

What you need to know

Use this form to 'disburse' (sell or transfer) shares from a deceased estate. Depending on the accounts held within the estate, certain sections of this form will need to be completed, and supporting documentation provided.

Margin Lending accounts can be complex, you should have received separate disbursement instructions for these accounts. If these have not been received please contact us.

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

S1

Before you start (Mandatory)

Before you can proceed with the disbursement of the shares, you must have completed the **Estate Management Notification form** and provided the necessary supporting documentation. You can find this form by visiting our website and navigating to Estate Management FAQs.

The Estate Management Notification form helps us verify the Estate executors/administrators and solicitors (if applicable) representing the estate. Once verified, we will also provide the portfolio and historical transaction statements, detailing the holdings within the account/s, to help you decide what to do next.

Complete the following forms

The below table outlines the disbursement options for a deceased estate based on the account type. The executors can choose a combination of these options.

Account Type	Forms to Complete	Required Documentation
Individual e.g. John Smith	<p>If the portfolio holdings value is less than \$50,000, complete:</p> <p><input type="checkbox"/> Small Estate Indemnity form</p> <hr/> <p>To TRANSFER the estate shares to the beneficial owner/s</p> <p>If transferring to an existing trading account with us, complete:</p> <p><input type="checkbox"/> Internal Bulk Off Market Transfer form (No fees will be charged by us).</p> <p>If transferring to another broker or share registry, complete:</p> <p><input type="checkbox"/> Standard Off Market Transfer form (No fees will be charged by us).</p> <p>If releasing the estate shares to the share registry without changing beneficial owner, please provide:</p> <p><input type="checkbox"/> A written request signed by all executors authorising for the shares to be released to the share registry including confirmation of the new registration address (No fees will be charged by us).</p> <hr/> <p>To SELL the shares</p> <p>If selling all of the broker sponsored holdings, and/or some or all of the Issuer sponsored shares, held within the estate, please complete:</p> <p><input type="checkbox"/> Estate Management Trade form</p>	<p>If a certified copy of a Probate is provided, the Small Estate Indemnity form is not required.</p> <hr/> <p>If you haven't already, please provide the following:</p> <p><input type="checkbox"/> Certified copy of the Death Certificate and</p> <p><input type="checkbox"/> Certified copy of the Last Will and Testament</p> <p>If the holdings are \$50,000 or greater</p> <p>Once you have received the portfolio and historical transaction statements from us, please also provide:</p> <p><input type="checkbox"/> Certified copy of a Probate/Letter of administration</p> <p>(A Probate supersedes the Death Certificate and Last Will)</p>
Joint e.g. John Smith & Mary Smith	<p>N/A</p> <p>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.</p>	<p>If you haven't already, please provide the following:</p> <p><input type="checkbox"/> Certified copy of Death Certificate or</p> <p><input type="checkbox"/> Certified copy of Probate/Letter of Administration.</p>

Account Type	Forms to Complete	Required Documentation
<p>Formal Trust e.g. John Smith & Mary Smith <Smith Family S/F A/C> For informal trusts e.g. trust for minor, follow the Individual or Joint Account type instructions above.</p>	<p>CONTINUATION OF TRUST</p> <p>If there are new appointed trustee/s, complete:</p> <p><input type="checkbox"/> A new trading account application, to reflect the amended trust structure. To apply, visit our website.</p> <p>Once the account is opened:</p> <p><input type="checkbox"/> Transfer the estate shares to the new trustee/s by completing a Internal Bulk Off Market Transfer form.</p> <p>From here, the trustees can sell the shares, if required.</p>	<p>If you haven't already, please provide the following:</p> <p><input type="checkbox"/> Certified copy of Death Certificate or</p> <p><input type="checkbox"/> Certified copy of Probate/Letter of Administration.</p> <p>CONTINUATION OF TRUST</p> <p><input type="checkbox"/> Certified copy of most recent Trust deed (for change of trustee). The amended Deed should clearly name the deceased and appointed trustees.</p>
	<p>DISSOLVING OF THE TRUST</p> <p>To transfer the shares to the beneficiaries</p> <p>If transferring to an existing trading account with us, complete:</p> <p><input type="checkbox"/> Internal Bulk Off Market Transfer form (No fees will be charged by us).</p> <p>If transferring to another broker or share registry, complete:</p> <p><input type="checkbox"/> Standard Off Market Transfer form (No fees will be charged by us).</p> <p>To SELL the shares</p> <p>If selling some or all of the broker sponsored holdings held within the estate, complete:</p> <p><input type="checkbox"/> Estate Management Trade form</p>	<p>If you haven't already, please provide the following:</p> <p><input type="checkbox"/> Certified copy of Death Certificate or</p> <p><input type="checkbox"/> Certified copy of Probate/Letter of Administration.</p> <p>DISSOLVING OF THE TRUST</p> <p><input type="checkbox"/> Certified copy of minutes of the meeting (trust winding down) confirming the following:</p> <ul style="list-style-type: none"> • Name of surviving trustees of the Trust • Intention to wind down the trust and intention to transfer or sell the holdings • Confirm the death of the trustee • Minutes to be signed by all surviving trustees

