

Non-Financial Change Request Form

Use this form to make changes to a name, Owner(s), beneficiary(ies), address, banking information and when adding a Joint Annuitant

1. Contract Number

Current Contract Number _____ Distributor's Account Number _____

2. Owner Information (Mandatory)

Last Name _____ First Name _____ Middle Name _____

Joint Last Name _____ Joint First Name _____ Joint Middle Name _____

3. Adding a Joint Annuitant

Complete this section to add a Joint Annuitant, either after the contract has been established (prior to the termination of the contract) or along with the Application of a new Contract where the Joint annuitant is someone other than the Joint Owner. **Note: Not applicable for SunWise I Contracts.**

The Annuitant being added must sign in the Client Authorization section of this form. If the Joint Annuitant is under the age of 16 (18 in Quebec) a Parent/Guardian must sign on the Joint Annuitant Signature line in section 10.

By completing this section, you agree to add a Joint Annuitant to your Contract. The Contract Maturity Date will be based on the younger Annuitant and the death benefit cannot be paid until the death of the last surviving annuitant. **A Contract can only have a maximum of two Annuitants.**

Joint Annuitant's Last Name _____ Joint Annuitant's First Name _____ Joint Annuitant's Middle Name _____

Address _____ City _____ Province _____

Postal Code _____ Country of Residency (MANDATORY) _____ Date of Birth (YYYY/MM/DD) (MANDATORY) _____ Relationship to Owner _____

4. Change of Ownership

Non-Registered Contracts Only. A completed CI AML form is MANDATORY.

Subrogated Policyholders – Quebec residents only:

If you (the Owner) and Joint Owner would like to name each other as subrogated policyholders **please check here**

By completing this section you, the Owner, transfer all rights of the Contract to the new Owner(s)

After completing a full change of Ownership please ensure to complete the beneficiary designation in section 6. If left blank, the beneficiary(ies) will be defaulted to the new Owner(s). Note: For full change of Ownership irrevocable beneficiary(ies) authorization is required (if applicable).

Complete this section to show the new Owner and/or Joint Owner of the contract. Changing the Owner can have tax implications, please consult your advisor and the Information Folder and Individual Variable Annuity Contract including any Supplements for more details.

Mr. Mrs. Miss Ms. Dr. **Assigned sex at birth:** Male Female

Owner's Last Name _____ Owner's First Name _____ Owner's Middle Name _____

Owner's Address _____ City _____ Province _____

Postal Code _____ Country of Residency (MANDATORY) _____ Home Phone Number _____ Business Phone Number _____

Date of Birth (YYYY/MM/DD) MANDATORY _____ Social Insurance Number (SIN) (MANDATORY) _____ Owner's Email Address _____

Mr. Mrs. Miss Ms. Dr. **Assigned sex at birth:** Male Female

Joint Owner's/Beneficial Owner's Last Name _____ Joint Owner's/Beneficial Owner's First Name _____ Joint Owner's/Beneficial Owner's Middle Name _____

4. Change of Ownership (continued)

Date of Birth (YYYY/MM/DD) (MANDATORY) _____ Social Insurance Number (SIN) (MANDATORY) _____ Owner's Email Address _____

Joint Ownership Information

Joint Ownership Type:

Joint Owners with Right of Survivorship (not applicable in Quebec)
 Joint Owners

Signing Authority:

Only one signature required
NOTE: If not selected, both signatures are required.

5. Successor Owner

Optional – For Non-Registered Contracts only

This section should only be completed in situations where the Annuitant is not the Owner.

Mr. Mrs. Miss Ms. Dr. **Assigned sex at birth:** Male Female

Successor Owner's Last Name _____ Successor Owner's First Name _____ Successor Owner's Middle Name _____

Address _____ City/Town _____ Province _____

Postal Code _____ Date of Birth (YYYY/MM/DD) (MANDATORY) _____ Relationship to Owner _____

6. Beneficiary Change

For Contracts signed in Quebec, the designation of a spouse (married or civil union) as beneficiary is irrevocable unless the Owner checks revocable here: **revocable**

If the beneficiary(ies) predecease(s) the Annuitant, or if applicable, the last surviving Annuitant in the case of joint Annuitants, a contingent beneficiary for that beneficiary's share, if still alive at the death of the Annuitant, shall receive that beneficiary's share of the death benefit. If no contingent beneficiary for that share is named or is alive at that time, that share shall be payable to the Owner or if the Owner was the Annuitant, to the estate of the deceased Owner.

