

**Deceased Estate Supporting Documentation
For Transmission/Transfer of securities or Sale through Link Market Services' Share Sale Facility**

1. Joint Holding – Checklist

1. A certified copy of the Death Certificate.
OR
A certified copy of Probate.
OR
A certified copy of Letters of Administration.

Notes:

Joint holdings – are held as joint tenants. The *Corporations Act 2001* recognises only the surviving joint holder as being entitled to the deceased securityholder's interest in the securities.

2. Individual Holding – Checklist (If an overseas (non-Australian) holder, refer to the checklist on reverse)

<p>Probate HAS been granted The value of the securities as at the date of death or the current value, whichever is the greater, exceed the threshold? If so, you will need the following.</p>
<ol style="list-style-type: none"> 1. A certified copy of Probate 2. Section 1071B Statement form 3. A certified copy of South Australian Section 121A Certificate (if the Probate has been granted in the State of South Australia)
<p>If Probate HAS NOT been granted. Does the value of the securities as at the date of death or current value, whichever is the greater, exceed the threshold? If so, you will need the following.</p>
<ol style="list-style-type: none"> 1. A certified copy of Probate 2. Section 1071B Statement form 3. A certified copy of South Australian Section 121A Certificate (if the Probate has been granted in the State of South Australia)
OR
<ol style="list-style-type: none"> 1. A Transfer Indemnity Bond (<i>Acceptable for Transmission or Transfer of securities only</i>) 2. A certified copy of the Death Certificate. 3. A certified copy of the Will.
<p>If Probate HAS NOT been granted. Is the value of the securities as at the date of death or current value, whichever is the greater, less than the threshold? If so, you will need the following.</p>
<ol style="list-style-type: none"> 1. A certified copy of the Death Certificate 2. A certified copy of the Will 3. Small Estate Statement and Indemnity form
<p>If the Deceased DID NOT leave a valid Will (Intestacy). Does the value of the securities as at the date of death or current value, whichever is the greater, exceed the threshold? If so, you will need the following.</p>
<ol style="list-style-type: none"> 1. A certified copy of Letters of Administration 2. Section 1071B Statement form 3. A certified copy of South Australian Section 121A Certificate (if the Letters of Administration has been granted in the State of South Australia)
OR
<ol style="list-style-type: none"> 1. Transfer Indemnity Bond (<i>Transfer Indemnity Bond acceptable for Transmission or Transfer of securities only</i>) 2. A certified copy of the Death Certificate. 3. Statutory Declaration and Indemnity Next of Kin form
<p>If the Deceased DID NOT leave a valid Will (Intestacy). Is the value of the securities as at the date of death or current value, whichever is the greater, less than the threshold? If so, you will need the following.</p>
<ol style="list-style-type: none"> 1. A certified copy of the Death Certificate 2. Statutory Declaration and Indemnity Next of Kin form 3. Small Estate Statement and Indemnity form

3. Individual Holding – Checklist for Overseas Holders
Where a foreign (non-Australian) Probate HAS been granted. Does the value of the securities as at the date of death or the current value, whichever is the greater, exceed the threshold? If so, you will need the following.
1. A certified copy of the foreign Probate re-sealed in an Australian Supreme Court (<i>See note below regarding re-seal of Probate</i>).
OR
Originally certified copy of Probate, granted in an Australian Supreme Court.
2. Section 1071B Statement form
3. A certified copy of South Australian Section 121A Certificate (if the Probate has been granted or re-sealed in the State of South Australia)
If a foreign (non-Australian) Probate HAS NOT been granted. Does the value of the securities as at the date of death or current value, whichever is the greater, exceed the threshold? If so, you will need the following.
1. A certified copy of Probate, granted in an Australian Supreme Court
2. Section 1071B Statement form
3. A certified copy of South Australian Section 121A Certificate (if the Letters of Administration has been granted in the State of South Australia)
OR
1. A Transfer Indemnity Bond (<i>Acceptable for Transmission or Transfer of securities only</i>)
2. A certified copy of the Death Certificate.
3. A certified copy of the Will.
If a foreign (non-Australian) Probate HAS been granted. Is the value of the securities as at the date of death or current value, whichever is the greater, less than the threshold? If so, you will need the following.
1. A certified copy of the foreign Probate
2. Small Estate Statement and Indemnity form
If Probate HAS NOT been granted. Is the value of the securities as at the date of death or current value, whichever is the greater, less than the threshold? If so, you will need the following.
1. A certified copy of the Death Certificate
2. A certified copy of the Will
3. Small Estate Statement and Indemnity form
If the Deceased DID NOT leave a valid Will (Intestacy). Does the value of the securities as at the date of death or current value, whichever is the greater, exceed the threshold? If so, you will need the following.
1. A certified copy of the foreign Letters of Administration re-sealed in an Australian Supreme Court (<i>See note below regarding re-seal of Letters of Administration</i>).
OR
A certified copy of Letters of Administration, granted in an Australian Supreme Court.
2. Section 1071B Statement form
3. A certified copy of South Australian Section 121A Certificate (if the Letters of Administration has been granted in the State of South Australia)
OR
1. A Transfer Indemnity Bond (<i>Acceptable for Transmission or Transfer of securities only</i>)
2. A certified copy of the Death Certificate.
3. A Statutory Declaration and Indemnity Next of Kin form.
If the Deceased DID NOT leave a valid Will (Intestacy). Is the value of the securities as at the date of death or current value, whichever is the greater, less than the threshold? If so, you will need the following.
1. A certified copy of the Death Certificate
2. Statutory Declaration and Indemnity Next of Kin form
3. Small Estate Statement and Indemnity form

