

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](#).

What you need to know

- All fields on this form are mandatory.
- This form is used to formally notify us of a customer's death.
- It is also used to formally appoint an authorised representative (executor/administrator/solicitor/trustee of an estate) to manage the account/s of a customer, after they pass away. Any property belonging to someone who has passed away is known as a 'deceased estate' or just 'estate'.
- One form is to be completed for each appointed executor/administrator/trustee as named in the Last Will and Testament or Probate/Letters of Administration.
- If you are a solicitor representing the executors, you must also email us a signed letter of engagement.
- Once we receive the below documentation, we will provide the historical transaction summary and instruction on how you may access and download the portfolio statement.

Complete the following forms

Share Trading and Margin Lending Accounts

The below table outlines the requirements for CommSec Share Trading and Margin Lending accounts based on the different account types and the value of the estate:

Account type	Forms to complete	Required documentation
Individual – e.g. John Smith	<input type="checkbox"/> Executor/Administrator/Trustee Authority form (per executor) Visit the CommSec website and search "Estate Management" and navigate to the Estate Management FAQs for options to disburse the shareholdings.	If the holdings value is less than \$100,000, complete: If a certified copy of the Probate/Letter of Administration is provided, the below three points are not required. <ul style="list-style-type: none"> <input type="checkbox"/> Certified copy of the Death Certificate and <input type="checkbox"/> Certified copy of the Last Will and Testament <input type="checkbox"/> Small Estate Indemnity Form
Joint – e.g. John Smith & Mary Smith	N/A – Upon receiving the required documentation, we will automatically transfer all joint shareholdings (if any) to an existing account or create a new account for the surviving account holder. The joint account will be closed.	If the holdings are \$100,000 or greater <ul style="list-style-type: none"> <input type="checkbox"/> Certified copy of a Probate/Letter of Administration <input type="radio"/> Certified copy of Death Certificate or <input type="radio"/> Certified copy of Probate/Letter of Administration
Formal Trust (Family or SMSF Trust) – e.g. John Smith & Mary Smith <Smith Family S/F A/C>	<input type="checkbox"/> Executor/Administrator/Trustee Authority Form (per new trustee) Visit the CommSec website and search "Estate Management" and navigate to the Estate Management FAQs for details on how to continue the trust by appointing new trustees or to dissolve the trust i.e. winding down the trust.	<ul style="list-style-type: none"> <input type="radio"/> Certified copy of Death Certificate or <input type="radio"/> Certified copy of Probate/Letter of Administration
International Trading Account	<input type="checkbox"/> Executor/Administrator Authority form (per executor)	<ul style="list-style-type: none"> <input type="checkbox"/> Certified copy of Probate or Letter of Administration (applicable where no will is provided) or the legal equivalent and <input type="checkbox"/> Certified copy of the Death Certificate

i Under ASX business rules, all CHESS holdings on individual and single trust accounts must be 'locked' on initial notification of a deceased estate. This means shares cannot be transferred or sold until all requirements have been satisfied.
For informal trusts e.g. trust for minor, follow the individual or joint account type instructions above.

CommSec Estate Account Details

List all CommSec Trading Accounts

Trading account number	Trading account name
<input type="text"/>	<input type="text"/>
Margin loan account number	Borrower name/s – <i>If applicable</i>
<input type="text"/>	<input type="text"/>

Executor/Administrator/Trustee Details

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

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>			<input type="radio"/> Male <input type="radio"/> Female
<input type="text"/>			

Address Details

i All contact details below must be of the executor/administrator/trustee.

Residential Address

Street address – *Cannot be a PO Box*

Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country – <i>If not Australia</i>		
<input type="text"/>		

Postal Address

If left blank, your residential address will be used.

Street address

Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country – <i>If not Australia</i>		
<input type="text"/>		

Contact Details

Email address

Mobile number	Home number – <i>Optional</i>	Work number – <i>Optional</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Employment Information

i You **must** complete these sections using an approved Job Category and Job Type. For the list of categories and types, see [Appendix 1](#).

