

i This form uses JavaScript for optimal performance. Please ensure you have this enabled if completing electronically. Refer to the end of this document for submission instructions, explanatory notes and help.

What you need to know

Use this form to ‘disburse’ (sell or transfer) shares from a deceased estate. Depending on the accounts held within the estate, certain sections of this form will need to be completed, and supporting documentation provided.

Before you start – Mandatory

Before you can proceed with the disbursement of the shares, you must have completed the **Estate Management Notification form** and provided the necessary supporting documentation. You can find this form by visiting our website.

The Estate Management Notification form helps us verify the Estate executors/administrators and solicitors (if applicable) representing the estate. Once verified, we will also provide the portfolio and historical transaction statements, detailing the holdings within the account/s, to help you decide what to do next.

Account type	Forms to complete	Required documentation
Individual – e.g. John Smith	<p>If the portfolio holdings value is less than \$50,000, complete:</p> <p><input type="checkbox"/> Small Estate Indemnity form</p> <hr/> <p>To TRANSFER the estate shares to the beneficial owner/s</p> <p>If transferring to an existing trading account with us, complete:</p> <p><input type="checkbox"/> Internal Bulk Off Market Transfer form (No fees will be charged by us).</p> <p>If transferring to another broker or share registry, complete:</p> <p><input type="checkbox"/> Standard Off Market Transfer form (No fees will be charged by us).</p> <p>If releasing the estate shares to the share registry without changing the beneficial owner, provide:</p> <p><input type="checkbox"/> A written request signed by all executors authorising for the shares to be released to the share registry including confirmation of the new registration address (No fees will be charged by us).</p> <hr/> <p>To SELL the shares</p> <p>If selling all of the broker sponsored holdings, and/or some or all of the Issuer sponsored shares, held within the estate, complete:</p> <p><input type="checkbox"/> Estate Management Trade form</p>	<p>If a certified copy of Probate is provided, the Small Estate Indemnity form is not required.</p> <hr/> <p>If you haven't already, provide the following:</p> <p><input type="checkbox"/> Certified copy of the Death Certificate and</p> <p><input type="checkbox"/> Certified copy of the Last Will and Testament</p> <p>If the holdings are \$50,000 or greater</p> <p>Once you have received the portfolio and historical transaction statements from us, also provide:</p> <p><input type="checkbox"/> Certified copy of a Probate/Letter of Administration (A Probate supersedes the Death Certificate and Last Will)</p>
Joint – e.g. John Smith & Mary Smith	<p>N/A – We will automatically transfer all joint shareholdings (if any) to an existing account or create a new account for the surviving account holder. The joint account will be closed.</p>	<p>If you haven't already, provide the following:</p> <p><input type="radio"/> Certified copy of Death Certificate or</p> <p><input type="radio"/> Certified copy of Probate/Letter of Administration</p>

Account type	Forms to complete	Required documentation
<p>Formal Trust (Family or SMSF Trust) – e.g. John Smith & Mary Smith <Smith Family S/F A/C> For informal trusts e.g. trust for minor, follow the individual or joint account type instructions above.</p>	<p>Continuation of trust If there is a new appointed trustee/s, complete:</p> <p><input type="checkbox"/> A new trading account application, to reflect the amended trust structure. To apply, visit our website.</p> <p>Once the account is opened:</p> <p><input type="checkbox"/> Transfer the estate shares to the new trustee/s by completing a Internal Bulk Off Market Transfer form.</p> <p>From here, the trustees can sell the shares, if required.</p> <p>Dissolving of the trust To transfer the shares to the beneficiaries If transferring to an existing trading account with us, complete:</p> <p><input type="checkbox"/> Internal Bulk Off Market Transfer form (No fees will be charged by us).</p> <p>If transferring to another broker or share registry, complete:</p> <p><input type="checkbox"/> Standard Off Market Transfer form (No fees will be charged by us).</p> <p>To SELL the shares If selling some or all of the broker sponsored holdings held within the estate, complete</p> <p><input type="checkbox"/> Estate Management Trade form</p>	<p>If you haven't already, provide the following:</p> <p><input type="radio"/> Certified copy of the Death Certificate or</p> <p><input type="radio"/> Certified copy of Probate/Letter of Administration</p> <p>Continuation of trust</p> <p><input type="checkbox"/> Most recent certified copy of amended Trust deed (for change of trustee). The amended deed should clearly name the retired and appointed trustees.</p> <p>If you haven't already, provide the following:</p> <p><input type="radio"/> Certified copy of Death Certificate or</p> <p><input type="radio"/> Certified copy of Probate/Letter of Administration</p> <p>Dissolving of the trust</p> <p><input type="checkbox"/> Certified copy of minutes of the meeting (trust winding down) confirming the following:</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Name of surviving trustees of the trust <input checked="" type="checkbox"/> Intention to wind down the trust and intention to transfer or sell the holdings <input checked="" type="checkbox"/> Confirm the death of the trustee <input checked="" type="checkbox"/> Minutes to be signed by all surviving trustees.

