

# Off Market Transfer for Non-Market Transactions

Share Trading is a service provided by Australian Investment Exchange Ltd (the Participant, we, us, our) ABN 71 076 515 930 AFSL 241400, a participant of the ASX Group and Chi-X Australia.



Use this form to transfer a holding of shares from one party to another without buying and selling on the market. For general information on Off-Market Transfers or assistance completing the forms, please contact us between 8.30am and 6.30pm (Sydney time) Monday to Thursday and between 8.30am and 6.00pm (Sydney time) Friday on the details at the top of this page. The table below outlines the types of transfers that can be affected and the required process and applicable charges.

## Identification Requirements

If you are not a client of the Participant, we are required by law to identify all individuals. All individuals who are not existing clients need to provide evidence of identification as stated in the relevant section of the form.

## Where to send the completed form?

Once completed and signed, please make a copy for your records and return the original form and any supporting documents by post to the details listed at the top of this page.

## Instructions for each type of Off-Market Transfer

Seller	Buyer	Process	Our Charges
Transfer from your CHESS sponsored account with the Participant	Transfer to a CHESS sponsored account with the Participant	<ol style="list-style-type: none"> <li>1. Read the guidelines (Page 7)</li> <li>2. Complete the Standard Transfer Form (Page 6)</li> <li>3. Send the completed form to the above address</li> </ol>	\$55 per transfer. GST Inclusive.
Transfer from your CHESS sponsored account with the Participant	Transfer to an Issuer Sponsored Holding	<ol style="list-style-type: none"> <li>1. Read the guidelines (Page 7)</li> <li>2. Complete the Standard Transfer Form (Page 6)</li> <li>3. Send the completed form to the above address</li> </ol>	\$55 per transfer. GST Inclusive.
Transfer from your CHESS sponsored account with the Participant	Transfer to another Broker's CHESS Sponsored Account	<ol style="list-style-type: none"> <li>1. Read the guidelines (Page 7)</li> <li>2. Complete the Standard Transfer Form (Page 6)</li> <li>3. Send the completed form to the above address</li> </ol>	No Fee. The other Broker may charge you a fee.
Transfer your Issuer Sponsored Shares	Transfer to a CHESS Sponsored Account with the Participant or another Broker	<ol style="list-style-type: none"> <li>1. The Seller/s must complete the ID requirements (Pages 2 – 5)</li> <li>2. Read the guidelines (Page 7)</li> <li>3. Complete the Standard Transfer Form (Page 6)</li> <li>4. Send the completed form to the above address</li> </ol>	\$55 per transfer. GST Inclusive.
Transfer your Issuer Sponsored Shares	Transfer to an Issuer Sponsored Holding	<ol style="list-style-type: none"> <li>1. Contact the relevant Share Registry and confirm process applicable.</li> </ol>	The Participant is unable to process this transfer.

Any questions regarding the tax implications of an Off Market Transfer should be directed to an accountant or a professional investment adviser.

## Privacy Statement

The Participant is collecting your personal information in connection with your role as the buyer or seller of Issuer Sponsored holdings. 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 at the website listed at the top of this page.



### Identification (ID) Requirements

We are required by law to identify all individuals who wish to transfer their Issuer Sponsored holdings. All individuals who are not existing clients need to complete Section 2 and provide evidence of identification (ID).

- Proof of ID documents must be in the exact same details provided in Section 2.
- **See the *Identification Documentation Requirements* available from the website for more information.**

### Section 1 – Existing Client Details

If you are the Seller of Issuer Sponsored holdings and you have a Trading Account in the same name as the Issuer Statement. Please provide your Trading Account details below

Trading Account Number

Trading Account Name

**Or**

If any of the Sellers have an existing individual Trading Account, please provide their Trading Account details below: For Trusts and Companies – provide the existing individual Trading Accounts for all parties for the company or trust that are operating on the account and are signing the Standard Transfer Form.

Trading Account Number

Trading Account Name

Trading Account Number

Trading Account Name



### Where to from here?

**All Sellers have been identified by providing their Trading Account details** – complete the Standard Transfer Form on Page 6.

**Otherwise** – complete Section 2.

### Section 2 – Non Client Identification Requirements

Complete this section if you are the Seller of Issuer Sponsored holding and you **do not** have a Trading Account with us.

See the *Identification Documentation Requirements* available from the website for more information on acceptable ID and how to certify acceptable ID.