Job category	Job type
<input type="text"/>	<input type="text"/>

Identification for Executor/Administrator/Trustee

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.

Declaration & Signature/s

I understand, acknowledge and declare that the information I have provided to you on this form is true and correct and the law prohibits the use of false names, as well as the giving or use of false documents in connection with an identification procedure.

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.

Full name

Date signed – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

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.

☐

I have an existing CommSec Share Trading Account

Account number

☐

I have a Commonwealth Bank account

BSB

Account number

Privacy statement

For details of how any personal information you may have provided is handled by us, please refer to our [Group Privacy Statement on the CommSec website](#).

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 and any supporting documentation to:

✉ CommSecEstatesManagement@cba.com.au



CommSec

Locked Bag 22

Australia Square NSW 1215



13 15 19 or +61 2 8397 1206
(outside Australia)

Job Category and Job Type Classification for Individuals

i The list of eligible Job Category and Job Type for individuals is provided below. Job Categories are in bold with their associated Job Types listed underneath.

Air / Sea Trans Workers

- Air Transport/Support Worker
- Aircraft Pilots
- Ships Pilots And Crew
- Stewards
- Other

Clerks

- Data Processing
- Dispatch/Purchasing
- Filing/Mail Sorters
- Numerical/Accounting/Statistics
- Receptionists
- Stenographers/Typists
- Other (Clerks)

Commonwealth Bank Staff

- Commonwealth Bank Staff

Engineers / Technicians

- Aircraft
- Architect
- Building Engineer
- Chemical
- Civil
- Electrical Engineer
- Marine
- Mechanical
- Other (Engineers/Technicians)

Government Officials

- Ambulance
- Fire Fighter
- Judges/Magistrates/Mediators
- Parliamentarians/Councillors
- Police

Home Duties

- Home Duties

Labourers and Related Workers

- Agricultural Labourers
- Cleaners
- Construction
- Factory Hands
- Farm Hands
- Fishing
- Mining
- Other (Labourers)

Machine Operators / Drivers

- Excavating/Earthmoving
- Mobile Plant/Equipment
- Rail/Tram/Road
- Stationary Plant/Equipment
- Other Machine Operators

Managers

- Farmers And Farm Managers
- Finance
- Personnel & Industrial Relations
- Production
- Sales And Marketing
- Other (Managers)

Medical / Veterinarians

- Dental
- Doctor/General Practitioner
- Nurses
- Occupational Therapists
- Optometrists
- Pharmacists
- Physiotherapists
- Specialist
- Other (Medical/Veterinarians)

Professionals

- Accountants
- Artists
- Computing
- Journalists
- Lawyers
- Minister Of Religion/Social Work
- Personnel
- Public Relations
- Other (Professionals)

Retired

- Independent Means
- Pensioner (Dss)
- Pensioner (Vet Affairs)
- Private Superannuant
- Other (Retired)

Salespersons / Careworkers

- Care Worker
- Cashier/Telling
- Investment/Insurance
- Real Estate
- Sales Assistant
- Sales Representative
- Travel
- Waiters/Waitresses
- Other (Salesperson/Care Workers)

Scientists

- Geologist
- Physicist
- Research Chemist
- Other (Scientists)

Sports Persons

- Sports Persons

Students

- Austudy
- Other (Students)

Teachers / Instructors

- Primary
- Secondary
- Tafe
- University
- Other (Teachers/Instructors)

Tradespersons / Apprentices

- Building
- Electrical
- Food
- Horticultural
- Metal
- Printing
- Vehicle
- Other (Tradesperson/Apprentices)

Other (including unemployed)

- Invalid Pensioner
- Unemployment Benefits
- Other (Unemployed/Other)

How to CERTIFY acceptable identification documentation

Each certified photocopy/s must include the statement (or similar wording): *'I certify that this is a true copy of the original document'*
The certifier must include their full name, original signature, qualification or occupation which makes that eligible, date and contact details (phone number).