i We will unlock the trading account for the estate once disbursement instructions have been received. All shares must be sold or transferred from the trading account for the estate within 3 months of being unlocked, unless signed approval is received from all executors requesting an extension. Please note the maximum extension that can be granted is up to 12 months from the initial unlock date. In the event this does not occur, the holdings may be sold at our discretion to repay any outstanding balance (where applicable), and release the remaining shares to Issuer Sponsored holdings. The executor will need to liaise directly with the share registry to finalise the shareholdings.

Where to send this form and supporting documents

You can email this form and the required documents to: estates@ausiex.com.au. For queries relating to Estates management, please call or email us.

4. Declaration & Signature/s – *This section must be signed and witnessed for your instructions to be executed*

I/We hereby request a transmission/transfer to myself/ourselves as legal representative/s of the estate or to the beneficiaries of the above named deceased without requiring a Grant of Probate/Letters of Administration or a reseal of Grant of Probate/Letters of Administration in the Australian State where the securities are registered.

I/We hereby covenant to indemnify and forever keep indemnified Australian Investment Exchange Limited ABN 71 076 515 930 ("AUSIEX") and its agents, from and against all losses in respect thereof and all claims, actions, proceedings, demands, costs and expenses whatsoever which may be made or brought against it by reason of compliance with this request.

Persons signing this statement should note that the *Corporations Act 2001* imposes severe penalties for making false statements (\$10,000 or imprisonment for 2 years or both) or failing to ensure that a statement is not false or misleading (\$5,000 or imprisonment for 1 year or both).

Executor 1 Name

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Witness 1 Name – Mandatory

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Executor 2 Name

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Witness 2 Name – Mandatory

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Executor 2 Name

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Witness 3 Name – Mandatory

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

i All signatures are required to be original. The witness/es certifies that the person/s who has/have signed this statement is/are known to them and has/have signed in the presence of the witness with their normal signature/s.

What you need to know

Use this form to transfer the ownership of multiple securities from one AUSIEX account to another AUSIEX account.

- Any alterations made to this form must be initialled by both the buyer/s and the seller/s.
- Any increase to the amount of securities being transferred will not be accepted, even if initialled. You will need to complete a new form without amendments to the amount.
- This form is used to transfer a maximum of 8 securities. Please print a separate form to transfer additional securities.
- The transfer of securities 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 securities 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.

Guidelines for completing this form

Section 1: Seller/s Details

Account registration name of seller: The given names and surname of the seller/s.

Deceased estate 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, insert the trustee given names and surname.

If the trustee is a company, insert the company legal name.

¹ For account designation, ensure you insert the name of the Superannuation fund, trust name as per trust deed, or minor's name as per birth certificate.

Registered address: Insert the full address including the postcode exactly as printed on seller's holding statement.

Trading A/C: Insert the trading account number where securities are currently held.

Please ensure that the registration details (name & address) correspond to those registered under the trading account and HIN. Mismatched registration details may result in the transfer being returned to you for clarification.

Holder identification number (HIN): This number can be found on a CHESS holding statement. Failure to include the seller's HIN may result in the transfer being returned to you for clarification.

Contact phone number of seller: Insert the seller's contact phone number/s including area code.

