreement or contravention of law.
- We may also disclose information to help us collect a debt owed to us.
- In the event of a transfer of a business, we may buy or sell a business (or evaluate those transactions) which would result in certain personal information forming business assets that would be purchased or sold as part of a transfer.
- We may transfer personal information as part of a corporate reorganization or other change in corporate control.
- In other situations where we have your consent, for instance, sharing your information with a joint account holder.

Information collected will be communicated outside of Quebec, both within Canada and other jurisdictions or countries and we may disclose information in response to valid demands or requests from governments, regulators, courts and law enforcement authorities in those jurisdictions or countries in accordance with the applicable law in that jurisdiction or country.

### PROTECTING INFORMATION

We maintain appropriate physical, electronic, technological, procedural, and organizational safeguards to protect against unauthorized access, disclosure, copying, use or modification, theft, misuse, or loss of your personal information in our custody or control. These safeguards are appropriate to the sensitivity of the information, the purposes for which it is used, the quantity and distribution of the personal information and the medium on which we (or our

service providers) store it. We limit access to your personal information to the employees and agents who require it for the purposes of their role. Your personal information is only used for the purposes for which it was collected or where permitted by law. We store personal information for as long as is necessary to achieve the purposes for which it was collected or in accordance with applicable law.

#### ACCESSING OR CORRECTING INFORMATION

We are committed to being transparent and providing you with choices about how your information is used. You may inform us of your preferences by registering for our client web portal [Investor Online] online at [www.ci.com](http://www.ci.com) and accessing the Privacy Preferences page. If you are unable to register online, you may also contact our client services via phone at 1-800-268-9374 or by e-mail to [service@ci.com](mailto:service@ci.com).

To correct or access your information, we encourage you to contact our Client Services department, access our Online web portal or consult your periodic statements. However, you do have the right to access and correct your personal information, or to find out to whom we have disclosed it. To make a formal request for access or correction, please send a written request addressed to the Privacy Officer, 15 York Street, 4th Floor, Toronto, ON, M5J 0A3. Please include your full name, address, telephone number, and account number(s) on all correspondence to us and provide enough detail to allow us to identify the information you want to access or correct.

#### REVOKING CONSENT

You may withdraw your consent for the collection, use and disclosure of your personal information at any time by forwarding a written request to the Privacy Officer. Please include your full name, address, telephone number and account number(s) on any correspondence to us. However, there are certain times when you may not withhold or revoke your consent including certain legal, regulatory, or contractual requirements. We must receive reasonable notice of your request in order to honour your consent withdrawal. Your decision to withhold or revoke your consent may limit the products and services that we may provide to you and may require you to close your accounts with us.

#### OUR PRIVACY OFFICE

If you have any questions or concerns about our privacy practices, the privacy of your personal information, or you want to change your privacy preferences, please contact our Privacy Officer. For changes to your privacy preferences please be reminded that you may update your selection by accessing the Privacy Preferences page of our web portal. We are committed to helping resolve your questions or concerns.

CI Investments Inc. Privacy Officer, 15 York Street, 4th Floor, Toronto, ON, M5J 0A3



**GLOBAL ASSET  
MANAGEMENT**

**Head Office / Toronto**  
416-364-1145  
1-800-268-9374

**Calgary**  
403-205-4396  
1-800-776-9027

**Montreal**  
514-875-0090  
1-800-268-1602

**Vancouver**  
604-681-3346  
1-800-665-6994

**Client Services**  
English: 1-800-563-5181  
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