**Which type of Seller are you completing these ID Requirements for?**

- Individual    Joint    Company  
 SMSF/Trust – Individual/Joint as trustee  
 SMSF/Trust – Company as trustee



### Where to from here

**All** – Please start by providing your personal details in Section 2.1.

### Section 2.1 – Individual Details

#### Individual 1/Director 1/Trustee 1

In what capacity are you completing this section:

Individual    Director/Secretary    Trustee

Mr    Ms    Mrs    Miss    Dr    Other

Given Name/s

Surname

Other name/s commonly known by (if applicable)

Date of Birth

Gender

Male    Female

#### Address Details

Residential Address (cannot be a PO Box)

State	Postcode
Country (if not Australia)	

Postal Address  Same as Residential Address

State	Postcode
Country (if not Australia)	

#### Contact Details

Email Address

Tick your preferred contact number

Mobile

Home ( )

Work ( )

Fax ( )

Are you a sole trader?

Yes    No

If yes, complete the next 2 questions:

Sole Trader Business Name

Sole Trader ABN

## Section 2.1 – Individual Details (continued)

### Identification Requirements

- I will attach certified copies of ID (Your ID documents must be in the exact same details as those provided in this form. See to the *Identification Documentation Requirements* available from the website for more information.)

### Overseas Individuals Only

Occupation

Reason for seeking this service in Australia



### Where to from here?

**Joint Individuals** – Please complete this section to add additional individuals. (Photocopy and complete this section to add additional Individuals if required).

**Company/Company Trust/SMSF** – Please provide your Company/Company Trustee details in Section 2.2.

**Individual Trust/Joint Trust/SMSF** – Please provide your trust details in Section 2.3.

**Otherwise** – Please complete the Standard Transfer Form on Page 6.

Tick your preferred contact number

Mobile

Home

Work

Fax

### Identification Requirements

- I will attach certified copies of ID (Your ID documents must be in the exact same details as those provided in this form. See to the *Identification Documentation Requirements* available from the website for more information.)

### Overseas Individuals Only

Occupation

Reason for seeking this service in Australia



### Where to from here?

**Company/Company Trust/SMSF** – Please provide your Company/Company Trustee details in Section 2.2.

**Individual Trust/Joint Trust/SMSF** – Please provide your trust details in Section 2.3.

**Otherwise** – Please complete the Standard Transfer Form on Page 6.

### Individual 2/Director 2/Trustee 2

In what capacity are you completing this section:

Individual  Director/Secretary  Trustee

Mr  Ms  Mrs  Miss  Dr  Other

Given Name/s

Surname

Other name/s commonly known by (if applicable)

Date of Birth

Gender

Male  Female

### Address Details

Same as Individual 1

**Or**, complete the following

Residential Address (cannot be a PO Box)

State Postcode

Country (if not Australia)

Postal Address  Same as Residential Address

State Postcode

Country (if not Australia)

### Contact Details

Email Address

## Section 2.2 – Company Details

Company Name

Australian Company Number (ACN)

Registered Business Name

### Address Details

Registered Business Address (cannot be a PO Box)

State Postcode

Postal Address  Same as Registered Business Address

State Postcode

Principle Place of Business (cannot be a PO Box)

Same as Registered Business Address

State Postcode

### Contact Details

Email Address

Phone

## Section 2.2 – Company Details (continued)

Is the company operating as a charity?

Yes  No

If yes, what is the purpose of the charity?

Was the company established in Australia?

Yes  No

If no, please complete the next four questions

Country of formation/incorporation/registration

What is the Company's business activity?

What is the purpose of seeking this service in Australia?

Is this foreign company registered with ASIC?

Yes Please provide Australian Registered Body Number (ARBN)

No Please provide the unique identification number issued to the company on its registration/incorporation with the foreign registration body and attach a copy of original certificate of registration issued by the foreign registration body

Company Type  Public  Proprietary/Private

### Additional Director Details

Please list the full name/s of **all** Additional Directors of the foreign company or domestic proprietary that are not listed in Section 2.1. If there are more than 2 Additional Directors, please photocopy this section, complete and attach to the form.

#### Additional Director 1

Mr  Ms  Mrs  Miss  Dr  Other

Given Name/s

Surname

#### Additional Director 2

Mr  Ms  Mrs  Miss  Dr  Other

Given Name/s

Surname

### Shareholder Details

If Proprietary/Private, please provide details of **all** individuals who are beneficial owners through one or more (direct/indirect) shareholdings of more than 25% of the company's issued capital.