- A person may not certify their own documents. An applicant cannot certify documents for another applicant.
- Certification of the identification document **must** be within the past 12 months
- See below for a list of persons who are allowed to certify identification.
- Please attach the original certified copy/s of the document/s to your application.

Do not send original documents, or copies of certified copies.

List of eligible persons allowed to certify true copies of identification documents

- Chiropractor
- Dentist
- Legal practitioner
- Medical practitioner
- Nurse
- Optometrist
- Patent attorney
- Pharmacist
- Physiotherapist
- Psychologist
- Trade marks attorney
- Veterinary surgeon
- Person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described)
- An officer with, or authorized representative of, a holder of an Australian financial services licence (AFSL), having 2 or more years of continuous service with one or more licensees
- An officer with, or a credit representative of, a holder of an Australian Credit Licence (ACL), having 2 or more years of continuous service with one or more licencees
- Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955). This includes a person appointed to hold or act in any of the following offices of the Commonwealth (of Australia) in a country or place outside Australia:
 - Consul-General
 - Consul
 - Vice-Consul
 - Trade Representative
 - Consular Agent
- Australian Diplomatic Officer, within the meaning of the Consular Fees Act 1955. This includes a person appointed to hold or act in any of the following offices of the Commonwealth (of Australia) in a country or place outside Australia:
 - Ambassador
 - High Commissioner
 - Head of a Mission
 - Commissioner
 - Charge d'Affaires
 - Counsellor, Secretary or Attache at an Embassy, High Commissioner's office, Legation or similar
- Bailiff
- Bank officer with 2 or more continuous years of service
- Building society officer with 2 or more years of continuous service
- Chief executive officer of a Commonwealth court
- Clerk of a court
- Commissioner for Affidavits
- Commissioner for Declarations
- Credit union officer with 2 or more years of continuous service
- Employee of the Australian Trade Commission who is:
 - in a country or place outside Australia; and
 - authorised under paragraph 3 (d) of the Consular Fees Act 1955; and
 - exercising his or her function in that place
- Employee of the Commonwealth who is:
 - in a country or place outside Australia; and
 - authorised under paragraph 3 (c) of the Consular Fees Act 1955; and
 - exercising his or her function in that place
- Fellow of the National Tax Accountants' Association
- Finance company officer with 2 or more years of continuous service with a finance company
- Holder of a statutory office not specified in another item in this list
- Judge of a court
- Justice of the Peace
- Magistrate
- Marriage celebrant registered under Subdivision C of Division 1 of Part IV of the Marriage Act 1961
- Master of a court
- Member of Chartered Secretaries Australia
- Member of Engineers Australia, other than at the grade of student
- Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the Institute of Public Accountants

- Member of:
 - the Parliament of the Commonwealth; or
 - the Parliament of a State; or
 - a Territory legislature; or
 - a local government authority of a State or Territory
 - Minister of religion registered under Subdivision A of Division 1 of Part IV of the Marriage Act 1961
 - Notary public
 - Permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public
 - Permanent employee of:
 - the Commonwealth or a Commonwealth authority; or
 - a State or Territory or a State or Territory authority; or
 - a local government authority; with 2 or more years of continuous service and the person is not already specified on this list
 - Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made
 - Police officer
 - Registrar, or Deputy Registrar, of a court
 - Senior Executive Service employee of:
 - the Commonwealth or a Commonwealth authority; or
 - a State or Territory or a State or Territory authority
 - Sheriff
 - Sheriff's officer
 - Teacher employed on a full-time basis at a school or tertiary education institution
 - Member of the Australasian Institute of Mining and Metallurgy
- Note:** All documents must be current unless otherwise stated. Please **DO NOT** attach original identification documents. Send only original **CERTIFIED** photocopies of original documents.