

How to complete the Deceased Estate Transfer / Transmission Application Form

To minimise the risk of fraud, MUFG Corporate Markets has implemented a securityholder verification procedure for all off-market transfers / transmissions of ASX listed securities.

Proof of Identity for all Executors/Administrators

Evidence will need to be provided with each transfer / transmission form to confirm the identity of the Executors/Administrators as the current owner of the securities to be transferred / transmitted. The beneficiary(s) of the securities may also be required to provide identification to comply with the Know your Customer (KYC) requirements of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF). If you are unsure, please call us on **1300 554 474** for further information.

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, driver's licences and Medicare Card. If you consent to your identity being verified electronically, complete the identity documents section on the back of the attached transfer form at Section F.

Please choose either Option 1, 2 or 3. If you select option 2 or 3, send us a certified copy of the applicable identity document(s). Please DO NOT attach original documents as documents will not be returned. Proof of Identity documents will not be held on file and must be provided with each lodgement. If you are unable to provide the requested identity documents, please contact us for a list of alternatives that we can accept.

Option 1 – eVerification of Identity. Please complete section F on the transfer form

Option 2 – Please attach at least 1 document

Primary photographic identity document (Certified)
Drivers Licence (not expired)
Australian Passport (that has not expired more than 2 years ago)
International Travel Document – foreign passport (not expired)
Australian State or Territory Proof of Age Card or Identity Card (not expired)
Foreign National Identity Card (not expired)

Option 3 – Please attach at least 1 primary non-photographic document and 1 secondary non-photographic document.

Alternatively, attach 2 Primary non-photographic identity documents

Primary non-photographic identity document (Certified)
Australian Birth Certificate or Extract of Birth including an Abridged Birth Certificate or a NSW Birth Card (please provide full birth certificate for a minor)
Australian Citizenship Certificate
Foreign Citizenship Certificate
Foreign Birth Certificate (please provide full birth certificate for a minor)
A Centrelink Pension card or Centrelink Healthcare card
Secondary non-photographic identity document which contains the person's name and residential street address (Certified)
A financial benefit notice issued by a Commonwealth, State or Territory agency within the last 12 months (benefit information blacked-out)
An income tax assessment notice issued within the last 12 months (TFN, income and tax information blacked-out)
A local government notice (e.g. council rates) or utilities notice (e.g. power, gas or phone bill) issued within the last 3 months
A Medicare or Private Health Insurance refund notice issued within the last 3 months (medical practitioner information blacked-out)
An insurance policy for a house, property, home contents or motor vehicle issued within the last 12 months
A vehicle registration notice or third party insurance notice (e.g. NSW Greenslip) issued within the last 12 months

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

Depending on the type of estate, additional information may be required;

Additional Documents

Individual	• Documentation requested above
Joint Holders	• Documentation requested above for each surviving joint holder

Help

If you need help completing the transfer / transmission application, please contact our office on **1300 554 474**.

A TRANSMISSION APPLICATION

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

1. Full name of Share Company, Corporation or Trust in which the securities being transmitted are held.

2. Securityholder Reference Number (SRN)

3. Type of Security (eg fully paid, partly paid, stapled security, etc)

4. Name of Deceased (Given Name(s))

Last Name

I/We claiming to be legal personal representative(s) of the abovenamed deceased in respect of such security described above do hereby apply to be registered as the holder(s) of such security as described above in the abovenamed company.

I/We agree to take and hold the said holding of the type of security as described above subject to the several conditions on which the abovenamed deceased held the same. I/We give notice that my/our name(s) and address is/are notified below and request the same be entered into the register of the abovenamed company.

5. Title and Full Name(s) of Executor(s) or Administrator(s)

6. Address for Notices, Dividends etc.

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

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

Executor/Administrator (delete one)

Executor/Administrator (delete one)

Executor/Administrator (delete one)

Instructions

1. This form is to be used when removing the shares from the name of the deceased to the Executor(s)/ Administrator(s) of the estate.
2. Where the Executor(s)/Administrator(s) of the estate are also the sole beneficiaries a standard transfer form must be completed.
3. There is no requirement to formally register the securities in the name of the Executor(s)/Administrator(s) prior to selling the securities.

Date

HOW TO COMPLETE THIS FORM

A Transmission application

Enter the following in the spaces provided.

