

What you need to know

- This form can be used to notify us of a customer's death.
- It is also used to formally appoint an executor/administrator/solicitor to manage the account/s of a customer, after they pass away.
- If you are a solicitor representing the executors, you must also email us a signed Letter of Engagement.
- Once we receive the relevant documentation, we will provide the portfolio statement and historical transaction summary. This will detail the holdings within the account/s, to help you decide the next steps.
- Letters of Administration is required if the deceased passed away intestate (without a valid Will).

Complete the following forms

The below table outlines the initial notification requirements for trading accounts based on the different account types and the value of the estate:

Account type	Forms to complete	Required documentation
Individual – e.g. John Smith	<input type="checkbox"/> Executor/Administrator Authority form	If you haven't already, provide the following: <ul style="list-style-type: none"> <input type="checkbox"/> Certified copy of the Death Certificate and <input type="checkbox"/> Certified copy of the Last Will and Testament If the holdings are \$50,000 or greater Once you have received the portfolio and historical transaction statements from us, also provide: <ul style="list-style-type: none"> <input type="checkbox"/> Certified copy of a Probate/Letters of Administration
Joint – e.g. John Smith & Mary Smith	N/A – Upon receiving the required documentation, we will automatically transfer all joint shareholdings (if any) to an existing account or create a new account for the surviving account holder. The joint account will be closed.	If you haven't already, provide the following: <ul style="list-style-type: none"> <input type="checkbox"/> Certified copy of Death Certificate
Formal Trust (Family or SMSF Trust) – e.g. John Smith & Mary Smith <Smith Family S/F A/C>	N/A – Please refer to the Estate Management Disbursement form for instructions. To download this form, visit our website and navigate to Estate Management. This form details the process on either continuing the trust by appointing new trustees or dissolving i.e. winding down the trust.	If you haven't already, provide the following: <ul style="list-style-type: none"> <input type="checkbox"/> Certified copy of Death Certificate

i Under ASX operating rules, all CHES holdings on individual and single trust accounts must be 'locked' on initial notification of a deceased estate. This means shares cannot be transferred or sold until all requirements have been satisfied.
 For informal trusts e.g. trust for minor, follow the individual or joint account type instructions above.

Where to send this form and supporting documents

You can email this form and the required documents to: info@equityandsuper.com.au.

For queries relating to Estate Management, please call or email us.

What you need to know

- All fields are mandatory.
- Use this form to appoint an authorised representative i.e. executor or administrator of an estate to a share trading account.
- One form is to be completed for each appointed executor/administrator as named in the Last Will and Testament or Probate/Letters of Administration.
- If you are a solicitor representing the executors, you must also email us a signed letter of engagement.

Estate Account Details

List all share trading accounts

Trading account number	Trading account name
<input type="text"/>	<input type="text"/>
Trading account number	Trading account name
<input type="text"/>	<input type="text"/>
Trading account number	Trading account name
<input type="text"/>	<input type="text"/>

Executor/Administrator 1 Details – Mandatory

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name	Middle name/s	Surname	Date of birth – DD/MM/YYYY
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Other name/s commonly known by – <i>If applicable</i>			
<input type="text"/>			
			<input type="radio"/> Male <input type="radio"/> Female

Address Details

All contact details below must be of the executor.

Residential Address

Street address – *Cannot be a PO Box*

Suburb State Postcode

Country

Postal Address Same as residential address

Street address

Suburb State Postcode

Country

Executor/Administrator Contact Details – Mandatory

Email address

Mobile number Home number – *Optional* Work number – *Optional*

Employment Information

Refer to 'Job and Industry Classifications List' available on the website for a list of acceptable Job Categories and Types.

Job category	Job type
<input type="text"/>	<input type="text"/>

Source of Funds and Source of WealthSee [explanatory notes #1](#) at the end of this document.