For SunWise Essential Series or SunWise Essential Series 2 RSP/LIRA/RLSP and RIF/LIF/LRIF Contracts with Income Class Units and a Two-Life Income Stream, the spouse must be named as the sole primary beneficiary. If someone other than the spouse is named beneficiary, this will result in the cancellation of the LWA payments upon the death of the Owner/Annuitant.

By completing this section you, the Owner, cancel and replace all previous beneficiary designations. Your new designation must include all intended primary and contingent beneficiaries that will apply to your contract.

Primary Beneficiary Name(s)	Relationship ¹	Share (%)	Contingent Beneficiary Name(s) (for the adjacent share)	Relationship ¹
	Total	100%		

I have attached a letter of direction with additional/alternate/irrevocable beneficiary instructions.

¹Relationship of the beneficiary is to the Annuitant in all provinces excluding Quebec. In Quebec, the relationship is to the Owner.

7. Changing a Name

Use this section to make a name change. **Please ensure to attach legal documentation for the change of name.**

Indicate the person whose name is changing:

Owner Successor Owner Joint Annuitant
 Joint Owner Annuitant Second Life²

Indicate the reason for the change of name:

Marriage Adoption Divorce
 Other (please specify) _____

²Applicable for SunWise Essential Series and SunWise Essential Series 2 Income Class only.

Previous Last Name _____ Previous First Name _____ Previous Middle Name _____

Mr. Mrs. Miss Ms. Dr.

New Last Name _____ New First Name _____ New Middle Name _____

8. Change of Address, Owner(s) Contact Information

Indicate the person whose address is changing:

<input type="checkbox"/> Owner	<input type="checkbox"/> Successor Owner	<input type="checkbox"/> Joint Owner	<input type="checkbox"/> Annuitant
Residence Address (Street number and name)		Apartment/Suite/Unit	City/Town
Province	Postal Code	Country of Residency	Home Phone Number
Business Phone Number	Email Address		

9. Change of Banking Information

Attach a void cheque or pre-authorized deposit form from the bank. **Note:** Ensure that the void cheque or bank form is printed with the Owner's name on it.

Specify if you are changing the banking information for your systematic plan:

PACs AWDs All

Bank Account Owner(s) Name(s)	Bank Name
Bank Number	Bank Transit Number
	Bank Account Number
X Signature(s)	Date (YYYY/MM/DD)

Signature required if Depositor(s) is (are) other than the Owner(s) of this Plan. For joint bank accounts, all Depositors must sign if more than one signature is required on cheques issued against the account. By signing you confirm the banking information provided and that you have read and agree to the PAC terms and conditions outlined at the end of this form.

10. Owner Authorization

X Owner's Signature (MANDATORY)	X New Owner's Signature (MANDATORY)
X Joint Owner's Signature (MANDATORY)	X New Joint Owner's Signature (MANDATORY)
X Joint Annuitant's Signature (only required when adding a Joint Annuitant (MANDATORY))	X Irrevocable Beneficiary's Signature (if applicable)
	Date (YYYY/MM/DD)

* Parent/Guardian Signature is only required for In Trust For contracts where the Beneficial Owner is under the age of 16 (18 for Quebec).

11. Representative Authorization

To be completed by the representative.

Representative's Name	Dealer and Representative Number
X Representative's Signature (MANDATORY)	Date (YYYY/MM/DD)

Pre-Authorized Chequing Plans (PAC) – Terms and Conditions

- By signing this form, you hereby waive any pre-notification requirements as specified by section 15(a) and (b) of the Canadian Payments Association (CPA) Rule H1 with regards to PACs
- If you have indicated on the form that you want to make regular deposits using a PAC, you authorize CI Investments Inc. (CI) on behalf of Sun Life to debit the bank account provided for the specified amount(s) and in the frequencies selected.
- If this is for your own personal investment, your debit will be considered a Personal Pre-authorized debit agreement (PAD) by Canadian Payments Association definition. If this is for business purposes, it will be considered a Business PAD. Monies transferred between CPA members will be considered a Funds Transfer PAD.
- You have certain recourse rights if any debit does not comply with this agreement. For example, you have the right to receive reimbursement for any debit that is not authorized or is not consistent with this PAC agreement. To obtain more information on your recourse rights, you may contact your financial institution, CI or visit www.payments.ca.
- You may change these instructions or cancel this plan at any time, subject to providing CI notice of at least 48 hours prior to the next PAC run date. To obtain a sample cancellation form, or for more information on your right to cancel a PAC agreement, you may contact your financial institution, CI or visit the Canadian Payments Association website at www.payments.ca. You agree to release the financial institution and CI of all liability if the revocation is not respected, except in the case of gross negligence by the financial institution or CI.
- CI is authorized to accept changes to this agreement from your registered dealer or your financial advisor in accordance with the policies of that company, in accordance with the disclosure and authorization requirements of the CPA.
- You agree that the information in this form will be shared with the financial institution, insofar as the disclosure of this information is directly related to and necessary for the proper application of the rules applicable for PACs.
- You acknowledge and agree that you are fully liable for any charges incurred if the debits cannot be made due to insufficient funds or any other reason for which you may be held accountable.
- You confirm that all persons whose signatures are required to authorize transactions in the bank account provided have read and agreed to these terms and signed this form.