NOTE: We will unlock the trading account for the estate once disbursement instructions have been received. All shares must be sold or transferred from the trading account for the estate within 3 months of being unlocked, unless signed approval is received from all executors requesting an extension. Please note the maximum extension that can be granted is up to 12 months from the initial unlock date. In the event this does not occur, the holdings may be sold at our discretion to repay any outstanding balance (where applicable), and release the remaining shares to Issuer Sponsored holdings. The executor will need to liaise directly with the share registry to finalise the shareholdings.

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 Estates management, please call or email us.

Declaration & Signature/s - This section must be signed and witnessed for your instructions to be executed

I/We hereby request a transmission/transfer to myself/ourselves as legal representative(s) of the estate or to the beneficiaries of the above named deceased without requiring a Grant of Probate/Letters of Administration or a reseal of Grant of Probate/Letters of Administration in the Australian State where the securities are registered.

I/We hereby covenant to indemnify and forever keep indemnified Australian Investment Exchange Limited ABN 71 076 515 930 ("AUSIEX") 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.

Persons signing this statement should note that the Corporations Act 2001 imposes severe penalties for making false statements (\$10,000 or imprisonment for 2 years or both) or failing to ensure that a statement is not false or misleading (\$5,000 or imprisonment for 1 year or both).

Executor 1 Name

Full Name	Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Witness 1 Name (Mandatory)

Full Name	Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Executor 2 Name

Full Name	Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Witness 2 Name (Mandatory)

Full Name	Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Executor 3 Name

Full Name	Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Witness 3 Name (Mandatory)

Full Name	Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

All signatures are required to be original. 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).

Use this form to transfer the ownership of multiple securities from one Netwealth account to another Netwealth account.

- 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 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 securities transfers is available on the ATO website. You should seek independent, professional tax advice before making any decision in relation to the transfer.
- AUSIEX is not a registered tax (financial) adviser under the Tax Agent Services Act 2009 and is unable to provide you with tax advice.

Guidelines for completing this form

Section 1 – Seller(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.
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 seller’s holding statement.
- TRADING A/C:** Insert the trading account number where securities are currently held.
Please ensure that the registration details (name & address) correspond to those registered under the trading account and HIN. Mismatched registration details may result in the transfer being returned to you for clarification.
- HOLDER IDENTIFICATION NUMBER (HIN):** This number can be found on a CHESS 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 2 – Buyer(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.
¹For 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 (name & address) correspond to those registered under the trading account and HIN. Mismatched registration details may result in the transfer being returned to you for clarification.
- HOLDER IDENTIFICATION NUMBER (HIN):** The buyer’s HIN, so that any previous holdings may be amalgamated. This number can be found on a CHESS 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 3 – 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, 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, 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 17 and 19.

Section 4 – Signatures

16. SELLER'S 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 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.

Company – signatures of two directors (or a director and the secretary) or if there is a sole director, signature of that director.

17. **DATE SIGNED:** Insert the date signed by the seller(s). This should be the same as or after the date of transfer.