Source of Funds	Source of Wealth
<input type="text"/>	<input type="text"/>

Tax Residency Information

1. Are you a tax resident of Australia? – Mandatory	<input type="radio"/> Yes	<input type="radio"/> No
2. Tax File Number or Exemption Code		
3. Are you a tax resident of another country outside of Australia? – Mandatory If yes, please complete the Tax Residency table below.	<input type="radio"/> Yes	<input type="radio"/> No

Instructions for completion:

- List all of your other countries of tax residency and your TIN for that country of 'Reason Code' if no TIN is available.
- If you are a US citizen or resident, you must include USA as a country of tax residency.

For further instructions on how to complete this section see [explanatory notes #2](#) at the end of this application.

Country/ies of Tax Residency List all country/ies of tax residency.		Tax Identification Number (TIN)						
		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN						
1		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
2		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
3		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C

Solicitor's Contact Details

Full name

Email address

Mobile number

Work number

I/We grant permission for you to liaise directly with the solicitor and provide them with account information as required.

Executor/Administrator Identification

AUSIEX is required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* to collect information about you and verify your identity before we can provide you with the services or products for which you've applied.

The proof of identification selected below and the personal details provided on this form must exactly match.

Please tick and complete **ONE** of the following options below:

Option A – I have an existing trading account

Username or trading account number

OR

Option B – I have attached a clear, legible original certified photocopy of one of the following and consent to the electronic verification to be performed.

- Australian Driver Licence **OR**
- Passport

By selecting this option:

- I consent to having electronic identification performed using personal details and identification documents I have provided, and understand that providing false or misleading information about my identity is an offence under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth)*.
- I consent to having my personal details and identification documents matched to information held by the issuer or Official Record Holder via third party systems.
- I understand that my personal information will be exchanged with external organisations including: credit reporting agencies, Commonwealth and State government departments, independent and private sector organisations and outsourced providers who coordinate the electronic identification process and who may conduct additional matches against public or proprietary databases.
- As part of the electronic identification process, I permit these external organisations to record, use and disclose my information in accordance with their own privacy policies and legal obligations. I understand that AUSIEX and its outsourced providers will access records held about me by these external organisations only for the purpose of matching the identifying information I have chosen to provide.
- I consent to providing my name, address and date of birth to selected credit reporting agencies to match this information against their records. I understand that this is done only for identity verification purposes as required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth)*.

You do not have to consent to electronic identification verification. If you do not want to have your identification verified electronically, you have the option to be identified by sending in your original certified copy of identification to us via post.

Executor/Administrator 2 Details – If applicable

Mr Ms Mrs Miss Dr Other

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

/ /

Other name/s commonly known by – If applicable

Male Female

Address Details

All contact details below must be of the executor.

Residential Address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country

Postal Address

Same as residential address

Street address

Suburb

State

Postcode

Country

Executor/Administrator Contact Details – Mandatory

Email address

Mobile number

Home number – *Optional*

Work number – *Optional*

Employment Information

Refer to 'Job and Industry Classifications List' available on the website for a list of acceptable Job Categories and Types.

Job category

Job type

Source of Funds and Source of Wealth

See [explanatory notes #1](#) at the end of this document.

Source of Funds

Source of Wealth

Tax Residency Information

1. Are you a tax resident of Australia? – Mandatory	<input type="radio"/> Yes	<input type="radio"/> No
2. Tax File Number or Exemption Code	<input type="text"/>	
3. Are you a tax resident of another country outside of Australia? – Mandatory If yes, please complete the Tax Residency table below.	<input type="radio"/> Yes	<input type="radio"/> No

Instructions for completion:

- List all of your other countries of tax residency and your TIN for that country of 'Reason Code' if no TIN is available.
- If you are a US citizen or resident, you must include USA as a country of tax residency.

For further instructions on how to complete this section see [explanatory notes #2](#) at the end of this application.

