

## How to complete the Standard Transfer Form

To minimise the risk of fraud relating to off-market transfers, Link has implemented fraud detection measures for all off-market transfers on listed entities.

### Proof of Identity

Evidence will need to be provided with each transfer form to confirm the identity of the seller as the current owner of the securities to be transferred. The buyer of the securities may also be required to provide identification to meet the new *Government Anti-Money Laundering (AML)* requirement. If you are unsure, please call us on **1300 554 474** for further information.

Please choose either Option 1 or Option 2 and send us a certified copy of the applicable document(s). Please **DO NOT** attach original documents as documents will not be returned. Proof of Identity documents will not be held on file and must be provided with each transfer form.

#### Option 1 – Please attach at least 1 document

<b>Primary photographic identity document</b>
Drivers Licence
Australian Passport (that has not expired more than 2 years ago)
International Travel Document – foreign passport (that has not expired more than 2 years ago)
Proof of Age Card
National Identity Card

#### OR Option 2 – Please attach at least 1 primary non-photographic document and 1 secondary non-photographic document

<b>Primary non-photographic identity document; AND</b>
Australian Birth Certificate or Extract of Birth
Australian Citizenship Certificate
Foreign Citizenship Certificate
Foreign Birth Certificate
A Centrelink Pension card or Centrelink Healthcare card
<b>Secondary non-photographic identity document</b>
A financial benefit notice issued by the Commonwealth, State or Territory within the last 12 months
An income tax assessment notice issued within the last 12 months
A local government notice (e.g. council rates) or utilities notice (e.g. power, gas or phone bill) issued within the last 3 months
In relation to a minor (under 18 years of age) a notice issued by a school principal within the last 3 months

#### All foreign language documents must be accompanied by an English translation prepared by an accredited translator

Depending on the type of seller, additional information may be required;

Seller	Additional Documents
<b>Individual</b>	<ul style="list-style-type: none"> <li>Documentation requested above</li> </ul>
<b>Joint Holders</b>	<ul style="list-style-type: none"> <li>Documentation requested above for each joint holder</li> </ul>
<b>Company</b>	<ul style="list-style-type: none"> <li>Documentation requested above for each director/secretary signing the transfer; and</li> <li>A certified copy of the Company Registration issued by a regulator</li> </ul>
<b>Authorised Representative for the seller</b>	<ul style="list-style-type: none"> <li>Documentation requested above for each authorised representative signing the transfer, and;</li> <li>A certified copy of the document appointing the authorised representative</li> </ul>
<b>Parent or Guardian of a minor</b>	<ul style="list-style-type: none"> <li>Documentation requested above for the parent or guardian signing the transfer, and;</li> <li>A certified copy of Birth Certificate for the minor</li> </ul>

### Fee

A fee\* of \$65.00 (GST Inclusive) will apply for each transfer of securities in a listed entity that requires a security validation check. For payments made by cheque, an additional cheque handling fee of \$10 (GST Inclusive) will apply. A single fee of \$65.00 (GST Inclusive) will be charged if multiple transfers from the same seller (registration details must be an exact match) are received by Link at the same time, plus the additional cheque handling fee if paid by cheque. Payment of the fee can be made either by credit card, cheque or money order. Refer to section D for further information regarding payment options.

### Help

If you need help completing this transfer, please contact our office on **1300 554 474**.

\* Exceptions – the security validation fee will not apply for the following transfers;

1. an Issuer that is not listed
2. a transfer out of a deceased estate
3. an Employee/Director of the Issuer

## A. Seller Details

### Full Name of Company, Corporation or Trust in which securities are held

This is the actual NAME of the Share Company, Corporation or Trust in which the securities being transferred/sold are held.

### Type of Security

This is either, Fully Paid Ordinary Shares, or Options, or Unsecured Convertible Notes, or Units, or Partly Paid Shares, etc...

**Note:** A separate standard transfer form must be completed for each different class of security and each different registered holding.

