



# Authorization to Transfer Non-Registered Account

\*indicates mandatory fields

**This form must be used for the transfer of Non-Registered Investments**

## Handling Instructions

### For Internal Transfers

1. Complete and print forms. Obtain client's signature
2. For all eligible transfers, click the "Submit" button on the online form to electronically submit the transfer form
3. Provide client a copy of the signed form and file branch copy in client's file (attaching any applicable documentation)

### For External "in-kind" Transfers

1. Complete and print forms.
2. Obtain client's signature and affix a signature guarantee stamp on all printed copies.
3. Fax the branch copy of the signed 8021 form (attaching any applicable documentation) to Wholesale Brokerage Operations at 1-800-285-9620

### For External "in cash" transfers, in addition to the above steps, do the following:

1. Write "Original Sent Direct" at the top of the branch copy prior to faxing to Wholesale Brokerage Operations.
2. Mail the signed External FI copy of form 8021 directly to the other Financial Institution (FI) (attach any applicable documentation).

## Branch Contact Information

Branch Transit No. _____	Branch Contact Name _____	Rep Code (if applicable) _____
Branch Telephone Number ____-____	Extension _____	Fax Number ____-____

## Client Information

\*Account Type :  Individual  Joint  Partnership  Corporate  Estate  Trust  Other

### Individual/Joint

*Name of Account Holder (Last, First, Initial) _____	*Date of Birth ____/____/____	Social Insurance Number (SIN) ____-____-____
*Address (number/street/apt.) _____	*City _____	*Province _____
*Postal Code ____-____	*Telephone Number ____-____-____	
Name of Joint Account Holder (if applicable) _____	Joint Account Holder SIN ____-____-____	Date of Birth of Joint Account Holder ____/____/____

### Corporate/ Estate/ Trust or Partnership

*Legal Name of Business/ Estate/ Trust _____		
*Address (number/street/suite) _____	*City _____	*Province _____
*Postal Code ____-____		
*Contact Name _____	*Telephone Number ____-____-____	Extension _____

### \*Receiving Institution Information ( select one box only)

Receiving Institution: 161 Bay Street, 4<sup>th</sup> floor, Toronto, Ontario M5J 2S8

Fax: 1 800-285-9620

**Authorization to Transfer Non-Registered Account**

- CIBC Imperial Investor Service (IIS)** 1 800 661-7494, Dealer Code: 9479
- CIBC Investor's Edge (IE)** 1 800 567-3343, Dealer Code: 9479
- CIBC Securities Inc. (SI - Mutual Funds)** 1 800 465-3863, Dealer Code: 9319
- CIBC Personal Portfolio Services (CIBC ISI)** 1 800 814-1273
- CIBC Personal Portfolio Services (CIBC SI)** 1 800 814-1273
- CIBC Private Investment Counsel, a division of CIBC Asset Management Inc.** (CIBC Trust Corporation)

For additional transfer information, see *Additional Clearing Information* section in the attached *Client Disclosure*.

\*Account Number at Receiving Institution

\_\_\_\_\_  Cdn \$ Only  US \$ Only

**\*Delivering Institution Information**

- External FI/Other**
- Imperial Investor Service (IIS)** 1 800 661-7494, Dealer Code: 9479
- CIBC Investors Edge (IE)** 1 800 567-3343, Dealer Code: 9479
- CIBC Securities Inc. (SI Mutual Funds)** 1 800 465-3863 Dealer Code: 9319
- CIBC Personal Portfolio Services (CIBC ISI)** 1 800 814-1273
- CIBC Personal Portfolio Services (CIBC SI)** 1 800 814-1273
- CIBC Private Investment Counsel, a division of CIBC Asset Management Inc.** (CIBC Trust Corporation)
- CIBC Wood Gundy** 1 866 814-1273, option 4, Dealer Code: 9280

\*Account Number at Delivering Institution

\_\_\_\_\_  Cdn \$ Only  US \$ Only

*Delivering Institution Full Name (If External FI/Other)	If Other	*Delivering Institution Line of Business
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\*Address  
\_\_\_\_\_

*City	*Province	*Postal Code
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Contact Name	Telephone Number	Extension
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This is my authorization to you to deliver to the receiving institution, the account(s) you are carrying for me and for the receiving institution to receive this account(s). This includes all securities long and short and debit or credit balance. Delivery is to be made by the receiving institution of all securities short against payment. These instructions are given subject to the receiving institution's approval of my account(s).

**\*Transfer Type<sup>1</sup>**

- All in-kind (as is)  Sell all Assets and transfer in-cash (All In-cash)\*\*
- All Assets but mixed in kind (as is) and in-cash see list below or attached list\*\*  Partial as listed below

<sup>1</sup> If transfer includes a GIC or Term Deposit, please refer to the "Guaranteed Investment Certificates and Term Deposits" section in the Client Disclosure.  
\*\* Please refer to statement in **bold** in "**Client Authorization**" section below.

