

What you need to know before you start – Mandatory

- Use this form to disburse (sell or transfer) shares from a deceased estate. Depending on the accounts held within the estate, certain sections of this form will need to be completed, and supporting documentation provided.
- Before you can proceed with the disbursement of the shares, you must have completed the Estate Management Notification form and provided the necessary supporting documentation. You can find this form by visiting our website.
- The Estate Management Notification form helps us verify the Estate executors/administrators and solicitors (if applicable) representing the estate. Once verified, we will also provide the portfolio and historical transaction statements, detailing the holdings within the account/s, to help you decide what to do next.

Complete the following forms

The below table outlines the disbursement options for a deceased estate based on the account type. Letters of Administration is required if the deceased passed away intestate (without leaving a valid will). The executors can choose a combination of these options:

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

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

i We will unlock the trading account for the estate once disbursement instructions have been received. All shares must be **sold or transferred** from the trading account for the estate **within 3 months** of being unlocked, unless signed approval is received from all executors requesting an extension.

Please note the maximum extension that can be granted is up to 12 months from the initial unlock date. In the event this does not occur, the holdings may be sold at our discretion to repay any outstanding balance (where applicable), and release the remaining shares to Issuer Sponsored holdings. The executor will need to liaise directly with the share registry to finalise the shareholdings.

Where to send this form and supporting documents

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

i A Small Estate Indemnity form is required to sell or transfer shares where a portfolio value is less than \$50,000 and a certified copy of Probate/Letter of Administration has not been provided.

1. Estate Account Details

Estate of the Late

2. Executor Details

Executor/Administrator 1

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name
 Middle name/s
 Surname

Executor/Administrator 2

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name
 Middle name/s
 Surname

Executor/Administrator 3

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name
 Middle name/s
 Surname

3. Security Details

ASX Code	Security name – e.g. AMP Limited	Security Reference Number (SRN)/ Holder Identification Number (HIN)	Quantity – No. of shares

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

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

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

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

Executor 1

Full name Date signed – DD/MM/YYYY / /

Signature – Must be signed pen to paper

Witness 1

Full name Date signed – DD/MM/YYYY / /

Signature – Must be signed pen to paper

Executor 2

Full name Date signed – DD/MM/YYYY / /

Signature – Must be signed pen to paper

Witness 2

Full name Date signed – DD/MM/YYYY / /

Signature – Must be signed pen to paper

Executor 3

Full name Date signed – DD/MM/YYYY / /

Signature – Must be signed pen to paper

Witness 3

Full name Date signed – DD/MM/YYYY / /

Signature – Must be signed pen to paper

i All signatures are required to be original. The witness/es certifies that the person/s who has/have signed this statement is/are known to them and has/have signed in the presence of the witness with their normal signature/s. The witness should be a neutral third party and not a family member or someone who has significant interest in your affairs.

What you need to know

Use this form to transfer the ownership of multiple securities from one Equity&Super account to another Equity&Super account.

- Any alterations made to this form must be initialled by both the buyer/s and the seller/s.
- Any increase to the amount of securities being transferred will not be accepted, even if initialled. You will need to complete a new form without amendments to the amount.
- This form is used to transfer a maximum of 8 securities. Please print a separate form to transfer additional securities.
- The transfer of securities could give rise to tax consequences. You should ensure that you have considered the tax implications of the transfer before completing and returning this form. Information in relation to the tax implications of securities transfers is available on the ATO website. You should seek independent, professional tax advice before making any decision in relation to the transfer.
- AUSIEX is not a registered tax (financial) adviser under the *Tax Agent Services Act 2009 (Cth)* and is unable to provide you with tax advice.

Guidelines for completing this form

Section 1: Seller/s Details

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

Deceased estate should read “(the full names of the executors) as executors of the estate of (name of deceased shareholder)”.

For companies, insert the company legal name.

For superannuation fund, family trust or minor, if the trustee is an individual, insert the trustee given names and surname.

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

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

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

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

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

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

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

Section 2: Buyer/s Details

Account registration name of buyer: Full names of all buyers (a maximum of three joint holders). Securities can only be registered in the name of a living person or an incorporated company.

For companies, insert the company legal name. Fund, Trust or Estate names are to be inserted as an account designation.

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

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

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

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

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

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

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

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

Section 3: Security Details

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

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

Units: Number of securities being transferred.

