

**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 CHESSTransaction Sponsored Account	Transfer to a CommSec CHESSTransaction Sponsored Account*	<ol style="list-style-type: none"> <li>1. Complete Transfer Form (<a href="#">page 3</a>)</li> <li>2. Email form to CommSec</li> </ol>	\$54 per transfer. GST inclusive.
Transfer from your CommSec CHESSTransaction Sponsored Account	Transfer to an Issuer Sponsored Holding	<ol style="list-style-type: none"> <li>1. Complete Transfer Form (<a href="#">page 3</a>)</li> <li>2. Email form to CommSec</li> </ol>	\$54 per transfer. GST inclusive.
Transfer from another broker's CHESSTransaction Sponsored Account	Transfer to a CommSec CHESSTransaction Sponsored Account*	<ol style="list-style-type: none"> <li>1. Complete Transfer Form (<a href="#">page 3</a>)</li> <li>2. Email form to CommSec</li> </ol>	No fee. Note: The other broker may charge you a fee.
Transfer from your CommSec CHESSTransaction Sponsored Account	Transfer to another broker's CHESSTransaction Sponsored Account	<ol style="list-style-type: none"> <li>1. Contact the other Broker to initiate request</li> </ol>	No fee. Note: The other broker may charge you a fee.
Transfer your Issuer Sponsored Shares	Transfer to a CommSec CHESSTransaction Sponsored Account*	<ol style="list-style-type: none"> <li>1. Complete the <a href="#">Off Market Transfer for Issuer to Chess Transactions form</a>.</li> <li>2. Seller must complete Identification Requirements for Issuer Sponsored Holdings section (Page 4)</li> <li>3. Email form and supporting documents to CommSec</li> </ol>	\$54 per transfer. GST inclusive.
Transfer your Issuer Sponsored Shares	Transfer to an Issuer Sponsored Holding	<ol style="list-style-type: none"> <li>1. Contact the relevant Share Registry and confirm process applicable</li> </ol>	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/Transferrer/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.

<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.

**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.

<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.

**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 designation<sup>1</sup> – 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 designation<sup>1</sup> – 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 style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
CommSec Client ID/Netbank ID	CommSec Client ID/Netbank ID	CommSec Client ID/Netbank ID
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
<b>OR CBA Bank Account</b>	<b>OR CBA Bank Account</b>	<b>OR CBA Bank Account</b>
Bank State Branch (BSB)	Bank State Branch (BSB)	Bank State Branch (BSB)
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Bank Account Number	Bank Account Number	Bank Account Number
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" 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)	<b>Section 5.1</b> – Individual details <b>Section 5.4</b> – Declaration and Signatures	All Individual/s to sign. <ul style="list-style-type: none"> <li>● <b>Individuals - CERTIFIED</b> photocopy of a passport or an Australian driver licence (front and back of licence) AND a Medicare Card.</li> <li>● <b>Joint individuals - CERTIFIED</b> photocopy of a passport or an Australian driver licence (front and back of licence) AND a Medicare Card for each individual seller.</li> </ul>
Company	<b>Section 5.1</b> – Individual details (of Directors) <b>Section 5.2</b> – Company details <b>Section 5.4</b> – 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"> <li>● <b>Companies - CERTIFIED</b> 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.</li> </ul>
Trusts with Individual Trustees	<b>Section 5.1</b> – Individual details (of Trustees) <b>Section 5.3</b> – Trust/Superannuation Fund Details <b>Section 5.4</b> – Declaration and Signatures	We require all trustees to sign. The Trust must be established in Australia. <b>Trusts:</b> <ol style="list-style-type: none"> <li>1. <b>CERTIFIED</b> 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;</li> <li>2. <b>CERTIFIED</b> photocopy of the trust deed extract showing the trust name, name of trustee/s and signature of trustee/s.</li> </ol>
Trusts with Company Trustees	<b>Section 5.1</b> – Individual details (of Directors) <b>Section 5.2</b> – Company details <b>Section 5.3</b> – Trust/Superannuation Fund Details <b>Section 5.4</b> – Declaration and Signatures	We require minimum 2 signatures unless you are a Sole Director. The Trust must be established in Australia. <b>Trusts:</b> <ol style="list-style-type: none"> <li>1. <b>CERTIFIED</b> 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;</li> <li>2. <b>CERTIFIED</b> photocopy of the trust deed extract showing the trust name, name of trustee/s and signature of trustee/s.</li> </ol>

## Acceptable ID

Medicare card **AND** ONE of the following:

- Australian Driver Licence (front and back of licence); OR
- Passport

## How should the identification documentation be certified?

For a complete list of acceptable documents, persons allowed to certify and how to certify documents please refer to the [DOCUMENT CERTIFICATION INSTRUCTION](#) booklet.

## 5.1 Additional Individual Details

### Individual/Trustee/Director/Secretary 1

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

### Are you a Sole Trader?

Yes
  No

If yes, please complete the next two questions:

Business name – *If any* 
 ABN (Australian Business Number)

### Individual/Trustee/Director/Secretary 2

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

## 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

CommSec is required to collect information about you and verify your identity before CommSec can provide you with the services or products for which you've applied.

- I/We consent to having electronic identification performed using personal details and identification documents I/we have provided, and understand that providing false or misleading information about my/our identity/s is an offence.
- I/We consent to having my/our personal details and identification documents matched to information held by the issuer or Official Record Holder via third party systems
- I/We understand that my/our personal information will be exchanged with external organisations including: credit reporting agencies, Commonwealth and State government departments, independent and private sector organisations and outsourced providers who coordinate the electronic identification process and who may conduct additional matches against public or proprietary databases
- As part of the electronic identification process, I/we permit these external organisations to record, use and disclose my/our information in accordance with their own privacy policies and legal obligations. I/We understand that CommSec and its outsourced providers will access records held about me/us by these external organisations only for the purpose of matching the identifying information I/we have chosen to provide
- I/We consent to providing my/our name/s, address/es and date of birth to selected credit reporting agencies to match this information against their records. I/We understand that this is done only for identity verification purposes.

### 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](mailto:OMTRequests@CommSec.com.au)

☎ 13 15 19