

Things you need to know

- All sections are mandatory unless indicated.
- When completing this form in relation to a deceased estate, the executor/trustee is referred interchangeably as the seller. The beneficiary is known as the buyer.
- Any alterations made to this form must be initialled by both the seller/executor/trustee/s and the buyer/beneficiary/new trustee/s.
- Any increase to the amount of securities being transferred will not be accepted, even if initialled. You need to complete a new form without amendments to the amount.
- 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 share 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.

Read before proceeding

The following table outlines the types of transfers that can be affected and the process. Please ensure a copy for your records is made prior to submission.

Seller/Executor/Trustee	Buyer/Beneficiary/New Trustee	Process	Charges
Transfer from the deceased's CommSec share trading account	Transfer to a CommSec share trading account	Complete Estate Management Internal Bulk Off Market Transfer form	No fee.
Transfer from the deceased's CommSec share trading account	Transfer to an Issuer Sponsored holding	Complete Estate Management Off Market Transfer form	No fee.
Transfer from the deceased's CommSec share trading account	Transfer to another broker's account	Contact the other broker to initiate request	No fee. Note: The other broker may charge you a fee.
Transfer from the deceased's Issuer Holdings	Transfer to a CommSec share trading account	Complete Off Market Transfer form	No fee.

Guidelines for completing this form

Section 1 – Seller/Executor/Trustee Details

Full name/s of seller/executor/trustee: Deceased estate should read “(the full names of the executors) as executors of the estate of (name of deceased shareholder)”.

For superannuation fund, family trust, or other trusts, insert the full registration name where the securities are currently held.

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 CHESS 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/Beneficiary/New Trustee Details

Full name/s of buyer/beneficiary/new trustees: Full names of all buyers (a maximum of 3 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, insert

the trustee given names and surname.

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

¹For 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 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 will be held. (E.g. CommSec's PID is 01402).

Trading A/C: Insert the 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, etc.).

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.).

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.

Section 4 – Signatures

Seller/executor/trustee signature/s:

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.

Date signed: Insert the date signed by the seller/s. This should be the same as or after the date of transfer.

Units: Number of securities being transferred (in both numbers and words).

Consideration: For Deceased Estates, tick the box provided.

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.

Buyer/beneficiary/new trustee signature/s: All account holders of buying account to sign.

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

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

1. Seller/Executor/Trustee Details

Full name seller/executor/trustee 1		Full name seller/executor/trustee 2		Full name seller/executor/trustee 3	
<input type="text"/>		<input type="text"/>		<input type="text"/>	
As Executors of the Estate of					
<input type="text"/>					
Registered address				Suburb	
<input type="text"/>				<input type="text"/>	
State	Postcode	Country		Executor contact number	
<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	
PID – <i>If applicable</i>		Trading account number		HIN/SRN	
<input type="text"/>		<input type="text"/>		<input type="text"/>	

2. Buyer/Beneficiary/New Trustee Details

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

Account Designation¹ – *If applicable for your Trust account*

Registered address				Suburb	
<input type="text"/>				<input type="text"/>	

State	Postcode	Country		Beneficiary contact number	
<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	

PID – <i>If applicable</i>		Trading account number		HIN	<input type="checkbox"/>	SRN	<input type="checkbox"/>
<input type="text"/>		<input type="text"/>		<input type="text"/>			

3. Security Details

Security name	Security code
<input type="text"/>	<input type="text"/>

Full description of securities

CLASS – E.g. fully paid, partly	If not fully paid, paid to
<input type="text"/>	<input type="text"/>

Units in numbers	Units in words
<input type="text"/>	<input type="text"/>

Consideration devised in Will?	Date of transfer – DD / MM / YYYY
<input type="radio"/> Yes <input type="radio"/> No	<input type="text"/> / <input type="text"/> / <input type="text"/>

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/Executor/Trustee 1

Full Name

Date signed – DD / MM / YYYY
 / /

Signature – *Must be signed pen to paper*

Seller/Executor/Trustee 2

Full Name

Date signed – DD / MM / YYYY
 / /

Signature – *Must be signed pen to paper*

Seller/Executor/Trustee 3

Full Name

Date signed – DD / MM / YYYY
 / /

Signature – *Must be signed pen to paper*

Buyer/Beneficiary/New Trustee 1

Full Name

Date signed – DD / MM / YYYY
 / /

Signature – *Must be signed pen to paper*

Buyer/Beneficiary/New Trustee 2

Full Name

Date signed – DD / MM / YYYY
 / /

Signature – *Must be signed pen to paper*

Buyer/Beneficiary/New Trustee 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
☎ 13 15 19

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