

i This form uses JavaScript for optimal performance. Please ensure you have this enabled if completing electronically.
Refer to the end of this document for [submission instructions](#).

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 Issuer Sponsored holdings into your CommSec Trading Account.

- 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.
- It should be noted that if you are the seller of Issuer Sponsored Holdings and not a CommSec or a Commonwealth Bank customer, additional identification is required as per the Identification Requirements for Issuer Sponsored Holdings section.
- 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.

Read Before Processing

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. Note: 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. Note: 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 . 2. Seller must complete Identification Requirements for Issuer Sponsored Holdings section (Page 4) 3. Email form and supporting documents to CommSec	\$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 6pm (Sydney time), Monday to Friday.

i For CommSec Pocket Accounts, only approved securities will be transferred.

Guidelines For Completing This Form

Section 1: Seller/s/Transferror/s Details

Account registration name of seller: The given names and surname of the seller/s.

Deceased estate 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, insert the trustee given names and surname.

If the trustee is a company, insert the company legal name.

¹ 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.

Registered address: Insert the full address including the postcode exactly as printed on seller's holding statement.

Contact phone number of seller: Insert the seller's contact phone number/s including area code.

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).

Trading A/C: Insert the trading account number where securities are currently held (where applicable) .

SRN (Securityholder Reference Number) or

HIN (Holder Identification Number): This number can be found on the Issuer Holding statement or a CHESST 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 2: Buyer/s/Transferee/s Details

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.

¹ 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.

Registered address: Insert the full address including the postcode exactly as printed on buyer's holding statement.

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

PID (Participant identification number): Insert Participant Identification Number (if applicable). This is the buyer's sponsoring broker where security is held. (E.g. CommSec's PID is 01402).

Trading A/C: Insert the trading account number where securities are to be held (where applicable).

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 3: Security Details

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.).

Security code: The unique trading code of the security used by the Australian Stock Exchange (ASX) (e.g. the Security code for the Commonwealth Bank is CBA, for Woolworths Limited is WOW, for Reef Casino Trust is RCT, etc.).

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.

Units: Number of securities being transferred (in both numbers and words).

Consideration: The full amount paid in settlement of the transfer of securities. You may set your own consideration.

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 of seller and buyer signatures.

Section 4: Signatures

Seller's 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.

Date signed: Insert the date signed by the seller/s.

This should be the same as or after the date of transfer.

Buyer's signature: Same requirements as seller's signature.

Date signed: Insert the date signed by the buyer/s.

This should be the same as or after the date of transfer.

1. Seller/s/Transferors/s Details

Account registration name (full name/s, company name or name of estate)
– Exactly as per holding registration details

Account designation¹ – If applicable for your trust account

Registered address

Suburb

State

Postcode

Country

Seller phone number

PID – If applicable

Trading account number – If applicable

☐ SRN or ☐ HIN

2. Buyer/s/Transferee/s Details

Account registration name (full name/s, company name or name of estate)
– Exactly as per holding registration details

Account designation¹ – If applicable for your trust account

Registered address

Suburb

State

Postcode

Country

Buyer phone number

PID – If applicable

Trading account number – If applicable

☐ SRN or ☐ HIN

3. Security Details

Security name

Security code

Full description of securities

CLASS – E.g. fully paid, partly

If not fully paid, paid to

Units in numbers

Units in words

Consideration – \$AUD

Date of transfer – DD / MM / YYYY

 / /

4. Signatures

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.

Seller/Transferor 1

Full Name

Date signed – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper

Seller/Transferor 2

Full Name

Date signed – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper

Seller/Transferor 3

Full Name

Date signed – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper

Buyer/Transferee 1

Full Name

Date signed – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper

Buyer/Transferee 2

Full Name

Date signed – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper

Buyer/Transferee 3

Full Name

Date signed – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper

5. Identification Requirements For Issuer Sponsored Holdings

A. CommSec or Commonwealth Bank customer

i Complete the details below if you are the seller of Issuer sponsored holdings and **have a CommSec or NetBank Client ID or Commonwealth Bank account in the same name as the Issuer statement.**

Depending on the type of seller, the following information is required:

- **Individuals (including directors and trustees)** – for joint individuals, existing individual CommSec or NetBank Client ID or Commonwealth Bank accounts for all parties are acceptable.
- **Trusts and Companies** – provide the CommSec or NetBank Client ID or Commonwealth Bank account details for the company or trust as well as the director/s or trustee/s that are operating on the account and are signing the Off Market Transfer form.

