

# INTERNAL BULK OFF MARKET TRANSFER

**Form ID: 1016**

**Where to send this form?**

Please provide your completed and signed form with any relevant supporting documents to your adviser.

**Adviser use only:** Use this Form ID to securely submit the documents via eSubmit. To use eSubmit, log into the CommSec Adviser Services website and go to: **Administration > eSubmit**



**Use this form to transfer the ownership of multiple stocks from one entity to another within the Ausiex Participant ID.**

**A fee of \$27.50 (GST inclusive) per security transfer will apply.**

- 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.
- This form is used to transfer a maximum of 8 securities. Please print a separate form to transfer additional securities.
- 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.
- CAS 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.
- For general information on Off Market Transfers or assistance in completing the form, please refer to the **Guidelines for completing this form** below or contact us.

## GUIDELINES FOR COMPLETING THIS FORM

### SECTION A - SELLER(S)/TRANSFEROR(S) DETAILS

- ACCOUNT REGISTRATION NAME OF SELLER:** The given names and surname of the seller(s).  
Deceased estates 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, 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 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 (where applicable). Please ensure that the registration details correspond to those registered under that Trading Account number and HIN.
- HOLDER IDENTIFICATION NUMBER (HIN):** This number can be found on a CHES 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 B - 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. Fund, Trust or Estate names are to be inserted as an account designation.  
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.
- TRADING A/C:** Insert the Trading Account Number where securities are to be held. Please ensure that the registration details correspond to those registered under that Trading Account Number and HIN.

- HOLDER IDENTIFICATION NUMBER (HIN):** The buyer’s HIN, so that any previous holdings may be amalgamated. This number can be found on a CHES 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 C – SECURITY DETAILS

- CODE:** The unique trading code of the security used by the Australian Stock Exchange (ASX) (e.g. the ASX code for the Commonwealth Bank is CBA, for Woolworths Limited is WOW, for Reef Casino Trust is RCT, etc.).
- 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.).
- 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 in points 18 and 20.
- FEE TO BE DEBITED FROM LINKED SETTLEMENT BANK ACCOUNT:** Tick ‘yes’ to debit the fee from the Buyer’s bank account. If no box is ticked, the fee will be charged to the financial adviser’s Dealer Group.

### SECTION D – SIGNATURES

- SELLERS 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.  
Deceased Estate – all executors should sign and, if not already noted, 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 (Seller):** Insert the date signed by the seller(s). This should be the same as or after the date of transfer.
- BUYERS SIGNATURE:** Same requirements as point 17.
- DATE SIGNED (Buyer):** Insert the date signed by the buyer(s). This should be the same as or after the date of transfer.

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## SECTION A - SELLER(S)/TRANSFEROR(S) DETAILS

1. 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)

2. Registered address  
 State  Postcode

3. Trading Account Number  4. HIN  ( ( x ) ) 5. Contact Number  ( ( ) )

## SECTION B - BUYER(S)/TRANSFeree(S) DETAILS

6. 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)

7. Registered address  
 State  Postcode

8. Trading Account Number  9. HIN  ( ( x ) ) 10. Contact Number  ( ( ) )

## SECTION C – SECURITY DETAILS

11. Code	12. Security Name	13. Units	14. Consideration (\$A)

15. Date Of Transfer

16. Fee to be debited from Buyer's linked settlement bank account?  
 Yes  No

## SECTION D - 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.

	Security Holder 1	Security Holder 2	Security Holder 3
17. Print full name(s) of Seller(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
All Seller(s) must sign here (digital signatures not accepted)	<input type="text"/>	<input type="text"/>	<input type="text"/>
18. Date Signed (mandatory)	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Security Holder 1	Security Holder 2	Security Holder 3
19. Print full name(s) of Buyer(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
All Buyer(s) must sign here (digital signatures not accepted)	<input type="text"/>	<input type="text"/>	<input type="text"/>
20. Date Signed (mandatory)	<input type="text"/>	<input type="text"/>	<input type="text"/>