Complete the full name(s) of all Executor(s)/Administrator(s) and one address.

1. The full name of the share company in which the securities are held.
2. The Shareholder Reference Number (SRN, starts with "I").
3. A brief description of the type of security eg. fully paid; stapled security etc.
4. The name of the deceased holder.
5. The title(s) and full name(s) of the Executor(s) or Administrator(s).
6. 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.

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 Transmission Application.

B Signature – All Executor(s)/Administrator(s) must sign.

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.



A	PAYMENT OF FEE
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OPTION 1: Pay By Credit Card or Debit Card

No other credit cards will be accepted

Name on Card

Total

Or

OPTION 2: Pay By Cheque, Money Order or Bank Cheque

☐ Cheque/Money Order/ Bank Cheque – payable to MUFG Corporate Markets (AU) Limited in Australian currency

 A receipt for this payment will be issued to the executor.

D

CHECKLIST

☐
Transfer / Transmission form is fully completed, signed and dated

☐
Certified copies of proof of identity from either Option 2 or Option 3 (on page 1) are provided or Option 1 eVerification has been selected - complete section F below

☐
Any other additional documents are certified and included
Examples include but are not limited to: POA, Guardianship Orders, Grant of Probate or Letters of Administration, Notice of Appointment of Bankruptcy Trustee, Notice of Appointment of Administrator, Receiver or Liquidator of a Company etc.

E

LODGE

The original transfer form and certified documents (if any) are to be returned to Link by post. Please ensure that all multiple transfers from the same seller are posted together as one lodgement. Send all documentation to Locked Bag A14, Sydney South NSW 1235. Fax/Email/Photocopies cannot be accepted as original signatures are required to be sighted. Only one set of identification documents is required from the seller if sending in one lodgement.

F

eVerification of Individual Executors / Administrators or Authorised Representative

Option 1 – eVerification of Individual Executors / Administrators or Authorised Representative

Tick ✓ Below

Primary identity document of each Executor(s) / Administrator (s) or Authorised Representative, signing this transfer form

Full Name - Executor / Administrator 1, or Authorised Representative

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 my 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 citizenship certificate
☐ New Zealand birth certificate

☐ Australian ImmiCard
☐ New Zealand citizenship certificate

☐ Australian birth certificate (must match your name in the register)
See important notes overleaf **

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 - Executor / Administrator 2, or Authorised Representative

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 my 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 citizenship certificate
☐ New Zealand birth certificate

☐ Australian ImmiCard
☐ New Zealand citizenship certificate

☐ Australian birth certificate (must match your name in the register)
See important notes overleaf **

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 Section F for the other individuals.

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** and 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 and 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 and 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 and provide the **registration district** noted on birth certificates typically issued between 1930 and 1983 using the 'Other Information' field.

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

SECTION 1071B STATEMENT

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

Where Probate/Letters of Administration has/have been granted in an Australian State or Territory other than where the securities are registered, a statement in writing as prescribed by Section 1071B of the Corporations Act 2001 must be lodged, together with a transfer/transmission within three months of the statement being made.

I/We do solemnly and sincerely declare I am/we are the personal representative(s) namely the executor(s) of the will/administrator(s), to whom Probate/Letters of Administration has/have been granted for the above deceased estate and which grant has not been revoked.

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

2. To the best of my/our knowledge, information and belief no grant of representation of the estate has been applied for or made in

(Australian State or Territory where the securities are registered)

and no application for such a grant will be made.

3. 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

Executors/Administrators: When the holding is in the name of an Estate, all Executors/Administrators are required to sign.

NOTE: **Australian** The Corporation Act 2001 imposes severe penalties for making a false statement (\$10,000 or 2 years imprisonment or both) or failing to ensure a statement is not false or misleading (\$5,000 or 1 year imprisonment or both).

Overseas Please complete this statutory declaration in accordance with the laws of the country in which it is declared and ensure it is legally witnessed.

HOW TO COMPLETE THIS FORM

A Section 1071B Statement

Enter the following in the spaces provided. Complete the full name(s) of all Executor(s)/Administrator(s) and one address.

1. The full name(s) of all Executor(s) or Administrator(s).
2. The Australian State or Territory where the securities are registered.
3. 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 Section 1071B Statement.

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.

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)