USE OF PERSONAL INFORMATION NOTICE

CI INVESTMENTS INC.'S PRIVACY NOTICE

CI Investments Inc. doing business under the registered business name of CI Global Asset Management ("CI GAM", "we", "our", "us") are committed to respecting and protecting the privacy and confidentiality of the information you have entrusted with us. This Privacy Notice outlines how we collect, use, disclose, store and safeguard your personal information.

WHAT INFORMATION DO WE COLLECT?

We collect information, including sensitive personal information, such as social insurance number, required to establish and service your accounts in compliance with federal and provincial laws as well as our financial self-regulatory organization requirements. We maintain audio recordings of in-coming and out-going telephone calls. You may access our full Privacy Policy Notice online at www.cifinancial.com/ci-gam/ca/en/legal/privacy.html. If you choose to interact with us online via our web portal or through e-mail, we will monitor and record your usage information (please see our Online and Mobile Privacy Policy at www.cifinancial.com/ci-gam/ca/en/legal/privacy.html for additional details).

HOW DO WE COLLECT INFORMATION?

We collect information directly from you or from your authorized representative(s), such as your financial advisor or their dealership. Depending on how you choose to do business with us, this information may be collected on applications, forms, over the phone, in person, through the internet, through your mobile device or through other forms of communication. We also collect information about you indirectly where permitted by law. We limit the collection of information to what is necessary to fulfill the purpose for which the information is collected.

HOW DO WE USE THE PERSONAL INFORMATION WE COLLECT?

In addition to the purposes set out in our full Privacy Policy Notice (www.cifinancial.com/ci-gam/ca/en/legal/privacy.html), we may use your information to:

- I. Provide and manage products and services you have requested, including to:
 - a) Open and operate your account,
 - b) Verify your identity,
 - c) Execute your transactions,
 - d) Record and report account status back to you,
 - e) Provide personalized service and support, and
 - f) Respond to any request or questions you may have.
- II. Understand our customers and to develop and tailor our products and services by performing data analytics to:
 - a) Determine suitability of products and services for you,
 - b) Determine your eligibility for certain of our products or services of others,
 - c) Communicate with you about products and services that may be of interest,
 - d) Provide you with quality individualized client service and support, and
 - e) Market and advertise to clients and prospective clients.
- III. Legal and Regulatory Obligations
 - a) Provide all required tax reporting,
 - b) Comply with legal, regulatory, and contractual requirements, or as otherwise permitted by law,
 - c) Fulfill obligations under federal anti-money laundering and suppression of terrorism legislation,
 - d) Meet obligations as a member of various self-regulatory organizations,
 - e) Protect our interests, including recovering any debts you may owe us, and
 - f) Protect against fraud and other crime and to manage risk, including conducting investigations and proactive crime prevention measures.

We do not sell or rent client lists or personal information to third parties.

DISCLOSURE OF YOUR PERSONAL INFORMATION

Employees or authorized representatives of CI Investments Inc. ("CI GAM"), 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. We share your personal information with CI Financial company affiliates, such as Assante Wealth Management (Canada) Ltd. ("AWM"), CI Private Counsel LP, ("CIPC"), CI Investment Services Inc. ("CIIS"), and WealthBar Financial Services Inc. ("WealthBar") and their subsidiaries where necessary to administer and service your account.