#### Shareholder 1

Same as Individual 1

**Or**, complete the following

Mr  Ms  Mrs  Miss  Dr  Other

Given Name/s

Surname

Residential Address (cannot be a PO Box)

State

Postcode

Country (if not Australia)

#### Shareholder 2

Same as Individual 2

**Or**, complete the following

Mr  Ms  Mrs  Miss  Dr  Other

Given Names/s

Surname

Residential Address (cannot be a PO Box)

State

Postcode

Country (if not Australia)

#### Shareholder 3

Same as Individual 3 (if applicable)

**Or**, complete the following

Mr  Ms  Mrs  Miss  Dr  Other

Given Name/s

Surname

Residential Address (cannot be a PO Box)

State

Postcode

Country (if not Australia)



### Where to from here?

**Company Trust/SMSF** – Please provide your trust details in Section 2.3.

**Otherwise** – Please complete the Standard Transfer Form on Page 6.

## Section 2.3 – Trust Details

### Trust Type

SMSF  Charity  Informal  Family  Minor

Other, please specify below

Full Trust Name (as per Trust Deed)

## Section 2.3 – Trust Details (continued)

### Address Details

Same as Individual 1  Same as Company

Or, complete the following:

Registered Address of the Trust (cannot be a PO Box)

State	Postcode
Country (if not Australia)	

Postal Address  Same as Registered Address of the Trust

State	Postcode
Country (if not Australia)	

### Contact Details

Email Address

Phone

**The following two questions are not applicable for Minor trust types**

Is the trust operating as a charity?

Yes  No

If yes, what is the purpose of the charity?

Was the trust established in Australia?

Yes  No

If no, please complete the following 3 questions

What country was the trust established in?

What is the objective of the trust?

What is the purpose of seeking this service in Australia?

### Identification Requirement

I will attach a certified copy of the front page of the Trust deed containing the trust name (and a deed of amendment if applicable) and showing the trustee's signature/s with witness signatures (if formal trust).

### Additional Trustee Details

If there are more than 2 trustees not already listed as Individuals in Section 2.1, please provide names and addresses for those additional trustees.

For any additional trustees please photocopy this section, complete and attach to the form.

#### Additional Trustee 1

Mr  Ms  Mrs  Miss  Dr  Other

Given Name/s

Surname

Residential Address (cannot be a PO Box)

State	Postcode
Country (if not Australia)	

#### Additional Trustee 2

Mr  Ms  Mrs  Miss  Dr  Other

Given Name/s

Surname

Residential Address (cannot be a PO Box)

State	Postcode
Country (if not Australia)	

### Beneficiary Details

Please provide the type of membership class (e.g. unit holder, family member) or the full name of each beneficiary. If there are more than 2 membership classes/beneficiaries please photocopy this section, complete and attach to the form.

Membership classes

  

Or

#### Beneficiary 1

Mr  Ms  Mrs  Miss  Dr  Other

Given Name/s

Surname

#### Beneficiary 2

Mr  Ms  Mrs  Miss  Dr  Other

Given Name/s

Surname



### Where to from here?

Please complete the Standard Transfer Form on Page 6.

# Standard Transfer Form for Off-Market Transactions



Please refer to the guidelines for completing this form over the page. Please use CAPITAL LETTERS.  
Once fully completed, signed and dated, please return the original form by post to us.

## Section 1 – Seller Details

**1. Name of Security** ASX Code

**2. Description of Securities** (e.g fully paid, partly paid) If not fully paid, paid to

**3. Quantity of Securities**  
 Number  In words

**4. Name/s of Seller/s** (Full Name, Company Name or Name of Estate) **5. Postal Address of Seller/s**  
  
  
 State  Postcode  
 Country (if not Australia)

Account Designation (if applicable)

**6. Contact Phone Number/s of Seller** (include area code where applicable)

**7. PID** (if applicable)  **8.**  **SRN** or  **HIN** (please tick) **9. Trading Account Number** (if applicable)  
 Number

**10. Consideration**  \$A **11. Date of Transfer**

## Section 2 – Buyer Details

**12. Name/s of Buyer/s** (Full Name or Company Name) **13. Postal Address of Buyer/s**  
  
  
 State  Postcode  
 Country (if not Australia)

Account Designation (if applicable)

**14. Contact Phone Number/s of Buyer** (include area code where applicable)

**15. PID** (if applicable)  **16.**  **SRN** or  **HIN** (please tick) **17. Trading Account Number** (if applicable)  
 Number

## Section 3 – Declaration & Signature/s

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 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.

