



## RBC Direct Investing Inc.

### Worthless Security Checklist for Non-registered Accounts

Please review the following checklist in order to expedite the process and/or reduce rejections in regards to the removal of a zero value/worthless security currently held in your account.

1. In your **non-registered** account the security has to be zero value/no price for a minimum of **6 months**.
2. The security must be delisted, defunct, or bankrupt (please refer to definitions below). You can find this out by contacting the issuing company directly or try to verify the status of the security through the following websites:
  - SEDAR Home page - [www.sedar.com](http://www.sedar.com)
  - TSX home page - [www.tse.com](http://www.tse.com)
  - NASDAQ home page - [www.nasdaq.com](http://www.nasdaq.com)
3. Signing the authorization letter results in a permanent disposition and will not be returned. It is suggested that you refer to a qualified tax advisor prior to initiating this request. The record of a worthless security removed from your account will show on your monthly statement.
4. Please use the authorization letter attached to remove selected security or securities from your non-registered account.

**NOTE:** RBC Direct Investing® will remove securities between 3 to 6 weeks after receipt of the authorization letter on a best efforts basis. For more information, please call RBC Direct Investing at 1-800-769-2560. If you are calling outside of North America, please call 416-977-1255.

#### **Definitions:**

##### **What is a non-registered account?**

A non-registered account is an investment account that is non-tax sheltered where you can hold a diversified portfolio of investments.

**Delisted** - the security has been removed from a recognized stock exchange because it does not meet the monetary standards set out by the said stock exchange.

**Defunct/Bankrupt** - the company no longer operates, is going through reorganization.



# RBC Direct Investing Inc.

## Authorization to Remove a Worthless Security from a Non-registered Plan

**Attention: Account Administration Department**

Re: RBC Direct Investing non-registered account # \_\_\_\_\_

Dear Sir/Madam:

You are currently holding in my non-registered account the following:

\_\_\_\_\_ shares / units of \_\_\_\_\_

**For RBC Direct Investing Use Only**

ADP Code # \_\_\_\_\_

Qty	Name of Security
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This security is presently non-transferable and has no market value. As the shares are held in RBC Direct Investing's bulk segregation system and not in the denomination I hold in my account, I understand that RBC Direct Investing is unable to deliver the certificate(s) to me. As I consider the security to be worthless, I wish to remove it from my account. Please accept this as your authorization to withdraw the position from my account at \$0.00 per share.

I understand this will be a permanent disposition and that the above security cannot be returned to me once complete.

Thank you for your attention to this matter.

\_\_\_\_\_  
Account Holder Signature

\_\_\_\_\_  
Account Co-Holder Signature

\_\_\_\_\_  
Account Holder Name

\_\_\_\_\_  
Account Co-Holder Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

Please complete this form in full and return to RBC Direct Investing at the address or fax number provided below.

RBC Direct Investing Inc.  
Royal Bank Plaza  
200 Bay Street, North Tower  
P.O. Box 75  
Toronto, Ontario, M5J 2Z5

Fax: (888) 722-2388

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