Client 1 full name	Client 2 full name	Client 3 full name
<input type="text"/>	<input type="text"/>	<input type="text"/>
CommSec Client ID/Netbank ID	CommSec Client ID/Netbank ID	CommSec Client ID/Netbank ID
<input type="text"/>	<input type="text"/>	<input type="text"/>
OR CBA Bank Account	OR CBA Bank Account	OR CBA Bank Account
Bank State Branch (BSB)	Bank State Branch (BSB)	Bank State Branch (BSB)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Bank Account Number	Bank Account Number	Bank Account Number
<input type="text"/>	<input type="text"/>	<input type="text"/>

B. Not an existing CommSec or Commonwealth Bank customer

i Complete the details below if you are the seller of Issuer sponsored holdings and you **DO NOT** have a **CommSec or NetBank Client ID or Commonwealth Bank account in the same name as the Issuer Statement.**

Depending on the type of seller the following information is required:

Type of Buyer/Seller	Sections That Need to be Completed	ID Requirements
Individual and joint (includes Sole traders)	Section 5.1 – Individual details Section 5.4 – Declaration and Signatures	All Individual/s to sign. <ul style="list-style-type: none"> • Individuals - CERTIFIED photocopy of a passport or an Australian driver licence (front and back of licence) AND a Medicare Card. • Joint individuals - CERTIFIED photocopy of a passport or an Australian driver licence (front and back of licence) AND a Medicare Card for each individual seller.
Company	Section 5.1 – Individual details (of Directors) Section 5.2 – Company details Section 5.4 – Declaration and Signatures	We require minimum 2 signatures unless you are a Sole Director. The Company must be established in Australia. <ul style="list-style-type: none"> • Companies - CERTIFIED photocopy of a passport or an Australian driver licence (front and back of licence) AND a Medicare Card of the directors that are signing the standard transfer form.
Trusts with Individual Trustees	Section 5.1 – Individual details (of Trustees) Section 5.3 – Trust/Superannuation Fund Details Section 5.4 – Declaration and Signatures	We require all trustees to sign. The Trust must be established in Australia. Trusts: <ol style="list-style-type: none"> 1. CERTIFIED photocopy of a passport or an Australian driver licence (front and back of licence) AND a Medicare Card of the trustees that are signing the standard transfer AND; 2. CERTIFIED photocopy of the trust deed extract showing the trust name, name of trustee/s and signature of trustee/s.
Trusts with Company Trustees	Section 5.1 – Individual details (of Directors) Section 5.2 – Company details Section 5.3 – Trust/Superannuation Fund Details Section 5.4 – Declaration and Signatures	We require minimum 2 signatures unless you are a Sole Director. The Trust must be established in Australia. Trusts: <ol style="list-style-type: none"> 1. CERTIFIED photocopy of a passport or an Australian driver licence (front and back of licence) AND a Medicare Card of the trustees that are signing the standard transfer AND; 2. CERTIFIED photocopy of the trust deed extract showing the trust name, name of trustee/s and signature of trustee/s.

Identification

Please choose one of the two identification options below:

<input type="radio"/>	Option 1 – Passport or Australian Driver Licence Attach a copy of your Passport or Australian Driver Licence (front and back)
<input type="radio"/>	Option 2 – No Passport or Australian Driver Licence For a complete list of acceptable documents, persons allowed to certify and how to certify documents please refer to the DOCUMENT CERTIFICATION INSTRUCTION booklet. Please be advised we ONLY accept wet ink certified documents via post.

5.1 Additional Individual Details

Individual/Trustee/Director/Secretary 1

<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> Mrs	<input type="radio"/> Miss	<input type="radio"/> Dr	<input type="radio"/> Other	<input type="text"/>
First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>			
Other name/s commonly known by – <i>If applicable</i>			Primary telephone number		<input type="radio"/> Male <input type="radio"/> Female	
<input type="text"/>			<input type="text"/>			

Residential Address

Street address – *Cannot be a PO Box*

<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Are you a Sole Trader?