Section 2: Buyer/s Details

Account registration name of buyer: Full names 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. Fund, Trust or Estate names are to be inserted as an account designation.

If the trust or superannuation fund trustee is an individual, insert the trustee given names and surname.

If the trustee is a company, insert the company legal name.

¹ For account designation, ensure you insert name of the Superannuation fund, trust name as per trust deed, or minor's name as per birth certificate.

Registered address: Insert the full address including the postcode exactly as printed on buyer's holding statement.

Trading A/C: Insert the trading account number where securities are currently held.

Please ensure that the registration details (name & address) correspond to those registered under the trading account and HIN. Mismatched registration details may result in the transfer being returned to you for clarification.

Holder Identification Number (HIN): The buyer's HIN, so that any previous holdings may be amalgamated. This number can be found on a CHESS holding statement. Failure to include the buyer's HIN may result in the transfer being returned to you for clarification.

Contact phone number of buyer: Insert the buyer's contact phone number/s including area code.

Section 3: Security Details

Code: The unique trading code of the security used by the Australian Stock Exchange (ASX) (e.g. the ASX code for Woolworths Limited is WOW, etc.).

Security name: The full name of the company or trust in which the securities are held (e.g. Woolworths Limited, etc.).

Units: Number of securities being transferred.

Consideration: The full amount paid in settlement of the transfer of securities. You may set your own consideration.

Date of transfer: Insert date of transfer. 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 of seller and buyer signatures.

Section 4: Signatures

Seller's signature:

Joint holders – all 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.

Deceased estate – all executors should sign and, if not already provided, a certified copy of Probate or Letters of Administration must be sent with the transfer form.

Company – signatures of two directors (or a director and the secretary) or if there is a sole director, signature of that director.

Date signed: Insert the date signed by the seller/s. This should be the same as or after the date of transfer.

Buyer's signature: Same requirements as seller's signature.

Date signed: Insert the date signed by the buyer/s. This should be the same as or after the date of transfer.

1. Seller/s Details

Account registration name (Full name/s, company name or name of estate) – *This must match the registration details exactly*

Account designation¹ – *If applicable for your trust account*

Registered street address – *Must be an Australian address – Cannot be a PO Box*

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

Trading account number	Holder Identification Number (HIN)	Contact number
<input type="text"/>	<input type="text" value="X00"/>	<input type="text"/>

2. Buyer/s Details

Account registration name (Full name/s, company name or name of estate) – *This must match the registration details exactly*

Account designation¹ – *If applicable for your trust account*

Registered street address – *Must be an Australian address – Cannot be a PO Box*

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

Trading account number	Holder Identification Number (HIN)	Contact number
<input type="text"/>	<input type="text" value="X00"/>	<input type="text"/>

Things you need to know

- When completing this form in relation to a deceased estate, the executor/trustee is referred interchangeably as the seller. The beneficiary is known as the buyer.
- Any alterations made to this form must be initialled by both the seller/executor/trustee/s and the buyer/beneficiary/new trustee/s.
- Any increase to the amount of securities being transferred will not be accepted, even if initialled. You need to complete a new form without amendments to the amount.
- The transfer of securities 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 share 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.

Read before proceeding

The following table outlines the types of transfers that can be affected and the process. Please ensure a copy for your records is made prior to submission.

Seller/Executor/Trustee	Buyer/Beneficiary/New Trustee	Process	Charges
Transfer from the deceased's AUSIEX account	Transfer to an existing AUSIEX account	Complete Off Market Transfer form for Estate Management	No fee.
Transfer from the deceased's AUSIEX account	Transfer to an Issuer Sponsored holding	Complete Off Market Transfer form for Estate Management	No fee.
Transfer from the deceased's AUSIEX account	Transfer to another broker's account	Contact the other broker to initiate request	No fee. Note: The other broker may charge you a fee.

Guidelines for completing this form

Section 1 – Seller/Executor/Trustee Details

Full name/s of seller/executor/trustee: Deceased estate should read “(the full names of the executors) as executors of the estate of (name of deceased shareholder)”.

