

i Use this form to transfer existing holdings from another broker or share registry (issuer) to an AUSIEX share trading account in **a different name, or to another party.**

Please be advised that DocuSign signatures are not accepted for Share Transfer forms.

Read before proceeding

- Use this form to transfer either Broker (CHESS) or Issuer Sponsored shares from one party to another, or between accounts in different names, without buying and selling on the market.
- This form can also be used to transfer shares from a Deceased Estate account. In this case, the executor/trustee is the **seller** and the beneficiary is the **buyer**.
- Any alterations made to this form must be initialled by both the buyer/s and the seller/s. The use of whiteout on this form deems it invalid.
- Any increase to the amount of securities (shares) being transferred is not acceptable, even if initialled. A new form will need to be completed for any amount changes.
- The transfer of stocks could give rise to tax consequences. You should ensure that you have considered the tax implications of the transfer before completing and returning this form. Information in relation to the tax implications of stock transfers is available on the ATO website. You should seek independent, professional tax advice before making any decision in relation to the transfer.
- AUSIEX is not a registered tax (financial) adviser under the *Tax Agent Services Act 2009* and is unable to provide you with tax advice in relation to this communication.
- If you are the seller of Issuer Sponsored holdings and not an existing client, additional information is required as per the **Identification Requirements for Issuer Sponsored Holdings** section.
- For general information on share transfers or assistance in completing the forms, please refer to the **Guidelines for completing this form** below.

Transfer types and instructions for completion

Seller/Executor/Trustee	Buyer/Beneficiary/New Trustee	Process	Our Charges
Transfer from an AUSIEX account	To an existing AUSIEX account	Complete section 1 – <i>Transfer Details</i>	\$27.50 inc GST per transfer
Transfer from an AUSIEX account	To an Issuer Sponsored holding	Complete section 1 – <i>Transfer Details</i>	\$27.50 inc GST per transfer
Transfer from another broker's account	To an existing AUSIEX account	Complete section 1 – <i>Transfer Details</i>	\$27.50 inc GST per transfer
Transfer from an AUSIEX account	To a CHESS Sponsored account with another broker	Contact the other Broker to initiate the request.	No fee The other Broker may charge a fee
Transfer your Issuer Sponsored shares	To an existing AUSIEX account	Complete section 1 – <i>Transfer Details</i> Seller must complete section 2 – <i>Identification Requirements for Issuer Sponsored holdings</i>	\$27.50 inc GST per transfer
Transfer your Issuer Sponsored shares	To an Issuer Sponsored holding in a different name	Contact the relevant Share Registry	We are unable to assist with these transfers

Guidelines For Completing This Form

Section 1. Transfer Details

Seller/Executor/Trustee Details

- **SELLER NAME:** The full name, company name or name of estate as per the holding registration details of the seller/s. Deceased estates should read “(the full names of the executors) as Executors of the estate of (name of deceased shareholder)”. For companies, insert the company legal name. For superannuation fund, family trust or minor, if the trustee is an individual, please insert the trustee’s Full Name. If the trustee is a company, insert the company legal name.
- **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 ,.^[]’.
- **CHESS REGISTRATION ADDRESS:** Insert the full address including the postcode exactly as printed on seller’s holding statement. For Issuer Sponsored share transfers, the registered address must **exactly match** the address on the share certificate from the issuing Share Registry.
- **CONTACT DETAILS:** Insert the seller’s email address and contact phone number/s including area code.
- **PID (PARTICIPANT IDENTIFICATION NUMBER):** Insert Participant Identification Number (if applicable). This is the seller’s sponsoring broker where security is held. The Broker’s PID can be located in the top right corner of the seller’s ‘CHESS Holding Statement’.
- **TRADING ACCOUNT NUMBER:** Insert the Trading account number where securities are currently held (where applicable).
- **SRN (SHAREHOLDER REFERENCE NUMBER) or HIN (HOLDER IDENTIFICATION NUMBER):** This number can be found on the Issuer Holding statement or a CHESS holding statement. For Issuer Sponsored and broker sponsored holdings (uncertificated), the seller’s SRN or HIN must be quoted as confirmation of the seller’s authority for the transfer to be processed. Failure to include the seller’s SRN or HIN may result in the transfer being returned to you for clarification.

