Classification: Public

MUFG Corporate Markets (AU) Limited & Pacific Custodians Pty Limited

JOINT FINANCIAL SERVICES GUIDE (FSG)

14 April 2025

MUFG Corporate Markets
A division of MUFG Pension & Market Services

This FSG is designed to assist you in deciding whether to use any of the services covered in this guide. It also contains information about remuneration that may be paid to the financial services licensee, authorised representative and other relevant persons in relation to the services offered, as well as information on how complaints against the financial services licensee and authorised representative are dealt with.

QUESTIONS	ANSWERS
Who are we and how can we be contacted?	This Joint FSG has been prepared, issued, and authorised by: • Pacific Custodians Pty Limited (Pacific Custodians) (ABN 66 009 682 866), Australian Financial Services Licence (AFSL) 295142 (the Authorising Licensee); and • MUFG Corporate Markets (AU) Limited (ABN 54 083 214 537), a Corporate Authorized Representative of Pacific Custodians, Authorized Representative Number 297766 (the Providing Entity). Unless otherwise specified, hereinafter referred to as 'we' 'us'. Pacific Custodians and MUFG Corporate Markets (AU) Limited are related bodies corporate and subsidiaries of MUFG Pension & Market Services. For more information about MUFG Pension & Market Services, please visit: www.mpms.mufg.com We can be contacted via the following details: Address: Liberty Place, Level 41, 161 Castlereagh Street Sydney NSW 2000 Phone: +61 2 82805000 Web: www.mpms.mufg.com
How can you provide instructions to us?	You may provide instructions to us by contacting us using the details set out above. Generally, instructions must be received in writing before we can act on them. In some circumstances you will need to fill out a form and meet the specific requirements of the particular product before we can act on your instructions, in which case we will tell you what forms you need to fill out and how you can obtain them.

QUESTIONS	ANSWERS
What financial services do we provide?	Pacific Custodians is authorised to provide the following financial services: a) Deal in a financial product by: i) issuing, applying for, acquiring, varying, or disposing of a financial product in respect of the following classes of financial products: A) derivatives; B) debentures, stocks or bonds issued or proposed to be issued by a government; C) interests in managed investment schemes excluding: 1) investor directed portfolio services; D) securities; and ii) applying for, acquiring, varying, or disposing of a financial product on behalf of another person in respect of the following classes of products: A) derivatives; B) debentures, stocks or bonds issued or proposed to be issued by a government; C) interests in managed investment schemes excluding: 1) investor directed portfolio services; D) securities; and b) provide the following custodial or depository services: i) operate custodial or depository services other than investor directed portfolio services; to retail and wholesale clients. Pacific Custodians has authorised MUFG Corporate Markets (AU) Limited to provide the above financial services and any other financial services Pacific Custodians is authorised to provide under a valid AFSL from time to time. Financial Services provided by us include: • Share sale services which assist holders of securities in listed entities (whose registers we maintain), to dispose of their holdings; and • Share acquisition services which assist certain holders of securities in listed entities (whose registers we maintain), to acquire additional securities. • Services in relation to employee share and option schemes including sale, acquisition and exercise of unrestricted shares/rights or options. **Services not covered by this FSG.** MUFG Corporate Markets (AU) Limited also provides other services (e.g. registry services, estate administration services and historical research services in listed entities whose registers we maintain). These services are NOT financial services and are NOT covered by this FSG. Pacific Custodians is NOT responsible for other services provided by MUFG Corporate Markets (AU) Limited. For more information about these services, please visit our website www.mpms.mufg.com

QUESTIONS	ANSWERS
What remuneration (including commission) or other benefits, are attributable to the provision of the authorised services?	Pacific Custodians and MUFG Corporate Markets (AU) Limited are remunerated for the financial services provided to you, either directly through the fees charged to you, or indirectly through the fees charged to service providers for providing financial services in relation to their financial products.

Security sale and acquisition services

We charge a fee of 0.99% (inc GST) of the sale value with a minimum of $99.00 (inc GST) to facilitate the sale of securities at the request of individuals.

Amounts payable by the security holder may vary depending on the extent to which the company whose securities are being sold subsidises any applicable fees.

For a security sale, the fees will be deducted from the proceeds of the sale prior to distribution to the beneficiary. For a security acquisition, the fees will be in addition to funds required to complete the acquisition of the securities. Proceeds from the sale of securities are held in client segregated accounts prior to distribution to beneficiaries. Pacific Custodians will be entitled to retain any interest that is earned on monies held in those accounts.

Employee share and option scheme services

Pacific Custodians receives remuneration for acting as trustee and custodian of employee share and option schemes (including ancillary custodial services such as the issue of any new shares under a corporate action or dividend reinvestment scheme). This remuneration is determined by agreement with, and payable by, the issuer of the securities. Generally, no fees or commissions are payable directly by employees entitled to securities or options under a scheme managed by us. If there is a direct fee payable by the employee, it will be set out in the scheme documents provided to employees.

We receive fees for administrative services that we provide in connection with employee share and option schemes, as well as facilitating sales in connection with these schemes.

The fees that we receive vary depending on a number of factors. The exact remuneration for any one transaction is not able to be ascertained at the time this FSG is given. But generally, we may receive a flat rate administration fee and/or a fee based on a percentage of the value of each transaction for the exercise of an option and/or share sale.

You may request the particulars of the remuneration or other benefits for any particular service that we will provide, but that request must be made within a reasonable time after you are given this FSG and in any event, before any financial service is provided.

Where we facilitate a transaction, a brokerage fee is charged which may marginally exceed our negotiated cost with the broker.

No additional remuneration is paid, or benefit provided to:

- the employer of the providing entity;
- the authorising licensee;
- an employee or director of the authorising licensee (other than normal wages and salary of employees);
- associate(s) of any of the above; or
- any other person.