18. **BUYER'S SIGNATURE:** Same requirements as point 16.

19. **DATE SIGNED:** Insert the date signed by the buyer(s). This should be the same as or after the date of transfer.

Seller(s) Details

1. 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)

2. Registered Address - Street Suburb State Postcode

3. Trading Account Number 4. Holder Identification Number (HIN) 5. Contact Number

Buyer(s) Details

6. Account Registration Name (Full Name(s), Company Name – this must match the registration details exactly)

Account Designation¹ (if applicable for your trust account)

7. Registered Address - Street Suburb State Postcode

8. Trading Account Number 9. Holder Identification Number (HIN) 10. Contact Number

Security Details

11. Code	12. Security Name	13. Units	14. Consideration (\$AUD)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

15. Date of Transfer - DD/MM/YYYY

Signatures

I/We the registered holder(s) and undersigned Seller(s) for the above consideration(s) 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.

Sellers - (Mandatory)

Security Holder 1

16. Full Name 17. Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Security Holder 2

16. Full Name 17. Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Security Holder 3

16. Full Name 17. Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Buyers - (Mandatory)

Security Holder 1

18. Full Name 19. Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Security Holder 2

18. Full Name 19. Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Security Holder 3

18. Full Name 19. Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

- 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.
- AUSIEX 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.

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	Charges
Transfer from the deceased's Netwealth Share Trading account	Transfer to an existing Netwealth account	1. Complete Transfer Form	No fee.
Transfer from the deceased's Netwealth Share Trading account	Transfer to an Issuer Sponsored holding	1. Complete Transfer Form	No fee.
Transfer from the deceased's Netwealth Share Trading account	Transfer to another broker's account	1. Contact the other broker to initiate request	No fee. Note: The other broker may charge a fee.

Guidelines for completing this form

Section 1 – Seller/ Executor/Trustee Details

- FULL NAME(S) OF SELLER/EXECUTOR/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.
- 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. Australian Investment Exchange PID 6381).
- 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**7. FULL NAME(S) OF BUYER/BENEFICIARY/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 3 – 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:** For Deceased Estates, please tick the box provided.**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 4 – Signatures****19. SELLER/EXECUTOR/TRUSTEE SIGNATURE/S:**

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. BUYER/BENEFICIARY/NEW TRUSTEE SIGNATURE/S:** 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.

Seller/Executor/Trustee Details

1. Full name

Seller/Executor/Trustee 1

Seller/Executor/Trustee 2

Seller/Executor/Trustee 3

As executors of the estate - if applicable

2. Registered Address - Street

Suburb

State

Postcode

3. Contact Details

Home Number (include area code)

Mobile Number

4. PID (if applicable)

5. Trading Account Number

X 0 0

6. Holder Identification Number (HIN) / Securityholder Reference Number (SRN)

Buyer/Beneficiary/New Trustee Details

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 - Street

Suburb

State

Postcode

9. Contact Details

Home Number (include area code)

Mobile Number

10. PID (if applicable)

11. Trading Account Number

X 0 0

12. Holder Identification Number (HIN) / Securityholder Reference Number (SRN)

Security Details

13. Security Name		14. ASX Code	
15. Full description of securities		15. Full description of securities	
Class (e.g. fully paid, partly paid)		If not fully paid, paid to	
16. Units		16. Units	
In numbers		In words	
17. Consideration		18. Date of Transfer - DD/MM/YYYY	
Devised in Will? Yes <input type="checkbox"/> No <input type="checkbox"/>			

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(s) - (Mandatory)

Seller/Executor/Trustee 1

19. Full Name	20. Date - DD/MM/YYYY
Signature – must be signed pen on paper, electronic signatures not accepted	

Seller/Executor/Trustee 2

19. Full Name	20. Date - DD/MM/YYYY
Signature – must be signed pen on paper, electronic signatures not accepted	

Seller/Executor/Trustee 3

19. Full Name	20. Date - DD/MM/YYYY
Signature – must be signed pen on paper, electronic signatures not accepted	

Buyer/Beneficiary/New Trustee(s) - (Mandatory)