Buyer/Beneficiary/New Trustee Details

- **BUYER NAME:** Full name/s of all buyers (a maximum of three joint holders). Securities can only be registered in the name of a living person or an incorporated company. For companies, insert the company legal name. Securities may not registered in the name/s of a firm or business name, an estate or deceased person, a fund or a trust, although these may be inserted as an account designation underneath the registered names. Some companies may also have restrictions on minors being registered (e.g. BHP and CBA). If the trust or superannuation fund trustee is an individual, insert the trustee’s Full Name. If the trustee is a company, insert the company legal name.
- **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 ,.^[]’.
- **CHESS REGISTRATION ADDRESS:** Insert the full address including the postcode exactly as printed on the buyer’s holding statement, trading account or within postal guidelines of new holdings.
- **CONTACT DETAILS:** Insert the buyer’s email address and contact phone number/s including area code.
- **PID (PARTICIPANT IDENTIFICATION NUMBER):** Insert Participant Identification Number (if applicable). This is the buyer’s sponsoring broker where security will be held. The Broker’s PID can be located in the top right corner of the buyer’s ‘CHESS Holding Statement’.
- **TRADING ACCOUNT NUMBER:** Insert the Trading account number where the securities are to be held (where applicable).
- **SRN (SHAREHOLDER REFERENCE NUMBER) or HIN (HOLDER IDENTIFICATION NUMBER):** The buyer’s SRN or HIN may be inserted, if known, so that any previous holdings may be amalgamated.

Security Details

- **ASX CODE:** The unique trading code of the security used by the Australian Stock Exchange (ASX) (e.g. the ASX code for the Insurance Australia Group Ltd is IAG, for Woolworths Limited is WOW, for Reef Casino Trust is RCT).
- **SECURITY NAME:** The full name of the company or trust in which the securities are held (e.g. Insurance Australia Group Ltd, Woolworths Limited, Reef Casino Trust) and the ASX Code.
- **QUANTITY:** Number of securities being transferred (both in numbers and words).
- **CONSIDERATION:** The market value of the securities being transferred at the time of transfer (e.g. 10 units of BHP each worth \$20 at the time of transfer = \$200 consideration).
- **DATE OF TRANSFER:** Insert date of purchase. Please note this is not the date of the purchase agreement but the date of completion of the transfer. This should be **on or before** the date the seller and buyer sign and date this form below.
- **FEE TO BE DEBITED FROM LINKED SETTLEMENT BANK ACCOUNT:** Tick ‘yes’ to debit the fee from the buyer’s bank account. If no box is ticked, the fee will be charged to the financial adviser’s Dealer Group.

Signatures

- **SELLER SIGNATURE/S:** Joint accounts – all account holders must sign.
Under Power of Attorney – if not already noted, a certified copy of the Power of Attorney must be sent with the transfer form to the share registry.
Deceased Estate – all executors should sign and, if not already noted, a certified copy of Probate or Letters of Administration must be sent with the transfer form to the share registry.
Company – signatures of two directors (or a director and the secretary) or if there is a sole director, signature of that director.
- **DATE SIGNED (Seller):** Insert the date signed by the seller. This should be **the same as or after** the date of transfer.
- **BUYER SIGNATURE/S:** Same requirements as 'seller signature' above.
- **DATE SIGNED (Buyer):** Insert the date signed by the buyer. This should be **the same as or after** the date of transfer.

Section 2. Identification Requirements for Issuer Sponsored holdings

Complete this section only where you are transferring **Issuer Sponsored shares** to an existing share trading account.

1. Transfer Details

Seller/Executor/Trustee Details - i.e. details of the person/account you wish to transfer the securities from

Seller name – Full name, company name or name of estate – exactly as per holding registration details

A/C designation - If applicable

Trading account number - If applicable

Holder Identification Number (HIN) - Broker sponsored holdings only

Participant Identification Number (PID) - If applicable

CHESS Registration Address

Street address – Must be an Australian address

Suburb

State

Postcode

Country

Contact Details

Email address

Phone number

Buyer/Beneficiary/New Trustee Details - i.e. details of the person/account you wish to transfer the securities to

Buyer name – Full name, company name or name of estate – exactly as per holding registration details

AUSIEX trading account number

A/C designation - If applicable

Holder Identification Number (HIN) - If applicable

Participant Identification Number (PID) - If applicable

Other brokers account number - If applicable

CHESS Registration Address

Street address – *Must be an Australian address*

Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Contact Details

Email address	Phone number
<input type="text"/>	<input type="text"/>

Security Details – *List the stock you would like to transfer in the table below*

ASX Code – e.g. IAG	Security name – e.g. IAG Limited	Quantity – Number of shares	Consideration – \$AUD	SRN – <i>For Issuer sponsored holdings only</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$	<input type="text"/>

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

Date of transfer – DD/MM/YYYY

 / /

Fee to be debited from the Buyer's linked settlement bank account?

