

**i** Use this form to transfer existing holdings from another broker or share registry (issuer) to a Netwealth share trading account in **exactly the same name**. See definitions below for more information.

- **Issuer sponsored shares** are held directly with the issuing share registry and have an associated Shareholder Reference Number (SRN). SRNs are 11 digits long, usually begin with 'I' and are unique for each holding. **To transfer Issuer sponsored shares, complete sections 1, 2 and 4.**
- **Broker sponsored shares** are held in a CHESSE sponsored account with a broker and have an associated Holder Identification Number (HIN). HINs are 10 digits long and begin with an 'X'. **To transfer Broker sponsored shares, complete sections 1, 3 and 4.**

This form uses JavaScript for optimal performance. Please ensure you have this enabled if completing electronically.  
Refer to the end of this document for submission instructions.

## 1. Account Details

Trading account name

Trading account number

SMSF/Trust account designation – *If applicable*

**i** **Account Designation** is the trust name as per the trust deed (up to 23 characters including spaces). Must not include TRUST, TRUSTEE, TRSTEE, ACF, ATF, TEST, AS CUSTODIAN FOR or any of the following special characters ,.^[]'.

## 2. Issuer Sponsored Share Transfer Request

**i** **Complete this section to transfer Issuer sponsored shares are held directly with the issuing share registry.**

For your transfer to be successful the registration details (name, address and designation) with the Issuer must exactly match the CHESSE registration details on your trading account. Compare your trading accounts details against your Issuer Sponsored Holding Statement/s. If the registration details differ you will need to:

- Complete the 'Share Transfer Form - For accounts in a different name or to another party' instead; or
- Contact the Share Registry to change your registration details before we can process this transfer. When the Share Registry has notified you of the correction you will need to forward the confirmation and a copy of your previous Issuer Sponsored Holding Statement. If this not done, transfers may be delayed or rejected.

### Shares to be transferred

ASX Code – <i>e.g. IAG</i>	Security name – <i>e.g. IAG Limited</i>	Shareholder Reference Number (SRN)	Quantity – <i>Number of shares</i>

To transfer more than 10 different holdings, photocopy this page, complete and attach to this form.

**i** It may be necessary to re-lodge your standing instructions with the Share Registry after some transfers. These include tax file numbers, banking details or dividend instructions.

### 3. Broker Sponsored Share Transfer Request

**i** Complete this section to transfer Broker sponsored shares held in a CHESS sponsored account with another broker.

Please also ensure that you have no outstanding orders or pending trade settlements for the investments you wish to transfer.

#### Existing Broker Details

Broker name

Participant Identification Number (PID)

Holder Identification Number (HIN)

Account name




#### New Broker Details

Broker name

Participant Identification Number (PID)

Holder Identification Number (HIN)

#### Transfer Instructions

**Option 1** - Transfer **all** Broker sponsored holdings to the Participant – *We will transfer your HIN*

**Option 2** - Transfer only the following existing Broker sponsored holdings to the Participant

ASX Code – *e.g. IAG*

Security name – *e.g. IAG Limited*

Quantity – *Number of shares*




To transfer more than 10 different holdings, photocopy this page, complete and attach to this form.

**i** It may be necessary to re-lodge your standing instructions with the share registries after some transfers. These include tax file numbers, banking details and DRP or dividend instructions.

## 4. Declaration & Signature/s

I/We:

- Authorise the Participant to transfer the holding/s specified above into my trading account as CHESSE Participant sponsored holding/s in accordance with the Terms and Conditions of Participant Sponsorship Agreement.
- Agree to be sponsored by the Participant under the terms of the Participant Sponsorship Agreement. I/We have read and agree to accept and abide by the terms of the Agreement, and have been supplied with, read and understood the written explanation of the implications of those terms.
- In the event of any mismatch of registration details I authorise the Participant to make changes to my Holder Identification Number (HIN) registration details in accordance with the information on my Trading Account.

### Account Holder/Director/Secretary/ Trustee 1

Full name

Date – DD / MM / YYYY

 /  / 

Signature – *Must be signed pen to paper*

### Account Holder/Director/Secretary/ Trustee 2 – *If applicable*

Full name

Date – DD / MM / YYYY

 /  / 

Signature – *Must be signed pen to paper*

### Account Holder/Director/Secretary/ Trustee 3 – *If applicable*

Full name

Date – DD / MM / YYYY

 /  / 

Signature – *Must be signed pen to paper*

## Tips for a Successful Transfer

### Sample of an Issuer Sponsored Holding Statement

All Registry communications to:  
Link Market Services Limited  
Locked Bag A14  
Sydney South NSW 1235 Australia  
Telephone: 1800 022 440  
Facsimile: (02) 9527 0303  
ASX Code: WBC  
Email: registrars@linkmarketservices.com.au  
Website: www.linkmarketservices.com.au

MR JOHN SMITH &  
MRS JOAN SMITH  
1 SOMEWHERE STREET  
SYDNEY NSW 2000

SECURITYHOLDER  
REFERENCE NUMBER (SRN): 100000000000

PAGE NUMBER: 1

STATEMENT DATE: 30/09/2008

TFNABN RECEIVED AND RECORDED

**Issuer Sponsored Holdings** are maintained by the Share Registry on behalf of the Issuer of your shares.

To convert your Issuer Holding we need to know the ASX Code and the number of units you would like us to convert.

**Securityholder/Shareholder Reference Number (SRN)** is a unique number that identifies you as an Issuer Sponsored holder with a listed company. An SRN usually starts with the letter 'I' e.g. I00012345678.

If you hold shares in more than one company and choose to be Issuer Sponsored, you will have a different SRN for each shareholding.

### Sample of a CHESSE Holding Statement

**CHESSE HOLDING STATEMENT**

For statement enquiries contact your CHESSE Sponsor:  
AUSTRALIAN INVESTMENT EXCHANGE LIMITED  
PO Box 7777  
Cloisters Square  
Perth WA 6850  
08 9282 8400

Holder ID Number (HIN): 0000000000

CHESSE Sponsor's ID (PID): 00000

Statement Period: Jul/v 2008

144024 01442  
MR JOHN SMITH &  
MRS JOAN SMITH  
1 SOMEWHERE STREET  
SYDNEY NSW 2000

**Broker Sponsored Holdings** If your shares are Broker Sponsored, you will have a Holder Identification Number (HIN), which starts with an 'X'. You can be CHESSE sponsored by more than one broker or institution, and you can even maintain holdings in the same security under different sponsorships.

**Holder Identification Number (HIN)** is a unique number that you are issued when you are CHESSE/ Broker Sponsored Holder. Your HIN can register multiple securities under the one HIN. A HIN starts with the letter X and is followed by ten numbers e.g. X0002468123.

**PID** is an acronym for Participant Identification Number. This is the Broker's identification number.

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 Cboe 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](mailto:support@sharetrading.netwealth.com.au)

📍 **Netwealth**  
Locked Bag 3005  
Australia Square NSW 1215

📞 1800 888 223  
🌐 [sharetrading.netwealth.com.au](http://sharetrading.netwealth.com.au)