



# Bulk Standard Transfer Form for Internal Off-Market Transactions



Use this form to transfer the ownership of multiple stocks from one entity to another within the Ausiex Participant ID.  
Please read the instructions on page 2 before completing this form.

Off Market Transfer fees may apply – please contact us for further details.

**Where to send the completed form?** Once completed and signed, please return the form by email or post to the details provided above.

## Section 1 – Seller Details

### 1. Name/s of Seller/s (Full Name, Company Name or Name of Estate)

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Account Designation (if applicable)

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### 3. Contact Phone Number/s of Seller (include area code where applicable)

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### 4. HIN

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### 2. Postal Address of Seller/s

|                            |          |
|----------------------------|----------|
|                            |          |
| State                      | Postcode |
| Country (if not Australia) |          |

### 5. Trading Account Number (if applicable)

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## Section 2 – Buyer Details

### 6. Name/s of Buyer/s (Full Name or Company Name)

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Account Designation (if applicable)

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### 8. Contact Phone Number/s of Buyer (include area code where applicable)

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### 9. HIN

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### 7. Postal Address of Buyer/s

|                            |          |
|----------------------------|----------|
|                            |          |
| State                      | Postcode |
| Country (if not Australia) |          |

### 10. Trading Account Number (if applicable)

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## Section 3 – List of Security(ies) to Transfer

| 11. Name of Security | ASX Code | 12. Quantity of Securities | 13. Consideration | Unit Price (\$) | 14. Date of Transfer |
|----------------------|----------|----------------------------|-------------------|-----------------|----------------------|
|                      |          |                            |                   |                 | DD / MM / YYYY       |
|                      |          |                            |                   |                 | DD / MM / YYYY       |
|                      |          |                            |                   |                 | DD / MM / YYYY       |
|                      |          |                            |                   |                 | DD / MM / YYYY       |
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|                      |          |                            |                   |                 | DD / MM / YYYY       |
|                      |          |                            |                   |                 | DD / MM / YYYY       |
|                      |          |                            |                   |                 | DD / MM / YYYY       |
|                      |          |                            |                   |                 | DD / MM / YYYY       |

Please consider your dividend reinvestment plans or corporate action nominations when completing the total units to be transferred.

## Section 4 – Transfer fee



If this section is not completed then the Transfer fee will be charged to the financial adviser's Dealer Group.

### 15. Fee to be debited from Buyer's linked settlement bank account?

☐ Yes ☐ No

Section 5 – 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.

16. 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

17. Date Signed  
(Seller) MANDATORY  
DD / MM / YYYY

18. 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

19. Date Signed  
(Buyer) MANDATORY  
DD / MM / YYYY

# Guidelines for Completing the Bulk Standard Transfer Form for Internal 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, even if initialled.

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

## 1. 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.

## 2. Postal Address of Seller:

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. 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.

## 5. 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.

## 6. 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.

## 7. 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.

## 8. Contact Phone Number of Buyer:

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

## 9. Holder Identification Number (HIN):

HIN may be inserted, if known, so that any previous holdings may be amalgamated.

## 10. 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.

## 11. 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.

## 12. Quantity of Securities:

Number of securities being transferred.

## 13. 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).

## 14. Date of Transfer:

Insert date of transfer. This should be on or before the date in points 16 and 18. **Please note that this is the date the transfer has been effected between the Seller and Buyer.**

## 15. Fee to be debited from linked settlement bank account:

Tick 'yes' to debit the fee from the Buyer's bank account. If no box is ticked, the fee will be charged to the financial adviser's Dealer Group.

## 16. Seller 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 to us.
- 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.
- Company – signatures of two directors (or a director and the secretary) or if there is a sole director, signature of that director.

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

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

## 18. Buyer Signature:

Same requirements as point 16.

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

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