1	<input type="checkbox"/> In-Cash	<input type="checkbox"/> Shares/Units	Investment Amount	Symbol and/or Certificate No.	Delay delivery until (mmm/dd/yyyy)**
Or	<input type="checkbox"/> In-kind	<input type="checkbox"/> Dollars			
	Investment Description				

2	<input type="checkbox"/> In-Cash	<input type="checkbox"/> Shares/Units	Investment Amount	Symbol and/or Certificate No.	Delay delivery until (mmm/dd/yyyy)**
Or	<input type="checkbox"/> In-kind	<input type="checkbox"/> Dollars			

**Authorization to Transfer Non-Registered Account**

Investment Description

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3	<input type="checkbox"/> In-Cash	<input type="checkbox"/> Shares/Units	Investment Amount	Symbol and/or Certificate No.	Delay delivery until (mmm/dd/yyyy)**
	<input type="checkbox"/> In-kind	<input type="checkbox"/> Dollars			

Investment Description

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**Client Authorization**

**To the Delivering and Receiving Institutions**

Please make the transfer described above. I have read the disclosure on the next page.

**To the Delivering Institution only**

I direct you to disclose to the Receiving Institution the information contained in this form and any other information necessary for the Receiving Institution to carry out this transfer request. Unless I am asking you to transfer only part of my account, please cancel any open orders (including "good until cancelled" orders), any pre-authorized contribution plans, and/or systematic withdrawal plans on my account. **Where I have requested a transfer in-cash, I authorize the liquidation of all or part of my investments. I agree to pay any applicable fees, charges or adjustments (as per the attached disclosure).** **To the Receiving Institution only**

I understand that the length of time it takes to complete this transfer depends on the actions and requirements of the Delivering Institution and the accuracy and completeness of the information that I have provided.

If I am transferring from my CIBC Mutual Fund account with existing Portfolio Rebalancing Service, I acknowledge that the rebalancing service will not apply to my investments within the account to which I am transferring.

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Account Holder's Signature

Joint Account Holder Signature

Date

**Signature Guaranteed for Canadian Imperial Bank of Commerce**

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Auth. No.

Signature

Transit

## Client Disclosure

In our business we are dedicated to continually improving Client Service. 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 CLIENT AUTHORIZATION on this Account Transfer form.** Should you have any questions after reading this document, please be sure to address your inquiries with your Receiving Institution's (CIBC) Investment Representative.

### What is the difference between IN-CASH and IN-KIND?

In Cash means that all your assets which are not currently in liquid form are to be liquidated, sold, redeemed, etc. in order that your account can be transferred to the Receiving Institution (CIBC) in the form of cash.

**IT IS IMPORTANT TO NOTE THAT IF YOU HAVE INDICATED AN *IN CASH* TRANSFER OF YOUR ACCOUNT (EITHER PARTIAL OR FULL) , THE TRADES WILL BE EXECUTED AT MARKET. THE TRADES WILL BE PLACED ON A BEST EFFORTS BASIS SUBSEQUENT TO THE RECEIPT OF THE TRANSFER FORM AND ARE SUBJECT TO NORMAL COMMISSION CHARGES. IN ORDER TO AVOID DELAYS, YOU MAY PLACE THE TRADES YOURSELF WITH THE DELIVERING INSTITUTION AT THE TIME OF SIGNING THIS TRANSFER FORM.**

In Kind means that you want the account transferred, **as is** meaning that none of your existing investments will be disposed of. If you hold investment products and a cash balance, then the investment products may be transferred as well as the cash balance in their current state.

### How long will my transfer take?

The time required to completely transfer your account will for the most part depend on the type of account you are transferring and type of investment product you currently hold. Please note that your assets may not all be transferred at exactly the same time.

### Non Registered Accounts:

Internal Transfers between CIBC group of companies typically take up to 5 business days to complete. Transfers involving Investment Industry Regulatory Organization of Canada (IIROC) member firms may take up to 10 business days from the time the delivering Institution receives the transfer request. All other transfers may take up to 25 business days from the time the Delivering Institution receives a copy of this form.

### Types of Investment Products:

#### Mutual Funds

Currently, external mutual fund products take longer to fully transfer and may result in a possible delay into your new CIBC account, due to the requirement of re-registering the mutual fund at the Fund Companies. 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 (CIBC).

#### Guaranteed Investment Certificates and 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, unless they are redeemable before maturity. There are some exceptions, please check the terms and conditions with the Institution which currently holds your investment.

#### 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, Non-transferable Bonds (minimum denomination requirements).

### How much will it cost to transfer my account?

#### Transfer Fees:

Most Institutions charge a Transfer Out fee of which the cost will vary.

#### Administration Fees:

All Institutions charge account Administration Fees of which the cost will vary. It is IMPORTANT to ensure that you have sufficient funds available in your account at the Delivering Institution to cover the transfer and administration fees, or the Delivering Institution may reject the transfer unprocessed, thus causing a LENGTHY DELAY.

#### Rejected Transfers

An account transfer request may be rejected by the Delivering Institution for a number of reasons, such as, insufficient funds to cover fees, Delivering and Receiving account has different owners, account not in good standing, i.e. under margin, 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 (CIBC) unprocessed. When the rejection has been rectified and the transfer form has been resubmitted in good order, the transfer process will begin again and the transfer timelines will be reset upon receipt by the Delivering Institution.

**Authorization to Transfer Non-Registered Account****Additional Clearing Information**

Certain transfers may require additional information for processing, the clearing information is as follows,

<b>CIBC Product</b>	<b>Clearing details</b>	
Investor Edge, Imperial Investor Service and Wood Gundy	FINS No.	T079
	CUID	WGDB
	FEDWIRE	BK of NY C/WGI, ABA#021000018
	DTC No.	5030
	Euroclear No.	10034
CIBC Trust	Account	CTSF1111002
	CUID	COMO
	DTC No.	954
	Euroclear No.	91770 (Boston Safe Deposit Trust)