<input type="radio"/> Yes	<input type="radio"/> No
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If yes, please complete the next two questions:

Business name – <i>If any</i>	ABN (Australian Business Number)
<input type="text"/>	<input type="text"/>

Individual/Trustee/Director/Secretary 2

<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> Mrs	<input type="radio"/> Miss	<input type="radio"/> Dr	<input type="radio"/> Other	<input type="text"/>
First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>			
Other name/s commonly known by – <i>If applicable</i>			Primary telephone number		<input type="radio"/> Male <input type="radio"/> Female	
<input type="text"/>			<input type="text"/>			

Residential Address

Street address – *Cannot be a PO Box*

<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Individual/Trustee/Director/Secretary 3

☐ Mr
 ☐ Ms
 ☐ Mrs
 ☐ Miss
 ☐ Dr
 ☐ Other

First name
 Middle name/s
 Surname
 Date of birth – DD / MM / YYYY / /

Other name/s commonly known by – *If applicable*
 Primary telephone number
☐ Male ☐ Female

Residential Address

Street address – *Cannot be a PO Box*

Suburb
 State
 Postcode
 Country

5.2 Company Details

If you are a Company applicant, you must also provide the details of each Director in Section 5.1.

Company name
 ACN (Australian Company Number)

Residential Address

Street address – *Cannot be a PO Box*

Suburb
 State
 Postcode

Country

Postal Address

☐ Same as residential address

Street address

Suburb
 State
 Postcode

Country

Type of Company

☐ Public
 ☐ Proprietary / Private

5.3 Trust/Superannuation Fund Details

Individual/s as trustees operating on the account: you must also provide the details of each Trustee in Section 5.1.

Company as a trustee operating on the account: you must also provide the details of each Director in Section 5.1 and the company details in Section 5.2.

Trust name
 ABN – *if applicable*

Business name – *of the Trustee of the Trust (if any)*

Trust Type

☐ Super
 ☐ Deceased Estate
 ☐ Family
 ☐ Other, please specify

Is the trust a Deed?

☐ Yes
 ☐ No

If 'Yes', you will need to provide a certified photocopy of the trust deed extract. The extract should include those pages which show the trust name, name of trustee/s, signature of trustee/s and date of execution.

Beneficiaries

Complete the full name of each beneficiary of the trust. If there are more than two beneficiaries, please photocopy this page, complete and attach with your request.

Beneficiary 1

☐ Mr
 ☐ Ms
 ☐ Mrs
 ☐ Miss
 ☐ Dr
 ☐ Other

First name
 Middle name/s
 Surname

Beneficiary 2

☐ Mr
 ☐ Ms
 ☐ Mrs
 ☐ Miss
 ☐ Dr
 ☐ Other

First name
 Middle name/s
 Surname

5.4 Declaration and Signatures

We collect information from your identity documents (e.g. a driver's licence or passport) to verify your identity. We collect this information for the purposes of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth)*. We may disclose this information to credit reporting bodies, Commonwealth and state government departments and other verification partners who match your information with the information held by the issuer or official record holder via third party systems. You can find out more information about the operation and management of these services at the IDMatch website <https://www.idmatch.gov.au/>.

We may disclose your personal information (such as name, residential address and date of birth) to credit reporting bodies who tell us whether your information matches in whole or in part the information they may hold about you.

Our Group Privacy Statement available at commbank.com.au contains details about:

- how you may exercise your rights to access and seek correction of your information; and
- how to make a complaint about the way we handle your identity information.

If you do not want to be verified electronically, please contact us for alternative options of confirming your identity. This may still involve your information being checked with the document issuer or official record holder via third party systems.

By signing this box on this form, you:

- acknowledge you understand that providing false or misleading information about your identity is an offence under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*;
- confirm you are authorised to provide us the information in the identity document;
- consent to your information being checked with the document issuer or official record holder via third party systems; and
- consent to your information being disclosed to a credit reporting body and checked against information held by the credit reporting body.

If you are authorised to provide the identity documents on behalf of another person, you consent on that person's behalf.

You do not have to consent to electronic verification. If you do not want to be verified electronically, you have the option of attending a branch to be identified. This may still involve your information being checked with the document issuer or official record holder via third party systems.

Individual/Trustee/Director 1 or Secretary

Full name

Date signed – DD / MM / YYYY
 / /

Signature – Must be signed pen to paper

Individual/Trustee/Director 2 or Secretary

Full name

Date signed – DD / MM / YYYY
 / /

Signature – Must be signed pen to paper

Individual/Trustee/Director 3 or Secretary

Full name

Date signed – DD / MM / YYYY
 / /

Signature – Must be signed pen to paper

Commonwealth Securities Limited ABN 60 067 254 399 AFSL 238814 (CommSec) is a wholly owned but non-guaranteed subsidiary of the Commonwealth Bank of Australia ABN 48 123 123 124 AFSL 234945. CommSec is a Market Participant of ASX Limited and Cboe Australia Pty Limited, a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited.

How to submit your documents

Once completed and signed, email the form to:

✉ OMTRequests@CommSec.com.au

☎ 13 15 19