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

Date of transfer: Insert date of transfer. Please note this is not the date of the purchase agreement but the date of completion of the transfer. This should be on or before the date of seller and buyer signatures.

Section 4: Signatures**Seller's signature:**

Joint holders – all holders must sign.

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

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

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

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

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

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

1. Seller/s Details

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

Account designation¹ – *If applicable for your trust account*

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

Suburb

State

Postcode

Country

Trading account number

Holder Identification Number (HIN)

Contact number

2. Buyer/s Details

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

Account designation¹ – *If applicable for your trust account*

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

Suburb

State

Postcode

Country

Trading account number

Holder Identification Number (HIN)

Contact number

3. Security Details

Code	Security name – e.g. AMP Limited	Units	Consideration (\$AUD)

To transfer more than 8 different holdings, please photocopy this page, complete and attach to this form.

Date of Transfer – DD/MM/YYYY

	/		/	
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4. Signatures

I/We the registered holder/s and undersigned Seller/s for the above consideration do hereby transfer to the above name/s hereinafter called the Buyer/s the securities as specified above standing in my/our name/s in the books of the above named Company, subject to the several conditions on which I/we held the same at the time of signing hereof and I/we the Buyer/s do hereby agree to accept the said securities subject to the same conditions. I/We have not received any notice of revocation of the Power of Attorney by death of the grantor or otherwise, under which this transfer is signed.

Seller/Executor/Trustee 1

Full Name

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Date signed – DD/MM/YYYY

	/		/	
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Signature – Must be signed pen to paper

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Seller/Executor/Trustee 2

Full Name

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Date signed – DD/MM/YYYY

	/		/	
--	---	--	---	--

Signature – Must be signed pen to paper

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Seller/Executor/Trustee 3

Full Name

--

Date signed – DD/MM/YYYY

	/		/	
--	---	--	---	--

Signature – Must be signed pen to paper

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Buyer/Beneficiary/New Trustee 1

Full Name

--

Date signed – DD/MM/YYYY

	/		/	
--	---	--	---	--

Signature – Must be signed pen to paper

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Buyer/Beneficiary/New Trustee 2

Full Name

--

Date signed – DD/MM/YYYY

	/		/	
--	---	--	---	--

Signature – Must be signed pen to paper

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Buyer/Beneficiary/New Trustee 3

Full Name

--

Date signed – DD/MM/YYYY

	/		/	
--	---	--	---	--

Signature – Must be signed pen to paper

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Things you need to know

- When completing this form in relation to a deceased estate, the executor/trustee is referred interchangeably as the seller. The beneficiary is known as the buyer.
- Any alterations made to this form must be initialled by both the seller/executor/trustee/s and the buyer/beneficiary/new trustee/s.
- Any increase to the amount of securities being transferred will not be accepted, even if initialled. You need to complete a new form without amendments to the amount.
- The transfer of securities could give rise to tax consequences. You should ensure that you have considered the tax implications of the transfer before completing and returning this form. Information in relation to the tax implications of share transfers is available on the ATO website. You should seek independent, professional tax advice before making any decision in relation to the transfer.
- AUSIEX is not a registered tax (financial) adviser under the *Tax Agent Services Act 2009 (Cth)* and is unable to provide you with tax advice.

Read before proceeding

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

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

Guidelines for completing this form

Section 1 – Seller/Executor/Trustee Details

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

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

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

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

PID (participant identification number): Insert Participant Identification Number (if applicable). This is the seller's sponsoring broker where security is held. (E.g. Australian Investment Exchange PID 6382).

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

SRN (Securityholder Reference Number) or HIN (Holder Identification Number): This number can be found on the Issuer holding statement or a CHESS holding statement. For Issuer Sponsored and broker sponsored holdings (uncertificated), the seller's SRN or HIN must be quoted as confirmation of the seller's authority for the transfer to be processed. Failure to include the seller's SRN or HIN may result in the transfer being returned to you for clarification.

Section 2 – Buyer/Beneficiary/New Trustee Details

Full name/s of buyer/beneficiary/new trustees: Full names of all buyers (a maximum of 3 joint holders). Securities can only be registered in the name of a living person or an incorporated company.

For companies, insert the company legal name. Securities may not be registered in the name/s of a firm or business name, an estate or deceased person, a fund or a trust, although these may be inserted as an account designation underneath the registered names. Some companies may also have restrictions on minors being registered (e.g. BHP).