☐ Yes ☐ No

Signatures

Please ensure all account holders sign in the relevant section/s.

Seller/s

I/We:

- Authorise the Participant to transfer the holding/s specified above into the Buyer's trading account as specified above.
- I/We have not received any notice of revocation of the Power of Attorney by death of the grantor or otherwise, under which this transfer is signed.

Seller/Executor/Trustee 1

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Seller/Executor/Trustee 2

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Seller/Executor/Trustee 3

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Buyer/s

I/We:

- Do hereby agree to accept the said securities.
- Agree to be sponsored by the Participant under the terms of the Participant Sponsorship Agreement.
- 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.

Buyer/Beneficiary/New Trustee 1

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Buyer/Beneficiary/New Trustee 2

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Buyer/Beneficiary/New Trustee 3

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Where to now?

If transferring Issuer Sponsored shares to an AUSIEX account, proceed to section 2.

For all other transfers, this form is now complete. Refer to the end of this document for submission instructions.

2. Identification Requirements For Issuer Sponsored Holdings

A. Existing AUSIEX customer

i Complete the details below if you are the seller of Issuer sponsored holdings and **have an AUSIEX trading account in the same name as the Issuer statement.**

Depending on the type of seller, the following information is required:

- **Individuals (including directors and trustees)** – provide the existing AUSIEX trading account details for individual account holders.
- **Trusts and Companies** – provide the AUSIEX trading account details for the company or trust as well as the director/s or trustee/s that are operating on the account and signing the share transfer form.

Client 1 full name

Client 2 full name

Client 3 full name

Trading Account Number

Trading Account Number

Trading Account Number

B. Not an existing AUSIEX customer

i Complete the details below if you are the seller of Issuer sponsored holdings and you **DO NOT** have an AUSIEX trading account in the same name as the Issuer Statement.

Depending on the type of seller the following information is required:

Type of Buyer/Seller	Sections That Need to be Completed	ID Requirements
Individual and joint (includes Sole traders)	Section 2.1 – Individual details Section 2.4 – Declaration and Signatures	All Individual/s to sign. <ul style="list-style-type: none"> • Individuals - CERTIFIED photocopy of a passport or an Australian driver licence (both the front and back of the card) AND a Medicare Card. • Joint individuals - CERTIFIED photocopy of a passport or an Australian driver licence (both the front and back of the card) AND a Medicare Card for each individual seller.
Company	Section 2.1 – Individual details (of Directors) Section 2.2 – Company details Section 2.4 – Declaration and Signatures	We require minimum 2 signatures unless you are a Sole Director. The Company must be established in Australia. <ul style="list-style-type: none"> • Companies - CERTIFIED photocopy of a passport or an Australian driver licence (both the front and back of the card) AND a Medicare Card of the directors that are signing the standard transfer form.
Trusts with Individual Trustees	Section 2.1 – Individual details (of Trustees) Section 2.3 – Trust/Superannuation Fund Details Section 2.4 – Declaration and Signatures	We require all trustees to sign. The Trust must be established in Australia. Trusts: <ol style="list-style-type: none"> 1. CERTIFIED photocopy of a passport or an Australian driver licence (both the front and back of the card) AND a Medicare Card of the trustees that are signing the standard transfer AND; 2. CERTIFIED photocopy of the trust deed extract showing the trust name, name of trustee/s and signature of trustee/s.
Trusts with Company Trustees	Section 2.1 – Individual details (of Directors) Section 2.2 – Company details Section 2.3 – Trust/Superannuation Fund Details Section 2.4 – Declaration and Signatures	We require minimum 2 signatures unless you are a Sole Director. The Trust must be established in Australia. Trusts: <ol style="list-style-type: none"> 1. CERTIFIED photocopy of a passport or an Australian driver licence (both the front and back of the card) AND a Medicare Card of the trustees that are signing the standard transfer AND; 2. CERTIFIED photocopy of the trust deed extract showing the trust name, name of trustee/s and signature of trustee/s.

