



# Subsequent Investment Instructions

Use this form for subsequent investment or withdrawal instructions.  
Use one form per account.

## Investor Information

Investor Name \_\_\_\_\_ Social Insurance Number \_\_\_\_\_ NEI Investor # \_\_\_\_\_

Joint Investor Name \_\_\_\_\_ Social Insurance Number \_\_\_\_\_

## Plan Type & Number (Select One)

NEI Client Account # \_\_\_\_\_  Nominee # \_\_\_\_\_  Intermediary # / Code \_\_\_\_\_ / \_\_\_\_\_

## Account Type (Select One)

### Non-Registered

- Individual  Joint with Right of Survivorship
- Corporation  In Trust for \_\_\_\_\_
- Formal Trust  Other \_\_\_\_\_
- Estate  Other \_\_\_\_\_

### Registered

- Individual RSP  Spousal/Common-Law Partner RSP
- Individual RIF  Spousal/Common-Law Partner RIF
- LIRA<sup>1</sup>/LRSP<sup>1</sup>/RLSP<sup>1</sup>  LIF<sup>1</sup>/LRIF<sup>1</sup>/RLIF<sup>1</sup>  TFSA
- Group RSP  PRIF<sup>1</sup>

<sup>1</sup>For Locked-In Plans, please attach appropriate Locked-In Addendum and, if applicable, Spousal Consent Form and complete the following information:

Pension Plan: \_\_\_\_\_ Province of Legislation: \_\_\_\_\_

## Investment Instructions

Lump Sum Transaction  Transfer-In (attach Transfer documents)

Buy (\$/units)	Redeem (\$/units)	Gross or Net	Fund Name	Fund Code	Front End Sales Charge %	Wire Order #
				NWT	%	
				NWT	%	
				NWT	%	
				NWT	%	

Redemption Instructions:  Cheque to Client  EFT to Financial Institution on Record (If new please complete EFT form)  Redirect to:

Institution Name \_\_\_\_\_ Address \_\_\_\_\_ City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

## Switches (Note: Switches between allowable load structures may result in a charge)

Amount (\$, %, or units)	Fund Name	Fund Code	Sales Charge % (max. 2%)	Frequency <sup>1</sup>	Wire Order #
	Switch Out	NWT			
	Switch In	NWT	%		
	Switch Out	NWT			
	Switch In	NWT	%		

<sup>1</sup>Frequency: W = Weekly, BW = Bi-Weekly, SM = Semi-Monthly, M = Monthly, BM = Bi-Monthly, Q = Quarterly, SA = Semi-Annually, A = Annually

**Systematic Switches:** Start Date: (mm/dd/yyyy): \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ End Date: (mm/dd/yyyy): \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

## Dividend Distribution Options (Select one of the following for Non-Registered Accounts)

- Reinvest distributions and dividends from all Funds
- Deposit to Financial Institution specified in Banking Information section on the following page
- Redirect to Fund Number / Account
- Cheque to Applicant(s)

**NOTE:** If no option is selected, distributions and dividends will be reinvested.

## Notes:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



## Banking Information (Please attach a VOID cheque with this Application)

Financial Institution Name \_\_\_\_\_ Institution Code \_\_\_\_\_ Transit Number \_\_\_\_\_ Account Number \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

I authorize Northwest & Ethical Investments L.P. (NEILP) and the financial institution designated (or any financial institution I may authorize at any time) to debit my account as per my instructions for regular re-occurring payments. I acknowledge that, if this Authorization is for funds transfer PADs that have recourse through the clearing system, a PAD may be disputed but only under the following conditions:

- (a) the PAD was not drawn in accordance with this Authorization;
- (b) this Authorization was revoked

I further acknowledged that in order to be reimbursed, a declaration to the effect that either (a) or (b) took place must be completed and presented to the branch of the Financial Institution holding the Account on or before the 90th calendar day on which the PAD in dispute was posted to the Account.

*For PAC & SWP plans this authorization shall remain in effect until cancellation by written notice to NEILP at least 72 hours prior to the next payment date. For a joint bank account, all Depositors must sign if more than one signature is required on cheques issued against the account.*

**X** \_\_\_\_\_  
Account Holder Signature

**X** \_\_\_\_\_  
Joint Account Holder Signature

## Leverage Disclosure Statement

Is this Transaction Leveraged?  Yes  No If "Yes", please complete the *Leverage Disclosure Statement* below.

If you are borrowing money to purchase securities" "Using borrowed money to finance the purchase of securities involves greater risk than purchasing using cash resources only. If you borrow money to purchase securities, your responsibility to repay the loan and pay interest as required by its terms remains the same even if the value of the securities purchased declines."

*I have read the disclosure statement above and understand the risks associated with borrowing money for the purchase of securities.*

Investor Initials \_\_\_\_\_ & \_\_\_\_\_

## Investor Authorization

I confirm that these transactions are compatible with my investment needs and objectives. If I am withdrawing funds from my account, I understand that those funds may be subject to a sales and/or administrative charge by Northwest & Ethical Investments L.P. (NEI). If my withdrawal is from an RSP or RIF, I understand that there will be withholding tax applied as per the Income Tax Act (Canada). If I am switching mutual fund units, I understand that a switch fee may be imposed by my dealer.

**X** \_\_\_\_\_  
Investor Signature

**X** \_\_\_\_\_  
Joint Investor Signature

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Date (mm/dd/yyyy)

\_\_\_\_\_  
Representative Name

\_\_\_\_\_  
Representative Signature

\_\_\_\_\_/\_\_\_\_\_  
Dealer/Rep Code

*BCM confirms that the above transactions are suitable for the investor(s)*

\_\_\_\_\_  
Branch Compliance Manager (BCM) Signature

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Date (mm/dd/yyyy)