QUESTIONS	ANSWERS
Do any relationships or associations exist which might influence the financial services we provide?	MUFG Corporate Markets (AU) Limited and Pacific Custodians are subsidiaries of MUFG Pension & Market Services. For more information about MUFG Pension & Market Services, please visit: www.mpms.mufg.com. In providing the disclosed services, we use a panel of stockbrokers to facilitate the sale and acquisition of holdings. The decision to use a particular broker is based on a number of factors relating to execution, pricing, and settlement.
What should you do if you have a complaint?	We are committed to providing quality financial services. We have developed a fast and efficient complaints handling procedure to enable us to deal with any complaints you may have about us. In the first instance, all complaints should be made to: Complaints Manager MUFG Corporate Markets (AU) Limited Locked Bag A14, Sydney South NSW 1235 Phone: 1300 365 969 Email: complaints.au@cm.mpms.mufg.com If your complaint is about services covered by this FSG (e.g. share sale and acquisition services) and you are not satisfied with the way your complaint is handled, or with its resolution, then you may be able to lodge a complaint with the Australian Financial Complaints Authority ('AFCA'). AFCA is a free, fair, and independent dispute resolution scheme that considers complaints about financial products and services. AFCA's service is offered as an alternative to tribunals and courts to resolve complaints that consumers and small businesses have with their financial firms. AFCA may be able to assist you to resolve your complaint but will only become involved after you have made first use of our own complaints handling process. You can contact AFCA at: Address: GPO Box 3, Melbourne VIC 3001 Phone: 1800 931 678 Website: www.afca.org.au Email: info@afca.org.au
What compensation arrangements are in place?	We have compensation arrangements in place, including Professional Indemnity (PI) insurance which satisfies the requirements of section 912B of the Corporations Act 2001 (Cth), that covers claims arising from the conduct of representatives and employees including those who no longer work for us, but who did at the time of the conduct.

MUFG Corporate Markets (AU) Limited is an ASX General Settlement Participant and ASX Product Issuer Settlement Participant.

General Advice Warning:
This brochure and any information that you receive from us is prepared without taking account of your objectives, financial situation, or needs. Because of this, it is important for you to consider the appropriateness of any information and/or advice received having regard to your objectives, financial situation, and needs. You should obtain and take into account the relevant disclosure document and consider seeking professional financial, taxation and/or legal advice, before you make any investment decision.

MUFG
MUFG Corporate Markets (AU) Limited
A division of MUFG Pension & Market Services

All Registry communications to:
C/- MUFG Corporate Markets (AU) Limited
A division of MUFG Pension & Market Services
Locked Bag A14
Sydney South NSW 1235 Australia
Email: sharesales@cm.mpms.mufg.com
Website: au.investorcentre.mpms.mufg.com

Company or Trust in which investment is held - THIS MUST BE COMPLETED
(The full name of the Issuer / ASX code in which the securities being sold)

Full Name(s) of Registered Holding
(Enter the given and last names of all securityholder(s) shown on the securityholder documents)

Account Designation

Registered Address
(The actual address that is shown on the securityholder documents)

Postcode

Email Address
(In case we need to contact you for further information)

DECEASED ESTATE SALE AUTHORITY

Please use a BLACK INK and CAPITAL LETTERS when completing this form. Photocopies and faxes cannot be accepted.

Please complete and sign below when you are satisfied that you have read and understood the Terms and Conditions overleaf. Sale proceeds, less a facilitation fee of 0.99% with a minimum of $99.00 (inclusive of GST), will be credited to the bank account you nominate below. Alternatively, you may elect to receive your proceeds by International Money Transfer to an overseas bank account. The securities will be sold on market at the prevailing market price at the time of the sale.

Only complete this form if you wish to sell ALL, or PART of your securities in that are registered in this holding.

Securityholder Reference Number (SRN) – *must be completed for the sale authority to be actioned* → I

I authorise Pacific Custodians Pty Limited to sell the deceased estate's securities as instructed below (select only one option):

☐ Sell **ALL**

or

☐ Sell **PARTIAL** — Please specify the number of securities you wish to sell (if not ALL)

PAYMENT OF SALE PROCEEDS

☐ Credit the net proceeds of the sale into the following Australian bank, building society, credit union or cash management trust account.

Name(s) in which the account is held

BSB Number (Bank/State/Branch)

Account Number

Name of Financial Institution

OR

☐ Credit the net proceeds of the sale via an International Money Transfer to my bank account, as nominated on the accompanying International Money Transfer form / Cross Border Wire Transfer.

SIGNATURE(S) OF EXECUTOR(S)/ADMINISTRATOR(S) – THIS MUST BE COMPLETED

By signing and returning this form, you agree to provide the warranties and acknowledge the Terms and Conditions set out overleaf.

Executor/Administrator (delete one)	Executor/Administrator (delete one)	Executor/Administrator (delete one)

Please provide a contact telephone number where we may reach you during business hours if necessary.

Contact Number

Date / /

INFORMATION AND INSTRUCTIONS FOR COMPLETING THIS FORM

SIGNING INSTRUCTIONS

This form must be signed by the securityholder.

Joint Holders all securityholders must sign.

Power of Attorney if not already noted by the Registry, a certified copy of the Power of Attorney must accompany this form.

Company the form must be executed in accordance with the investor's constitution and the *Corporations Act 2001* (Cth) (or for New Zealand Companies, the *Companies Act 1993*).

