

## How to complete the Deceased Estate Standard Transfer Form

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

### Proof of Identity for all Executors/Administrators

Evidence will need to be provided with each transfer form to confirm the identity of the Executors/Administrators as the current owner of the securities to be transferred. 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	Joint Holders
• Documentation requested above	• Documentation requested above for each surviving joint holder

### Help

If you need help completing this transfer, please contact our office on **1300 554 474**.

# How to complete the Deceased Estate Standard Transfer Form (when transferring securities in a listed or unlisted company or trust)

**Note:** The original transfer form needs to be returned to MUFG Corporate Markets. Fax/Email/Photocopies cannot be accepted as original signatures are required to be sighted.

## A. Deceased Estate Details

### Full Name of Company, Corporation or Trust in which securities are held

This is the actual NAME of the Share Company, Corporation or Trust in which the securities being transferred/sold are held.

### Type of Security

This is either, Fully Paid Ordinary Shares, or Options, or Unsecured Convertible Notes, or Units, or Partly Paid Shares, etc...

**Note:** A separate standard transfer form must be completed for each different class of security and each different registered holding.

### Deceased's Securityholder Reference Number (SRN)

The SRN can be found on issuer sponsored holding statements, dividend statements or certificates and starts with the letter " I ".

The transfer cannot be processed without the seller's SRN.

### Number of Securities to be transferred

The number of securities being transferred (numbers only required)

### Full registered name(s) of the deceased

Enter the given and last name of the deceased as shown on securityholder documents.

**Note: If the deceased has a "CHESS HIN", (CHESS HINs usually begin with an X or 0) then please contact the sponsoring broker, as the transfer is unable to be processed by us.**

## B. Beneficiary Details

### Full name(s) of Beneficiary(s)

Enter the given and last names of the individual(s)/Trustee(s) or Company/Corporation acquiring the securities through this transfer.

There is a maximum of three joint holders. Securities cannot be registered in an unincorporated trading name/business or in the name of a trust, a superannuation fund, a minor, or an estate or deceased person's name. If transferring into an existing holding you must write the name (and address) details of the existing holding **exactly** as they currently appear on the register.

### Beneficiary's Securityholder Reference Number (SRN)

If the Beneficiary is an existing **issuer sponsored** holder of securities in the company, their SRN may be entered here.

Note: If the Beneficiary has a "CHESS HIN", (CHESS HINs usually begin with an X or 0) then please contact the sponsoring broker.

### Full postal address of Beneficiary(s)

Insert full address including the postcode. Only one address may be recorded, irrespective of the number of Beneficiaries.

## C. Sign Here

### Executor(s)/Administrator(s) and Beneficiary(s) Signatures and the Dates **MUST** be signed, and circle capacity under signatures

- |    |                                       |   |
|----|---------------------------------------|---|
| a) | Executor(s)/<br>Administrator(s)      | When the holding is in the name of an estate, all Executor(s)/Administrator(s) are required to sign. Probate requirements must also be complied with.   |
| b) | Power of attorney of a<br>Beneficiary | To sign as power of attorney (POA), you must have already lodged the Power Of Attorney with the registry or alternatively attach a certified photocopy of the Power of Attorney to this form. |
| c) | Companies                             | Two Directors OR a Director and Secretary OR Sole Director and Sole Company Secretary. Please ensure you sign in the appropriate boxes and circle your capacity.                              |

**Note:** Copies of documents forwarded must be **certified as a correct copy** by a person who under the Statutory Declarations Regulations 2018 has the power to certify documents e.g. JP, doctor, lawyer, accountant, judge etc. Any form or document that does not meet the transfer or identification requirements specified within this form will be returned without processing.

### Important Note for transfers of unlisted securities – Stamp Duty

For securities that are **listed** on the Australian Securities Exchange (ASX) – stamp duty is **NOT** payable (unless the date signed is **before** 1 July 2001).

For **unlisted** securities – transfer forms for unlisted securities must be submitted to the **Revenue Office** in the State or Territory where the Share Company was incorporated, or where the Trust was established for assessment and payment of stamp duty **before** sending to MUFG Corporate Markets (AU) Limited.

### Payment of Fee

Where an Issuer's constitution permits securityholders being charged in connection with the registration of off-market transfers either expressly or through an empowering provision, a fee of \$55 (incl GST) is payable for the securityholder verification procedure.

**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 STANDARD TRANSFER FORM

### A DECEASED ESTATE DETAILS (Please use CAPITAL LETTERS)

Full name of Company, Corporation or Trust in which the securities are held

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

Number of securities to be transferred

Securityholder Reference Number

Title

Given Name(s)

Last Name

Executor(s)/Administrator(s) day time phone number

**Verification Procedures:** For security purposes, the registration details of the deceased and the authorisation to transfer will be subject to verification. This verification process may include contacting the legal representative(s) of the estate. Where verification cannot be carried out to the satisfaction of the Registrar, the transfer may be rejected and returned with a request to provide additional information/documentation.

### B BENEFICIARY(S) DETAILS (Please use CAPITAL LETTERS)

Title

Given Name(s) or Company Name

Last Name

Account Designation (if desired, eg <John Smith A/C>)

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 (if not Australia)

Beneficiary Securityholder Reference Number

### C SIGN HERE

The Executor(s)/Administrator(s) of the deceased whose details are written above, transfers the securities shown above to the Beneficiary(s) and states to the Beneficiary(s), the Issuer of the securities and the Issuer's share registrar that they are the legal representatives of the deceased's estate who are authorised and entitled to transfer them to the Beneficiary(s).

