

# How to complete the Standard Transfer Form

To minimise the risk of fraud, Link has implemented a securityholder verification procedure for all off-market transfers of ASX listed securities.

## 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 comply with the Know your Customer (KYC) requirements of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF). If you are unsure, please call us on **1300 554 474** for further information.

## Identification documents and eVerification (electronic verification of identity)

Link can verify the identity of Australian and New Zealand individuals electronically using government issued identity documents such as passports, driver's licences and Medicare Card. If you consent to your identity being verified electronically, complete the identity documents section on the back of the attached transfer form at Section F.

Please choose either Option 1, 2 or 3. If you select option 2 or 3, send us a certified copy of the applicable identity 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 lodgement. If you are unable to provide the requested identity documents, please contact us for a list of alternatives that we can accept.

### Option 1 – eVerification of Identity. Please complete section F on the transfer form

#### Option 2 – Please attach at least 1 document

Primary photographic identity document (Certified)
Drivers Licence (not expired)
Australian Passport (that has not expired more than 2 years ago)
International Travel Document – foreign passport (not expired)
Australian State or Territory Proof of Age Card or Identity Card (not expired)
Foreign National Identity Card (not expired)

#### Option 3 – Please attach at least 1 primary non-photographic document and 1 secondary non-photographic document. Alternatively, attach 2 Primary non-photographic identity documents

Primary non-photographic identity document (Certified)
Australian Birth Certificate or Extract of Birth including an Abridged Birth Certificate or a NSW Birth Card (please provide full birth certificate for a minor)
Australian Citizenship Certificate
Foreign Citizenship Certificate
Foreign Birth Certificate (please provide full birth certificate for a minor)
A Centrelink Pension card or Centrelink Healthcare card
Secondary non-photographic identity document which contains the person's name and residential street address (Certified)
A financial benefit notice issued by a Commonwealth, State or Territory agency within the last 12 months (benefit information blacked-out)
An income tax assessment notice issued within the last 12 months (TFN, income and tax information blacked-out)
A local government notice (e.g. council rates) or utilities notice (e.g. power, gas or phone bill) issued within the last 3 months
A Medicare or Private Health Insurance refund notice issued within the last 3 months (medical practitioner information blacked-out)
An insurance policy for a house, property, home contents or motor vehicle issued within the last 12 months
A vehicle registration notice or third party insurance notice (e.g. NSW Greenslip) issued within the last 12 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 current Annual Statement issued by a regulator (e.g. ASIC) or a full Company Search purchased in the last 3 months - must list the company officers, OR provide us with the Australian company ACN or New Zealand company NZBN if you consent to eVerification.</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 full Birth Certificate for the minor; and</li> <li>A certified copy of the Guardianship orders (if applicable)</li> </ul>

## Help

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

## A. Seller Details

### Full Name of Security Issuer in which securities are held

This is the actual NAME of the Share Company 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 transferred or 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 names of all securityholder(s) exactly as 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 legal name of the Individual(s) or Incorporated Entity(s) that is/are acquiring the securities through this transfer. A maximum of three joint holders is permitted. Securities cannot be registered in an unincorporated trading name/business name or in the name of a trust (other than an incorporated trust), a superannuation fund, a minor, an estate or a deceased person's name. You may enter the name of any unincorporated entity or another person such as a minor child in the 'Account Designation' field of section B on the transfer. 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 Security Issuer, 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, state/territory and country. Only one address may be recorded, irrespective of the number of buyers. All registry communications to be sent by mail will be posted to this address.

## 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 and Administrators    When the holding is held by one or more Executor(s)/Administrator(s), all Executor(s)/Administrator(s) for an estate, each is 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. To sign as an Executor or Administrator, you must have already lodged the Grant of Probate or Letters of Administration with the registry or alternatively attach a certified copy to this form.
- 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.

