

## IMPORTANT INFORMATION: Read Before Proceeding

This form is used to initiate transfers of shares and/or warrants and US or Canadian dollars (USD or CAD) from a US or Canadian based Broker/Custodian to your CommSec International Shares account. CommSec does not accept the transfer of physical certificates.

Before completing the account transfer form:

- Ensure that the name on your account held with the US or Canadian based Broker/Custodian matches the name on your CommSec International Shares account.
- Ensure that you only provide one CommSec International Shares account number as we can only accept a transfer to one International Shares account per form.
- Ensure to attach the most recent statement identifying the positions you want to transfer for the account held with the US or Canadian based Broker/Custodian.
- Please complete all pages of this document and return to [CommSecInternationalSettlements@cba.com.au](mailto:CommSecInternationalSettlements@cba.com.au) for processing.
- For all transfer related enquiries please contact Us on [shares@commsec.com.au](mailto:shares@commsec.com.au). Please do not submit transfer related enquiries or incomplete transfer forms directly for processing.

For information on the fees and costs associated with requesting a transfer refer to the CommSec Financial Services Guide. Third party fees and taxed incurred from transfers will be passed through at cost. Please also consult with your delivering Canadian based broker/custodian to determine if there will be any applicable fees for the transfer.

**CommSec will only accept a transfer of US Micro-Cap shares if appropriate documents providing evidence the shares were purchased on the open market (i.e. on a public exchange through another broker) or were registered with the SEC pursuant to an S-1 or similar registration statement is provided. CommSec may choose to not accept transfers of certain US Micro-Cap shares and may temporarily restrict shares from being sold where additional information is required. The shares will remain free to transfer out to another broker during this time.**

## Details Of Transfer

### 1. Receiving Account (Commsec)

Name on Account:

CommSec International Shares Account Number:

### 2. Delivering Account (US or Canadian Broker/Custodian)

Select the Country of Broker/Custodian: US ☐ Canada ☐

Name of Broker/Custodian:

Broker/Custodian DTC:

Broker/Custodian Account Number:

Name on Account:

Account type (tick only one box)

☐ Individual ☐ Joint ☐ Company ☐ Trust

### 3. Assets (Shares and/or Warrants) To Transfer

Select ALL to transfer the entire portfolio, or, select PARTIAL to specify assets for transfer.

ALL ☐ Proceed to section 4

**PARTIAL** ☐ Complete the below table. If you require additional space, complete a new page 2 of the account transfer form and submit all pages as one transfer request.

#### 4. Cash To Transfer (USD and CAD Only)

Select ALL to transfer the full value of the currency balances, or, select PARTIAL to specify a value.

**IMPORTANT:** Transfers of a foreign currency balance into an International Shares account will be automatically converted to AUD. If you require foreign currency balances to be retained, please ensure that the receiving account is an International Shares Plus account.

ALL ☐ Proceed to section 5

PARTIAL ☐ Please select the appropriate currency and provide value to transfer. PARTIAL transfers from a Canadian Broker/Custodian accept USD and CAD only. PARTIAL transfers from a US Broker/Custodian accept USD only.

**Currency:**

☐ Canadian Broker/Custodian☐ US Broker/Custodian

USD  Value

USD  Value

| CAD | Value |
|-----|-------|
| 1   | 1     |
| 2   | 2     |
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| 100 | 100   |

## Acknowledgement, Authorisation and Agreement

I/We understand and acknowledge that all the information as shown on this form is complete and correct and agree that CommSec will rely on this information when actioning your request. I/We understand that CommSec reserves the right to not process this transfer at its own discretion. I/We understand that CommSec will automatically liquidate securities, convert currencies, and/or debit my linked bank account if the fees and taxes associated with this transfer exceed the funds available in the International Shares account.

I/We understand that to any extent any assets are not readily transferable, with or without penalties; such assets may not be transferred. Unless otherwise indicated, I/We authorize CommSec to liquidate any non-transferable proprietary money market fund assets that are part of the account and to transfer the resulting credit to CommSec. I/We authorize CommSec to deduct any outstanding fees and taxes associated with this transfer due to CommSec from the credit balance in the account. If the account does not contain a credit balance, or if the credit balance is insufficient to satisfy outstanding fees, I/We authorize the liquidation of assets by CommSec in the account and the application of the proceeds towards payment of the outstanding amount.

I/We agree to indemnify CommSec against all costs; expenses and losses incurred as a result of CommSec actioning your request save to the extent any such cost, expense or loss was incurred or caused as a result of CommSec's negligence, willful misconduct or fraud.

### 5. Receiving Account Acknowledgement

#### Account Holder / Director / Trustee 1

Full name

Date – DD / MM / YYYY

 /  / 

Client 1 Signature – *Must be signed pen to paper*

#### Account Holder / Director / Trustee 2

Full name

Date – DD / MM / YYYY

 /  / 

Client 2 Signature – *Must be signed pen to paper*

#### Account Holder / Director / Trustee 3

Full name

Date – DD / MM / YYYY

 /  / 

Client 3 Signature – *Must be signed pen to paper*

#### Account Holder / Director / Trustee 4

Full name

Date – DD / MM / YYYY

 /  / 


Client 4 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, please scan and email the form to:  **CommSec**

 **CommSecInternationalSettlements@cba.com.au**

 13 15 19

Locked Bag 22, Australia Square NSW 1215