

- Regardless of your current residency and citizenship, each individual account holder/owner must complete this form.
- Canadian financial institutions are required under Part XVIII (Foreign Account Tax Compliance Act - FATCA) and Part XIX (Common Reporting Standard - CRS) of the Income Tax Act (Canada) to collect the information you provide on this form to determine if they have to report your financial account to the Canada Revenue Agency (CRA). The CRA may share that information with the government of a foreign jurisdiction that you are resident of for tax purposes. Additionally, if you are a United States person (which includes a United States citizen or resident for tax purposes), the CRA may share your account information with the Internal Revenue Service (IRS).
- Complete all sections of this form that apply to you.
- You must notify us within 30 days of all changes and provide us with a new International tax self-certification for an individual form. A change includes information that affects your tax residency outside of Canada, such as address or telephone number. We will update the information in our records when you advise us of a change.
- We will use the information provided in this form to determine whether we must report your account to the CRA. If you do not complete this form, we may be required to report your account information to the CRA.

**Residency** is the basis on which most countries tax individuals and entities. Generally, an individual is subject to the tax laws of the jurisdiction of which they are a resident. It is possible to be a resident of more than one jurisdiction for tax purposes. A resident of a jurisdiction may also include a non-citizen who holds a permanent residency card, for example, a U.S. green card. An individual may also be a resident of a jurisdiction based on the type of visa the individual holds. Every country has their own laws to determine whether you are a resident of their country for tax purposes. Those laws and the application of them can be very complicated. Therefore, we recommend that you speak with a **professional tax advisor** who is knowledgeable about the laws applicable to the country in question.

**Note:**

- If you are a tax resident in any jurisdiction other than Canada and do not have a Taxpayer Identification Number (TIN) from that jurisdiction(s) when you complete this form, you must apply for one within 90 days.
- Upon receipt of your TIN you must notify Sun Life Financial within 15 days.
- If you fail to provide your TIN you may be subject to a penalty under the Income Tax Act (Canada).
- If you have not provided valid government-issued identification to CI Investments within the last 30 days, please provide one of the following that includes your name and address to support the representation of your tax jurisdiction.
- Acceptable forms of government-issued identification include:
  - a passport
  - a national identity card
  - a driving licence
  - a provincial health insurance card (if not prohibited by provincial law)
  - a birth certificate provided by an individual under the age of 21
  - a government-issued age of majority card
  - a Canadian citizenship card
  - a Record of Landing (IMM1000)
  - a Confirmation of Permanent Residence (IMM 5292) issued before 1/1/2004
  - a permanent residence card
  - a Canadian Armed Forces identity card
  - a government-issued Certificate of Indian Status
  - an Alberta photo identification card
  - a Prince Edward Island voluntary ID
  - a Saskatchewan mandatory photo ID
  - a Manitoba identification card
  - a NEXUS card

*If you need additional space for any section of this form, complete the applicable sections on a new International tax self-certification for an individual form.*

**1 Contract Details**

Contract number \_\_\_\_\_ Distributor's Account Number \_\_\_\_\_

**Owner's Name**

Social Insurance Number (SIN) \_\_\_\_\_ Date of birth Y Y Y Y | M M | D D

Owner's permanent registered residence address (do not use P.O. box or 'in care' of address, unless it is the sole address of the owner)

Address \_\_\_\_\_ Apartment or suite # \_\_\_\_\_

City \_\_\_\_\_ Province/State \_\_\_\_\_ Country \_\_\_\_\_ Postal/Zip code \_\_\_\_\_

Owner's mailing address  Same as above

Address \_\_\_\_\_ Apartment or suite # \_\_\_\_\_

City \_\_\_\_\_ Province/State \_\_\_\_\_ Country \_\_\_\_\_ Postal/Zip code \_\_\_\_\_

**1 Contract Details (cont'd)**

Joint Owner's Name (if applicable)

Social Insurance Number (SIN) \_\_\_\_\_ Date of birth \_\_\_\_\_  
Y Y Y Y | M M | D D

Joint Owner's permanent registered residence address (do not use P.O. box or 'in care' of' address, unless it is the sole address of the owner)

Address \_\_\_\_\_ Apartment or suite # \_\_\_\_\_

City \_\_\_\_\_ Province/State \_\_\_\_\_ Country \_\_\_\_\_ Postal/Zip code \_\_\_\_\_

Joint Owner's mailing address  Same as above

Address \_\_\_\_\_ Apartment or suite # \_\_\_\_\_

City \_\_\_\_\_ Province/State \_\_\_\_\_ Country \_\_\_\_\_ Postal/Zip code \_\_\_\_\_

**2 Owner's/Beneficiary's Self-certification**

**FATCA**

Are you a U.S. resident for tax purposes (which includes a U.S. citizen)?

No  Yes If yes, provide a U.S. Taxpayer Identification Number (TIN): \_\_\_\_\_

**CRS**

Are you a resident of any other country other than Canada and the U.S. for tax purposes?

No  Yes If yes, provide your jurisdictions of tax residence and Taxpayer Identification Numbers (TINs).

Jurisdiction of tax residence \_\_\_\_\_ Taxpayer Identification Number \_\_\_\_\_

If you do not have a Taxpayer Identification Number (TIN), give the reason using one of these choices:

- Reason A: I have applied for a TIN but have not yet received it.
- Reason B: My jurisdiction of tax residence does not issue TINs to its residents.
- Other: Specify the reason: \_\_\_\_\_

Jurisdiction of tax residence \_\_\_\_\_ Taxpayer Identification Number \_\_\_\_\_

If you do not have a Taxpayer Identification Number (TIN), give the reason using one of these choices:

- Reason A: I have applied for a TIN but have not yet received it.
- Reason B: My jurisdiction of tax residence does not issue TINs to its residents.
- Other: Specify the reason: \_\_\_\_\_

### 3 Joint Owner's/Other Beneficiary's Self-certification (if applicable)

#### FATCA

Are you a U.S. resident for tax purposes (which includes a U.S. citizen)?