For superannuation fund, family trust, or other trusts, insert the full registration name where the securities are currently held.

Registered address: Insert the full address including the postcode exactly as printed on seller's holding statement.

Contact phone number of seller: Insert the seller's 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. (E.g. Australian Investment Exchange PID 6381).

Trading A/C: Insert the trading account number where securities are currently held (where applicable).

SRN (Securityholder 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.

Section 2 – Buyer/Beneficiary/New Trustee Details

Full name/s of buyer/beneficiary/new trustees: Full names of all buyers (a maximum of 3 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 be 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).

If the trust or superannuation fund trustee is an individual, insert the trustee given names and surname.

If the trustee is a company, insert the company legal name.

¹ For account designation, ensure you insert the name of the Superannuation fund, trust name as per trust deed, or minor's

name as per birth certificate.

Registered address: Insert the full address including the postcode exactly as printed on buyer's holding statement.

Contact phone number of buyer: Insert the buyer's 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. (E.g. Australian Investment Exchange PID 6381).

Trading A/C: Insert the account number where securities are to be held (where applicable).

SRN (Securityholder Reference Number) or HIN (Holder Identification Number): The buyer's SRN or HIN may be inserted, if known, so that any previous holdings can be amalgamated.

Section 3 – Security Details

Security name: The full name of the company or trust in which the securities are held (e.g. Woolworths Limited, etc.).

ASX code: The unique trading code of the security used by the Australian Stock Exchange (ASX) (e.g. the ASX code for Woolworths Limited is WOW, etc).

Description of securities: e.g. Fully Paid Ordinary 50 cent Shares, 9% Unsecured Convertible Notes, etc. This can be found on the certificate or statement.

Units: Number of securities being transferred (in both numbers and words).

Consideration: For Deceased Estates, tick the box provided.

Date of transfer: Insert date of transfer. 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 of seller and buyer signatures.

Section 4 – Signatures

Seller/executor/trustee signature/s:

Under Power of Attorney – if not already noted, a certified copy of the Power of Attorney must be sent with the transfer form.

Deceased estate – all executors should sign and, if not already provided, a certified copy of Probate or Letters of Administration must be sent with the transfer form.

Date signed: Insert the date signed by the seller/s. This should be the same as or after the date of transfer.

Buyer/beneficiary/new trustee signature/s: All account holders of buying account to sign.

Date signed: Insert the date signed by the buyer/s. This should be the same as or after the date of transfer.

1. Seller/Executor/Trustee Details

Full name seller/executor/trustee 1

Full name seller/executor/trustee 2

Full name seller/executor/trustee 3

As Executors of the Estate of:

Registered street address

Suburb

State

Postcode

Country

Executor contact number

PID – *If applicable*

Trading Account Number

Holder Identification Number (HIN)

2. Buyer/Beneficiary/New Trustee Details

Buyer/Account registration name (Full name/s, company name or name of estate) – *This must match the registration details exactly*

Account Designation¹ – *If applicable for your Trust account*

Registered street address

Suburb

State

Postcode

Country

Beneficiary contact number

PID – *If applicable*

Trading account number – *If applicable*

Option A – Transfer to a CHESS sponsored account

Holder Identification Number (HIN)

OR

Option B – Transfer to Share Registry

Securityholder Reference Number (SRN) – *If applicable*

3. Security Details

Security name ASX code

Full description of securities

CLASS – *E.g. fully paid, partly* If not fully paid, paid to

Units in numbers Units in words

Consideration devised in Will? Yes No

Date of transfer – *DD / MM / YYYY* / /

4. Signatures

I/We the registered holder(s) and undersigned Seller(s) for the above consideration do hereby transfer to the above name(s) hereinafter called the Buyer(s) the securities as specified above standing in my/our name(s) in the books of the above named Company, subject to the several conditions on which I/we held the same at the time of signing hereof and I/we the Buyer(s) do hereby agree to accept the said securities subject to the same conditions. 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

