



Small Estates Indemnity Form

Form ID: 1044

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 for the transfer or sell down of stocks with a portfolio value of less than \$15K where there is no probate available.

Where to send the completed form?

Once completed and signed, please return the form by post to the address provided above.



This form is required to be completed for each individual stock that needs to be transferred or sold down along the following documents:

- Certified copy of the death certificate
- Certified copy of the last will and testament
- Certified copy of photo identification for each executor should the executors not have a share trading account

Section 1 – Registered Holdings

Full name of registered holdings

Holder Identification Number (HIN) or Security-holder Reference Number (SRN)

Company or trust where the investment is held

Registered Address

<input type="text"/>	State	Postcode
<input type="text"/>		

Country (if not Australia)

Section 2 – Personal details of Executor(s) or Administrator(s)

Title

Mr Ms Mrs Miss Dr Other

Surname

Given Name

Address

<input type="text"/>	State	Postcode
<input type="text"/>		

Country (if not Australia)

Transmission to myself/ourselves as legal representative(s) of the estate of the above named deceased of the securities held by him/her at the date of his/her death without requiring the legal personal representative(s) to obtain a Grant of Probate or letters of Administration or a reseal of Grant of Probate in the State of _____ (Australian State or Territory where the securities are registered).

I/We hereby covenant to indemnify and forever keep indemnified Australian Investment Exchange Limited ABN 71 076 515 930 ("Ausix") and its agents, from and against all losses in respect thereof and all claims, actions, proceedings, demands, costs and expenses whatsoever which may be made or brought against it by reason of compliance with this request.

Section 3 – Declaration & Signature/s

Sign here - This section must be signed and witnessed for your instructions to be executed.

I/We authorise you to act in accordance with my/our instructions set out above. I/We acknowledge that these instructions supersede and have priority over all previous instructions in respect to my/our securities.

All Executor(s)/Administrator(s) must sign here

X

X

X

Witness

Witness

Witness

X

X

X

The witness(es) certifies that the person(s) who has/have signed this statement is/are known to them and has/have signed in the presence of the witness with their normal signature(s).

Executors/Administrators:

When the holding is in the name of an Estate, all Executors/Administrators are required to sign.

Power of Attorney:

To sign as Power of Attorney, you must have already lodged it with the registry. Alternatively, attach a certified photocopy of the Power of Attorney to this form.

Note: Australian

The corporations Act 2001 imposes severe penalties for making a false statement (\$10,000 or 2 years imprisonment or both) or failing to ensure a statement is not false or misleading (\$5,000 or 1 year imprisonment or both).

Date