TERMS AND CONDITIONS

By signing this form, the person (or persons) specified in the Sale Authority ("Securityholder"):

1. acknowledges and warrants that they have full legal title to the ordinary securities specified overleaf, free from any encumbrance, mortgage, charge or lien;
2. acknowledges that if the Securityholder's holding has changed since the date of this authority, **ALL** of the Securityholder's securities (as at the date this Authority is processed) will be sold under this facility;
3. appoints Pacific Custodians Pty Limited ("Pacific Custodians"), as its agent, and authorises and directs Pacific Custodians, to instruct a Broker to sell the securities on-market on the Australian Securities Exchange (ASX), in accordance with these Terms and Conditions, and to execute all documents and do all acts and things necessary for the preparation and sale of such securities through this facility. The Securityholder acknowledges that Pacific Custodians may aggregate sell orders from other Securityholders into a combined sale batch with the Securityholder's order and arrange the sale of the combined sale batch together as a single parcel or multiple parcels;
4. agrees that the securities may be sold at any time within 8 business days from the receipt of this authority;
5. agrees that where a holding forms part of a deceased estate this form is not deemed to have been received until final completion of the registry's deceased estates process;;
6. agrees that the sale price of the securities will be the market price of the securities, determined by the volume weighted average sale price achieved by the Broker for the sale of the sale batch sold by the Broker under this facility on the day(s) in which the Securityholder's securities are sold. The market price may be different to the closing price appearing in the newspaper or quoted by the ASX on the day that the securities are sold. **Neither Pacific Custodians, the broker nor the Issuer will be liable for the securities not being sold at a specific price;**
7. agrees that the net sale proceeds of the securities (less facilitation fee of 0.99% with a minimum of $99.00 inclusive of GST), will be paid in Australian dollars into the Securityholder's Australian bank account nominated account within 7 business days of the sale batch being sold on the ASX. For Securityholders based overseas, the net sale proceeds of the securities will be paid on the securityholder's local currency via an International Money Transfer (IMT) into the Securityholder foreign bank account nominated on the International Money Transfer/Cross Border Wire Transfer form within 9 business days of the sale batch being sold on the ASX. The Securityholder will not be liable to pay any brokerage or fees for the sale of their shares other than the abovementioned fee payable to Pacific Custodians. Please note, the Securityholder's overseas bank may deduct fees from the net proceeds before crediting the payment into their bank account, and this can result in the Securityholder receiving a lower amount than expected. We cannot control or refund any fees of this nature that are incurred;
8. agrees that the sale is subject to, and that the Securityholder is bound by, the Constitution, rules, regulations, customs and usages of ASX;
9. agrees that they can not withdraw or revoke their authority to have their securities sold once this Sale Authority form is received by Pacific Custodians;
10. agrees that Pacific Custodians is under no obligation to accept any Sale Authority form, whether completed correctly or not, and Pacific Custodians has no liability to the Securityholder other than for the payment of any net sale proceeds determined and payable on the terms set out above (in particular, Pacific Custodians nor the Issuer will not be liable for any direct or indirect loss arising as a consequence of Pacific Custodians not acting on a Sale Authority or not acting on a Sale Authority at any particular time);
11. agrees that if bank account details are provided on this authority, payment of the proceeds will be made by direct credit into that bank account regardless of whether either of the payment options boxes have been ticked;
12. agrees to provide Pacific Custodians with a copy of the Securityholder's recent bank statement, if requested, to confirm their bank account details;
13. agrees that if Pacific Custodians is required to hold the net sale proceeds for a period of time, (in the event of the Electronic direct credit details not being correct or other similar circumstances outside Pacific Custodians control), no interest will be paid, nor Pacific Custodians will be responsible for a repurchase of the securities;
14. acknowledges that neither Pacific Custodians **nor the Issuer** has given the Securityholder any investment advice or made any securities recommendations relating to the sale of the securities; and
15. acknowledges that the Securityholder has received Pacific Custodians Financial Services Guide which was sent to the Securityholder with this Sale Authority; and
16. agrees that if the Securityholder constitutes more than one person these terms and conditions bind them jointly and severally.

We recommend that you obtain advice from your financial adviser before making a decision as to whether to direct to us to sell your securities under this facility.

Pacific Custodians Pty Ltd is a wholly subsidiary of MUFG Corporate Markets (AU) Limited.

If you require information on how to complete this form please contact MUFG Corporate Markets on 1300 554 474 (within Australia) or +61 2 8280 7111 (outside Australia).

Personal Information Collection Notification Statement: MUFG Pension & Market Services ("MPMS") advises that your personal information is collected by MPMS organisations for the administration of your investment as required or permitted by the *Corporations Act 2001* (Cth) and other legislation. Some or all of your personal information may be disclosed to contracted third parties, or related MPMS companies in Australia and overseas. Your information may also be disclosed to Australian government agencies, law enforcement agencies and regulators, or as required under other Australian law, contract, and court or tribunal order. For further details about our personal information handling practices, including how you may access and correct your personal information and raise privacy concerns, visit our website at www.mpms.mufg.com for a copy of the MPMS privacy policy, or contact us by phone on +61 1300 554 474 to request a copy.

How to complete the AML/CTF
Investor Identification Information Form

PACIFIC CUSTODIANS

In accordance with the Australian *'Anti Money Laundering and Counter Terrorism Financing Act 2006 (Cwlth)',* organisations that provide specified financial services must carry out identification procedures commonly known as 'Know your Customer' or KYC to verify the identity of the customer. This requirement applies equally to individuals and non-individuals and extends in some circumstances to beneficial owners and controlling persons. Customers requesting a designated service will be asked to provide personal information as well as providing identification evidence.

Which type of investor are you and which section of the form should you complete?

The amount of information you need to provide depends upon your Investor type. You need only complete the section(s) of the form that relate to your particular Investor type and circumstances, as follows:

Investor Type	Form
Individual	Individual (Complete one form for each joint individual holder)
Individual Minor	Individual Minor (Complete one form for each joint individual minor holder or account designation held for one or more minors.)
Deceased	Deceased (Complete the deceased individual form) Surviving joint individual (Complete the individual form) Surviving joint company (Complete the company form) Trust (Complete the trust form for the trust)
Company (foreign or domestic)	Company (Complete the company form for each company)
Trust (super fund, family trust, managed investment scheme etc)	Trust (Complete the trust form for each trust. If the trust has a corporate trustee, also complete the company form)

What do you need to do?