**Note:** Copies of documents forwarded must be **certified as a correct copy** by a person who under the Statutory Declarations Regulations 2018 has the power to certify documents e.g. JP, doctor, lawyer, accountant, judge etc. Any form or document that does not meet the transfer or identification requirements specified within this form will be returned without processing.

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

For securities that are **listed** on the Australian Securities Exchange (ASX) – 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 where the Share Company was incorporated, or where the Trust was established for assessment and payment of stamp duty **before** sending to Link Market Services Limited.

Where an Issuer's constitution permits securityholders being charged in connection with the registration of off-market transfers either expressly or through an empowering provision, a fee of \$55 (incl GST) is payable for the securityholder verification procedure.

**STANDARD TRANSFER FORM**

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

Full name of the Security Issuer (Share Company or Trust) in which the securities are held

Type of Security (eg fully paid, partly paid, stapled security, etc) Number of securities to be transferred/sold

Value of the transfer or sale (\$AUD) Seller Securityholder Reference Number

Title Given Name(s) or Company Name Last Name

Seller's day time phone number (include overseas country code if not Australia) Seller's Email Address

**Securityholder Verification Procedures:** For security purposes, the registration details of the Seller and the authorisation to transfer will be subject to verification. This 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. Alternatively, we may contact the seller by phone or email to clarify or request additional information.

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

Title Given Name(s) or Company Name (please use legal names) Last Name (please use legal names)

Account Designation (if desired, eg <John Smith A/c>, <Citizen SMSF A/c>, <ABC Family A/c>, <Estate of Jillian Jones A/c> etc)

PO Box/RMB/Locked Bag/Care of (C/-Property Name/Building Name) (if applicable)

Unit Number/Level Street Number Street Name

Suburb/Town State/Territory Post Code / Zip Code

Country (if not Australia) Buyer Securityholder Reference Number (if applicable)

**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/Authorised Director and Sole Company Secretary _____ Print Name _____	Securityholder 2 Individual/Authorised Director/Company Secretary _____ Print Name _____	Securityholder 3 Individual/Authorised Director/Company Secretary _____ Print Name _____
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Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

**All Buyer(s) must sign**

Securityholder 1 Individual/Authorised Director and Sole Company Secretary _____ Print Name _____	Securityholder 2 Individual/Authorised Director/Company Secretary _____ Print Name _____	Securityholder 3 Individual/Authorised Director/Company Secretary _____ Print Name _____
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Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

See overleaf for further information >>

**D CHECKLIST**

- Transfer form is fully completed, signed and dated
- Any other additional documents are certified and included  
Examples include but are not limited to: POA, Guardianship Orders, Grant of Probate or Letters of Administration, Notice of Appointment of Bankruptcy Trustee, Notice of Appointment of Administrator, Receiver or Liquidator of a Company etc.
- Certified copies of proof of identity from either Option 2 or Option 3 (on page 1) are provided or Option 1 eVerification has been selected - complete section F below

**E LODGEMENT**

The original transfer form and certified documents (if any) 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. Only one set of identification documents is required from the seller if sending in one lodgement.

**F eVERIFICATION OF IDENTITY**

**Company Details**

If the seller is an Australian company registered with ASIC or a New Zealand Company registered with the New Zealand Companies Office, provide the following information about the entity to enable eVerification:

ACN or NZBN       Licence number if regulated by ASIC e.g. AFSL:

**Option 1 – eVerification of Individual Sellers or Authorised Representative, or Company Director/Secretary**

Tick  Below **Primary identity document of each Individual seller(s) or Authorised Representative, or Director/Secretary of a Company signing this transfer form**

