



Off Market Transfer Form For Non-Market Transactions

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.

PLEASE START HERE

Thank you for requesting information regarding 'Off Market Transfers'. We have enclosed an Off Market Transfer Form, as well as guidelines (refer page 2) to assist sellers in completing the form.

It should be noted that if you are not a Westpac Customer then identification is required to meet the Anti Money Laundering/Counter-Terrorism Financing Act (AML/CTF ACT) 2006.

The following table outlines the types of Transfers that can be affected and the process.

APPLICATION INSTRUCTIONS

Seller	Buyer	Process	Westpac Charges
Transfer from your Westpac Securities CHESS sponsored account	Transfer to a Westpac Securities CHESS sponsored account	Complete a 'Standard Transfer Form for Off Market Transactions'	\$50 per transfer. GST Inclusive.
Transfer from your Westpac Securities CHESS sponsored account	Transfer to an Issuer Sponsored Holding	Complete a 'Standard Transfer Form for Off Market Transactions'	\$50 per transaction. GST Inclusive.
Transfer from your Westpac Securities CHESS sponsored account	Transfer to another Broker's CHESS Sponsored Account	Complete a 'Standard Transfer Form for Off Market Transactions'	No Fee. The other Broker may charge you a fee.
Transfer from your CHESS sponsored account with another Broker	Transfer to a Westpac Securities CHESS sponsored account	Complete a 'Standard Transfer Form for Off Market Transactions'	\$50 per Transaction. GST Inclusive.
Transfer your Issuer Sponsored Shares	Transfer to a Westpac Securities CHESS sponsored account	1. Read Guidelines (Page 2) 2. Complete Identification Requirements (Page 3 - 7) 3. Complete Transfer Form (Page 9) 4. Send original form to Westpac Securities	\$65 per transfer. GST Inclusive.
Transfer your Issuer Sponsored Shares	Transfer to an Issuer Sponsored Holding	1. Contact the relevant Share Registry and confirm process applicable.	The Participant is unable to process this transfer.

Any questions regarding the tax implications of an Off Market Transfer should be directed to an accountant or a professional investment adviser. The original Standard Transfer Form is required in our office for processing. Please ensure a copy for your records is made prior to submission.

For general information on Off Market Transfers or assistance completing the forms, please contact our Client Service Officers between 8am and 7pm (Sydney time) Monday to Friday.

Off Market Transfer Form For Non-Market Transactions

Guidelines for completing an Off Market Transfer

Guidelines for completing an Off Market Transfer Each of the following points refers to a section of the Standard Off Market Transfer Form.

1. NAME OF COMPANY/ TRUST: The full name of the company or trust in which the securities are held (e.g. Woolworths Limited, Reef Casino Trust, etc.)

2. FULL 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.

3. QUANTITY: Number of securities being transferred (in both words and figures).

4. FULL NAME OF SELLER: The surname and given names of the seller. Deceased estates should read "Estate of (full name of the deceased shareholder)". If transferring from an executor's account, it should read "(name of the executor) as executor for (full name of the deceased shareholder)". For companies, insert the company legal name.

For a superannuation fund, family trust or minor, insert the name of the entity or person in the account designation section. If the trustee is an individual, please insert the trustee surname and given names. If the trustee is a company, please insert the company legal name.

5. FULL POSTAL ADDRESS OF SELLER: Insert the full address including the postcode exactly as printed on seller's holding statement.

6. PARTICIPANT IDENTIFICATION NUMBER (PID): Insert Participant Identification Number. This is the seller's sponsoring broker where security is held (e.g. Australian Investment Exchange PID 6381).

7. SHAREHOLDER REFERENCE NUMBER (SRN) or HOLDER IDENTIFICATION NUMBER (HIN):

This number can be found on the Issuer Holding statement or a CHES 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 registered. Failure to include the seller's SRN or HIN may result in the transfer being returned to you for clarification.

If a SRN is quoted, a current Issuer Holding statement must be supplied.

If you (the seller) are an existing Westpac customer and the name of the registered holdings match your name registered with Westpac then you need to complete Section 1 of the Identification Requirements.

If you (the seller) ARE NOT an existing Westpac customer you need to complete Section 2 of the Identification Requirements.

8. TRADING ACCOUNT NUMBER: Insert the Westpac Securities Account Number where the securities are currently held (where applicable).

Please ensure that the registration details correspond to those registered under the Westpac Securities Account Number.

9. CONTACT DETAILS OF SELLER: Insert your contact phone numbers including area code.

10. CONSIDERATION: The full amount paid in settlement of the transfer of securities. You may set your own consideration.

For capital gains tax purposes however, if you are not dealing at "arms length" the consideration will be deemed at a fair market value for the date of purchase (i.e. for this transaction, not the original purchase), regardless of the actual consideration you decide to set. Closing, or last prices are quoted in the daily newspapers. (Please note: If you are unsure whether you are dealing at "arms length", please seek independent financial advice).