1. Complete the appropriate form or forms for your Investor Type by typing it, or handwriting in blue or black pen ink. Do not use correction fluid/tape or pencil. Please initial all corrections. Complete one form for each Investor.
2. **Include originally certified copies** of identity documents as specified on each form or provide details to allow for eVerification of identity. A list of people who can certify documents is on the other side of this page. **Do not** send original documents as they may get lost. Certified copies of documents will not be returned to you.
3. Each Acting Authority/Authorised Representative e.g. Agent, Power of Attorney, Guardian etc. acting on behalf of an Individual Investor must identity themselves and provide supporting documentation.
4. Attach all of the relevant documents to the front of the transfer, transmission, sale authority form, or application form and mail to:

   MUFG Corporate Markets (AU) Limited
   Registry Operations – AML/CTF Processing
   Locked Bag A14
   SYDNEY SOUTH NSW 1235
   AUSTRALIA

Identification documents and eVerification (electronic verification of identity)

MUFG Corporate Markets can verify the identity of Australian and New Zealand individuals electronically using government issued identity documents such as passports and driver's licences. If you consent to your identity being verified electronically, complete the identity documents section on the form for your investor type(s). It is important that we receive all of the completed forms and identity document details or we may not be able to verify your identity. Please choose option 1, 2 or 3 in the Identification Documents section of each form you complete. If you are unable to provide the requested identity documents, please contact us for a list of alternatives that we can accept.

Who can certify identity documents for you?

'Certified' means a document has been certified as a true copy of a complete original document ('certified copy'); or a true copy of some of the information contained in a complete original document ('certified extract').

The following persons are authorised to certify documents under the AML/CTF Rules (Chapter 1, Part 1.2 "**certified copy**").

1. A person who, under a law in force in a State or Territory, is currently licensed or registered to practice in an occupation listed in Part 1 of Schedule 1 of the *Statutory Declarations Regulations 2023;*
2. A person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described);
3. A person listed in Part 2 of Schedule 1 of the *Statutory Declarations Regulations 2023.* For the purposes of these Rules, where Part 2 uses the term '5 or more years of continuous service', this should be read as '2 or more years of continuous service';
4. An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more years of continuous service with one or more licensees

5. An officer with, or a credit representative of, a holder of an Australian credit licence, having 2 or more years of continuous service with one or more licensees
6. A person in a foreign country who is authorised by law in that jurisdiction to administer oaths or affirmations or to authenticate documents [such as: a notary public of JP].
7. In addition, MUFG Corporate Markets will accept certifications from a person in a foreign country who holds an equivalent role in the foreign country to a person in Australia, specified in Parts 1 and 2 below.

In the following lists items 1 to 17 (Part 1) and items 1 to 40 (Part 2) are extracted from Schedule 2 of the *Statutory Declarations Regulations 2023.*

Certified documents will **not be** returned to the customer.

Part 1 - Occupations

Item	Foreign Equivalent	Occupations
1		Architect
2		Chiropractor
3		Dentist
4		Financial adviser or financial planner
5	✓	Legal practitioner
6	✓	Medical practitioner
7		Midwife
8		Migration agent registered under Division 3 of Part 3 of the Migration Act 1958
9		Nurse
10		Occupational therapist
11		Optometrist
12		Patent attorney
13		Pharmacist
14		Physiotherapist
15		Psychologist
16		Trade marks attorney
17		Veterinary surgeon

Part 2 Other persons

Item	Foreign Equivalent	Person
1		Accountant who is: (a) a fellow of the National Tax Accountants' Association; or (b) a member of any of the following: (i) Chartered Accountants Australia and New Zealand; (ii) the Association of Taxation and Management Accountants; (iii) CPA Australia; (iv) the Institute of Public Accountants
2		Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
3		APS employee engaged on an ongoing basis with 5 or more years of continuous service who is not specified in another item of this Part
4	✓	Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955)
5	✓	Bailiff
6		Bank officer with 5 or more continuous years of service
7		Building society officer with 5 or more years of continuous service
8		Chief executive officer of a Commonwealth court
9	✓	Clerk of a court
10	✓	Commissioner for Affidavits
11	✓	Commissioner for Declarations
12		Credit union officer with 5 or more years of continuous service
13		Employee of a Commonwealth authority engaged on a permanent basis with 5 or more years of continuous service who is not specified in another item in this Part
14	✓	Employee of the Australian Trade and Investment Commission who is: (a) in a country or place outside Australia; and (b) authorised under paragraph 3(d) of the Consular Fees Act 1955; and (c) exercising the employee's function at that place