No  Yes If yes, provide a U.S. Taxpayer Identification Number (TIN): \_\_\_\_\_

#### CRS

Are you a resident of any other country other than Canada and the U.S. for tax purposes?

No  Yes If yes, provide your jurisdictions of tax residence and Taxpayer Identification Numbers (TINs).

\_\_\_\_\_  
Jurisdiction of tax residence

\_\_\_\_\_  
Taxpayer Identification Number

If you do not have a Taxpayer Identification Number (TIN), give the reason using one of these choices:

Reason A: I have applied for a TIN but have not yet received it.

Reason B: My jurisdiction of tax residence does not issue TINs to its residents.

Other: Specify the reason: \_\_\_\_\_

\_\_\_\_\_  
Jurisdiction of tax residence

\_\_\_\_\_  
Taxpayer Identification Number

If you do not have a Taxpayer Identification Number (TIN), give the reason using one of these choices:

Reason A: I have applied for a TIN but have not yet received it.

Reason B: My jurisdiction of tax residence does not issue TINs to its residents.

Other: Specify the reason: \_\_\_\_\_

### 4 Individual temporary visitors to the U.S.

Optional and only if applicable, such as in the case of certain Canadian individuals, such as retirees or "snowbirds" and students, who spend considerable time visiting in the U.S. This declaration is valid until the earlier of (1) the end of the calendar year in which 7 years have elapsed since the declaration was made and (2) until it is no longer valid, e.g. because the individual has become a U.S. person (a U.S. citizen or resident of the U.S. for tax purposes).

\_\_\_\_\_  
Owner's Name

I certify that I am a resident of Canada for tax purposes. I further certify that any U.S. telephone number or address associated with this account only exists for, or will arise only in the context of, temporary visits that I make to the U.S. while I remain a resident of Canada and will not, at any time, exist or arise because I am a resident of the U.S. for tax purposes or a U.S. citizen. I agree to notify Sun Life Financial if events cause this certification to be false or misleading.

Check if making this declaration.

\_\_\_\_\_  
Joint Owner's Name

I certify that I am a resident of Canada for tax purposes. I further certify that any U.S. telephone number or address associated with this account only exists for, or will arise only in the context of, temporary visits that I make to the U.S. while I remain a resident of Canada and will not, at any time, exist or arise because I am a resident of the U.S. for tax purposes or a U.S. citizen. I agree to notify Sun Life Financial if events cause this certification to be false or misleading.

Check if making this declaration.

### 5 Account Holder/Joint Account Holder declaration and signature

I declare that the information I have provided on this form is, to the best of my knowledge and belief, correct and complete.

\_\_\_\_\_  
Owner's/Beneficiary's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Joint Owner's/Other Beneficiary's Signature (if applicable)

\_\_\_\_\_  
Date

### CI's Privacy Code

Upon receipt of this form and your related application, CI will establish a file in which will be placed personal information about you concerning the application, this form, endorsement, rider or other documents issued in connection with the application, and other documents or information relating to the investigation, servicing and administration of the application. We collect personal information about you from the application, this form and any supplementary forms, and from your representative and other organizations and persons you identify in support of your application. We use your personal information for the purposes of servicing and administering the application and for such other purposes as are specified in the application and as required by law. Your information may be shared with your representative of record for the purposes identified above. Your Social Insurance Number will be used for income reporting purposes in the context of the administration of your account. Your banking information will be disclosed to the financial institution(s) processing your pre-authorized deposit plan.

Employees or authorized representatives of CI who will be responsible for functions relevant to the purposes identified above, and other persons authorized by you or by law, will have access to the personal information contained in your file. Note that your financial advisor or broker is not an employee of CI. Subject to exceptions set out in applicable legislation, you may access your file and request corrections to your personal information by sending a written request to CI Investments Inc. Attn: Privacy Officer, CI Financial, 15 York Street, Second Floor, Toronto, Ontario, M5J 0A3.

**By completing and signing this form, you consent to the collection, use and disclosure of your personal information as described herein. CI's Privacy Policy is available on the CI Website, [www.ci.com](http://www.ci.com)**

### Please send completed form to:

15 York Street, Second Floor, Toronto, Ontario M5J 0A3 or

**Fax:** 1-800-576-7141

### Sun Life Financial Privacy Statement for Canada

Respecting your privacy is a priority for the Sun Life Financial group of companies. We keep in confidence personal information about you and the products and services you have with us to provide you with investment, retirement and insurance products and services to help you meet your lifetime financial objectives. To meet these objectives, we collect, use and disclose your personal information for purposes that include: underwriting; administration; claims adjudication; protecting against fraud, errors or misrepresentations; meeting legal, regulatory or contractual requirements; and we may tell you about other related products and services that we believe meet your changing needs. The only people who have access to your personal information are our employees, distribution partners such as advisors, and third-party service providers, along with our reinsurers. We will also provide access to anyone else you authorize. Sometimes, unless we are otherwise prohibited, these people may be in countries outside Canada, so your personal information may be subject to the laws of those countries. You can ask for the information in our files about you and, if necessary, ask us in writing to correct it. **To find out more about our privacy practices, visit [www.sunlife.ca/privacy](http://www.sunlife.ca/privacy).**

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