11. DATE OF PURCHASE: Insert date of purchase. This should be on or before the date in points 19 and 21. Please note that this is not the original date of the purchase, but the date of this transaction.

12. FULL 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. 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 surname and given names. If the trustee is a company, please insert the company legal name.

13. FULL POSTAL ADDRESS OF BUYER: Insert the full address including the postcode exactly as printed on your holding statement.

14. PARTICIPANT IDENTIFICATION NUMBER (PID): Insert Participant Identification Number. This is the buyer's sponsoring broker where security will be held.

15. SHAREHOLDER REFERENCE NUMBER (SRN) or HOLDER IDENTIFICATION NUMBER (HIN): The buyer's SRN or HIN may be inserted, if known, so that any previous holdings may be amalgamated.

16. TRADING ACCOUNT NUMBER: Insert the Westpac Securities Account Number where the securities are to be held (where applicable). Please ensure that the registration details correspond to those registered under the Westpac Securities Account Number.

17. CONTACT DETAILS OF BUYER: Insert the buyers contact phone numbers including area code and your email address.

18. SELLERS 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 to us.
- Deceased Estate – all executors should sign and, if not already noted, a certified copy of Probate or Letters of Administration must be sent with the transfer form to us.
- Company - signatures of two directors (or a director and the secretary) or if there is a sole director, signature of that director.

19. DATE SIGNED: Insert the date signed by the seller. This should be the same as or after the date of purchase.

20. BUYER SIGNATURE: Same requirements as point 18.

21. DATE SIGNED: Insert the date signed by the buyer. This should be the same as or after the date of purchase.

Note 1. These guidelines are information to assist completion of a security transfer form. Transfers or other documents must meet the requirements of the broker and/or company concerned, which may change.

Note 2. All corrections and/or amendments need to be initialled by both the seller and buyer.

Note 3. The use of correction fluid or tape renders the form invalid, even if initialled.

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Identification (ID) Requirements

To meet the requirements of the AML/CTF Act, we are required to identify applicants who wish to transfer their Issuer Sponsored holdings.

Please complete –

Section 1 If you do have an Existing Westpac Securities Trading Account in the same name as the issuer statement

Section 2 If you **DO NOT** have an existing Westpac Securities Trading Account.

SECTION 1

Complete the details below if you are the Seller of Issuer Sponsored holdings and you do have a Westpac Securities trading account in the same name as the Issuer Statement. Depending on the type of seller the following information is required:

- Individuals & joint individuals - for joint individuals, existing individual Westpac accounts for all parties are acceptable
- Trusts and Companies - record the existing individual Trading accounts for all parties for the company or trust as well as the director or trustee that are operating on the account and are signing the standard transfer form

I have a Trading Account with the following details

Account type

Account number

<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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Account name

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SECTION 2

Complete this section if you are the Seller of Issuer Sponsored holdings and you are not a Westpac customer.

Individual and joint (includes Sole traders)

Section 2.1 Individual details

ID Requirements

Each individual seller must provide Acceptable ID

Company

Section 2.1 – Directors details who are signing the standard transfer form.

Section 2.2 – all domestic companies

ID Requirements

Directors signing the standard transfer form must provide Acceptable ID

Trusts with Individual Trustees

Section 2.1 – Trustees that are signing the standard transfer form

Section 2.3 – all trusts

Section 2.4 – trustee names and addresses

Section 2.6 – beneficiaries details

ID Requirements

Trustees signing the standard transfer form must provide Acceptable ID
Original Certified photocopy of the front page of your Trust Deed containing the trust name

Trusts with Company Trustees

Section 2.3 – all trusts

Section 2.4 – trustee names and addresses

Section 2.5 – go to 2.1 for the directors that are signing then standard transfer form and complete section 2.2

Section 2.6 – beneficiaries details

ID Requirements

Directors of the trustee company signing the standard transfer form must provide Acceptable ID
Original Certified photocopy of the front page of your Trust Deed containing the trust name

ACCEPTABLE IDENTIFICATION REQUIREMENTS

To meet our obligations with the Anti-Money Laundering and Counter-Terrorism Financing Act 2006, we must identify customers before we provide a designated service. Applicants (including individuals/sole traders & individual trustees), Company Directors and Authorities to Trade who are not existing Westpac customers, will need to provide original certified copies of identification documents, which must be certified by an 'eligible person'.