15	✓	Employee of the Commonwealth who is:
		(a) at a place outside Australia; and
		(b) authorised under paragraph 3(c) of the Consular Fees Act 1955; and
		(c) exercising the employee's function at that place
16		Engineer who is:
		(a) a member of Engineers Australia, other than at the grade of student; or
		(b) a Registered Professional Engineer of Professionals Australia; or
		(c) registered as an engineer under a law of the Commonwealth, a State or Territory; or
		(d) registered on the National Engineering Register by Engineers Australia
17		Finance company officer with 5 or more years of continuous service
18		Holder of a statutory office not specified in another item of this Part
19	✓	Judge
20	✓	Justice of the Peace
21	✓	Magistrate
22	✓	Marriage celebrant registered under Subdivision C of Division 1 of Part IV of the Marriage Act 1961
23		Master of a court
24	✓	Member of the Australian Defence Force who is:
		(a) an officer; or
		(b) a non commissioned officer within the meaning of the Defence Force Discipline Act 1982 with 5 or more years of continuous service; or
		(c) a warrant officer within the meaning of that Act
25		Member of the Australasian Institute of Mining and Metallurgy
26		Member of the Governance Institute of Australia Ltd
27	✓	Member of:
		(a) the Parliament of the Commonwealth; or
		(b) the Parliament of a State; or
		(c) a Territory legislature; or
		(d) a local government authority
28	✓	Minister of religion registered under Subdivision A of Division 1 of Part IV of the Marriage Act 1961
29	✓	Notary public, including a notary public (however described) exercising functions at a place outside:
		(a) the Commonwealth; and
		(b) the external Territories of the Commonwealth
30		Permanent employee of the Australian Postal Corporation with 5 or more years of continuous service who is employed in an office providing postal services to the public
31		Permanent employee of:
		(a) a State or Territory or a State or Territory authority; or
		(b) a local government authority;
		with 5 or more years of continuous service, other than such an employee who is specified in another item of this Part
32		Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made
33	✓	Police officer
34	✓	Registrar, or Deputy Registrar, of a court
35		Senior executive employee of a Commonwealth authority
36		Senior executive employee of a State or Territory
37		SES employee of the Commonwealth
38		Sheriff
39		Sheriff's officer
40		Teacher employed on a permanent full time or part time basis at a school or tertiary education institution

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DECEASED INDIVIDUAL
Investor Identification Information Form

PACIFIC CUSTODIANS

Issuer Details

Issuer Name (Share company or trust in which you hold securities e.g. Westpac)

Security Code/Description

Section 1 – to be completed by all Investors.

Section 1 Deceased Individual Identification Details

First Name

Middle Name(s)

Surname/Family Name

Date of Birth DD / MM / YYYY

Residential Street Address (Do not use a PO Box or C/- Address)

Suburb/Town/City

State/Territory/County/Region

Post/Zip code

Country (if not Australia)

Other Names known by (Alias, Anglicised or short-name if reflected as such in the register)

Primary Occupation or Business Activity or Industry Sector

Country of Residency (other than Australia)

Country of Citizenship (other than Australia)

Source of wealth and funds used to purchase/acquire this product (e.g. Income, Investments, Savings, Inheritance, Sale of Assets, Loan etc.) Provide details

Date of Death DD / MM / YYYY

Section 2 – to be completed by a person authorised to Act for the Individual.

Section 2 Authorised Representative or Acting Authority

Full Name of person acting on behalf of the Deceased Individual

Date of Birth DD / MM / YYYY

Residential Street Address (Do not use a PO Box or C/- Address)

Date Appointed as Representative or Authority DD / MM / YYYY

- ☐ I have attached a certified copy of my drivers licence, passport or other photo Id which confirms my details above and contains my signature; OR
- ☐ I have provided details of 2 identity documents from Appendix A and consent to eVerification of my identity; and
- ☐ I have attached a certified copy of my authorisation to Act on behalf of the Deceased Individual; or
- ☐ I have attached a copy of the authority signed by the Executor/Administrator/Next of Kin(s) appointing me as his/her/their legal representative in matters relating to this deceased estate; and
- ☐ I have attached a certified copy of the death certificate.

- ☐ Surviving joint holder
- ☐ Next of Kin
- ☐ Executor/Administrator
- ☐ Legal Representative

Please **DO NOT** attach original documents. Send only certified copies of original documents. Documents will not be returned.

Tick ✓	Authorisation to Act
	Grant of Probate
	Letters of Administration
	Will (Only required if Probate or Letters of Administration have not been obtained. Full Will is not required - only send signing page and the first page specifying name of deceased and the appointment of executor/s)
	Statutory Declaration - Next of Kin (go to MPMS website at www.au.investorcentre.mpms.mufg.com to download form, if required)
	Legal representative authority to act for Executor, Administrator or Next of Kin

Section 3 – to be completed by all Investors.

Section 3 Identification Documents

Please complete either Option 1, Option 2 or Option 3 and attach the applicable document(s). Please **DO NOT** attach original documents. If you select option 2 or 3, send only **certified copies** of original documents. Documents will not be returned.

Option 1 – eVerification - Please complete Appendix A for each individual

Option 2 – Please attach at least 1 document

Tick ✓	Primary photographic identity document (certified)
	Drivers Licence (Not expired)
	Australian Passport (current or expired in the last 2 years)
	International Travel Document – foreign passport (Not expired)
	Proof of Age Card (Not expired)
	National Identity Card (Not expired)

Option 3 – Please attach 1 primary non-photographic document and 1 secondary non-photographic document (certified); OR 2 primary non-photographic documents (certified)

Tick ✓	Primary non-photographic identity document;
	Australian Birth Certificate or Extract of Birth
	Australian Citizenship Certificate
	Foreign Citizenship Certificate
	Foreign Birth Certificate
	A Commonwealth of Australia Pension card or Healthcare card
Tick ✓	**Secondary non-photographic identity document** (If you don't have any or all of these secondary documents, contact MUFG Corporate Markets for a list of other acceptable documents)
	A financial benefit notice issued by the Commonwealth, State or Territory within the last 12 months
	An income tax assessment notice issued within the last 12 months
	A local government notice (e.g. council rates) or utilities notice (e.g. power, gas or phone bill) issued within the last 3 months

All foreign language documents must be accompanied by an English translation prepared by an accredited translator

Investors signature or authorised representative

✍ --

Date

DD / MM / YYYY

MUFG

APPENDIX A

PACIFIC CUSTODIANS

eVERIFICATION OF IDENTITY

Company Details

If the seller is an Australian company registered with ASIC or a New Zealand Company registered with the New Zealand Companies Office, provide the following information about the entity to enable eVerification:

ACN or NZBN ☐ ☐☐☐ ☐☐☐ ☐☐☐ ☐☐☐   Licence number if regulated by ASIC e.g. AFSL: ________

Option 1 – eVerification of Individual Sellers or Authorised Representative, or Company Director/Secretary

Tick ✓ Below	Primary identity document of each Individual seller(s) or Authorised Representative, or Director/Secretary of a Company signing this transfer form

Full Name - Individual 1, Authorised Representative or Director of a Company

Residential Street Address

Suburb/Town | State/Territory | Post Code / Zip Code

Country (if not Australia) | Date of Birth DD/MM/YYYY: DD / MM / YYYY

☐ I confirm that I am authorised to provide the personal details presented and I consent to the information being checked with the document issuer or official record holder via third party systems for the purpose of confirming identity.