Acceptable ID

- Australian Driver Licence (both the front and back of the card); or
- Passport; or
- Birth Certificate.

How should the identification documentation be certified?

For for a list of eligible certifiers and how to certify, please refer to the '[Identification Documentation Requirements](#)' available from our website.

2.1 Additional Individual Details

i Primary seller information will be taken from Section 1 - Transfer Details. Please provide details of any additional seller account holders below.

Additional Individual/Trustee/Director/Secretary 1

☐ Mr ☐ Ms ☐ Mrs ☐ Miss ☐ Dr ☐ Other

First name Middle name/s Surname Date of birth – DD/MM/YYYY / /

Primary telephone number

Residential Address

Street address – *Must be an Australian address – Cannot be a PO Box*

Suburb State Postcode Country

Additional Individual/Trustee/Director/Secretary 2

☐ Mr ☐ Ms ☐ Mrs ☐ Miss ☐ Dr ☐ Other

First name Middle name/s Surname Date of birth – DD/MM/YYYY / /

Primary telephone number

Residential Address

Street address – *Must be an Australian address – Cannot be a PO Box*

Suburb State Postcode Country

Additional Individual/Trustee/Director/Secretary 3

☐ Mr ☐ Ms ☐ Mrs ☐ Miss ☐ Dr ☐ Other

First name Middle name/s Surname Date of birth – DD/MM/YYYY / /

Primary telephone number

Residential Address

Street address – *Must be an Australian address – Cannot be a PO Box*

Suburb State Postcode Country

2.2 Company details

If you are a Company applicant, you must also provide the details of each Director in Section 2.1.

Company name ACN (Australian Company Number) – ### - ### - ###

Residential Address

Street address – *Must be an Australian address – Cannot be a PO Box*

Suburb State Postcode

Country

Postal Address

☐ Same as residential address

Street address

Suburb State Postcode

Country

2.3 Trust/Superannuation Fund Details

Individual/s as trustees operating on the account: you must also provide the details of each Trustee in Section 2.1.

Company as a trustee operating on the account: you must also provide the details of each Director in Section 2.1 and the company details in Section 2.2.

Trust name ABN – *if applicable*

Business name – *of the Trustee of the Trust (if any)*

☐ Super ☐ Deceased Estate ☐ Family ☐ Other, please specify

2.4 Declaration and Signatures

We are required to collect information about you and verify your identity before we can process this transfer.

- I/We understand that my/our personal information will be exchanged with external organisations including credit reporting agencies, Commonwealth and State government departments, independent and private sector organisations and outsourced providers who coordinate the electronic identification process and who may conduct additional matches against public or proprietary databases.
- As part of the electronic identification process, I/we permit these external organisations to record, use and disclose my/our information in accordance with their own privacy policies and legal obligations. I/We understand that you and your outsourced providers will access records held about me/us by these external organisations only for the purpose of matching the identifying information I/we have chosen to provide.
- I/We consent to having electronic identification performed using personal details and identification documents I/we have provided, and understand that providing false or misleading information about my/our identity/s is an offence.
- I/We consent to having my/our personal details and identification documents matched to information held by the issuer or Official Record Holder via third party systems.
- I/We consent to providing my/our name/s, address(es) and date of birth to selected credit reporting agencies to match this information against their records. I/We understand that this is done only for identity verification purposes.

Additional Individual/Trustee/ Director 1 or Secretary

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Additional Individual/Trustee/ Director 2 or Secretary

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Additional Individual/Trustee/ Director 3 or Secretary

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

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 CHES sponsorship arrangements are held directly with AUSIEX.

How to submit your documents

Clients

Please provide your completed and signed form with relevant supporting documents to your adviser.

If you are required to send Original Certified Copies of documents please send via post to:

AUSIEX, Locked Bag 3005, Australia Square NSW 1215

1800 252 351 service@ausiex.com.au ausiex.com.au

Advisers

Lodge this form and all supporting documents
ausiex.com.au > Administration > eSubmit