Note regarding re-seal of overseas Probate or Letters of Administration in Australia

Re-seal of Probate is acceptable only when the original overseas Probate has been granted in a Commonwealth country. If the original foreign Probate has *not* been granted in a Commonwealth country, a FULL Australian grant must be obtained.

Definitions

Certified Copy – Is a copy of the original document certified to be a true and correct copy of the original by an authorised person who can witness a Statutory Declaration such as a Justice of the Peace, Chartered Accountant, Police officer etc. A full signatory list of persons who can certify documents can be found at www.ag.gov.au/statdec. *The certification signature must be original.*

Death Certificate - a legal document issued by the Registrar of Births, Deaths and Marriages. This is not the same as a 'Medical Certificate as to the Cause of Death', which is not acceptable as a supporting document.

Grant of Probate - an official court document stating that the Will is legally valid, and the named Executor(s) of the Will has the authority to administer the estate.

Intestacy – a term used to describe the situation where a person has died without leaving a valid Will.

Letters of Administration - an official court document issued where there is no Will, appointing an Administrator to administer the estate of the deceased, similar to an Executor.

Request for Transmission – Surviving Joint Holder form – The form used to transmit the securities to the surviving joint holder(s) only.

Standard Transfer form - The form used to transfer the securities from the estate holding to the Beneficiaries named in the Will. If there is more than one Beneficiary and/or if the deceased held securities in more than one share company then separate transfer forms are required for each Beneficiary and each a share company. If there is more than one Beneficiary and they want to hold the securities in joint names, then only one transfer form is required. However, separate forms are still required if the securities are held in more than one share company.

Sale Authority form – The form used to sell the securities through Link Market Services' Share Sale Facility. Note that not all issuers participate in the Facility, please contact our office to confirm and obtain further information about this service.

Section 1071B Statement - a statement prescribed by Section 1071B of the *Corporations Act 2001*. It is required where a grant of Probate or Letters of Administration has been granted or re-sealed in a State or Territory other than where the securities are registered.

Small Estate Statement and Indemnity – used when it is not intended to apply for a grant of Probate or Letters of Administration because of the small value of the Australian assets of the estate when the market value of the securities as at the date of death or current market value whichever is greater, is less than the threshold.

South Australian Section 121A Registrar's Certificate prescribed by the Administration and Probate Act 1919 - applies only to Probate or Letters of Administration granted in the State of South Australia. An Executor or Administrator is required to disclose to the Court any assets and liabilities of the deceased person.

Threshold - The threshold value amount is \$15,000 (AUD). However, some Issuers may elect to establish a higher amount as the threshold. Please contact our office for further information regarding the threshold value.

Transmission Application - The form used to transmit the securities to the names of the Executor(s)/Administrator(s) of an estate. An account designation eg <Estate late [name of deceased]> is added.

The account designation does not form part of the registered name. It is not necessary to transmit the securities to the Executor(s)/Administrator(s) prior to a transfer of securities to the Beneficiary(s).

Transfer Indemnity Bond - a Transfer Indemnity Bond is an irrevocable and unconditional guarantee issued by a financially sound institution which is willing to guarantee that the "Last Will and Testament" of a deceased securityholder is indeed a valid document and should be recognised by the public company. This guarantee allows the securityholding to be transmitted or transferred without the need to obtain a Grant of Probate, Letters of Administration or a Reseal of Probate.

Where there is no Probate or Letters of Administration and the value of the holding exceeds the threshold, a Transfer Indemnity Bond is required (as opposed to a Small Estates Indemnity form). These bonds are available from:

Australian Probate Bonds Underwriting Agency, Attn: Andrew Lee
PO Box 5508
Stafford Heights QLD 4053
Australia
Phone: +61 7 3350 4225 Fax: +61 7 3350 4226

Any queries regarding the cost of obtaining a Transfer Indemnity Bond, based on the current market value plus 50% of the holding, should be directed to Australian Probate Bonds Underwriting Agency andrew@austprobate.com

Will - a legal document setting out the wishes of the deceased for the distribution of their assets.