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

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

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

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

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

PID (Participant Identification Number): Insert Participant Identification Number (if applicable). This is the buyer's sponsoring broker where security will be held. (E.g. Australian Investment Exchange PID 6382).

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

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

Section 3 – Security Details

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

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

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

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

Consideration: For Deceased Estates, tick the box provided.

Date of transfer: Insert date of transfer. Please note this is not the date of the purchase agreement but the date of completion of the transfer. This should be on or before the date of seller and buyer signatures.

Section 4 – Signatures**Seller/executor/trustee signature/s:**

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

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

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

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

1. Seller/Executor/Trustee Details

Full name seller/executor/trustee 1	Full name seller/executor/trustee 2	Full name seller/executor/trustee 3	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
As Executors of the Estate of:			
<input type="text"/>			
Registered street address			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Executor contact number			
<input type="text"/>			
PID – <i>If applicable</i>	Trading Account Number	Holder Identification Number (HIN)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

2. Buyer/Beneficiary/New Trustee Details

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

Account Designation¹ – *If applicable for your Trust account*

Registered street address

Suburb

State

Postcode

Country

Beneficiary contact number

PID – *If applicable*

Trading account number – *If applicable*

Option A – Transfer to a CHESS sponsored account

Holder Identification Number (HIN)

OR

Option B – Transfer to Share Registry

Securityholder Reference Number (SRN) – *If applicable*

3. Security Details

Code	Security name – e.g. Woolworths Limited	Units	Consideration (\$AUD)

To transfer more than 8 different holdings, please photocopy this page, complete and attach to this form.

Date of Transfer – DD/MM/YYYY

4. Signatures

I/We the registered holder/s and undersigned Seller/s for the above consideration do hereby transfer to the above name/s hereinafter called the Buyer/s the securities as specified above standing in my/our name/s in the books of the above named Company, subject to the several conditions on which I/we held the same at the time of signing hereof and I/we the Buyer/s do hereby agree to accept the said securities subject to the same conditions. I/We have not received any notice of revocation of the Power of Attorney by death of the grantor or otherwise, under which this transfer is signed.

Seller/Executor/Trustee 1

Full Name

Date signed – DD/MM/YYYY

 / /
Signature – *Must be signed pen to paper*

Seller/Executor/Trustee 2

Full Name

Date signed – DD/MM/YYYY

 / /
Signature – *Must be signed pen to paper*

Seller/Executor/Trustee 3

Full Name

Date signed – DD/MM/YYYY

 / /
Signature – *Must be signed pen to paper*

Buyer/Beneficiary/New Trustee 1

Full Name

Date signed – DD/MM/YYYY

 / /
Signature – *Must be signed pen to paper*

Buyer/Beneficiary/New Trustee 2

Full Name

Date signed – DD/MM/YYYY

 / /
Signature – *Must be signed pen to paper*

Buyer/Beneficiary/New Trustee 3

Full Name

Date signed – DD/MM/YYYY

 / /
Signature – *Must be signed pen to paper*

What you need to know

- Use this form to sell some or all of the broker sponsored holdings held on the trading account for the estate.
- If your holding statement begins with the letter 'X' your shares are broker sponsored.
- If we are not the sponsoring broker, you will need to sell them through the original broker or transfer your shares to us by opening a trading account.
- The personal and contact details provided on this form must match your existing account or proof of identification.
- Brokerage rates apply. Please refer to the Financial Services Guide available on our website to view the brokerage rates.

Important Information

Supporting documentation

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

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

Certified copy of Probate

OR

Certified copy of Death Certificate **and**

Certified copy of Last Will and Testament **and**

Small Estate Indemnity form

Change of Settlement Options, Bank Account Details and Dividend Redirection Request form

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

Certified copy of Probate

Change of Settlement Options, Bank Account Details and Dividend Redirection Request form

Next steps

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

Payment can only be credited to an Australian bank account.

If the bank account is in the name of the Estate, we will require a 'Change of Settlement Options, Bank Account Details and Dividend Redirection' form to be completed with an Australian bank account in the name of the Estate and signed by all executors.

If the bank account is in the name of your solicitors trust, we will require:

'Change of Settlement Options, Bank Account Details and Dividend Redirection' form to be completed with an Australian Bank Account in the name of the solicitor's trust signed by all executor/s.