We provide your information to third parties, including:

- Third party service providers for the servicing purposes described above – We do not authorize our service providers to use or disclose the personal information for their own marketing or other purposes. We engage service providers pursuant to a written agreement which requires them to protect personal information with equivalent safeguards that we would use. Our service providers may be located in Canada or other jurisdictions or countries and may disclose information in response to valid demands or requests from governments, regulators, courts and law enforcement authorities in those jurisdictions or countries in accordance with the applicable law in that jurisdiction or country. For more information on our information sharing practices, please contact our Privacy Officer.
- To governments, government agencies, regulators, including self-regulatory authorities, when required or permitted to do so by law, including in response to a search warrant, court order, or other demand or inquiry which we believe to be valid.
- To your financial advisor and their dealership where necessary to administer and service your account.
- To your legal representatives and/or with other third parties at your direction for the purposes which you specify at the time of the direction.
- To financial institutions, securities dealers and mutual fund companies where necessary to administer and service your account.
- To protect our interests, we may disclose information to any person or organization, including an investigative body, in order to prevent, detect or suppress, financial abuse, fraud, criminal activity, protect our assets and interests, or manage or settle any actual or potential loss or in the case of a breach of agreement or contravention of law.
- We may also disclose information to help us collect a debt owed to us.
- In the event of a transfer of a business, we may buy or sell a business (or evaluate those transactions) which would result in certain personal information forming business assets that would be purchased or sold as part of a transfer.
- We may transfer personal information as part of a corporate reorganization or other change in corporate control.
- In other situations where we have your consent, for instance, sharing your information with a joint account holder.

Information collected will be communicated outside of Quebec, both within Canada and other jurisdictions or countries and we may disclose information in response to valid demands or requests from governments, regulators, courts and law enforcement authorities in those jurisdictions or countries in accordance with the applicable law in that jurisdiction or country.

PROTECTING INFORMATION

We maintain appropriate physical, electronic, technological, procedural, and organizational safeguards to protect against unauthorized access, disclosure, copying, use or modification, theft, misuse, or loss of your personal information in our custody or control. These safeguards are appropriate to the sensitivity of the information, the purposes for which it is used, the quantity and distribution of the personal information and the medium on which we (or our service providers) store it. We limit access to your personal information to the employees and agents who require it for the purposes of their role. Your personal information

USE OF PERSONAL INFORMATION NOTICE

is only used for the purposes for which it was collected or where permitted by law. We store personal information for as long as is necessary to achieve the purposes for which it was collected or in accordance with applicable law.

ACCESSING OR CORRECTING INFORMATION

We are committed to being transparent and providing you with choices about how your information is used. You may inform us of your preferences by registering for our client web portal [Investor Online] online at www.ci.com and accessing the Privacy Preferences page. If you are unable to register online, you may also contact our client services via phone at 1-800-268-9374 or by e-mail to service@ci.com.

To correct or access your information, we encourage you to contact our Client Services department, access our Online web portal or consult your periodic statements. However, you do have the right to access and correct your personal information, or to find out to whom we have disclosed it. To make a formal request for access or correction, please send a written request addressed to the Privacy Officer, 15 York Street, 4th Floor, Toronto, ON, M5J 0A3. Please include your full name, address, telephone number, and account number(s) on all correspondence to us and provide enough detail to allow us to identify the information you want to access or correct.

REVOKING CONSENT

You may withdraw your consent for the collection, use and disclosure of your personal information at any time by forwarding a written request to the Privacy Officer. Please include your full name, address, telephone number and account number(s) on any correspondence to us. However, there are certain times when you may not withhold or revoke your consent including certain legal, regulatory, or contractual requirements. We must receive reasonable notice of your request in order to honour your consent withdrawal. Your decision to withhold or revoke your consent may limit the products and services that we may provide to you and may require you to close your accounts with us.

OUR PRIVACY OFFICE

If you have any questions or concerns about our privacy practices, the privacy of your personal information, or you want to change your privacy preferences, please contact our Privacy Officer. For changes to your privacy preferences please be reminded that you may update your selection by accessing the Privacy Preferences page of our web portal. We are committed to helping resolve your questions or concerns.

CI Investments Inc. Privacy Officer, 15 York Street, 4th Floor, Toronto, ON, M5J 0A3

Last Updated: September 23, 2023

SUN LIFE PRIVACY STATEMENT

RESPECTING YOUR PRIVACY

Our Purpose is to help our Clients achieve lifetime financial security and live healthier lives. We collect, use and disclose your personal information to: develop and deliver the right products and services; enhance your experience and manage our business operations; perform underwriting, administration and claims adjudication; protect against fraud, errors or misrepresentations; tell you about other products and services; and meet legal and security obligations. We collect it directly from you, when you use our products and services, and from other sources. We keep your information confidential and only as long as needed. People who may access it include our employees, distribution partners such as advisors, service providers, reinsurers, or anyone else you authorize. At times, unless we're prohibited, they may be outside your jurisdiction and your information may be subject to local laws. You can always ask for your information and to correct it if needed. In most cases, you have a right to withdraw your consent, but we may not be able to provide the requested product or service. Read our Global Privacy Statement and local policy at www.sunlife.ca/privacy or call us for a copy.