



# Transfer Authorization - Non Personal Investment Accounts

FAX/SCAN COPY ACCEPTABLE

**\* Required Information**

## Account Holder Information

**\* Name**

Organization/Entity

**\* Address**

**\* No. and Street**

P.O. Boxes, General Delivery or c/o addresses are not accepted

Apt./Ste.

**\* City**

**\* Province**

**\* Postal Code**

**\* Phone Number**

Business/Day

Cell

()  -

/ ()  -

## Delivering Institution Information

**\* Delivering Institution Name**

**\* Name**

**\* Address**

**\* Address Line 1**

Address Line 2

Suite#

**\* City**

**\* Province**

**\* Postal Code**

**\* Delivering Institution Account Type**

**\* Account Type**

**\* Account Info**

**\* Account/Policy Number**

**\* In Name Of**

## RBC Direct Investing Receiving Account Information

### Transfer Details

Transfer to Account #

Receiving Institution Account Type

Is this a Margin Account?  Yes  No

### Please select your transfer instructions (select one option only)

- Transfer all of my assets as they are ("as is") including any existing cash balances to RBC Direct Investing® (All in Kind)
- Sell all of my assets and transfer the cash proceeds to RBC Direct Investing (All in Cash)
- Transfer all of my assets. However, sell a portion of them and have the cash proceeds along with the remainder of the account transferred "as is" to RBC Direct Investing (*Please provide details in Section (b) below*)
- Partial Transfer - Transfer only a portion of my assets/cash to RBC Direct Investing (*Please provide details in Sections (a), (b) and/or (c) below.*)

(**Note:** Mutual Fund Transfers - If 'All' not selected, indicate decimal before fractional shares)

RBC Direct Investing does not accept transfers-in of certain securities (for example, certain investment funds paying trailing commissions or subject to deferred sales charges due to regulatory restrictions effective June 1, 2022, segregated funds).

In certain circumstances, RBC Direct Investing may accept transfers-in of trailer-paying investment funds managed by investment fund management companies that have agreed to switch their funds into non-trailer paying versions of the same funds following transfer.

### \* (a) Cash Balance Details

#### Transfer existing cash balance to my RBC Direct Investing account

##### \* Amount

All or

All or

##### Currency Type

CDN

USD

### \* (b) Assets to be Sold

#### Sell the following assets and transfer the cash proceeds to my RBC Direct Investing account

##### \* No. of Units/Shares

All or

All or

All or

All or

##### \* Security Description/Symbol

### \* (c) Assets to be Transferred in Kind (as is)

#### Transfer these assets "in kind" (as is) to my RBC Direct Investing account

##### \* No. of Units/Shares

All or

All or

All or

All or

##### \* Security Description/Symbol

## RBC Direct Investing Settlement Information

### RBC Direct Investing Inc.

Account Transfers  
Royal Bank Plaza  
200 Bay Street, North Tower  
P.O. Box 75  
Toronto, Ontario M5J 2Z5

Customer Service: 1-800-769-2560

RBC Direct Investing Dealer Information :  
(For use by Delivering Institution only)

CUID: DOMA  
Dealer Rep Code: 9190  
DTC #: 5002  
Euroclear: 90065

## Client Authorization

\* I authorize the transfer of my account and its assets as indicated above.

I understand that an all in-cash transfer will require my account to be liquidated by the Delivering Institution, and I authorize the liquidation of all of my investments. For partial cash transfers, I authorize the transfer of the cash balance stated and I am responsible for ensuring that this cash balance is available for transfer.

Please cancel all open orders (G.T.C./SWF/PAC, etc.) on my account for your books. I will be responsible for any applicable fees to the Delivering Institution. I acknowledge that transfers can take several weeks to complete, depending on the actions of the other institution.

I agree to pay any applicable fees, charges or adjustments (see Note 2 below).

I hereby consent to the Delivering Institution providing information regarding this transfer to RBC Direct Investing.

I acknowledge that if this transfer-in request includes segregated funds or investment funds paying trailing commissions or subject to deferred sales charges, it can result in such securities being sold, returned without notice or switched into investment funds that do not pay trailing commissions in a "Like-to-Like" or "Like-to-Similar" switch, in order for RBC Direct Investing to comply with applicable laws. If the funds cannot be switched, I may be provided with management fee rebates from the applicable mutual fund company or dealer rebates from RBC Direct Investing, as the case may be, while I hold the trailer-paying fund in my RBC Direct Investing account. I will not be able to purchase more units of any trailer-paying mutual funds that I hold in my RBC Direct Investing account. More information, including an explanation of defined terms, can be found here at [rbcdirectinvesting.com/mutualfunds](https://rbcdirectinvesting.com/mutualfunds). By completing this request to transfer-in securities, I understand these potential outcomes and authorize for RBC Direct Investing to effect any such transactions without further notice or contact to me.

Authorized Signature for Organization/Entity

Date (MM/DD/YYYY)

X

Print Name

Title

### To ensure your transfer is a smooth one:

1. If possible, attach a copy of your most recent statement. This will speed up the transfer process by allowing us to verify if the transfer is complete.
2. The financial institution you are transferring from may charge a transfer-out fee. You may also be subject to additional operating and transaction charges related to your transfer, such as commissions, deferred sales charges, short-term trading fees, early redemption fees. Please contact your delivering institution for further information. Prompt settlement of these fees and charges with your delivering institution will help ensure that there are no delays in the transfer.
3. Some Guaranteed Investment Certificates are not transferable until maturity. Please check with the purchasing institution for eligibility.
4. RBC Direct Investing does not accept transfers-in of certain securities (for example, certain investment funds paying trailing commissions or subject to deferred sales charges due to regulatory restrictions effective June 1, 2022, segregated funds).
5. In certain circumstances, RBC Direct Investing may accept transfers-in of trailer-paying investment funds managed by investment fund management companies that have agreed to switch their funds into non-trailer paying versions of the same funds following transfer.

RBC Direct Investing Inc. and Royal Bank of Canada are separate corporate entities which are affiliated. RBC Direct Investing Inc. is a wholly owned subsidiary of Royal Bank of Canada and is a Member of the Canadian Investment Regulatory Organization and the Canadian Investor Protection Fund. Royal Bank of Canada and certain of its issuers are related to RBC Direct Investing Inc. RBC Direct Investing Inc. does not provide investment advice or recommendations regarding the purchase or sale of any securities. Investors are responsible for their own investment decisions. RBC Direct Investing is a business name used by RBC Direct Investing Inc. ® / ™ Trademark(s) of Royal Bank of Canada. RBC and Royal Bank are registered trademarks of Royal Bank of Canada. Used under licence. © Royal Bank of Canada 2024.

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