I do not have a Trading Account. I have attached a clear and legible certified photocopy of ONE of the following:

Option A

- Australian passport (not expired for 2 years or more)
- International passport
- Australian/New Zealand Driver licence
- New South Wales Photo/Birth Card
- Defence Force Identity Card
- Australian Proof of Age Card
- Firearms licence issued under law (All states)

OR

Option B (please select Birth Certificate/Birth Extract plus ONE other option):

- Birth Certificate/Birth Extract +
- Citizenship Certificate
- Centrelink Pension/Healthcare Card
- Utilities Bill (preceding 3 months)
- Australian Taxation Office Notice (preceding 12 months)
- Council Rates Notice (preceding 3 months)
- Overseas drivers licence
- Security Guard/Crowd Safety Officer ID

OR

Option C (please select Citizen Certificate plus ONE other option):

- Citizenship Certificate +
- Centrelink Pension/Health Care Card
- Utilities Bill (preceding 3 months)
- Government Notice (preceding 12 months)
- Taxation Notice (preceding 12 months)
- Council Rates Notice (preceding 3 months)
- Overseas drivers licence
- Security Guard/Crowd Safety Officer ID

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How to CERTIFY acceptable identification documentation:

The certified photocopy(s) must include a statement "I certify that this is a true copy of the original document" (or similar wording). The certifier must also include their full name, signature and qualification or occupation which makes them eligible, on the photocopied identification.

Please DO NOT attach original identification documents.

Send only CERTIFIED copies of original documents.

Below is a list of common eligible certifiers. For information on additional certifiers please contact us.

- Dentist
- Legal practitioner
- Medical practitioner
- Nurse
- Pharmacist
- Veterinary surgeon
- Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1922)
- Bank officer with 2 or more continuous years of service
- Finance company officer with 2 or more years of continuous service
- Justice of the Peace
- Magistrate
- Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the National Institute of Accountants
- Notary public
- Permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public
- Police officer
- Teacher employed on a full-time basis at a school or tertiary education institution
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more years of continuous service with one or more licensees.

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Privacy Statement: Your personal information is collected to process your application, provide you with your product or service, and manage your product or service. The Westpac privacy policy (available at westpac.com.au or by calling 132 032) and the Participant's privacy policy (available at westpac.com.au/onlineinvesting) contain information about how your personal information is handled, including how to access your information, seek corrections and make complaints.

2.1 Individual details

Applicant 1 / Director 1 / Trustee 1 (Circle applicable category)

Title
 Mr Ms Mrs Miss Dr Other (specify)

Surname

Given name

Other names commonly known by

Date of Birth DD / MM / YY Gender Male Female

Primary telephone number:
 ()

Residential Address (cannot be a PO Box)

Postcode

Country

Postal Address Same as Residential Address

Postcode

Country

Are you a Sole trader? Yes No

If yes, please complete the next two questions

Business name (if any)

Australian Business Number (ABN)

Applicant 2 / Director 2 / Trustee 2 (Circle applicable category)

Title
 Mr Ms Mrs Miss Dr Other (specify)

Surname

Given name

Other names commonly known by

Date of Birth DD / MM / YY Gender Male Female

Primary telephone number:
 ()

Residential Address (cannot be a PO Box)

Postcode

Country

Postal Address Same as Residential Address

Postcode

Country

2.2 Company details

If you are a Company Applicant, you must also complete Section 2.1 with Director 1 and/or Director 2 details

Company Name

Australian Company Number (ACN)

Registered address: (PO Box is not acceptable)

Postcode

Country

Postal Address Same as Registered Business Address

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Principal Place of Business (if same as registered office, write 'as above')

Postcode

Country _____

Type of Company (tick the box that is applicable)

Domestic Proprietary

Domestic Public

Is the Company operating as a charity? Yes No

If Yes, please complete the following question

What is the objective/purpose of the charity?

FOR PROPRIETARY COMPANY ONLY

Provide details of **ALL** individuals who are beneficial owners through one or more (direct or indirect) shareholdings of **more than 25%** of the company's issued capital.

Shareholder 1

Title

Mr Ms Mrs Miss Dr Other (specify) _____

Surname

Given name

Residential Address (must be an Australian address not a PO Box)

Postcode

Country _____

Shareholder 2

Title

Mr Ms Mrs Miss Dr Other (specify) _____

Surname

Given name

Residential Address (must be an Australian address not a PO Box)

Postcode

Country _____

Shareholder 3

Title

Mr Ms Mrs Miss Dr Other (specify) _____

Surname

Given name

Residential Address (must be an Australian address not a PO Box)

Postcode

Country _____

2.3 Trust / Superannuation fund details

Individual(s) as trustees operating on the account: you must also complete Section 2.1 with Trustee 1 and/or Trustee 2 details.

