



Please complete this form for use as Authorization to facilitate a timely transfer. Transfer requests that do not contain the information requested herein may result in delayed deliveries. Please ensure a copy of any necessary supporting documentation is attached to your transfer request such as a Corporate Resolution with sample signatures for a corporate account, Powers of Attorney where the signing authority for an account differs from the client of record, etc.

**Please transfer the following position:**

Description (1): \_\_\_\_\_

Quantity: \_\_\_\_\_ CUSIP/ISIN: \_\_\_\_\_

Description (2): \_\_\_\_\_

Quantity: \_\_\_\_\_ CUSIP/ISIN: \_\_\_\_\_

**Delivering Institution Information**

Delivering Institution Name: \_\_\_\_\_

Account Name: \_\_\_\_\_

Account #: \_\_\_\_\_ Delivering Institution CUID or DTC: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Signature \_\_\_\_\_ Phone Number \_\_\_\_\_

**Receiving Institution Information**

Receiving Institution Name: **NBF Inc (NBIN Division) c/o Rothenberg Capital Management**

Account Name: **CANADA CHARITY PARTNERS INC** Canada Revenue Agency (CRA) Charity Registration Number: **81833 5390 RR0001**

Account Number: **4FDF47A** Receiving Institution: **CUID: NBCS DTC: 5008 EUROCLR: 93044**

Contact Name: \_\_\_\_\_ Signature \_\_\_\_\_ Phone Number **514-934-0586**

**For Internal Use Only**

DEALER/REP CODE _____	DELIVERING INSTITUTION _____
CUID _____ DTC _____ EUROCLEAR # _____	
CONTACT NAME _____	ADDRESS _____
CONTACT TELEPHONE _____	CONTACT _____ TELEPHONE _____

**Additional Information: Please include any additional Contact Information (if applicable).**

**Rothenberg Capital Management ref: Maurice Pallone / Edda Taliano 514-934-0586**  
**FINS # T080**

**Contributing Client Authorization:**

Client Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**RUSH - For Internal Use Only**  
Please fax a completed copy of this form to the Client Transfer Services department. RCM FAX: 514-934-3134

## Securities Transfer Client Disclosure

This Client Disclosure and informational document was developed to help you understand the account transfer process. **It is important to read this document carefully before signing the section called CONTRIBUTING CLIENT AUTHORIZATION on this transfer form.** Should you have any questions after reading this document, please be sure to address your inquiries with your Receiving Institution's Investment Representative.

### **How long will my transfer take?**

The time required to transfer your security(ies) will for the most part depend on the type of investment products you currently hold. Please note that all your assets may not all be transferred at exactly the same time.

#### Non-registered Accounts:

Under current IDA regulations, this type of transfer may **take approximately 10 business days from the time of receipt by the Delivering Institution**, if it is being delivered via the Automated Transfer Online Notification System (ATON). If the transfer is not being delivered via ATON, the length of time to complete the transfer could exceed 10 business days.

#### Types of Investment Products

##### **Mutual Funds:**

Currently, mutual fund products take longer to fully transfer, and may result in a possible delay into the charitable organization's account, due to the requirement of re-registering the mutual fund at the Fund Company. **On average mutual funds require 5 - 10 business days to transfer from the time the mutual fund power of attorney is received** by the Receiving Institution.

##### **Guaranteed Investment Certificates & Term Deposits:**

Generally, a Guaranteed Investment Certificate (GIC) **is not transferable IN-KIND (as is) prior to the maturity date.** Most GIC's must be transferred IN-CASH upon their maturity. Please check the terms and conditions with the Institution which currently holds your investment. If your GIC matures in more than 6 months' time, please submit your transfer request one month prior to maturity.

##### **Other Investment Products:**

There are many other investment products which may be non-transferable, non-redeemable or subject to other delays. Some of these products include Mortgages, Foreign Securities, and Non-transferable Bonds (minimum denomination requirements).

##### **Rejected Transfers:**

A transfer request may be rejected by the Delivering Institution for a number of reasons, such as, insufficient funds to cover fees, account not in good standing, i.e. undermargin, short position(s), etc. If for any reason your transfer has been rejected by the Delivering Institution, they may return the transfer request to the Receiving Institution unprocessed. **When the reason for the rejection has been rectified, the transfer process may begin again and the Delivering Institution may then have approximately 10 business days, from the date of receipt of the transfer documents to process the transfer.**

### **How much will it cost to transfer my security(ies)?**

##### **Transfer Fees:**

Most institutions charge a transfer out fee at which the cost varies. It is important to ensure that you have sufficient funds available in your account at the delivering institution to cover your transfer and administration fees, as the delivering institution may reject the transfer unprocessed, thus creating a lengthy delay.