

Switch transaction to SLGI and CI high net worth program



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Waterloo, ON N2J 4C5

Complete the following form for switching clients into Sun Life Global Investments (SLGI) Private Client or CI Investments Private Investment Management (PIM) program.

Client name Nominee (mutual fund accounts only)

Is this being completed with LTA/TA on file? Yes No (client signature(s) required)

Sun Life Financial account/contract number	Fund company account/contract number	Date (dd-mm-yyyy) 31-07-2017
First name	Last name	Social insurance number
Joint first name	Last name	Social insurance number

Fund company (select one): SLGI CI

Fund series (select one): Class E Class O (attach the applicable Service Fee Agreement form)

Note: If Client name, must be 100% total switch from source account/contract

From: Fund Company code (e.g. SUNH8) (Mandatory)	Fund name	Percent	To: Fund Company code (e.g. SUNEH8) (Mandatory)	Fund name	Percent	Distributions (mutual funds only)
		%			100.00 %	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest

Transfer existing PAC/AWD plan to new fund(s) Yes No

Notes:

- A taxable event may be triggered as a result of a switch between different funds
- For Nominee accounts, any cash distributions are deposited to the Cash Control Account (CCA)

Know your client (KYC) information

If there has been a material change to the Know your client (KYC) information, please complete and submit the Client information form (Know your client (KYC)) (4109-E). If there is no material change to the KYC information, indicate here.

DSC/LL fee disclosure

If the units being transferred are DSC or LL, the DSC fee schedule may not have expired and the transfer of those units may be subject to a fee.

Front-End Load (FEL) investments

When investing in a Private Client or Private Investment Management fund you have the option of selecting front-end load (FEL) sales options. With the FEL option, you negotiate an up-front fee with your advisor, usually between 0%-5%. The fee is deducted from your initial investment in the fund and is paid to Sun Life Financial Investment Services (Canada) Inc. (Sun Life Financial) for mutual funds and Sun Life Financial Distributors (Canada) Inc. (Sun Life Financial) for segregated funds, with a portion going to your advisor.

Sun Life Financial will also receive an annual commission from the applicable fund company (often referred to as a trailer commission) in relation to these FEL investments (a portion of which goes to your advisor).

If you have any further questions or concerns regarding fees please contact your advisor.

SLGI Private Client

To invest in Series O units/shares, Sun Life Global Investments Private Client Series/Class O Service Fee Agreement Form is required.

If a household group is being formed, Sun Life Global Investments Private Client Account Linking Form is required.

CI Investments Private Investment Management

To invest in Class O funds, a Dealer Service Fee/Service Fee Agreement for Class O Mutual Fund Units, SunWise Essential Series and SunWise Essential Series 2 PIM Units form is required.

If a household group is being formed, CI Private Investment Management Account Linking Agreement Form is required.

DLR4760E



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Client authorization

I/We authorize the manager of the mutual fund or segregated fund to switch units out of my/our account/contract according to the instructions set out above. **For mutual funds:** I/We acknowledge receipt of the current fund facts document(s) applicable to the mutual fund(s) in which I/we am/are investing and I/we further understand that I/we have access to financial statements.

Client's signature X	Date signed (dd-mm-yyyy)
Joint client's signature X	Date signed (dd-mm-yyyy)
Irrevocable beneficiary's signature (segregated funds only) X	Date signed (dd-mm-yyyy)

Advisor authorization (Mandatory)

I have:

- documented the conversation with the client(s) in the client file regarding the switch into the Private Client or Private Investment Management program and the features of the program, including reduced management fees and tiered reduction schedule, household linking, rebalancing, the fund's investments, risk profile and past performance.
- provided the necessary Fund Facts document(s) associated with this mutual fund transaction (if applicable) to the client(s) in accordance with the pre-sale delivery requirements. I confirm that if pre-sale delivery was not possible that I have obtained authorization from the client(s) as an exception to deliver the documents within 48 hours of the transaction.
- documented the conversation with the client(s) regarding their investment objectives, risk tolerance, time horizon and pre-trade disclosure of costs.
- explained that in the event of a transfer of DSC or LL funds from an existing:
 - mutual fund account with Sun Life Financial, redemption fees may be charged.
 - segregated fund contract with Sun Life Financial, redemption fees may be charged and/or the transaction may cause the guarantees to be recalculated.

Advisor's first name			Last name	
Advisor's rep code	Financial centre	Telephone number	<input type="checkbox"/> Mutual Fund Dealer SLF Investment Services 7697	<input type="checkbox"/> Segregated Fund SLF Distributors 3379