Signed Written Request stating that the BSB and Account Number is the solicitors trust account signed by all executor/s and the solicitor.

A copy of your solicitors ID (Driver Licence or passport) so that we can verify their signature on the request.

Please have your solicitor submit these documents from their work email address.

How to correctly certify documents

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

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

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

Best execution policy disclosure

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

General advice warning

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

Privacy statement

We are collecting your personal information in connection with executing your trade transaction. 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 lodge a complaint, refer to our Privacy Policy which is available on our website.

1. Executor/Trustee Details

Executor/Trustee 1 – Primary contact

Mr Ms Mrs Miss Dr Other

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

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

Executor/Trustee 2

Mr Ms Mrs Miss Dr Other

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

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

Executor/Trustee 3

Mr Ms Mrs Miss Dr Other

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

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

2. Share Registration Details

Choose ONE of the following options:

Option A – Sell all broker sponsored shares on the account:

Account number

Holder Identification Number (HIN)

[Input field for Account number]

[Input field for Holder Identification Number (HIN)]

OR

Option B – Sell only the following shares:

Name of shares – e.g. TLS, CBA, IAG

Holder identification Number (HIN)

Number of units to be sold

Name of shares – e.g. TLS, CBA, IAG	Holder identification Number (HIN)	Number of units to be sold

To sell more than 8 different holdings, please photocopy this page, complete and attach to this form

3. Declaration & Signature/s

By signing this document:

- I/We instruct AUSIEX to sell the above mentioned securities at the prevailing market price as soon as practicable.
- I/We have downloaded, read and accepted the AUSIEX Trading Terms and Conditions and the Financial Services Guide, both available to download from our website.

Executor/Trustee 1

Full name

[Input field for Full name]

Date signed – DD/MM/YYYY

[Input field for Date signed]

Signature – Must be signed pen to paper

[Input field for Signature]

Executor/Trustee 2

Full name

[Input field for Full name]

Date signed – DD/MM/YYYY

[Input field for Date signed]

Signature – Must be signed pen to paper

[Input field for Signature]

Executor/Trustee 3

Full name

[Input field for Full name]

Date signed – DD/MM/YYYY

[Input field for Date signed]

Signature – Must be signed pen to paper

[Input field for Signature]

- This form is a requirement in conjunction with the disbursement instructions to dissolve the trust or to sell the shares; it does not replace sales/transfer instructions.
- This form is to be provided with a certified copy (do not provide original) of the most recent copy of the Trust Deed, or amendments to the Trust Deed.

1. Trust Account Details

Share Trading account number

Holder Identification Number (HIN)

Full Name of Trust Account – e.g. John Smith & Greg Smith <Smith SMSF A/C>

Account Designation

Late Trustee Name

2. Trustee Details

Trustee 1

Mr Ms Mrs Miss Dr Other

First name

Middle name/s

Surname

Trustee 2

Mr Ms Mrs Miss Dr Other

First name

Middle name/s

Surname

Trustee 3

Mr Ms Mrs Miss Dr Other

First name

Middle name/s

Surname

3. Declaration & Signature/s

I/We request AUSIEX to disburse all the sponsored holdings by means of selling and/or transferring into my/our name(s) as trustee(s) for the Trust. I/We confirm the holdings above are all for the Trust and we have the appropriate legal authority to request this disbursement. I/We indemnify AUSIEX, and its related bodies corporate, against any claims and losses resulting from the subsequent sale/transfer as instructed. I/We note Westpac Share Trading advises Trustees to seek their own legal, financial and tax advice in regard to the matters covered in this letter.

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

Trustee 1

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Trustee 2

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Trustee 3

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Witness 1

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Witness 2

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

Witness 3

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper*

i All signatures are required to be original. Witness/es to signature/s who certifies that the person/s who has/have signed this statement is/are known to him/her and has/have signed with his/her signatures in his/her presence or both. The witness should be a neutral third party and not a family member or someone who has significant interest in your affairs.

Australian Investment Exchange Limited ABN 71 076 515 930, AFSL 241400 ('AUSIEX') is a wholly owned subsidiary of Nomura Research Institute, Ltd. ('NRI'). AUSIEX is a Market Participant of ASX Limited ('ASX') and Cboe Australia Pty Ltd ('Cboe'), a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited. All trading, clearing, settlement and CHES sponsorship arrangements are held directly with AUSIEX.

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