Select 2 choices

Group 1

Select at least one option and complete the document details below exactly as shown on the document.

- ☐ Australian passport
- ☐ New Zealand passport
- ☐ Australian driver's licence issued by a state or territory
- ☐ New Zealand driver's licence
- ☐ Australian ImmiCard
- ☐ New Zealand birth certificate
- ☐ Australian birth certificate (must match your name in the register) See important notes overleaf **
- ☐ New Zealand citizenship certificate

State/Territory of Issue | Document Number: e.g. DL number | Expiry or Issue Date: DD / MM / YYYY

Other information

Note: For a drivers licence, please provide both the DL card number and DL number.

Group 2

Select at least one option and complete the document details below exactly as shown on the document.

- ☐ Medicare card Ref. Nbr:_________
  - ☐ Green ☐ Blue ☐ Yellow
- ☐ Centrelink Pension Card or Healthcare Card
- ☐ Australian Electoral Roll (AEC)

State/Territory of Issue | Document Number: e.g. Medicare number | Expiry or Issue Date: DD / MM / YYYY

Other information

Full Name - Individual 2, Authorised Representative or Director of a Company

Residential Street Address

Suburb/Town | State/Territory | Post Code / Zip Code

Country (if not Australia) | Date of Birth DD/MM/YYYY: DD / MM / YYYY

☐ I confirm that I am authorised to provide the personal details presented and I consent to the information being checked with the document issuer or official record holder via third party systems for the purpose of confirming identity.

Select 2 choices

Group 1

Select at least one option and complete the document details below exactly as shown on the document.

- ☐ Australian passport
- ☐ New Zealand passport
- ☐ Australian driver's licence issued by a state or territory
- ☐ New Zealand driver's licence
- ☐ Australian ImmiCard
- ☐ New Zealand birth certificate
- ☐ Australian birth certificate (must match your name in the register) See important notes overleaf **
- ☐ New Zealand citizenship certificate

State/Territory of Issue | Document Number: e.g. DL number | Expiry or Issue Date: DD / MM / YYYY

Other information

Note: For a drivers licence, please provide both the DL card number and DL number.

Group 2

Select at least one option and complete the document details below exactly as shown on the document.

- ☐ Medicare card Ref. Nbr:_________
  - ☐ Green ☐ Blue ☐ Yellow
- ☐ Centrelink Pension Card or Healthcare Card
- ☐ Australian Electoral Roll (AEC)

State/Territory of Issue | Document Number: e.g. Medicare number | Expiry or Issue Date: DD / MM / YYYY

Other information

If there are more than 2 individuals signing this form, then copy this page and complete Appendix A for the other individuals.

Individual or authorised person's signature ✍ --

Date: DD / MM / YYYY

Individual or authorised person's signature. ✍ --

Date: DD / MM / YYYY

Identification sources – you may choose one (1) source each from group 1 and group 2 OR you may choose two (2) sources from group 1. We are unable to accept only group 2 sources for eVerification.

Document number means the registration number of the document. This will typically be the driver's licence number, passport number, Medicare card number or birth certificate registration number etc.

**** Important notes about birth certificates:**

Only A.C.T. birth certificates issued from 1930 onwards can be verified electronically. If you were born in the A.C.T. before 1930 either select a different group 1 identification source or provide a certified copy of your birth certificate and also choose a group 2 identification source. For A.C.T. birth certificates issued between 1930 and May 2002, provide the **registration number** and also the **certificate issue date** e.g. 21 Jan 1963 using the 'Expiry or Issue Date' field. For A.C.T. birth certificates issued after May 2002, provide the **registration number** and **certificate issue date** <u>and</u> also provide the **certificate number** using the 'Other Information' field.

For N.S.W. birth certificates provide the **registration number** and the **registration year** e.g. 1952 using the 'Expiry or Issue Date' field.

For N.T. birth certificates provide the **registration number** and the **certificate issue date** e.g. 21 Jan 1963 using the 'Expiry or Issue Date' field <u>and</u> if your N.T. birth certificate was issued from 1999 onwards, also provide the **certificate number** using the 'Other Information' field.

For QLD birth certificates, provide the **registration number** and the **registration date** using the 'Expiry or Issue Date field above.

For S.A. birth certificates provide the **registration number** and the **certificate issue date** e.g. 21 Jan 1963 using the 'Expiry or Issue Date' field <u>and</u> also provide the **certificate number** (if any) in the 'Other Information' field. Typically, more recent S.A. birth certificates issued on multi-coloured or light blue paper will have a certificate number.

For TAS birth certificates provide the **registration number** and the **registration year** e.g. 1952 using the 'Expiry or Issue Date' field.

For VIC birth certificates provide the **registration number** and the **registration year** e.g. 1952 using the 'Expiry or Issue Date' field.

Only W.A. birth certificates issued from 1930 onwards can be verified electronically. If you were born in W.A. before 1930 either select a different group 1 identification source or provide a certified copy of your birth certificate and also choose a group 2 identification source. For W.A. birth certificates issued from 1930 onwards, provide the **registration number** and the **registration year** e.g. 1952 using the 'Expiry or Issue Date' field <u>**and**</u> provide the **registration district** noted on birth certificates typically issued between 1930 and 1983 using the 'Other Information' field.

