Estate Management Notification Form

Refer to the end of this document for submission instructions, explanatory notes and help.

What you need to know

- This form is used to formally notify us of a customer's death.
- It is also used to formally appoint an executor/administrator/solicitor to manage the account/s of a customer, after they pass away.
- If you are a solicitor representing the executors, you must also email us a signed letter of engagement.
- Once we receive the below documentation, we will provide the portfolio statement and historical transaction summary. This will detail the holdings within the account/s, to help you decide what to do next.

Complete the following forms

The below table outlines the initial notification requirements for trading accounts based on the different account types and the value of the estate:

Account type	Forms to complete	Required documentation
Individual *– e.g. John Smith*	☐ **Executor/Administrator Authority form** (per executor)	If you haven't already, provide the following: ☐ Certified copy of the Death Certificate and ☐ Certified copy of the Last Will and Testament **If the holdings are $50,000 or greater** Once you have received the portfolio and historical transaction statements from us, also provide: ☐ Certified copy of a Probate/Letter of Administration (A Probate supersedes the Death Certificate and Last Will)
Joint *– e.g. John Smith & Mary Smith*	N/A – *Upon receiving the required documentation, we will automatically transfer all joint shareholdings (if any)to an existing account or create a new account for the surviving account holder. The joint account will be closed.*	If you haven't already, provide the following: ○ Certified copy of Death Certificate **or** ○ Certified copy of Probate/Letter of Administration
Formal Trust (Family or SMSF Trust) *– e.g. John Smith & Mary Smith <Smith Family S/F A/C>*	N/A – *Please refer to the Estate Management Disbursement form for instructions. To download this form, visit our website and navigate to Estate Management.* *This form details the process on either continuing the trust by appointing new trustees or dissolving i.e. winding down the trust.*	If you haven't already, provide the following: ○ Certified copy of Death Certificate **or** ○ Certified copy of Probate/Letter of Administration

Under ASX business rules, all CHESS holdings on individual and single trust accounts must be 'locked' on initial notification of a deceased estate. This means shares cannot be transferred or sold until all requirements have been satisfied.

For informal trusts e.g. trust for minor, follow the individual or joint account type instructions above.

Where to send this form and supporting documents

You can email this form and the required documents to: support@sharetrading.netwealth.com.au.
For queries relating to Estate Management, please call or email us.

What you need to know

- All fields are mandatory.
- Use this form to appoint an authorised representative i.e. executor or administrator of an estate to a share trading account.
- One form is to be completed for each appointed executor/administrator as named in the Last Will and Testament or Probate/Letters of Administration.
- If you are a solicitor representing the executors, you must also email us a signed letter of engagement.

Estate Account Details

List all Trading Accounts

Trading account number

Trading account name

Trading account number

Trading account name

Trading account number

Trading account name

Executor/Administrator Details

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*

Male Female

Address Details

All contact details below must be of the executor.

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

Executor/Administrator Contact Details

Email address

Mobile number

Home number – *Optional*

Work number – *Optional*

Employment Information

Refer to '**Job and Industry Classifications List**' available on the website for a list of acceptable Job Categories and Types.

Job category

Job type

Executor/Administrator Identification

AUSIEX is required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* to collect information about you and verify your identity before we can provide you with the services or products for which you've applied.

The proof of identification selected below and the personal details provided on this form must exactly match.

Please tick and complete **ONE** of the following options below:

○ **Option A** – I have an existing trading account

Username or trading account number

OR

○ **Option B** – I have attached a clear, legible original certified photocopy of one of the following and consent to the electronic verification to be performed.

- Australian Driver Licence **OR**
- Passport

By selecting this option:

- I consent to having electronic identification performed using personal details and identification documents I have provided, and understand that providing false or misleading information about my identity is an offence under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.
- I consent to having my personal details and identification documents matched to information held by the issuer or Official Record Holder via third party systems.
- I understand that my 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 permit these external organisations to record, use and disclose my information in accordance with their own privacy policies and legal obligations. I understand that AUSIEX and its outsourced providers will access records held about me by these external organisations only for the purpose of matching the identifying information I have chosen to provide.
- I consent to providing my name, address and date of birth to selected credit reporting agencies to match this information against their records. I understand that this is done only for identity verification purposes as required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.

You do not have to consent to electronic verification. If you do not want to be verified electronically, you have the option to be identified by sending in your original certified copy of identification to us via post.

Adviser Access

To allow the existing adviser/s to retain view-only access to the account/s, tick the following box and provide the full name/s of the adviser/s.

Retain View-Access ☐

Full name/s of existing adviser/s

Note: Existing adviser access will be automatically removed unless this section is completed by all executors.

Declaration & Signature/s

I understand, acknowledge and declare that the information I have provided to you on this form is true and correct and the law prohibits the use of false names, as well as the giving or use of false documents in connection with an identification procedure.

Full name

Date – *DD / MM / YYYY*

/ /

Signature – *Must be signed pen to paper*

Privacy statement

AUSIEX is collecting your personal information in connection with your role as an executor/administrator. For details of AUSIEX's privacy and information handling practices, including how you may access your information, seek correction of that information and how you may complain, please refer to our Privacy Policy which is available on our website.

Share Trading is a service provided by Australian Investment Exchange Limited (AUSIEX, the Participant, we, us, our) ABN 71 076 515 930 AFSL 241400, a Market Participant of the ASX Limited and Chi-X Australia Pty Ltd, 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,
please scan and email the form to

support@sharetrading.netwealth.com.au

Netwealth
Locked Bag 3005
Australia Square NSW 1215

1800 888 223

sharetrading.netwealth.com.au