

# OFF MARKET TRANSFER FORM

Commonwealth Securities Limited  
 ABN 60 067 254 399 AFSL 238814 (CommSec)  
 A Participant of the ASX Group and Chi-X Australia

Commonwealth Securities Limited  
 commsec.com.au  
 Phone: 13 15 19  
 Email: [OMTRequests@CommSec.com.au](mailto:OMTRequests@CommSec.com.au)

## IMPORTANT INFORMATION

The Off Market Transfer Form is to be used if you wish to transfer a holding of shares from one party to another without buying and selling on the market. For use when transferring shares between another Brokers Account and your CommSec Trading Account or from your CommSec Trading Account out to the Share Registry.

- 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.
- The transfer of stocks 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 stock transfers is available on the ATO website. You should seek independent, professional tax advice before making any decision in relation to the transfer.

- CBA is not a registered tax (financial) adviser under the Tax Agent Services Act 2009 and is unable to provide you with tax advice in relation to this communication.
- For general information on Off Market Transfers or assistance in completing the form, please refer to the Guidelines for completing this form on page 2 of this form.

### Next Steps:

- Once completed, print, sign and scan the form back to us at [OMTRequests@CommSec.com.au](mailto:OMTRequests@CommSec.com.au).

## READ BEFORE PROCEEDING

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

SELLER	BUYER	PROCESS	COMMSEC CHARGES
Transfer from your CommSec CHESS Sponsored Account	Transfer to a CommSec CHESS Sponsored Account*	1. Complete Transfer Form (Page 3) 2. Email form to CommSec	\$54 per transfer. GST inclusive.
Transfer from your CommSec CHESS Sponsored Account	Transfer to an Issuer Sponsored Holding	1. Complete Transfer Form (Page 3) 2. Email form to CommSec	\$54 per transfer. GST inclusive.
Transfer from another broker's CHESS Sponsored Account	Transfer to a CommSec CHESS Sponsored Account*	1. Complete Transfer Form (Page 3) 2. Email form to CommSec	No fee. The other Broker may charge you a fee.
Transfer from your CommSec CHESS Sponsored Account	Transfer to another Broker's CHESS Sponsored Account	1. Contact the other Broker to initiate request	No fee. The other Broker may charge you a fee.
Transfer your Issuer Sponsored Shares	Transfer to a CommSec CHESS Sponsored Account*	1. Complete the Off Market Transfer for Issuer to Chess Transactions form. To download the form log into your CommSec account and navigate to <i>Support &gt; Forms &amp; Brochures: Australian Shares &gt; Off Market Transfer.</i>	\$54 per transfer. GST inclusive.
Transfer your Issuer Sponsored Shares	Transfer to an Issuer Sponsored Holding	1. Contact the relevant Share Registry and confirm process applicable	CommSec is unable to process this transfer.

For general information on Off Market Transfers or assistance completing the form, please contact our Equity Associates on 13 15 19 between 8am and 7pm (Sydney time), Monday to Friday

\* Note that for CommSec Pocket Accounts, only approved securities will be transferred.

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## GUIDELINES FOR COMPLETING THIS FORM

### SECTION A – SELLER(S)/TRANSFEROR(S) DETAILS

1. **ACCOUNT REGISTRATION NAME OF SELLER:** The given names and surname of the seller(s).  
 Deceased estates 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, please insert the trustee given names and surname.  
 If the trustee is a company, please insert the company legal name.  
<sup>1</sup>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.
2. **REGISTERED ADDRESS:** Insert the full address including the postcode exactly as printed on seller's holding statement.
3. **CONTACT PHONE NUMBER OF SELLER:** Insert the seller's contact phone number(s) including area code.
4. **PID (PARTICIPANT IDENTIFICATION NUMBER):** Insert Participant Identification Number (if applicable). This is the seller's sponsoring broker where security is held. (E.g. CommSec's PID is 01402).
5. **TRADING A/C:** Insert the Trading account number where securities are currently held (where applicable).
6. **SRN (SECURITYHOLDER REFERENCE NUMBER) or HIN (HOLDER IDENTIFICATION NUMBER):** This number can be found on the Issuer Holding statement or a CHES 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 B – BUYER(S)/TRANSFeree(S) DETAILS

