

Transfer Document Guide



I want to transfer:

Form(s) to Use:

Open Accounts				
Broker/Nominee	to	Broker/Nominee	N/A	Transfer Authorization for Nominee Accounts
Client Name	to	Broker/Nominee	N/A	Transfer Authorization for Nominee Accounts
Client Name	to	Client Name	N/A	Dealer Change
Any of the above	to	Sterling Mutuals In CASH	N/A	Transfer Authorization for Nominee Accounts
RRSP Accounts				
Broker/Nominee	to	Broker/Nominee	**	Transfer Authorization for Nominee Accounts, Self Directed Application
Broker/Nominee	to	Client Name	**	Fund Company T2033, Fund Company Application
Client Name	to	Broker/Nominee	**	Transfer Authorization for Nominee Accounts, Self Directed Application
Client Name	to	Client Name	**	Fund Company T2033, Fund Company Application
Client Name	to	Client Name—same fund co.	N/A	Dealer Change
RRIF Accounts				
Broker/Nominee	to	Broker/Nominee	**	Transfer Authorization for Nominee Accounts, Self Directed Application, Void Cheque
Broker/Nominee	to	Client Name	**	Fund Company T2033, Fund Company Application, Void Cheque
Client Name	to	Broker/Nominee	**	Transfer Authorization for Nominee Accounts, Self Directed Application, Void Cheque
Client Name	to	Client Name	**	Fund Company T2033, Fund Company Application, Void Cheque
Client Name	to	Client Name—same fund co.	N/A	Dealer Change
LIF Accounts				
Broker/Nominee	to	Broker/Nominee	**	Transfer Authorization for Nominee Accounts, Self Directed Application, Sterling Mutuals Locking Addenda, Void Cheque
Broker/Nominee	to	Client Name	**	Fund Company T2033, Fund Company Application, Fund Company Locking Addenda, Void Cheque
Client Name	to	Broker/Nominee	**	Transfer Authorization for Nominee Accounts, Self Directed Application, Sterling Mutuals Locking Addenda, Void Cheque
Client Name	to	Client Name	**	Fund Company T2033, Fund Company Application, Fund Company Locking Addenda, Void Cheque
Client Name	to	Client Name—same fund co.	N/A	Dealer Change
LIRA				
Broker/Nominee	to	Broker/Nominee	**	Transfer Authorization for Nominee Accounts, Self Directed Application, Sterling Mutuals Locking Addenda
Broker/Nominee	to	Client Name	**	Fund Company T2033, Fund Company Application, Fund Company Locking Addenda
Client Name	to	Broker/Nominee	**	Transfer Authorization for Nominee Accounts, Self Directed Application, Sterling Mutuals Locking Addenda
Client Name	to	Client Name	**	Fund Company T2033, Fund Company Application, Fund Company Locking Addenda
Client Name	to	Client Name—same fund co.	N/A	Dealer Change
RESP				
Broker/Nominee	to	Client Name	**	Fund Company RESP Transfer form, Fund Company Application, Grant Applications
Client Name	to	Client Name	**	Fund Company RESP Transfer form, Fund Company Application, Grant Applications
Client Name	to	Client Name—same fund co.	N/A	Dealer Change
TFSA				
Broker/Nominee	to	Client Name	**	Fund T2033, Fund Company Application
Client Name	to	Client Name	**	Fund T2033, Fund Company Application
Client Name	to	Client Name—same fund co.	N/A	Dealer Change

Note 1: ** Indicates a transfer from one institution to another

Note 2: There is not yet a standard for transferring TFSA. Most companies are requesting a registered transfer form (T2033) and banks are sometimes asking the client to come into the branch to complete additional documents.