

SALE OR PURCHASE OF MUTUAL FUNDS
(Must be completed prior to execution of transaction)

TO: **NCB CAPITAL MARKETS LIMITED**

Date _____

FROM (Client Name): _____

Client A/C#: _____

Please use this as your authority to:

SELL

☐

PURCHASE

☐

Currency **USD**

☐

CDN

☐

****Choose either units or net value

- | | | | | |
|--|-------|---------|-------|-------------|
| <input type="checkbox"/> Manulife Advantage II Corporate Class | _____ | Units / | _____ | (net value) |
| <input type="checkbox"/> Manulife US Opportunities Corporate Class | _____ | Units/ | _____ | (net value) |
| <input type="checkbox"/> Manulife Diversified Canada Corporate Class | _____ | Units / | _____ | (net value) |
| <input type="checkbox"/> Manulife Global Focused Corporate Class | _____ | Units / | _____ | (net value) |
| <input type="checkbox"/> Manulife Canadian Focused Corporate Class | _____ | Units / | _____ | net value) |
| <input type="checkbox"/> Manulife Monthly High Income Corp Class | _____ | Units / | _____ | (net value) |
| <input type="checkbox"/> Other | _____ | Units / | _____ | (net value) |

CHARGE TYPE FE

☐

DSC

☐

Upon **SALE** disburse proceeds to:

- ☐ NCBJ account # _____
- ☐ NCB Capital Markets A/C# _____
- ☐ NCB Capital Markets Cheque
- ☐ NCB Capital Markets Citibank Cheque (USD)
- ☐ Cash
- ☐ Manager's Cheque/Bank Draft

☐ **International Wire Transfer**

Bank's Routing No./ABA No. _____

Bank's Name _____

Bank's Address _____

Recipients/Beneficiary Name _____

Recipients/Beneficiary Address: _____

Recipient/Beneficiary Bank A/C No. _____

Details/ Purpose of Payment (e.g. invoice #, school fees, gift) _____

Please transmit the above instructions at my/our risk and cost, it being understood that I/we release you and whatever correspondents or agents you choose from and against the consequences of any irregularity, delay, telegraphic error, omission, error or misrepresentation that may arise and from and against any loss which may be incurred through your correspondents failing to properly identify the person named in the above instructions or retaining the funds pending confirmation of the identity of any person, or of the above instructions. I/We also agree that the aforesaid release shall extend to all risks of exchange fluctuation.

Signed: _____ (Client's Signature)

Signed: _____ (Client's Signature)

Disclaimers

For Investment Advise

NCB Capital Markets Limited ("NCBCML") through its representative(s) has provided information to you on various financial products and services and investment opportunities for information and educational purposes only. The provision of this information does not constitute an offer by NCBCML or its representative(s) to buy or sell any securities or financial instruments or provide any investment advice or service. NCBCML carries on such activities solely for its clients. If you wish to become a client of NCBCML, you will be required to execute a client agreement containing the terms and conditions under which NCBCML will provide such services to you. The investment services and products mentioned in the information provided to you may often have tax consequences, and you should be aware that NCBCML does not provide tax advice. Investors' tax affairs are their own responsibility and investors should consult their own attorneys or other tax advisors in order to understand the tax consequences of any products and services mentioned in the information provided. All investment opportunities involve risk, and you are encouraged to seek professional advice from licensed investment advisors before making any investment decisions. While NCBCML has made every effort to ensure that the information provided to you is accurate and based on research and analysis that we have carried out or sources that we believe to be accurate and reliable, NCBCML will not be liable for any loss which you or anyone else may suffer in reliance on the information we have provided to you.

For Mutual Funds

You have authorized NCB Capital Markets Limited ("NCBCML") to purchase the above financial instrument on your behalf. You acknowledge that in so acting on your behalf, NCBCML does not make any express or implied representation, warranty or recommendation to you as to the credit-worthiness or otherwise of the issuer of the said financial instrument, or as to the suitability of this investment for your purposes. In particular, in so acting on your behalf, NCBCML does not guarantee the repayment of the principal or the performance of the fund(s) in accordance with the terms of the said financial instrument, and you have assumed the sole risk of default in any accruals and/or the depreciation or loss of your principal invested. NCBCML does not guarantee that in the event you wish to liquidate this investment before maturity there will be a market available to purchase the interest you have purchased, and does not undertake, unless it has explicitly done so elsewhere, to create such a market. Under exceptional circumstances, a mutual fund may suspend redemptions. The said financial instrument may have tax consequences for you, and you should be aware that NCBCML does not provide tax advice. Your tax affairs are your own responsibility and you should consult your own attorneys or other tax advisors in order to understand the tax consequences of this or any other financial instrument purchased through NCBCML.

Client's Signature

NCBCML

Client's Signature

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