

CHES Sponsorship and Broker to Broker Transfer



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Westpac Securities Limited ABN 39 087 924 221

Share Trading with Westpac Online Investing is a service provided through Westpac Securities Limited ABN 39 087 924 221 AFSL 233723 (Westpac Securities) by Australian Investment Exchange Ltd (the Participant, we, us, our) ABN 71 076 515 930 AFSL 241400, a Participant of the ASX Group and Chi-X Australia.

Use this form to transfer your existing holdings from another sponsoring participant (broker) to the Participant.

Please refer over the page for guidelines on completing this form.

Where to send the completed form?

Once completed and signed, please return the form and **a copy of your most recent CHES Holdings statement** by email (preferred), fax or post to the details listed at the top of this page.

Section 1 – Client Details

Westpac Securities Account Number

Westpac Securities Account Name

SMSF/Trust Account Designation (if applicable)

 A/C

Must be an abbreviated version of the full name of the trust (up to 23 characters, including spaces).

The words or reference to “trust”, “as trustee for”, “trustee”, “ATF”, “Testamentary” should not be used in Account Designation as it will not be accepted by CHES.

Broker to Broker Transfer Instructions

a) Transfer **all** Broker Sponsored Holdings to the Participant (we will transfer your HIN)

or

b) Transfer only the following existing Broker Sponsored Holdings to the Participant

ASX Code or Security Name

Qty

| ASX Code or Security Name | Qty |
|---------------------------|-----|
| | |
| | |
| | |
| | |
| | |
| | |

If you have more than 6 sponsored holdings to transfer, please photocopy this page, complete and attach to the form.

Section 2 – Broker to Broker Transfer Request



The name and address details that appear on your current registered holding **must be an exact match** with the registration details on your Westpac Securities Account. If your details differ, you will need to contact your existing sponsoring participant (broker) to change your registration details, or authorise us to make the changes by nominating below so we can process this transfer without delay or rejection. Please also ensure that you have no outstanding orders or pending trade settlements for the investments you wish to transfer.

You may select to either transfer all or part of your existing broker sponsored holdings.

Existing Broker Name

PID:

HIN:

A/C:

New Broker Name

Australian Investment Exchange Ltd

PID:

HIN:

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 Westpac Securities Account.



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.

Section 3 – Declaration & Signature/s

All authorised signatories must sign the form for your instructions to be executed.

I/We:

- Authorise the Participant to transfer the holding/s specified above into my Westpac Securities Account as CHES 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 Participant Sponsorship Agreement, and have been supplied with, read and understood the written explanation of the implications of those terms.

Name of Account Holder 1/Director/Secretary 1/Trustee 1

DD / MM / YYYY

Name of Account Holder 2/Director/Secretary 2/Trustee 2

DD / MM / YYYY

If there are more than 2 authorised signatories, please photocopy the page, complete and attach to the form.

Guide for a Successful Transfer

| Your CHES Statement has | Westpac Securities Account has | Scenario | What you need to do |
|--|--|---|---|
| Mr John Smith + Mrs Mary Smith 11 Adelaide Street Sydney NSW 2000 | Mr John Smith 11 Adelaide Street Sydney NSW 2000 | Other Broker is in a joint holding. Westpac Securities Account is in a single holding | Open an account at Westpac Securities in the name of Mr John Smith + Mrs Mary Smith or complete an Off Market Transfer. Off Market Transfer Forms are available under Forms and Brochures at our website. |
| Mr John Smith <Smith Super Fund A/C> 11 Adelaide Street Sydney NSW 2000 | Mr John Smith 11 Adelaide Street Sydney NSW 2000 | Other Broker is in the name of a Super Fund, Westpac Securities Account is not. | Open an account at Westpac Securities in the name of Mr John Smith <Smith Super Fund A/C> or complete an Off Market Transfer. Off Market Transfer Forms are available under Forms and Brochures at our website. |
| J Smith Pty Ltd 11 Adelaide Street Sydney NSW 2000 | Mr John Smith 11 Adelaide Street Sydney NSW 2000 | Other Broker is in the name of a Company, Westpac Securities Account is not. | Open an account at Westpac Securities in the name of J Smith Pty Ltd or complete an Off Market Transfer. Off Market Transfer Forms are available under Forms and Brochures at our website. |
| Mr J Smith 11 Adelaide Street Sydney NSW 2000 | Mr John Smith 11 Adelaide Street Sydney NSW 2000 | Other Broker has a middle name, Westpac Securities Account does not | Contact your other Broker to amend your name. Your holding must have the same name as your Westpac Securities Account or authorise the Participant on the form to make changes to your HIN registration details to match your Westpac Securities Account. |
| Mr John Alfred Smith 11 Adelaide Street Sydney NSW 2000 | Mr John Smith 11 Adelaide Street Sydney NSW 2000 | Other Broker has a middle name, Westpac Securities Account does not | Contact your other Broker to amend your name. Your holding must have the same name as your Westpac Securities Account or authorise the Participant on the form to make changes to your HIN registration details to match your Westpac Securities Account. |
| Mr John Smith 21 Melbourne Street Sydney NSW 2000 | Mr John Smith 11 Adelaide Street Sydney NSW 2000 | Other Broker has a different Address to Westpac Securities Account | Contact your other Broker to amend your address. Your holding must have the same address as your Westpac Securities Account or authorise the Participant on the form to make changes to your HIN registration details to match your Westpac Securities Account. |
| Mr John Alfred Smith 21 Melbourne Street Sydney NSW 2000 | Mr John Smith 11 Adelaide Street Sydney NSW 2000 | Other Broker has a different name and address to Westpac Securities Account | Contact your other Broker to amend your name and address. Your holding must have the same name and address as your Westpac Securities Account or authorise the Participant on the form to make changes to your HIN registration details to match your Westpac Securities Account. |

Sample of an Issuer Sponsored Holding Statement

Broker Sponsored Holdings If your shares are Broker Sponsored, you will have a Holder Identification Number (HIN) allocated to your holding rather than a Securityholder Reference Number (SRN), which starts with an 'X'. You can be sponsored on CHES 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 CHES/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. Our PID is 6381.

Related Definitions

CHES stands for Clearing House Electronic Sub-register System. The CHES Settlement Facility is a computerised share registry and settlement system operated by the ASX Settlement Pty Ltd (ASX Settlement), a subsidiary of the ASX. CHES records an account's share ownership via the ASX's computer-based share and settlement transaction system. An account's security holdings are recorded against their HIN and a statement is sent out to their registered address.

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

Securityholder Reference Number (SRN) is a unique number that identifies you as an Issuer Sponsored holder with a listed company. A 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.