**All Executor(s)/Administrator(s) must sign**

Executor 1/Administrator

Executor 2/Administrator

Executor 3/Administrator

**All Beneficiary(s) must sign**

Beneficiary 1

Beneficiary 2

Beneficiary 3

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

Director/Company Secretary (delete one)

Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**D CHECKLIST**

- |   |   |
|---|---|
| <input type="checkbox"/> Transfer form is fully completed, signed and dated   | <input type="checkbox"/> Any other additional documents are certified and included  |
| <input type="checkbox"/> 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 | 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 LODGEMENT**

The original transfer form and certified documents (if any) are to be returned to MUFG Corporate Markets (AU) Limited 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

<p>Full Name - Executor / Administrator 1, or Authorised Representative</p> <input type="text"/> Residential Street Address <input type="text"/> Suburb/Town                      State/Territory      Post Code / Zip Code <input type="text"/> <input type="text"/> <input type="text"/> Country (if not Australia)                      Date of Birth DD/MM/YYYY <input type="text"/> <input type="text"/> DD / MM / YYYY <input type="checkbox"/> 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. <b>Select 2 choices</b> <b>Group 1</b> Select at least one option and complete the document details below exactly as shown on the document. <input type="checkbox"/> Australian passport <input type="checkbox"/> New Zealand passport <input type="checkbox"/> Australian driver's licence issued by a state or territory <input type="checkbox"/> New Zealand driver's licence <input type="checkbox"/> Australian citizenship certificate <input type="checkbox"/> New Zealand birth certificate <input type="checkbox"/> Australian ImmiCard <input type="checkbox"/> New Zealand citizenship certificate <input type="checkbox"/> Australian birth certificate (must match your name in the register) See important notes overleaf **	<p>Full Name - Executor / Administrator 2, or Authorised Representative</p> <input type="text"/> Residential Street Address <input type="text"/> Suburb/Town                      State/Territory      Post Code / Zip Code <input type="text"/> <input type="text"/> <input type="text"/> Country (if not Australia)                      Date of Birth DD/MM/YYYY <input type="text"/> <input type="text"/> DD / MM / YYYY <input type="checkbox"/> 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. <b>Select 2 choices</b> <b>Group 1</b> Select at least one option and complete the document details below exactly as shown on the document. <input type="checkbox"/> Australian passport <input type="checkbox"/> New Zealand passport <input type="checkbox"/> Australian driver's licence issued by a state or territory <input type="checkbox"/> New Zealand driver's licence <input type="checkbox"/> Australian citizenship certificate <input type="checkbox"/> New Zealand birth certificate <input type="checkbox"/> Australian ImmiCard <input type="checkbox"/> New Zealand citizenship certificate <input type="checkbox"/> Australian birth certificate (must match your name in the register) See important notes overleaf **
<p>State/Territory of Issue      Document Number: e.g. DL number      Expiry or Issue Date</p> <input type="text"/> <input type="text"/> <input type="text"/> DD / MM / YYYY Other information <input type="text"/> Note: For a drivers licence, please provide both the DL card number and DL number.	<p>State/Territory of Issue      Document Number: e.g. DL number      Expiry or Issue Date</p> <input type="text"/> <input type="text"/> <input type="text"/> DD / MM / YYYY Other information <input type="text"/> Note: For a drivers licence, please provide both the DL card number and DL number.
<p><b>Group 2</b>                  Select at least one option and complete the document details below exactly as shown on the document.  <input type="checkbox"/> Medicare card Ref. Nbr: _____  <input type="checkbox"/> Green   <input type="checkbox"/> Blue   <input type="checkbox"/> Yellow  <input type="checkbox"/> Centrelink Pension Card or Healthcare Card  <input type="checkbox"/> Australian Electoral Roll (AEC)</p>	<p><b>Group 2</b>                  Select at least one option and complete the document details below exactly as shown on the document.  <input type="checkbox"/> Medicare card Ref. Nbr: _____  <input type="checkbox"/> Green   <input type="checkbox"/> Blue   <input type="checkbox"/> Yellow  <input type="checkbox"/> Centrelink Pension Card or Healthcare Card  <input type="checkbox"/> Australian Electoral Roll (AEC)</p>
<p>State/Territory of Issue      Document Number: e.g. Medicare number      Expiry or Issue Date</p> <input type="text"/> <input type="text"/> <input type="text"/> DD / MM / YYYY Other information <input type="text"/>	<p>State/Territory of Issue      Document Number: e.g. Medicare number      Expiry or Issue Date</p> <input type="text"/> <input type="text"/> <input type="text"/> DD / MM / YYYY Other information <input type="text"/>

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.

## OFF MARKET TRANSFER FORM

### A PAYMENT OF FEE

A fee of \$55.00 (GST inclusive) applies for each transfer that requires a securityholder verification procedure. For payments made by cheque, an additional cheque handling fee of \$10 (GST inclusive) will apply. A single fee of \$55.00 (GST inclusive) applies if multiple transfers from the same seller (registration details must be an exact match) are received by MUFG Corporate Markets (AU) Limited at the same time. Payment options are:

**OPTION 1: Pay By Credit Card or Debit Card**

Visa
  MasterCard

No other credit cards will be accepted

Card Number	Expiry Date (MM/YY)
<input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/>

Name on Card

Signature of Cardholder	Total
<input style="width: 90%; height: 20px; border: 1px solid black;" type="text"/>	\$ <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> , <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/>

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

**i** A receipt for this payment will be issued to the seller.

**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)

<b>Postcode</b>	

**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)

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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 CHES, 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.