<p>Full Name - Individual 1, Authorised Representative or Director of a Company <input style="width: 100%;" type="text"/></p> <p>Residential Street Address <input style="width: 100%;" type="text"/></p> <p>Suburb/Town <input style="width: 20%;" type="text"/> State/Territory <input style="width: 10%;" type="text"/> Post Code / Zip Code <input style="width: 20%;" type="text"/></p> <p>Country (if not Australia) <input style="width: 20%;" type="text"/> Date of Birth DD/MM/YYYY <input style="width: 15%;" type="text"/></p> <p><input type="checkbox"/> I confirm that I am authorised to provide the personal details presented and I consent to the information being checked with the document issuer or official record holder via third party systems for the purpose of confirming my identity.</p> <p><b>Select 2 choices</b></p> <p><b>Group 1</b> Select at least one option and complete the document details below exactly as shown on the document.</p> <p><input type="checkbox"/> Australian passport <input type="checkbox"/> New Zealand passport  <input type="checkbox"/> Australian driver's licence issued by a state or territory <input type="checkbox"/> New Zealand driver's licence  <input type="checkbox"/> Australian citizenship certificate <input type="checkbox"/> New Zealand birth certificate  <input type="checkbox"/> Australian ImmiCard <input type="checkbox"/> New Zealand citizenship certificate  <input type="checkbox"/> Australian birth certificate (must match your name in the register) See important notes overleaf**</p> <p>State/Territory of Issue <input style="width: 5%;" type="text"/> Document Number: e.g. DL number <input style="width: 20%;" type="text"/> Expiry or Issue Date <input style="width: 15%;" type="text"/></p> <p>Other information <input style="width: 60%;" type="text"/> Note: For a drivers licence, please provide both the DL card number and DL number.</p> <p><b>Group 2</b> Select at least one option and complete the document details below exactly as shown on the document.</p> <p><input type="checkbox"/> Medicare card Ref. Nbr: _____ <input type="checkbox"/> Green <input type="checkbox"/> Blue <input type="checkbox"/> Yellow  <input type="checkbox"/> Centrelink Pension Card or Healthcare Card  <input type="checkbox"/> Australian Electoral Roll (AEC)</p> <p>State/Territory of Issue <input style="width: 5%;" type="text"/> Document Number: e.g. Medicare number <input style="width: 20%;" type="text"/> Expiry or Issue Date <input style="width: 15%;" type="text"/></p> <p>Other information <input style="width: 90%;" type="text"/></p>	<p>Full Name - Individual 2, Authorised Representative or Director of a Company <input style="width: 100%;" type="text"/></p> <p>Residential Street Address <input style="width: 100%;" type="text"/></p> <p>Suburb/Town <input style="width: 20%;" type="text"/> State/Territory <input style="width: 10%;" type="text"/> Post Code / Zip Code <input style="width: 20%;" type="text"/></p> <p>Country (if not Australia) <input style="width: 20%;" type="text"/> Date of Birth DD/MM/YYYY <input style="width: 15%;" type="text"/></p> <p><input type="checkbox"/> I confirm that I am authorised to provide the personal details presented and I consent to the information being checked with the document issuer or official record holder via third party systems for the purpose of confirming my identity.</p> <p><b>Select 2 choices</b></p> <p><b>Group 1</b> Select at least one option and complete the document details below exactly as shown on the document.</p> <p><input type="checkbox"/> Australian passport <input type="checkbox"/> New Zealand passport  <input type="checkbox"/> Australian driver's licence issued by a state or territory <input type="checkbox"/> New Zealand driver's licence  <input type="checkbox"/> Australian citizenship certificate <input type="checkbox"/> New Zealand birth certificate  <input type="checkbox"/> Australian ImmiCard <input type="checkbox"/> New Zealand citizenship certificate  <input type="checkbox"/> Australian birth certificate (must match your name in the register) See important notes overleaf**</p> <p>State/Territory of Issue <input style="width: 5%;" type="text"/> Document Number: e.g. DL number <input style="width: 20%;" type="text"/> Expiry or Issue Date <input style="width: 15%;" type="text"/></p> <p>Other information <input style="width: 60%;" type="text"/> Note: For a drivers licence, please provide both the DL card number and DL number.</p> <p><b>Group 2</b> Select at least one option and complete the document details below exactly as shown on the document.</p> <p><input type="checkbox"/> Medicare card Ref. Nbr: _____ <input type="checkbox"/> Green <input type="checkbox"/> Blue <input type="checkbox"/> Yellow  <input type="checkbox"/> Centrelink Pension Card or Healthcare Card  <input type="checkbox"/> Australian Electoral Roll (AEC)</p> <p>State/Territory of Issue <input style="width: 5%;" type="text"/> Document Number: e.g. Medicare number <input style="width: 20%;" type="text"/> Expiry or Issue Date <input style="width: 15%;" type="text"/></p> <p>Other information <input style="width: 90%;" type="text"/></p>
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If there are more than 2 individuals signing this form, then copy this page and complete Section F for the other individuals.