7. **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. 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 given names and surname.  
 If the trustee is a company, please insert the company legal name.  
<sup>1</sup>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.
8. **REGISTERED ADDRESS:** Insert the full address including the postcode exactly as printed on buyer's holding statement.
9. **CONTACT PHONE NUMBER OF BUYER:**  
 Insert the buyer's contact phone number(s) including area code.
10. **PID (PARTICIPANT IDENTIFICATION NUMBER):** Insert Participant Identification Number (if applicable). This is the buyer's sponsoring broker where security will be held. (E.g. CommSec's PID is 01402).
11. **TRADING A/C:** Insert the account number where securities are to be held (where applicable).
12. **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 C – SECURITY DETAILS

13. **SECURITY NAME:** The full name of the company or trust in which the securities are held (e.g. Commonwealth Bank of Australia, Woolworths Limited, Reef Casino Trust, etc.).
14. **ASX CODE:** The unique trading code of the security used by the Australian Stock Exchange (ASX) (e.g. the ASX code for the Commonwealth Bank is CBA, for Woolworths Limited is WOW, for Reef Casino Trust is RCT, etc.).
15. **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.
16. **UNITS:** Number of securities being transferred (in both numbers and words).
17. **CONSIDERATION:** The full amount paid in settlement of the transfer of securities. You may set your own consideration.
18. **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 in points 20 and 22.

### SECTION D – SIGNATURES

19. **SELLERS 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.
20. **DATE SIGNED:** Insert the date signed by the seller(s). This should be the same as or after the date of transfer.
21. **BUYERS SIGNATURE:** Same requirements as point 19.
22. **DATE SIGNED:** Insert the date signed by the buyer(s). This should be the same as or after the date of transfer.

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## SECTION A – SELLER(S)/TRANSFEROR(S) DETAILS

**A**

1. Account registration name (Full Name, Company Name or Name of Estate – exactly as per holding registration details)

A/C Designation<sup>1</sup> (if applicable for your Trust account)

2. Registered address  
 State  Postcode

3. Contact Details (Seller)  
 Home Number (include area code where applicable)  Mobile Number   
 ( ) ( )

4. PID (if applicable)  5. Trading Account Number (if applicable)  6. SRN (i)  or HIN (x)  (please tick)  
 Number

## SECTION B – BUYER(S)/TRANSFeree(S) DETAILS

**B**

7. Account registration name (Full Name, Company Name or Name of Estate – exactly as per holding registration details)

A/C Designation<sup>1</sup> (if applicable for your Trust account)

8. Registered address  
 State  Postcode

9. Contact Details (Buyer)  
 Home Number (include area code where applicable)  Mobile Number   
 ( ) ( )

10. PID (if applicable)  11. Trading Account Number (if applicable)  12. SRN (i)  or HIN (x)  (please tick)  
 Number

## SECTION C – SECURITY DETAILS

**C**

13. Security Name  14. ASX Code

15. Full description of securities CLASS (e.g. fully paid, partly paid)  If not fully paid, paid to

16. Units In numbers  In words

17. Consideration  \$A 18. Date of Transfer  DD/MM/YYYY

## SECTION D – SIGNATURES

**D**

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.

	Security Holder 1	Security Holder 2	Security Holder 3
19. Print full name(s) of Seller(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
All Seller(s) must sign here (digital signatures not accepted)	<input type="text"/>	<input type="text"/>	<input type="text"/>
20. Date Signed (mandatory)	<input type="text"/> DD/MM/YYYY	<input type="text"/> DD/MM/YYYY	<input type="text"/> DD/MM/YYYY
21. Print full name(s) of Buyer(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
All Buyer(s) must sign here (digital signatures not accepted)	<input type="text"/>	<input type="text"/>	<input type="text"/>
22. Date Signed (mandatory)	<input type="text"/> DD/MM/YYYY	<input type="text"/> DD/MM/YYYY	<input type="text"/> DD/MM/YYYY