### Seller's Securityholder Reference Number (SRN)

The SRN can be found on issuer sponsored holding statements, dividend statements or certificates and starts with the letter " I ".

The transfer cannot be processed without the seller's SRN.

### Number of Securities to be sold

The number of securities being transferred (numbers only required)

### Consideration (Value of the transfer or sale)

The price paid by the buyer to the seller for the securities on the date of transfer/sale, or market value.

### Full registered name(s) of Seller(s)

Enter the given and last names of all securityholder(s) or company/corporation name shown on securityholder documents.

**Note: If either the seller or buyer has a "CHESS HIN", (CHESS HINs usually begin with an X) then please contact the sponsoring broker, as the transfer is unable to be processed by us.**

## B. Buyer Details

### Full name(s) of Buyer(s)

Enter the given and last names of the individual(s)/Trustee(s) or Company/Corporation acquiring the securities through this transfer. There is a maximum of three joint holders. Securities cannot be registered in an unincorporated trading name/business or in the name of a trust, a superannuation fund, a minor, or an estate or deceased person's name. If transferring into an existing holding you must write the name (and address) details of the existing holding **exactly** as they currently appear on the register.

### Buyer's Securityholder Reference Number (SRN)

If the buyer is an existing **issuer sponsored** holder of securities in the company, their SRN may be entered here.

**Note:** If either the seller or buyer has a "CHESS HIN", (CHESS HINs usually begin with an X) then please contact the sponsoring broker.

### Full postal address of Buyer(s)

Insert full address including the postcode. Only one address may be recorded, irrespective of the number of buyers.

## C. Sign Here

### Seller(s) and Buyer(s) Signatures and the Dates **MUST** be signed, and circle capacity under signatures

- a) Individuals The securityholder must sign in the appropriate boxes.
- b) Joint holdings Where holdings are in two or three names, all of the securityholders must sign in the appropriate boxes
- c) Power of attorney To sign as power of attorney (POA), you must have already lodged the Power of Attorney with the registry or alternatively attach a certified photocopy of the Power of Attorney to this form.
- d) Executors When the holding is in the name of an estate, all executor(s)/administrator(s) are required to sign. When executors and beneficiaries are the same people they will need to sign as seller and buyer. Probate requirements must also be complied with.
- e) Companies Two Directors OR a Director and Secretary OR Sole Director and Sole Company Secretary. Please ensure you sign in the appropriate boxes and circle your capacity.

## D. Payment of Fee

A fee of \$65.00 (GST Inclusive) will apply for each transfer of securities in a listed entity that requires a security validation check. For payments made by cheque, an additional cheque handling fee of \$10 (GST Inclusive) will apply. Please provide your credit card details in section D of the form or attach either a cheque/money order/bank cheque payable to Link Market Services Limited in Australian currency. A receipt for this payment will be issued to the seller. If payment is received from a third party, the receipt will be issued to the seller as we cannot issue a receipt to a third party address.

**Note:** Copies of documents forwarded must be **certified as a correct copy** by a person who in the state or territory of certification has the power to witness a statutory declaration. Any form or document that does not meet the company or trust's requirements will be returned without processing.

### Important Note for transfers of unlisted securities – Stamp Duty

For securities that are **listed** on the Australian Securities Exchange – stamp duty is **NOT** payable (unless the date signed is **before** 1 July 2001).

For **unlisted** securities – transfer forms for unlisted securities must be submitted to the **Revenue Office** in the State or Territory the share company is incorporated, for assessment and payment of stamp duty, **before** sending to Link Market Services Limited.