Buyer/Beneficiary/New Trustee 1

21. Full Name	22. Date - DD/MM/YYYY
Signature – must be signed pen on paper, electronic signatures not accepted	

Buyer/Beneficiary/New Trustee 2

21. Full Name	22. Date - DD/MM/YYYY
Signature – must be signed pen on paper, electronic signatures not accepted	

Buyer/Beneficiary/New Trustee 3

21. Full Name	22. Date - DD/MM/YYYY
Signature – must be signed pen on paper, electronic signatures not accepted	

- Use this form to sell shares on behalf of a deceased estate. There are 2 options available:

Option 1 - Sell some or all of the broker sponsored holdings held on the trading account for the estate.

If your holding statement begins with the letter 'X' your shares are broker sponsored.

If we are not the sponsoring broker, you will need to sell them through the original broker or transfer your shares to us by opening a trading account.

Option 2 - Sell issuer sponsored shares for the estate held at the share registry.

Note: this option is only available if the deceased held a trading account with us previously under the same registration details.

If your holding statement begins with the letter 'I' your shares are Issuer Sponsored.

To sell Issuer Sponsored shares, you must firstly update the registration details with the share registry to include "EST/ESTATE" and update the registered address to match the address of the estate trading account. This must be identical to sell Issuer Sponsored holdings. You will need to contact the share registry to arrange this.

- The personal and contact details provided on this form **must** match your existing account or proof of identification details.
- Phone brokerage rate applies to deceased estate trades. Please refer to the Financial Service Guide available on the website to view phone brokerage rates.

IMPORTANT INFORMATION

The following documentation will be required:

If the value of the shares that belong to the estate is less than \$50,000:

Certified copy of Probate

OR

Certified copy of the Death Certificate and

Certified copy of the Last Will and Testament and

Small Estate Indemnity form.

If the value of the shares that belong to the estate is \$50,000 or greater:

Certified copy of Probate

HOW WE PAY YOU

Payment can only be made by cheque and payable in the name of the estate.

HOW TO CORRECTLY CERTIFY DOCUMENTS

Each certified photocopy(s) must include the statement (or similar wording):

'I certify that this is a true copy of the original document'.

The certifier must include their full name, signature, date and qualification or occupation which make them eligible.

BEST EXECUTION POLICY DISCLOSURE

Before you submit your Deceased Estate Trade form request, please take due time to view the Best Execution Client Disclosure document on our website.

GENERAL ADVICE WARNING

Read and accept the Share Trading Terms and Conditions available to download from the website. This form has been prepared without taking account of the objectives, financial situation or needs of any particular individual. For this reason, any individual should, before acting on the information in this form, consider the appropriateness of the information, having regard to the individual's objectives, financial situation and needs and, if necessary seek professional advice.

PRIVACY STATEMENT

AUSIEX is collecting your personal information in connection with your role as an executor. 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.

Complete one of the following options:

Option A Sell **all** broker sponsored shares on the account:

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Account Number

<input checked="" type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Holder Identification Number (HIN)

OR

Option B Sell only the following shares:

Name of Shares (eg TLS, CBA, IAG)	Holder Identification Number (HIN) or Securityholder Reference Number (SRN)	Number of units to be sold
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Declaration/Signature

By signing this document, I/We:

- Instruct AUSIEX to sell the above mentioned securities at the prevailing market price as soon as practicable after this form is received.
- I have read and accept the AUSIEX Trading Terms and Conditions and have been provided a copy of the latest Financial Services Guide, both available to download from the website.

Name of Executor/Trustee 1

<input type="text"/>	<input type="text"/>
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Full Name Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Name of Executor/Trustee 2

<input type="text"/>	<input type="text"/>
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Full Name Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

Name of Executor/Trustee 3

<input type="text"/>	<input type="text"/>
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Full Name Date - DD/MM/YYYY

Signature – must be signed pen on paper, electronic signatures not accepted

How to submit your documents

Once completed and signed, please scan and return the form to the email address to the right.

Netwealth
 Locked Bag 3005
 Australia Square NSW 1215
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