**Identification sources** – you may choose one (1) source each from group 1 and group 2 OR you may choose two (2) sources from group 1. We are unable to accept only group 2 sources for eVerification.

**Document number** means the registration number of the document. This will typically be the driver's licence number, passport number, Medicare card number or birth certificate registration number etc.

**\*\* Important notes about birth certificates:**

Only A.C.T. birth certificates issued from 1930 onwards can be verified electronically. If you were born in the A.C.T. before 1930 either select a different group 1 identification source or provide a certified copy of your birth certificate and also choose a group 2 identification source. For A.C.T. birth certificates issued between 1930 and May 2002, provide the **registration number** and also the **certificate issue date** e.g. 21 Jan 1963 using the 'Expiry or Issue Date' field. For A.C.T. birth certificates issued after May 2002, provide the **registration number** and **certificate issue date** and also provide the **certificate number** using the 'Other Information' field.

For N.S.W. birth certificates provide the **registration number** and the **registration year** e.g. 1952 using the 'Expiry or Issue Date' field.

For N.T. birth certificates provide the **registration number** and the **certificate issue date** e.g. 21 Jan 1963 using the 'Expiry or Issue Date' field and if your N.T. birth certificate was issued from 1999 onwards, also provide the **certificate number** using the 'Other Information' field.

For QLD birth certificates, provide the **registration number** and the **registration date** using the 'Expiry or Issue Date' field above.

For S.A. birth certificates provide the **registration number** and the **certificate issue date** e.g. 21 Jan 1963 using the 'Expiry or Issue Date' field and also provide the **certificate number** (if any) in the 'Other Information' field. Typically, more recent S.A. birth certificates issued on multi-coloured or light blue paper will have a certificate number.

For TAS birth certificates provide the **registration number** and the **registration year** e.g. 1952 using the 'Expiry or Issue Date' field.

For VIC birth certificates provide the **registration number** and the **registration year** e.g. 1952 using the 'Expiry or Issue Date' field.

Only W.A. birth certificates issued from 1930 onwards can be verified electronically. If you were born in W.A. before 1930 either select a different group 1 identification source or provide a certified copy of your birth certificate and also choose a group 2 identification source. For W.A. birth certificates issued from 1930 onwards, provide the **registration number** and the **registration year** e.g. 1952 using the 'Expiry or Issue Date' field and provide the **registration district** noted on birth certificates typically issued between 1930 and 1983 using the 'Other Information' field.

## OFF MARKET TRANSFER FORM

### A PAYMENT OF FEE

A fee of \$55.00 (GST inclusive) applies for each transfer that requires a securityholder verification procedure. For payments made by cheque, an additional cheque handling fee of \$10 (GST inclusive) will apply. A single fee of \$55.00 (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. Payment options are:

**OPTION 1: Pay By Credit Card or Debit Card**

Visa                       MasterCard

No other credit cards will be accepted

Card Number	Expiry Date (MM/YY)
<input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/>

Name on Card

Signature of Cardholder	Total
<input style="width: 90%; height: 20px; border: 1px solid black;" type="text"/>	\$ <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> , <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/> . <input style="width: 20%; height: 20px; border: 1px solid black;" type="text"/>

Or

**OPTION 2: Pay By Cheque, Money Order or Bank Cheque**

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.