**Personal Information Collection Notification Statement:** Link Group advises that personal information it holds about you (including your name, address, date of birth and details of the financial assets) is collected by Link Group organisations to administer your investment. Personal information is held on the public register in accordance with Chapter 2C of the *Corporations Act 2001*. Some or all of your personal information may be disclosed to contracted third parties, or related Link Group companies in Australia and overseas. Your information may also be disclosed to Australian government agencies, law enforcement agencies and regulators, or as required under other Australian law, contract, and court or tribunal order. For further details about our personal information handling practices, including how you may access and correct your personal information and raise privacy concerns, visit our website at [www.linkmarketservices.com.au](http://www.linkmarketservices.com.au) for a copy of the Link Group condensed privacy statement, or contact us by phone on +61 1800 502 355 (free call within Australia) 9am–5pm (Sydney time) Monday to Friday (excluding public holidays) to request a copy of our complete privacy policy.

## STANDARD TRANSFER FORM

### A SELLER DETAILS (Please use CAPITAL LETTERS)

Full name of Company, Corporation or Trust in which the securities are held

Type of Security (eg fully paid, partly paid, stapled security, etc)

Number of securities to be sold

Value of the transfer or sale

\$ , ,  .

Seller Securityholder Reference Number

**I**

Seller – Title

Given Name(s) or Company Name

Last Name

Seller(s) day time phone number

**Verification Procedures:** For security purposes, the registration details of the Seller and the authorisation to transfer will be subject to verification. This verification process may include contacting the Seller. Where verification cannot be carried out to the satisfaction of the Registrar, the transfer may be rejected and returned with a request to provide additional information.

### B BUYER DETAILS (Please use CAPITAL LETTERS)

Title

Given Name(s) or Company Name

Last Name

Account Designation (if desired, eg <John Smith A/C>)

PO Box/RMB/Locked Bag/Care of (c-)/Property name/Building name (if applicable)

Unit Number/Level

Street Number

Street Name

Suburb/Town

State

Post Code

Country (if not Australia)

Buyer Securityholder Reference Number (if applicable)

**I**

### C SIGN HERE

The Seller(s) whose details are written above, transfers the securities shown above to the Buyer(s) and states to the Buyer(s), the Issuer of the securities and the Issuer's share registrar that they are the owner(s) of the securities and are entitled to transfer them to the Buyer(s).

#### All Seller(s) must sign

Securityholder 1 (Individual)/Executor

Sole Director and Sole Company Secretary/  
Director (delete one)

Securityholder 2 (Individual)/Executor

Director/Company Secretary (delete one)

Securityholder 3 (Individual)/Executor

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

#### All Buyer(s) must sign

Securityholder 1 (Individual)/Executor

Sole Director and Sole Company Secretary/  
Director (delete one)

Securityholder 2 (Individual)/Executor

Director/Company Secretary (delete one)

Securityholder 3 (Individual)/Executor

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

See overleaf for further information ►►

**D****PAYMENT OF FEE**

A fee of \$65.00 (GST Inclusive) applies for each transfer that requires a security validation check. For payments made by cheque, an additional cheque handling fee of \$10 (GST Inclusive) will apply. A single fee of \$65.00 (GST Inclusive) applies if multiple transfers from the same seller (registration details must be an exact match) are received by Link at the same time, plus the additional cheque handling fee if paid by cheque. Payment options are:

**OPTION 1: Pay By Credit Card**

Visa

MasterCard

No other credit cards will be accepted

Card Number

Expiry Date

 / 

Name on Card

Signature of Cardholder

Total

 \$  ,  . 

Or

**OPTION 2: Pay By Cheque, Money Order or Bank Cheque – When you pay by cheque, you will need to add a \$10 (GST inclusive) cheque handling fee.**

Cheque/Money Order/ Bank Cheque – payable to Link Market Services Limited in Australian currency



A receipt for this payment will be issued to the seller.

**E****CHECKLIST**

Transfer form is fully completed, signed and dated

Certified copies of proof of identity from either Option 1 or Option 2 (on page 1) are provided

Any other additional documents are certified and included

Payment of the fee is included

**F****LODGEMENT**

The original transfer form and certified documents are to be returned to Link by post. Please ensure that all multiple transfers from the same seller are posted together as one lodgement. Send all documentation to Locked Bag A14, Sydney South NSW 1235. Fax/Email/Photocopies cannot be accepted as original signatures are required to be sighted.