

- i** Use this form to transfer existing holdings from another broker or share registry (issuer) to an AUSIEX share trading account in **exactly the same name**. See definitions below for more information.
- Please be advised that DocuSign signatures are not accepted for Share Transfer forms.
 - **Issuer sponsored shares** are held directly with the issuing share registry and have an associated Shareholder Reference Number (SRN). SRNs are 11 digits long, usually begin with 'I' and are unique for each holding. **To transfer Issuer sponsored shares, complete sections 1, 2 and 4.**
 - **Broker sponsored shares** are held in a CHESS sponsored account with a broker and have an associated Holder Identification Number (HIN). HINs are 10 digits long and begin with an 'X'. **To transfer Broker sponsored shares, complete sections 1, 3 and 4.**
- If the registration details between the accounts are **not** an identical match (i.e. account name including account designation and CHESS address), this form should not be used. **Please complete the Share Transfer Form for accounts in a different name or to another party.**
- Refer to the end of this document for submission instructions.

1. Account Details

Trading account name

Trading account number

SMSF/Trust account designation – If applicable

- i** **Account Designation** is the trust name as per the trust deed (up to 23 characters including spaces). Must not include TRUST, TRUSTEE, TRSTEE, ACF, ATF, TEST, AS CUSTODIAN FOR or any of the following special characters ,.^[]'.

2. Issuer to CHESS Transfer Request

- i** **Complete this section to transfer Issuer sponsored shares that are held directly with the issuing share registry.**
- For your issuer to CHESS transfer request to be successful, the registration details (full name including any middle names, designation and address) with the relevant issuing share registry, must be an identical match to the CHESS registration details on your Share Trading account. Any discrepancy will result in the transfer being rejected. Compare your trading accounts details against your Issuer Sponsored Holding Statement/s. If the registration details are not identical, you can either contact the Share registry to update your registration details or you can contact us to discuss if/how you can update your CHESS details. This must be completed before we can process your transfer, otherwise it may be delayed or rejected.

Shares to be transferred

ASX code – e.g. IAG	Security name – e.g. IAG Limited	Shareholder Reference Number (SRN)	Quantity – Number of shares
		I	
		I	
		I	
		I	
		I	
		I	
		I	
		I	
		I	
		I	

To transfer more than 10 different holdings, photocopy this page, complete and attach to this form.

- i** It may be necessary to re-lodge your standing instructions with the Share Registry after some share transfers. These include tax file numbers, banking details or dividend instructions. We may reach out to request additional information and documentation if needed.

4. Declaration & Signature/s

I/We:

- Authorise the Participant to transfer the holding/s specified above into my trading account as CHESS Participant sponsored holding/s in accordance with the Terms and Conditions of Participant Sponsorship Agreement.
- Agree to be sponsored by the Participant under the terms of the Participant Sponsorship Agreement. I/We have read and agree to accept and abide by the terms of the Agreement, and have been supplied with, read and understood the written explanation of the implications of those terms.
- In the event of any mismatch of registration details I authorise the Participant to make changes to my Holder Identification Number (HIN) registration details in accordance with the information on my Trading Account.

Account Holder/Director/Secretary/Trustee 1

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Account Holder/Director/Secretary/Trustee 2 – If applicable

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Account Holder/Director/Secretary/Trustee 3 – If applicable

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Tips for a Successful Transfer

Sample of an Issuer Sponsored Holding Statement

MR JOHN SMITH &
MRS JOAN SMITH
1 SOMEWHERE STREET
SYDNEY NSW 2000

SECURITYHOLDER
REFERENCE NUMBER (SRN): 100000000000
PAGE NUMBER: 1
STATEMENT DATE: 30/09/2008
TFN/ABN RECEIVED AND RECORDED

All Registry communications to:
Link Market Services Limited
Locked Bag A14
Sydney South NSW 1235 Australia
Telephone: 1800 022 440
Facsimile: 020 5937 0303
ASX Code: WBO
Email: registry@linkmarketservices.com.au
Website: www.linkmarketservices.com.au

Issuer Sponsored Holdings are maintained by the Share Registry on behalf of the Issuer of your shares.

To convert your Issuer Holding we need to know the ASX Code and the number of units you would like us to convert.

Securityholder/Shareholder Reference Number (SRN) is a unique number that identifies you as an Issuer Sponsored holder with a listed company. An SRN usually starts with the letter 'I' e.g. I00012345678.

If you hold shares in more than one company and choose to be Issuer Sponsored, you will have a different SRN for each shareholding.

Sample of a CHESS Holding Statement

CHESS HOLDING STATEMENT

For statement enquiries contact
your CHESS Sponsor:
AUSTRALIAN INVESTMENT
EXCHANGE LIMITED
PO Box 7777
Cloisters Square
Perth WA 6850
☎ 08 9282 8400

Holder ID Number (HIN): 0000000000
CHESS Sponsor's ID (PID): 00000
Statement Period: Juliv 2008

MR JOHN SMITH &
MRS JOAN SMITH
1 SOMEWHERE STREET
SYDNEY NSW 2000

Broker Sponsored Holdings If your shares are Broker Sponsored, you will have a Holder Identification Number (HIN), which starts with an 'X'. You can be CHESS sponsored by more than one broker or institution, and you can even maintain holdings in the same security under different sponsorships.

Holder Identification Number (HIN) is a unique number that you are issued when you are CHESS/ Broker Sponsored Holder. Your HIN can register multiple securities under the one HIN. A HIN starts with the letter X and is followed by ten numbers e.g. 0002468123.

PID is an acronym for Participant Identification Number. This is the Broker's identification number.

Australian Investment Exchange Limited ABN 71 076 515 930, AFSL 241400 ('AUSIEX') is a wholly owned subsidiary of Nomura Research Institute, Ltd. ('NRI'). AUSIEX is a Market Participant of ASX Limited ('ASX') and Cboe Australia Pty Ltd ('Cboe'), a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited. All trading, clearing, settlement and CHESS sponsorship arrangements are held directly with AUSIEX.

How to submit your documents

Clients

Once completed and signed, please scan and return the form to

✉ service@ausiex.com.au

Advisers

Lodge this form and all supporting documents

ausiex.com.au > **Administration** > **eSubmit**

📞 1800 252 351 ✉ service@ausiex.com.au 🌐 ausiex.com.au

