

## What you need to know

Use this form to transfer the ownership of multiple securities from the CommSec Estate account to another CommSec account.

- Any alterations made to this form **must** be initialled by both the buyer(s)/beneficiary(s) and the seller(s)/executor(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.
- This form is used to transfer a maximum of 10 securities. Please print a separate form to transfer additional securities.
- The transfer of securities 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 securities transfers is available on the ATO website. You should seek independent, professional tax advice before making any decision in relation to the transfer.
- Commonwealth Bank of Australia is not a registered tax (financial) adviser under the *Tax Agent Services Act 2009* and is unable to provide you with tax advice.

**i** Correction fluid cannot be used on this form.

## Guidelines for completing this form

### Section 1: Seller(s)/Executor(s) Details

**Account registration name of seller/executor:** 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.

<sup>1</sup> 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.

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

Please ensure that the registration details (name & address) correspond to those registered under the trading account and HIN. Mismatched registration details may result in the transfer being returned to you for clarification.

**Holder identification number (HIN):** This number can be found on a CHESS holding statement. Failure to include the seller's HIN may result in the transfer being returned to you for clarification.

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

### Section 2: Buyer(s)/Beneficiary(s) Details

**Account registration name of buyer/beneficiary:** Full names of all buyers/beneficiaries (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. Fund, Trust or Estate names are to be inserted as an account designation.

If the trust or superannuation fund trustee is an individual, insert the trustee given names and surname.

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

<sup>1</sup> 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.

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

Please ensure that the registration details (name & address) correspond to those registered under the trading account and HIN. Mismatched registration details may result in the transfer being returned to you for clarification.

**Holder Identification Number (HIN):** The buyer's HIN, so that any previous holdings may be amalgamated. This number can be found on a CHESS holding statement. Failure to include the buyer's HIN may result in the transfer being returned to you for clarification.

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

### Section 3: Security Details

**Code:** The unique trading code of the security used by the ASX or Cboe Australia (e.g. the code for the Commonwealth Bank is CBA, the code for Woolworths Limited is WOW, etc.).

**Security name:** The full name of the company or trust in which the securities are held (e.g. Woolworths Limited, etc.).

**Units:** Number of securities being transferred.

**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/executor and buyer/beneficiary signatures.

## Section 4: Signatures

**Seller's/Executor's signature:** Joint holders – all holders must sign.

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)/executor(s). This should be the same as or after the date of transfer.

**Buyer's/Beneficiary's signature:**

Joint holders – all holders must sign.

Under Power of Attorney – must be linked and authorised on the account.

Trust – all trustees must sign.

Company – signatures of two directors (or a director and the secretary) or if there is a sole director, a signature of that director.

**Date signed:** Insert the date signed by the buyer(s)/beneficiary(s). This should be the same as or after the date of transfer.

## 1. Seller(s)/Executor(s) Details

Account registration name (Full name/s, company name or name of estate) – *This must match the registration details exactly*

Account designation<sup>1</sup> – *If applicable for your trust account*

Registered address

Suburb

State

Postcode

Country

Trading account number

Holder Identification Number (HIN)

Contact number

## 2. Buyer(s)/Beneficiary(s) Details

Account registration name (Full name/s, company name or name of estate) – *This must match the registration details exactly*

Account designation<sup>1</sup> – *If applicable for your trust account*

Registered address

Suburb

State

Postcode

Country

Trading account number

Holder Identification Number (HIN)

Contact number

## 3. Security Details

Code	Security name	Units	Consideration (\$AUD)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

### 3. Security Details continued


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

Date of Transfer – DD / MM / YYYY

 /  / 

### 4. Signatures

I/We the registered holder/s and undersigned Seller(s)/Executor(s) for the above consideration do hereby transfer to the above name/s hereinafter called the Buyer(s)/Beneficiary(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)/Beneficiary(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/Executor 1

Full Name

Date signed – DD / MM / YYYY

 /  / 

Signature – *Must be signed pen to paper*

#### Seller/Executor 2

Full Name

Date signed – DD / MM / YYYY

 /  / 

Signature – *Must be signed pen to paper*

#### Seller/Executor 3

Full Name

Date signed – DD / MM / YYYY

 /  / 

Signature – *Must be signed pen to paper*

#### Buyer/Beneficiary 1

Full Name

Date signed – DD / MM / YYYY

 /  / 

Signature – *Must be signed pen to paper*

#### Buyer/Beneficiary 2

Full Name

Date signed – DD / MM / YYYY

 /  / 

Signature – *Must be signed pen to paper*

#### Buyer/Beneficiary 3

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 or send the form and relevant supporting documentation to

✉ [CommsecEstatesManagement@cba.com.au](mailto:CommsecEstatesManagement@cba.com.au)  
 ☎ 13 15 19

**CommSec**  
 Locked Bag 22,  
 Australia Square, NSW 1215