

# Standard Transfer Form



This is a PDF smart form. Please complete this form by directly typing into the fields. You then need to print the completed form and sign in section D.

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Please read the instructions to ensure the form is completed accurately and returned with all the necessary supporting documentation. Please contact Automic if you have any questions or concerns.

**CHESS Holdings:** This form must be forwarded to the CHESS Sponsoring Broker or Non-Broker Participant.

**Issuer Sponsored Holdings:** This form must be forwarded to Automic or your broker as appropriate.

**Please Note:**

- Any alterations must be initialled by the seller/s and the buyer/s. Any increase to the quantity of securities being transferred is not acceptable even if initialled.
- Correction fluid or tape must not be used.
- Transfers or other documents that do not fully meet the company's requirements will be returned without being processed.

## SECTION A – PROOF OF IDENTIFICATION

Evidence will need to be provided with each transfer form to confirm the identity of the seller as the current owner of the securities to be transferred. The buyer of the securities is also required to provide identification. Note, if the buyer or seller is a corporation, the below documentation is required for each director/secretary signing the transfer form and a ^certified copy of the company registration issued by a regulator. If you are unsure, please contact Automic.

Please choose either Option 1 or Option 2 for proof of identification and send Automic a ^certified copy of the applicable document(s). Please DO NOT attach original documents as documents will not be returned. Proof of identity documents will not be held on file for future use and must be provided with each transfer form.

**Minors:** Securities cannot be directly registered in the name of a minor (individuals under the age of 18)

**Corporations:** You must provide either an extract of the company registration (company extract) or alternatively you can provide a ^certified copy of the Company Statement. Either must include a listing of the directors together with identity documents as per below for the signing directors/company secretary.

**^Certification:** Must be within 12 months of submitting your Transfer request. Copies of documents forwarded must be originally certified as a correct copy by a person who in the State or Territory of certification has the power to witness a Statutory Declaration (see examples on the next page).

| SELLER – PROOF OF IDENTIFICATION  | BUYER – PROOF OF IDENTIFICATION   |
|---|---|
| <p><b>Option 1:</b> Please attach at a ^certified copy of at least 1 document on the list below. Tick or Cross the evidence you have supplied.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Australian Driver's License</li> <li><input type="checkbox"/> Australian Passport (that has not expired more than 2 years ago)</li> <li><input type="checkbox"/> International Travel Document – Foreign Passport (that has not expired more than 2 years ago)</li> <li><input type="checkbox"/> Australian Proof of Age Card</li> <li><input type="checkbox"/> Australian National Identity Card</li> </ul>   | <p><b>Option 1:</b> Please attach at a ^certified copy of at least 1 document on the list below. Tick or Cross the evidence you have supplied.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Australian Driver's License</li> <li><input type="checkbox"/> Australian Passport (that has not expired more than 2 years ago)</li> <li><input type="checkbox"/> International Travel Document – Foreign Passport (that has not expired more than 2 years ago)</li> <li><input type="checkbox"/> Australian Proof of Age Card</li> <li><input type="checkbox"/> Australian National Identity Card</li> </ul>   |
| <p><b>Option 2:</b> Please attach at least 1 primary non-photographic document and 1 secondary non-photographic document on the list below</p> <p style="text-align: center;"><b>Primary non-photographic identity document; AND</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Australian Birth Certificate or Extract of Birth</li> <li><input type="checkbox"/> Australian Citizenship Certificate</li> <li><input type="checkbox"/> Foreign Citizenship Certificate</li> <li><input type="checkbox"/> Foreign Birth Certificate</li> <li><input type="checkbox"/> A Centrelink Pension Card or Centrelink Healthcare Card</li> </ul> <p style="text-align: center;"><b>Secondary non-photographic identity document</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> A financial benefit notice issued by the Commonwealth, State or Territory within the last 12 months</li> <li><input type="checkbox"/> An income tax assessment notice issued within the last 12 months</li> <li><input type="checkbox"/> A local government notice (e.g. council rates) or utilities notice issued within the last 3 months</li> </ul> | <p><b>Option 2:</b> Please attach at least 1 primary non-photographic document and 1 secondary non-photographic document on the list below</p> <p style="text-align: center;"><b>Primary non-photographic identity document; AND</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Australian Birth Certificate or Extract of Birth</li> <li><input type="checkbox"/> Australian Citizenship Certificate</li> <li><input type="checkbox"/> Foreign Citizenship Certificate</li> <li><input type="checkbox"/> Foreign Birth Certificate</li> <li><input type="checkbox"/> A Centrelink Pension Card or Centrelink Healthcare Card</li> </ul> <p style="text-align: center;"><b>Secondary non-photographic identity document</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> A financial benefit notice issued by the Commonwealth, State or Territory within the last 12 months</li> <li><input type="checkbox"/> An income tax assessment notice issued within the last 12 months</li> <li><input type="checkbox"/> A local government notice (e.g. council rates) or utilities notice issued within the last 3 months</li> </ul> |





