

i Use this form to transfer existing holdings from another broker or share registry (issuer) to an AUSIEX 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.

If the registration details between the accounts are **not** an identical match (i.e. account name including account designation and CHESSE address), this form should not be used. **Please complete the Share Transfer Form for accounts in a different name or to another party.**

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 to CHESSE 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. If this is not done, transfers may be delayed or rejected.

Shares to be transferred

ASX code – e.g. IAG	Security name – e.g. IAG Limited	Shareholder Reference Number (SRN)	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 Registry after some transfers. These include tax file numbers, banking details or dividend instructions.

3. Broker to Broker Transfer Request

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

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

If you are only requesting for issuer sponsored holdings to be transferred, you do not need to complete this section.

Existing Broker Details

Broker name

Participant Identification Number (PID)

Holder Identification Number (HIN)

Account name

New Broker Details

Broker name

Participant Identification Number (PID) – Australian Investment Exchange’s PID is 6381. Enter ‘6381’ below for all transfers into a standard AUSIEX trading account

Holder Identification Number (HIN)

Transfer Instructions

Please select only one of the options below.

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

Option 2 - Transfer only the following 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 signed – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

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

Full name

Date signed – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

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

Full name

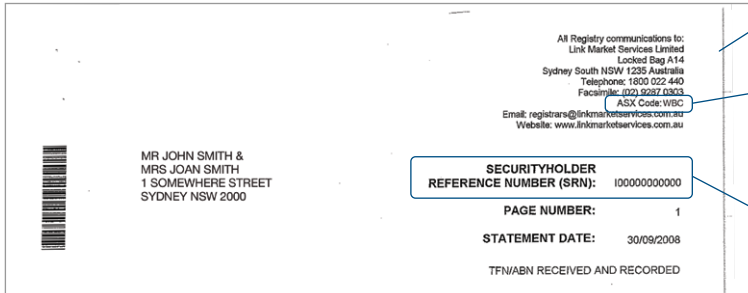
Date signed – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

Tips for a Successful Transfer

Sample of an Issuer Sponsored Holding Statement



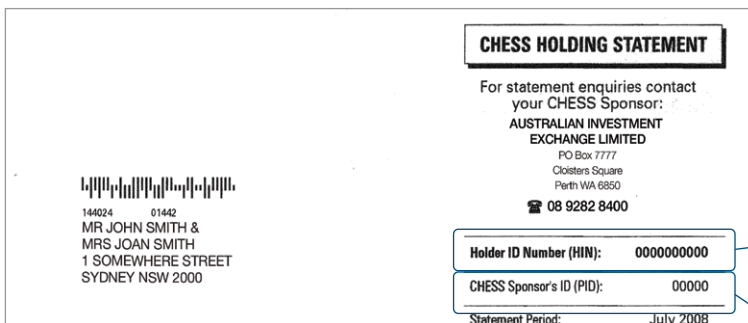
Issuer Sponsored Holdings are maintained by the Share Registry on behalf of the Issuer of your shares.

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 '1' e.g. 100012345678.

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



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. 0002468123.

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

Clients

Once completed and signed, please scan and return the form to service@ausiex.com.au

Advisers

Lodge this form and all supporting documents ausiex.com.au > Administration > eSubmit



1800 252 351 service@ausiex.com.au ausiex.com.au