19. Full Name

20. Date – *DD / MM / YYYY* / /

Signature – *Must be signed pen to paper*

Seller/Executor/Trustee 2

19. Full Name

20. Date – *DD / MM / YYYY* / /

Signature – *Must be signed pen to paper*

Seller/Executor/Trustee 3

19. Full Name

20. Date – *DD / MM / YYYY* / /

Signature – *Must be signed pen to paper*

Buyer/Beneficiary/New Trustee 1

21. Full Name

22. Date – *DD / MM / YYYY* / /

Signature – *Must be signed pen to paper*

Buyer/Beneficiary/New Trustee 2

21. Full Name

22. Date – *DD / MM / YYYY* / /

Signature – *Must be signed pen to paper*

Buyer/Beneficiary/New Trustee 3

21. Full Name

22. Date – *DD / MM / YYYY* / /

Signature – *Must be signed pen to paper*

What you need to know

- Use this form to sell shares on behalf of a deceased estate. There are 2 options available:

<input type="radio"/>	<p>Option 1 - Sell some or all of the broker sponsored holdings held on the trading account for the estate.</p> <p>If your holding statement begins with the letter 'X' your shares are broker sponsored. If we are not the sponsoring broker, you will need to sell them through the original broker or transfer your shares to us by opening a trading account.</p>
<input type="radio"/>	<p>Option 2 - Sell Issuer Sponsored shares for the estate held at the share registry.</p> <p>Note: this option is only available if the deceased held a trading account with us previously under the same registration details.</p> <p>If your holding statement begins with the letter 'I' your shares are Issuer Sponsored. To sell Issuer Sponsored shares, you must firstly update the registration details with the share registry to include "EST/ESTATE" and update the registered address to match the address of the estate trading account. This must be identical to sell Issuer Sponsored holdings. You will need to contact the share registry to arrange this.</p>

- The personal and contact details provided on this form must match your existing account or proof of identification.
- Brokerage rates apply. Please refer to the Financial Services Guide available on the website to view the brokerage rates.

Important Information

Supporting documentation

The following documentation is required (if not already provided):

If the value of the shares that belong to the estate is less than \$50,000:

- Certified copy of Probate

OR

- Certified copy of Death Certificate **and**
- Certified copy of Last Will and Testament **and**
- Small Estate Indemnity form

If the value of the shares that belong to the estate is \$50,000 or greater:

- Certified copy of Probate

Next steps

Once all the details are verified, the shares will be sold at the prevailing market price as soon as practicable.

Payment can only be credited to an Australian bank account in the name of the estate.

How to correctly certify documents

Each certified photocopy(s) must include the statement (or similar wording):

'I certify that this is a true copy of the original document'.

The certifier must include their full name, signature, date and qualification or occupation which make them eligible. (Refer to 'Identification Documentations Requirements' form found on our website for a full list of acceptable occupations to certify documents)

Best execution policy disclosure

Before you submit your Deceased Estate Trade form request, please take due time to view the Best Execution Client Disclosure document on our website.

General advice warning

Read and accept the Share Trading Terms and Conditions available to download from our website. This form has been prepared without taking account of the objectives, financial situation or needs of any particular individual. For this reason, any individual should, before acting on the information in this form, consider the appropriateness of the information, having regard to the individual's objectives, financial situation and needs and, if necessary, seek professional advice.

Privacy statement

AUSIEX is collecting your personal information in connection with executing your trade transaction. For details of AUSIEX's privacy and information handling practices, including how you may access your information, seek correction of that information and how you may lodge a complaint, refer to our Privacy Policy which is available on our website.

1. Executor/Trustee Details

Executor/Trustee 1 – *Primary contact*

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

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

Other name/s commonly known by – *If applicable*

Executor/Trustee 2

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

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

Other name/s commonly known by – *If applicable*

Executor/Trustee 3

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

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

Other name/s commonly known by – *If applicable*

2. Share Registration Details

Registered Name – *As per the latest Issuer holding statement/s or as listed on trading account*

Registered Address – *As per the latest Issuer holding statement/s or as listed on trading account*

Street address – *Cannot be a PO Box*

Suburb State Postcode

Country

Postal Address – *Address should be that of executor or solicitor*

Street address – *Cannot be a PO Box*

Suburb State Postcode

Country