### 18. All Seller/s must sign here

Securityholder 1 (individual/Executor, Sole Director or Director/Secretary)

 X

Securityholder 2 (individual/Executor or Director/Secretary)

 X

Securityholder 3 (Individual/Executor or Director/Secretary)

 X

### 19. Date Signed (Seller) MANDATORY

### 20. All Buyer/s must sign here

Securityholder 1 (individual/Executor, Sole Director or Director/Secretary)

 X

Securityholder 2 (individual/Executor or Director/Secretary)

 X

Securityholder 3 (Individual/Executor or Director/Secretary)

 X

### 21. Date Signed (Buyer) MANDATORY

# Guidelines for Completing the Standard Transfer Form for Off-Market Transactions



- These guidelines are information to assist completion of this form. Transfers or other documents must meet the requirements of the broker and/or company concerned, which may change.
- All corrections and/or amendments need to be initialled by both the seller and buyer.
- The use of correction fluid or tape renders the form invalid.
- Any increase to the amount of securities being transferred is not acceptable, even if initialled.

Each of the following points refers to a section of the Standard Transfer Form for Off-Market Transactions.

## 1. Name of Security:

The full name of the company or trust in which the securities are held (e.g. Woolworths Limited, Reef Casino Trust, etc) and the ASX Code.

## 2. Description of Securities:

Class – for example Fully Paid Ordinary Shares, Unsecured Convertible Notes, Partly Paid Shares etc. This can be found on the certificate or statement.

## 3. Quantity of Securities:

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

## 4. Name of Seller:

The title, given name and surname of the seller.

For companies, insert the company legal name.

Deceased estates should read “Estate of (full name of the deceased shareholder)”. If transferring from an executor’s account, it should read “(name of the executor) as executor for (full name of the deceased shareholder).

For a superannuation fund, family trust or minor, insert the name of the entity or person in the account designation section. If the trustee is an individual, please insert the trustee surname and given names. If the trustee is a company, please insert the company legal name.

## 5. Postal Address of Seller:

Insert the full address including the postcode exactly as printed on seller’s holding statement.

## 6. Contact Phone Number of Seller:

Insert the seller’s contact phone number/s including area code.

## 7. Participant Identification Number (PID):

Insert Participant Identification Number (if applicable). This is the seller’s sponsoring broker where security is held (e.g. Australian Investment Exchange PID 6381).

## 8. Securityholder Reference Number (SRN) or Holder Identification Number (HIN):

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.

If a SRN is quoted, a current Issuer Holding statement must be supplied.

## 9. Trading Account Number:

Insert the Trading Account Number where the securities are currently held (where applicable).

Please ensure that the registration details correspond to those registered under that Trading Account Number.

## 10. Consideration:

The full amount paid in settlement of the transfer of securities. You may set your own consideration. For capital gains tax purposes however, if you are not dealing at “arms length” the consideration will be deemed at a fair market value for the date of transfer (i.e. for this transaction, not the original transfer), regardless of the actual consideration you decide to set. Closing, or last prices are quoted in the daily newspapers. (Please note: If you are unsure whether you are dealing at “arms length”, please seek independent financial advice).

## 11. Date of Transfer:

Insert date of transfer. This should be on or before the date in points 19 and 21. **Please note that this is the date the transfer has been effected between the Seller and Buyer.**

## 12. 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. 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 and CBA). If the trust or superannuation fund trustee is an individual, please insert the trustee surname and given names. If the trustee is a company, please insert the company legal name.

## 13. Postal Address of Buyer:

Insert the full address including the postcode exactly as printed on the buyer’s holding statement, trading account or within postal guidelines for new holdings.

## 14. Contact Phone Number of Buyer:

Insert the buyer’s contact phone number/s including area code.

## 15. Participant Identification Number (PID):

Insert Participant Identification Number (if applicable). This is the buyer’s sponsoring broker where security will be held.

## 16. Securityholder Reference Number (SRN) or Holder Identification Number (HIN):

The buyer’s SRN or HIN may be inserted, if known, so that any previous holdings may be amalgamated.

## 17. Trading Account Number:

Insert the Trading Account Number where the securities are to be held (where applicable).

Please ensure that the registration details correspond to those registered under that Trading Account Number.

## 18. Seller Signature:

- a) Joint holders – all holders must sign.
- b) Under Power of Attorney – if not already noted, a certified copy of the Power of Attorney must be sent with the transfer form to us.
- c) Deceased Estate – all executors should sign and, if not already noted, a certified copy of Probate or Letters of Administration must be sent with the transfer form to us.
- d) Company – signatures of two directors (or a director and the secretary) or if there is a sole director, signature of that director.

## 19. Date Signed (Seller) (Mandatory):

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

## 20. Buyer Signature:

Same requirements as point 18.

## 21. Date Signed (Buyer) (Mandatory):

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