All Registry communications to:
MUFG Corporate Markets (AU) Limited
A division of MUFG Pension & Market Services
Locked Bag A14
Sydney South NSW 1235 Australia
Email: forms@cm.mpms.mufg.com
Website: au.investorcentre.mpms.mufg.com

Company or Trust in which investment is held – THIS MUST BE COMPLETED
(The full name of the Share Company or Trust in which the securities being transferred are held)

Full Name(s) of Registered Holding
(Enter the given and last names of all securityholder(s) shown on the securityholder documents)

Account Designation

Registered Address
(The actual address that is shown on the securityholder documents)

Postcode

Securityholder Reference Number (SRN)

A STATUTORY DECLARATION AND INDEMNITY NEXT OF KIN

Please complete this form in BLACK INK using capital letters. Photocopies will not be accepted.

1. Description of Securities (Shares, Options, etc) — Number of Securities held

I/We do solemnly and sincerely declare that I/We wish to make the following declaration under the *Statutory Declaration Act 1959*.

2. I/We am/are the next of kin entitled to apply for Letters of Administration of the estate of the registered holder of the securities detailed above.
3. The above named securityholder to the best of my/our knowledge and belief, died without leaving a will and no grant of representation of the estate of the deceased has been for or made and no application for such grant will be made.
4. All claims against the estate have been made.
5. I/We hereby request that the securities be registered in my/our name(s) and address as detailed below.
6. Full Name(s) of Next of Kin
7. Address to be recorded on the Register. Only one address can be shown.

Unit Number/Level — Street Number — Street Name or Post Office Box (if applicable).

Suburb/Town — State — Post Code

In consideration of the company permitting me/us to deal with the securities now registered in the name of the deceased without a grant of Probate or Letters of Administration, I/we hereby undertake to indemnify and keep indemnified the company, the directors and trustees of the company, MUFG Corporate Markets (AU) Limited and the directors and officers of MUFG Corporate Markets (AU) Limited 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 them by reason of compliance with this request and undertake to apply for a grant of Probate or Letters of Administration if and when called upon to do so.
I/we understand that a person who intentionally makes a false statement in a statutory declaration is guilty of an offence under section 11 of the *Statutory Declaration Act 1959* and I/we believe that the statements in this declaration are true in every particular.

B SIGNATURE OF NEXT OF KIN – THIS MUST BE COMPLETED

Next of Kin		Next of Kin	
Declared at		In the State of	
Before me		Title	
Signature		Date	/ /

HOW TO COMPLETE THIS FORM

A **Statutory declaration and indemnity next of kin**
Enter the following in the spaces provided.

1. A brief description of the type of security eg. fully paid; stapled securities etc and the number held in figures.

2-5 Nothing to complete.

6. Full name(s) of the Next of Kin.

7. Address of Next of Kin. Only one address.

Important notice: If the holding is a broker sponsored holding in CHESS, do not send this completed form to MUFG Corporate Markets. You must contact the sponsoring broker.

B **Signature** – The next of kin(s) must sign and declare the statements therein before a prescribed witness such as a Justice of the Peace.

Personal Information Collection Notification Statement: MUFG Pension & Market Services ("MPMS") advises that your personal information is collected by MPMS organisations for the administration of your investment as required or permitted by the *Corporations Act 2001* (Cth) and other legislation. Some or all of your personal information may be disclosed to contracted third parties, or related MPMS companies in Australia and overseas. Your information may also be disclosed to Australian government agencies, law enforcement agencies and regulators, or as required under other Australian law, contract, and court or tribunal order. For further details about our personal information handling practices, including how you may access and correct your personal information and raise privacy concerns, visit our website at https://www.mpms.mufg.com for a copy of the MPMS privacy policy, or contact us by phone on +61 1300 554 474 to request a copy.

MUFG

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Website: au.investorcentre.mpms.mufg.com

Company or Trust in which investment is held – THIS MUST BE COMPLETED
(The full name of the Share Company or Trust in which the securities being transferred are held)

Full Name(s) of Registered Holding
(Enter the given and last names of all securityholder(s) shown on the securityholder documents)

Account Designation

Registered Address
(The actual address that is shown on the securityholder documents)

Postcode

Securityholder Reference Number (SRN)

A SMALL ESTATE STATEMENT AND INDEMNITY

Please complete this form in BLACK INK using capital letters. Photocopies will not be accepted.

1. Description of Securities (Shares, Options, etc)

2. Number of Securities held

I/We do solemnly and sincerely declare I am/we are the legal representative(s) for the above deceased estate.

3. Full name(s) of Executor(s) or Administrator(s)

4. Address of Executor(s) or Administrator(s). Only one address can be recorded.

Unit Number/Level | Street Number | Street Name

Suburb/Town | State | Post Code

5. I/We request the security issuer to permit transmission of the securities detailed above to ourselves as legal representative(s) of the estate without requiring a Grant of Probate or Letters of Administration or reseal of grant of probate to be obtained in the state of:

(Australian State or Territory where the securities are registered)

In consideration of the security issuer registering the securities in my/our name(s) I/We hereby covenant to indemnify and forever keep indemnified the security issuer, the directors and the trustees of the security issuer, the security registrar and the directors and officers of the security registrar 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 them by reason of compliance with this request.

6. Contact Name | Telephone Number (Business Hours) | Telephone Number (After Hours)

B SIGNATURE(S) OF EXECUTOR(S)/ADMINISTRATOR(S) – THIS MUST BE COMPLETED

Executor/Administrator (delete one)	Executor/Administrator (delete one)	Executor/Administrator (delete one)
Witness	Witness	Witness

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).

