

# Estate Settlement Guidelines

## Client name registered plans (non locked-in) including TFSA

Account number	Deceased investor's last name	Deceased investor's first name	Date (dd-mm-yyyy)
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### Client name registered plans (non locked-in) including TFSA

Please use this guideline to ensure that all documentation is complete to settle a deceased investor's registered account.

#### Designated beneficiary on account

For all provinces except Quebec	Yes	No	Notes
Notarized or Certified True copy of Death Certificate or Funeral Director's Certificate of Death	<input type="checkbox"/>	<input type="checkbox"/>	
SLGI Estate Claim form OR Letter of Direction signed by the Beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	
SIN or foreign social security number of Beneficiary and residential address (for tax reporting purposes)	<input type="checkbox"/>	<input type="checkbox"/>	
If beneficiary designation was set up via FundSERV, copy of signed beneficiary designation to be provided by dealer	<input type="checkbox"/>	<input type="checkbox"/>	

#### Additional requirement for TFSA: When the spouse is either the successor holder or sole beneficiary, there are two options:

For all provinces except Quebec	Yes	No	Notes
Take over the deceased's spouse TFSA by name change, or	<input type="checkbox"/>	<input type="checkbox"/>	
Transfer into their own TFSA without affecting their own TFSA contribution room by filing CRA form RC240 directly with CRA within 30 days of transfer. <a href="http://www.cra-arc.gc.ca/E/pbg/tf/rc240/README.html">http://www.cra-arc.gc.ca/E/pbg/tf/rc240/README.html</a>	<input type="checkbox"/>	<input type="checkbox"/>	

#### No beneficiary designation, assets in account less than \$25,000

For all provinces except Quebec	Yes	No	Notes
Notarized or Certified True Copy of Death Certificate or Funeral Director's Certificate of Death	<input type="checkbox"/>	<input type="checkbox"/>	
Notarized or Certified True Copy of Will	<input type="checkbox"/>	<input type="checkbox"/>	
Letter of Indemnity signed by Executor/Estate Trustee	<input type="checkbox"/>	<input type="checkbox"/>	
SLGI Estate Claim form OR Letter of Direction signed by Executor/Estate Trustee	<input type="checkbox"/>	<input type="checkbox"/>	
Address of Executor/Estate Trustee (for tax reporting purposes)	<input type="checkbox"/>	<input type="checkbox"/>	

#### No beneficiary designation, assets in account \$25,000 and above

For all provinces except Quebec	Yes	No	Notes
Notarized or Certified True Copy of Letters Probate (in Ontario, Certificate of Appointment of Estate Trustee with a Will)	<input type="checkbox"/>	<input type="checkbox"/>	
SLGI Estate Claim form OR Letter of Direction signed by Executor/Estate Trustee	<input type="checkbox"/>	<input type="checkbox"/>	
Address of Executor/Estate Trustee (for tax reporting purposes)	<input type="checkbox"/>	<input type="checkbox"/>	

#### Investor died intestate (no Will)

For all provinces except Quebec	Yes	No	Notes
Notarized or Certified True Copy of Letters of Administration (in Ontario, Certificate of Appointment of Estate Trustee Without a Will)	<input type="checkbox"/>	<input type="checkbox"/>	
Address of Executor/Estate Trustee (for tax reporting purposes)	<input type="checkbox"/>	<input type="checkbox"/>	
SLGI Estate Claim form OR Letter of Direction signed by Executor/Estate Trustee	<input type="checkbox"/>	<input type="checkbox"/>	

**Quebec**

<b>Quebec residents, non-locked in plans – Annuitant died testate (with a Will)</b>			
	Yes	No	Notes
Certified True Copy of Death Certificate or Funeral Director's Certificate of Death	<input type="checkbox"/>	<input type="checkbox"/>	
Certificate of Will Search issued by the Chamber of Notaries and Quebec Bar	<input type="checkbox"/>	<input type="checkbox"/>	
Address of Liquidator (for tax reporting purposes)	<input type="checkbox"/>	<input type="checkbox"/>	
SLGI Estate Claim form OR letter of Direction from the Liquidator	<input type="checkbox"/>	<input type="checkbox"/>	
For wills in Notarial form: Copy of the Will certified by a Notary. For wills in Holographic form, or executed before witnesses: Court certified copy of Judgment of Probate and Annexed Will	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Quebec residents, non-locked in plans – Annuitant died intestate (without a Will)</b>			
	Yes	No	Notes
Certified Copy of Death Certificate or Funeral Director's Certificate of Death	<input type="checkbox"/>	<input type="checkbox"/>	
Certificate of Will Search issued by the Chamber of Notaries and Quebec Bar	<input type="checkbox"/>	<input type="checkbox"/>	
Address of Liquidator (for tax reporting purposes)	<input type="checkbox"/>	<input type="checkbox"/>	
SLGI Estate Claim form OR Letter of Direction from the Liquidator	<input type="checkbox"/>	<input type="checkbox"/>	
Declaration of Heirship prepared by a notary or lawyer	<input type="checkbox"/>	<input type="checkbox"/>	

**Note:** The Guidelines serve as a basis for most estate situations; however Sun Life Global Investments may request additional documentation based on each estate's unique circumstances.

**Please submit documentation to:**

Sun Life Global Investments (Canada) Inc.  
 c/o RBC Investor & Treasury Services, Shareholder Services  
 155 Wellington St. W., 4th Floor  
 Toronto, ON M5V 3L3