Country/ies of Tax Residency		Tax Identification Number (TIN)						
List all country/ies of tax residency.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN						
1	<input type="text"/>	TIN:	<input type="text"/>	OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
2	<input type="text"/>	TIN:	<input type="text"/>	OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
3	<input type="text"/>	TIN:	<input type="text"/>	OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C

Solicitor's Contact Details

Full name

Email address

Mobile number

Work number

 I/We grant permission for you to liaise directly with the solicitor and provide them with account information as required.
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- Passport

By selecting this option:

- I consent to having electronic identification performed using personal details and identification documents I have provided, and understand that providing false or misleading information about my identity is an offence under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth)*.
- I consent to having my personal details and identification documents matched to information held by the issuer or Official Record Holder via third party systems.
- I understand that my personal information will be exchanged with external organisations including: credit reporting agencies, Commonwealth and State government departments, independent and private sector organisations and outsourced providers who coordinate the electronic identification process and who may conduct additional matches against public or proprietary databases.
- As part of the electronic identification process, I permit these external organisations to record, use and disclose my information in accordance with their own privacy policies and legal obligations. I understand that AUSIEX and its outsourced providers will access records held about me by these external organisations only for the purpose of matching the identifying information I have chosen to provide.
- I consent to providing my name, address and date of birth to selected credit reporting agencies to match this information against their records. I understand that this is done only for identity verification purposes as required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth)*.

You do not have to consent to electronic identification verification. If you do not want to have your identification verified electronically, you have the option to be identified by sending in your original certified copy of identification to us via post.

Adviser Access

To allow the existing adviser/s to retain view-only access to the account/s, tick the following box and provide the full name/s of the adviser/s.

Retain View-Access

Full name/s of existing adviser/s

Note: Existing adviser access will be automatically removed unless this section is completed by all executors.

Declaration & Signature/s

I understand, acknowledge and declare that the information I have provided to you on this form is true and correct and the law prohibits the use of false names, as well as the giving or use of false documents in connection with an identification procedure.

Executor / Administrator 1

Full name

Date Signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Executor / Administrator 2 – If applicable

Full name

Date Signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Privacy statement

We are collecting your personal information in connection with your role as an executor/administrator. For details of our privacy and information handling practices, including how you may access your information, seek correction of that information and how you may complain, please refer to our Privacy Policy which is available on our website.

Explanatory Notes

1. Source of Funds and Source of Wealth

Source of Funds:

The origin and the means of transfer of the Fund to service the new product (e.g., salary/wages, business income)

- Salary/Wages
- Commission
- Bonus
- Business income/earnings
- Business Profits
- Rental income
- Superannuation/pension
- Loan
- Insurance payment
- Compensation payment
- Government benefits
- Sales of an asset
- Liquidation of assets
- Redundancy
- Inheritance
- Gift/Donation
- Windfall
- Tax refund
- Additional Sources (provide sources)

Source of Wealth:

The origin of your financial standing or total net worth (e.g., how you have generated your wealth)

- Business income/earnings
- Business profits
- Compensation payment
- Employment income/earnings
- Gift/donation
- Government benefits
- Inheritance
- Insurance payment
- Investment income/earnings
- Liquidation of assets
- Owns real estate/property
- Redundancy
- Refused to answer
- Rental income
- Sale of assets
- Superannuation/pension
- Windfall
- Additional Sources (provide sources)

2. Identification requirements

If you are a tax resident of another country, you will be asked for your Tax Identification Number (TIN) issued to you in that country, if you have one.

TIN is an international term which may have a different name in some countries.

A compilation of links to information about TINs for many countries can be found here: <http://www.oecd.org/> Examples are Tax File Number (TFN) in Australia, Social Insurance Number (SIN) in Canada, Unique Taxpayer Reference (UTR) or National Insurance Number (NINO) in United Kingdom, Permanent Account Number (PAN) in India, IRD Number in New Zealand and Tax Reference Number (TRN) in Malaysia.

Australian Investment Exchange Limited ABN 71 076 515 930, AFSL 241400 (AUSIEX, the Participant, we, us, our), a wholly owned subsidiary of Nomura Research Institute, Ltd. ('NRI'). AUSIEX is a Market Participant of ASX Limited ('ASX') & Cboe Australia Pty Ltd ('Cboe'), a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited.

How to submit your documents

Once completed and signed, please scan and email the form to

✉ info@equityandsuper.com.au

📍 **Equity&Super**

PO Box 5199

South Melbourne Market Street VIC 3205

☎ 03 8533 2400

🌐 equityandsuper.coretrading.com.au