Date: / /

HOW TO COMPLETE THIS FORM

A **Small estates statement and indemnity.** Enter the following in the spaces provided:

1. A brief description of the type of securities eg. shares, options etc.
2. The number of securities held in figures.
3. The full name(s) of all Executor(s) or Administrator(s).
4. The address details to be entered on the register. Please note that only one address can be recorded. This should be the address for the delivery of all future correspondence.
5. The Australian State or Territory where the securities are registered.
6. A contact name and telephone number of a person in the event that the registry has a query regarding this form.

Important notice: If the holding is a broker sponsored holding in CHESS, do not send this completed form to MUFG Corporate Markets. You must contact the sponsoring broker to lodge a Small Estates Statement and Indemnity.

B **Signature –** All Executor(s)/Administrator(s) must sign in the presence of a witness who is known to them.

Personal Information Collection Notification Statement: MUFG Pension & Market Services ("MPMS") advises that your personal information is collected by MPMS organisations for the administration of your investment as required or permitted by the *Corporations Act 2001* (Cth) and other legislation. Some or all of your personal information may be disclosed to contracted third parties, or related MPMS companies in Australia and overseas. Your information may also be disclosed to Australian government agencies, law enforcement agencies and regulators, or as required under other Australian law, contract, and court or tribunal order. For further details about our personal information handling practices, including how you may access and correct your personal information and raise privacy concerns, visit our website at https://www.mpms.mufg.com for a copy of the MPMS privacy policy, or contact us by phone on +61 1300 554 474 to request a copy.

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Website: au.investorcentre.mpms.mufg.com

Full Name(s) of Registered Holding

Account Designation

Registered Address

Postcode

Securityholder Reference Number (SRN) Or Holder Identification Number (HIN)

A ADDRESS CHANGE NOTIFICATION ADVICE

Please use a BLACK pen. Print CAPITAL letters inside the shaded areas.

A B C   1 2 3

This form is for use by Issuer Sponsored holders only. Broker sponsored holders must contact their sponsoring broker to arrange for changes to be made to their registration details. MUFG Corporate Markets reserves the right to format the address in accordance with Australia Post address standards.

I/we request that the registered address of this holding be changed to the following:

New Address Details

PO Box/RMB/Locked Bag/Care of (c/-)/Property name/Building name (if applicable)

Unit Number/Level

Street Number

Street Name

Suburb/Town

State

Post Code

Country

B SIGNATURE(S) OF SECURITYHOLDER(S) – THIS MUST BE COMPLETED

Securityholder 1 (Individual)

Sole Director and Sole Company Secretary/Director (delete one)

Joint Securityholder 2 (Individual)

Director/Company Secretary (delete one)

Joint Securityholder 3 (Individual)

Date ____/____/____

Signing Instructions: This form should be signed by the securityholder. If a joint holding, all securityholders should sign. If signed by the securityholder's attorney, the power of attorney must have been previously noted by the registry or a certified copy attached to this form. If executed by a company, the form must be executed in accordance with the company's constitution and the *Corporations Act 2001* (Cth) (or for New Zealand companies, the *Companies Act 1993*).

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Deceased Estate Checklist

Individual Account: Please complete the relevant scenario 1/2/3/4

Scenario 1: Probate (Australian or Reseal of Foreign Probate)

- [ ] Australian Probate or Reseal of Foreign Probate – Wet ink certified copy
- [ ] 121A certificate for probate granted in South Australia – Wet ink certified copy
- [ ] ID documents of executor/administrator
- [ ] Section 1071B Statement
- [ ] Transmission form **OR** Transfer form **OR** Share Sale form (inc. AML form)

Scenario 2: Will (only if holdings are each below threshold*)

Exception: foreign probate can be accepted in lieu of death cert and will

- [ ] Death Cert – Wet ink certified copy
- [ ] Will – Wet ink certified copy
- [ ] ID docs of executor/administrator
- [ ] Small Estate Statement & Indemnity Form
- [ ] Transmission form **OR** Transfer form **OR** Share Sale form (inc. AML form)

Scenario 3: Intestate (any holdings above threshold*)

- [ ] Letters of Administration (LoA) – Wet ink certified copy
- [ ] 121A certificate for LoA granted in South Australia – Wet ink certified copy
- [ ] ID docs of executor/administrator
- [ ] Section 1071B Statement
- [ ] Transmission form **OR** Transfer form **OR** Share Sale form (inc. AML form)

Scenario 4: Intestate (only if holdings are each below threshold*)

- [ ] Death Cert – Wet ink certified copy
- [ ] ID docs of executor/administrator
- [ ] Statutory Declaration & Indemnity Next of Kin Form
- [ ] Small Estate Statement & Indemnity Form
- [ ] Transmission form **OR** Transfer form **OR** Share Sale form (inc. AML form)

Issuer	*Threshold
Standard Issuers	$15,000
WBC - Westpac Banking Corporation	$25,000
DNL – Dyno Nobel Limited	$30,000
BEN – Bendigo & Adelaide Bank Limited	$50,000
WOW - Woolworths Group Limited	$50,000
CBA - Commonwealth Bank of Australia	$75,000
NST - Northern Star Resources Limited	$75,000

Joint Account: Please complete the relevant scenario A/B

Scenario A: All account holders are deceased

- [ ] Last surviving joint holder: Please refer to **Individual Account** and complete the relevant scenario 1/2/3/4
- [ ] All other deceased joint holders: Death Cert – Wet ink certified copy

Scenario B: Joint Account – reissue to surviving joint holder

- [ ] Death Cert – Wet ink certified copy
- [ ] Enduring Power of Attorney – Wet ink certified copy (if applicable)
- [ ] ID documents of joint survivor – Only if intent is to sell the shares
- [ ] Transmission form **OR** Share Sale form (inc. AML form)