**THE FOLLOWING ARE EXAMPLES OF INDIVIDUALS WHO MAY CERTIFY A DOCUMENT:**

- Chartered accountant (C.A)
- Barrister or solicitor or a clerk to a barrister and solicitor
- Australian Defence Force officer
- Commissioner for affidavits or declarations
- Legally qualified medical practitioner
- A Fellow of the Institute of Legal Executives (Victoria only)
- Diplomatic or consular officer
- Postmaster
- Notary public
- Member of the police force
- Minister of Parliament of the Commonwealth or the State Government
- Manager of a bank, building society or credit union
- Certified practicing accountant (C.P.A)
- Sheriff or a deputy sheriff
- Justice of the Peace
- Officer of the court-Magistrates, County or Supreme
- Pharmacist
- Marriage celebrant-civil or religious

**SECTION B – SELLER DETAILS**

**1\*** Full name of Company, Corporation or Trust in which the securities are held

**2\*** Description of securities Units, Fully Paid Ordinary Shares, Options, Notes, etc.)

**3** Security Code

**4\*** Number of Securities to be sold (quantity)

**5** Full name/s of Transferor/s (Seller/s) as well as any designation (if applicable).  
 Note: This must match the proof of identity provided.

**6\*** Transferor/s (Seller/s) Securityholder Reference Number (must be quoted) SRN:

**7** Consideration - Is the full amount paid in settlement of the transfer of securities if applicable. AUD \$

**8** Date of Purchase Day / Month / Year

**9\*** Seller's Contact Number

**10\*** Seller's Email Address

**SECTION C – BUYER DETAILS**

**1\*** Full name/s of Transferee/s (Buyer/s) – A maximum of three joint holders. Securities may not be solely registered in the names of a firm or business name, an estate or deceased person, a minor, a fund or a trust.

**2\*** Full address of Transferee/s (Buyer/s)  
 Insert full address including the postcode. Only one address may be recorded

**3** Transferee/s (Buyer/s) Securityholder Reference Number (if known) SRN:

**4\*** Buyer's Contact Number

**5\*** Buyer's Email Address

\* Mandatory fields





## SECTION D – SIGN HERE

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 as 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 (if applicable). To sign as power of attorney you must have already lodged it with the registry or your broker as appropriate or enclose a certified copy with this transfer.

|  |   |   |   |
|--|---|---|---|
| <b>1*</b> Transferor/s (Seller/s) sign here              | Individual or Securityholder 1  | Securityholder 2  | Securityholder 3  |
|  | <input type="text"/>  | <input type="text"/>  | <input type="text"/>  |
|  | Sole Director or<br>Sole Director and Company Secretary<br>(delete one) | Director  | Director / Company Secretary  |
| <b>2*</b> Transferor/s (Seller/s) name of signatory here | _____   | _____   | _____   |
|  | Name of Signatory 1 (please print)                                      | Name of Signatory 2 (please print)  | Name of Signatory 3 (please print)  |
| <b>4*</b> Transferee/s (Buyer/s) sign here               | Individual or Securityholder 1  | Securityholder 2  | Securityholder 3  |
|  | <input type="text"/>  | <input type="text"/>  | <input type="text"/>  |
|  | Sole Director or<br>Sole Director and Company Secretary<br>(delete one) | Director  | Director / Company Secretary  |
| <b>5*</b> Transferee/s (Buyer/s) name of signatory here  | _____   | _____   | _____   |
|  | Name of Signatory 1 (please print)                                      | Name of Signatory 2 (please print)  | Name of Signatory 3 (please print)  |
|  |   | <b>3</b> Date: <input type="text"/> / <input type="text"/> / <input type="text"/> |   |
|  |   |   | <b>6</b> Date: <input type="text"/> / <input type="text"/> / <input type="text"/> |

## SECTION F – CHECKLIST

- Transfer form is fully completed, signed and dated.
- Certified copies of proof of identity from either Option 1 or Option 2 are provided
- Any additional supporting documents are certified and included

\* Mandatory fields