Company as a trustee operating on the account: you must also complete Section 2.1 with Director 1 and/or Director 2 details and Section 2.2 with your company details

Trust name:

ABN (if applicable)

_____|_____|_____|_____|_____|_____|_____|_____|_____|_____|

Business Name (if any) of the Trustee of the Trust

Trust Type

Super Deceased Estate Family

Other, please specify below

Is there a Trust Deed? Yes No

If 'yes', please provide an original **CERTIFIED** photocopy of the front page of the Trust Deed containing the trust name. For a list of eligible persons who are allowed to certify documents refer to the instructions for using this on page 4. Is the trust operating as a charity?

Yes No

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2.4 Trustee Details

If Yes, please complete the following question

What is the objective/purpose of the charity?

Has the trust been established in Australia? Yes No

If No, please complete the following 3 questions

Country where the trust was established

Objective of the trust

Purpose of seeking this service with the Participant

2.4 Trustee Details

How many trustees are there?

For individuals and trustee companies please provide full name and address of each trustee.

Note: All trustee names and addresses are required.

For an Individual Trustee section 2.1 must be completed if you are to operate on the account.

For Company Trustee identification please complete section 2.2. In the case of a Company Trustee, the Director(s)/Secretary operating on the accounts are required to be identified in accordance with individual requirements.

Trustee 1

The full name of individual or company

Registered address: (PO Box is not acceptable)

Postcode

Country

Trustee 2

The full name of individual or company

Registered address: (PO Box is not acceptable)

Postcode

Country

The full name of individual or company

Registered address: (PO Box is not acceptable)

Postcode

Country

If there are more trustees, provide details on a separate sheet

2.5 Identification of Trustee Company (if applicable)

If the Trustee is a company please also complete section 2.2

2.6 Beneficiary Details

Complete the full name of each beneficiary of the trust or the type of membership class. The full name of each beneficiary or the type of membership class

Beneficiaries

Title

 Mr Ms Mrs Miss Dr Other (specify)

Surname

Given name(s)

Title

 Mr Ms Mrs Miss Dr Other (specify)

Surname

Given name(s)

Title

 Mr Ms Mrs Miss Dr Other (specify)

Surname

Given name(s)

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OR

Membership classes

Provide details of the membership class/es (eg unit holders, family members of named person)

If there are more beneficiaries, provided details on a separate sheet. Please proceed to the Standard Transfer Form (Page 8)



STANDARD TRANSFER FORM

For off-Market Transactions

Important: Please complete and post this original form to us ensuring that you retain the relevant legal documentation (eg. T&C's, Privacy Policy) for your reference.

1. Full name of security / stock			
2. Full Description of Securities		CLASS:	If not fully paid, paid to:
3. Quantity		WORDS:	FIGURES:
4. Full Name(s) of Seller(s) [Transferor(s)]		Surname(s) / Company Name: Mr/Mrs/Miss: Given Name(s): A/C Designation (if required) < > PLEASE USE BLOCK LETTERS	
5. Full Postal Address of Seller(s) [Transferor(s)]	 State Postcode	
6. PID	7. SRN <input type="checkbox"/> or HIN <input type="checkbox"/> (please tick) Number:	8. Trading A/C	
9. Contact Details (Seller)	Work number	Mobile number	
10. Consideration	\$A		
11. Date of Purchase	/ / 20		
12. Full Name(s) of Buyer(s) [Transferee(s)]		Surname(s) / Company Name: Mr/Mrs/Miss: Given Name(s): A/C Designation (if required) < > PLEASE USE BLOCK LETTERS	
13. Full Postal Address of Buyer(s) [Transferee(s)]	 State Postcode	
14. PID	15. SRN <input type="checkbox"/> or HIN <input type="checkbox"/> (please tick) Number:	16. Trading A/C	
17. Contact Details (Buyer)	Work number	Mobile number	
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 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.			
18. Seller(s) [Transferor(s)] Sign Here		Company Use Only <input type="checkbox"/> Sole Director <input type="checkbox"/> Director/Secretary <input type="checkbox"/> Director/Secretary PLEASE TICK Company Seal	
19. Date Signed (Seller)	/ / 20		
20. Buyer(s) [Transferee(s)] Sign Here		<input type="checkbox"/> Sole Director <input type="checkbox"/> Director/Secretary <input type="checkbox"/> Director/Secretary PLEASE TICK	
21. Date Signed (Buyer)	/ / 20		
Any alterations made to this form MUST be initialled by both the Buyer(s) and the Seller(s). The use of correction fluid or tape renders the form invalid. Any increase to the amount of securities being transferred is not acceptable, even if initialled.			
Your payment options are • Direct Debit from the bank account nominated on your Trading A/C OR • Cheque (to be attached to form)			