

Off Market Transfer Form for Deceased Estates



- For the purposes of completing this form, the Executor/Trustee is referred interchangeably as the Seller and Beneficiary is known as the Buyer.
- Any alterations made to this form **MUST** be initialled by both the Executor/Trustee(s) and the Beneficiary/new Trustee(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 share transfers is available on the ATO website. You should seek independent, professional tax advice before making any decision in relation to the transfer.
- Netwealth 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** on page 2 of this form.

Next Steps:

- Once completed, print, sign and scan the form back to us on the details above.

Read before proceeding

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 - Executor/Trustee	Buyer - Beneficiary/New Trustee	Process	Netwealth charges
Transfer from the deceased estate Netwealth Account	Transfer to an existing Netwealth Account	1. Complete Transfer Form (Page 3)	No fee.
Transfer from the deceased estate Netwealth Account	Transfer to an Issuer Sponsored Holding	1. Complete Transfer Form (Page 3)	No fee.
Transfer from the deceased estate Netwealth Account	Transfer to another Broker's Account	1. Contact the other Broker to initiate request	No fee. The other Broker may charge you a fee.
Transfer from another broker's Account	Transfer to an existing Netwealth Account	1. Complete the Off Market Transfer Form . 2. To download the form log into your Netwealth account. To download the form log into your Netwealth Trading Account and navigate to Products & Services > Forms & Brochures.	\$55 per transfer. GST inclusive. The other Broker may charge you a fee.
Transfer your Issuer Sponsored Shares	Transfer to an existing Netwealth Account	1. Complete the Off Market Transfer for Issuer to Chess Transactions . To download the form log into your Netwealth Trading Account and navigate to Products & Services > Forms & Brochures.	\$55 per transfer. GST inclusive.
Transfer your Issuer Sponsored Shares	Transfer to an Issuer Sponsored Holding	1. Contact the relevant Share Registry and confirm process applicable	Netwealth is unable to process this transfer.

Guidelines for completing this Form

Section A Seller – Executor(s)/Trustee Details

- 1. Full Name(s) of Seller (Executor(s)/Trustees):** Deceased estates 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, please insert the full registration name where the securities are currently held.
- 2. Registered Address:** Insert the full address including the postcode exactly as printed on seller’s holding statement.
- 3. Contact phone number of Seller:** Insert the seller’s contact phone number(s) including area code.
- 4. PID (Participant Identification Number):** Insert Participant Identification Number (if applicable). This is the seller’s sponsoring broker where security is held. E.g. Australian Investment Exchange PID 6381).
- 5. Trading A/C:** Insert the Trading account number where securities are currently held (where applicable).
- 6. 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 B Buyer – Beneficiary/New Trustee Details

- 7. Full Name(s) of Buyer (Beneficiary(ies)/New Trustees):** 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.
¹For account designation, ensure you insert name the of the Superannuation fund, trust name as per trust deed, or minor’s name as per birth certificate.
- 8. Registered Address:** Insert the full address including the postcode exactly as printed on buyer’s holding statement.
- 9. Contact Phone Number of Buyer:** Insert the buyer’s contact phone number(s) including area code.
- 10. PID (Participant Identification Number):** Insert Participant Identification Number (if applicable). This is the buyer’s sponsoring broker where security will be held. (E.g. Australian Investment Exchange PID 6381).
- 11. Trading A/C:** Insert the account number where securities are to be held (where applicable).
- 12. 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 C – Security Details

- 13. 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.).
- 14. Asx 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.).
- 15. 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.
- 16. Units:** Number of securities being transferred (must match in both numbers and words).
- 17. Consideration:** Deceased estates should read ‘Devised in Will’. (Please tick box)
- 18. 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 20 and 22.

Section D – Signatures

19. Executor(S)/Trustee Signature:

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.

20. Date Signed: Insert the date signed by the seller(s). This should be the same as or after the date of transfer.

21. Beneficiary(ies)/New Trustee Signature:

All account holders of buying account to sign.

22. Date Signed: Insert the date signed by the buyer(s). This should be the same as or after the date of transfer.

Section A Seller – Executor(s)/Trustee Details

1. Full name(s) of executor(s)/trustees

Executor/Trustee 1

Executor/Trustee 2

Executor/Trustee 3

As executors of the estate:

2. Registered address

State

Postcode

3. Contact Details

Home Number (include area code where applicable)

Home Number (include area code where applicable)

4. PID (if applicable)

5. Trading Account Number

Holder Identification Number (HIN)

Section B Buyer – Beneficiary(ies)/New Trustees

7. Buyer/Account registration name (Full Name, Company Name or Name of Trust - exactly as per holding registration details)

A/C Designation¹ (if applicable for your Trust account)

8. Registered address

State

Postcode

9. Contact Details

Home Number (include area code where applicable)

Home Number (include area code where applicable)

10. PID (if applicable)

11. Trading Account Number

Holder Identification Number (HIN)

Section C – Security Details

13. Security Name

14. ASX Code

15. Full description of securities

Class (e.g. fully paid, partly paid)

If not fully paid, paid to

16. Units

In numbers

In words

17. Consideration Devised in Will (please tick)

18. Date of Transfer

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.

	Executor/Trustee 1	Executor/Trustee 2	Executor/Trustee 3
19. Print full name(s) of Executor/Trustee(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
All Executor/Trustee(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"/>
21. Print full name(s) of Beneficiary/ New Trustee(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
All Beneficiary/New Trustee(s) must sign here (digital signatures not accepted)	<input type="text"/>	<input type="text"/>	<input type="text"/>
22. Date Signed (mandatory)	<input type="text"/>	<input type="text"/>	<input type="text"/>