

Estate Settlement Guidelines

Non-Registered (Cash) Accounts – Individual accounts

Account number	Deceased investor's last name	Deceased investor's first name	Date (dd-mm-yyyy) — —
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Non-registered (cash) accounts – individual accounts

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

Combined assets in cash accounts: less than \$25,000, investor died testate (with a Will)

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"/>	
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"/>	

Combined assets in cash accounts: \$25,000 and above, investor died testate (with a Will)

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"/>	
Address of Executor/Estate Trustee (for tax reporting purposes)	<input type="checkbox"/>	<input type="checkbox"/>	
SLGI Estate Claim form OR Letter of Direction from the Executor/Estate Trustee	<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 from the Executor/Estate Trustee	<input type="checkbox"/>	<input type="checkbox"/>	

Investor died testate (with a Will) – for Quebec residents

	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"/>	

Investor died intestate (no Will) – for Quebec residents

	Yes	No	Notes
Certified True Copy of Death Certificate or Funeral Director's Certificate of Death	<input type="checkbox"/>	<input type="checkbox"/>	
Declaration of Heirship prepared by a notary or lawyer	<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 signed by the Liquidator	<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