

Deceased Estates Trade Form

Commonwealth Securities Limited
ABN 60 067 254 399 AFSL 238814 (CommSec)
A Participant of the ASX Group and Chi-X Australia

Commonwealth Securities Limited
Locked Bag 22 Australia Square NSW 1215
Phone: 13 15 19
commsec.com.au
Email: CommsecEstatesManagement@cba.com.au

IMPORTANT INFORMATION

READ BEFORE PROCEEDING

Use this form if you are an existing CommSec or Commonwealth Bank customer to place a one off trade for a deceased estate.

Executor 1 will be the primary contact. For identification purposes the personal and contact details provided on this form MUST match your existing identification details provided.

The brokerage charged is as follows:

- \$59.95 (Up to and including \$10,000)
- 0.52% (Over \$10,000 up to \$25,000 (inclusive))
- 0.49% (Over \$25,000 up to \$1,000,000 (inclusive))
- 0.11% (Over \$1,000,000)

DECEASED TRADE FORM INSTRUCTIONS

HOW IT WORKS

- Issuer sponsored shares are those not sponsored by a broker. They are identified by looking at the Holding Statement, which displays a 10-digit number, usually headed by the letter "I". This number is called the SRN (Securityholder Reference Number). To sell issuer sponsored shares, you must update the registration details with the Share Registry to include "EST/ESTATE" (you will need to contact the Share Registry to arrange this).
- If your holding statement begins with the letter 'X', your shares are broker sponsored. If CommSec is not the sponsoring broker, you will need to sell them through the original Broker or transfer your shares to us by opening a CommSec trading estate trust account.

The following supporting documentation will be required:

If the value of the shares that belong to the estate is less than \$25,000:

- Certified copy of the Death Certificate
- Certified copy of the Last Will and Testament
- Small Estates Indemnity form
- Executor Administrator Authority form (CHESS sponsored shares only).
- Issuer Sponsored Holding Statement (as applicable)

If the value of the shares that belong to the estate is above \$25,000:

- Certified copy of Probate
- Executor Administrator Authority form (CHESS sponsored shares only).
- Issuer Sponsored Holding Statement (as applicable).

Once all the details are verified, the shares are sold at the prevailing market price as soon as practicable.

HOW WE PAY YOU

Payment can only be made by cheque and payable in the name of the estate.

HOW TO CORRECTLY CERTIFY DOCUMENTS

Each certified photocopy(s) must include the statement (or similar wording):
'I certify that this is a true copy of the original document'.

The certifier must include their full name, original signature, qualification or occupation which makes that eligible, date and contact details (phone number).

BEST EXECUTION POLICY DISCLOSURE

Before you submit your Deceased Trade form request, please take due time to view the CommSec Best Execution Client Disclosure document on the CommSec website.

GENERAL ADVICE WARNING

Read and accept the Share Trading Terms and Conditions available to download from the CommSec website. This form has been prepared without taking account of the objectives, financial situation or needs of any particular individual. For this reason, any individual should, before acting on the information in this form, consider the appropriateness of the information, having regard to the individual's objectives, financial situation and needs and, if necessary, seek professional advice.

PRIVACY STATEMENT

CommSec is collecting your personal information in connection with executing your Deceased Trade transaction. For details of CommSec's privacy and information handling practices, including how you may access your information, seek correction of that information and how you may complain, please refer to our Privacy Policy which is available at commsec.com.au

Deceased Estates Trade Form

EXECUTOR DETAILS

1

EXECUTOR IDENTIFICATION

A

Executor 1

Title Given Name(s)

Surname

Date of Birth Gender

Residential Address (cannot be a PO Box):

State Postcode

Country

Email Address*

***Note:** If you would like an electronic copy of your Trade confirmation you **MUST** provide your email address

Contact Phone Number

Please tick and complete **ONE** of the following options below:

I have an existing CommSec Client ID or Share Trading account

Client ID/Account Number

Client/Account Name

OR

I have a Commonwealth Bank account

Bank State Branch (BSB) Account Number

OR

I am not an existing Commonwealth Bank customer. I have attended a branch on the below date and now have a customer profile created

EXECUTOR IDENTIFICATION (CONT.)

A

Executor 2

Title Given Name(s)

Surname

Date of Birth Gender

Residential Address (cannot be a PO Box):

State Postcode

Country

Email Address

Contact Phone Number

Please tick and complete **ONE** of the following options below:

I have an existing CommSec Client ID or Share Trading account

Client ID/Account Number

Client/Account Name

OR

I have a Commonwealth Bank account

Bank State Branch (BSB) Account Number

OR

I am not an existing Commonwealth Bank customer. I have attended a branch on the below date and now have a customer profile created

Deceased Estates Trade Form

EXECUTOR IDENTIFICATION A

Executor 3

Title Given Name(s)

Surname

Date of Birth

Gender

 M F

Residential Address (cannot be a PO Box):

State

Postcode

Country

Email Address

EXECUTOR IDENTIFICATION (CONT.) A

Contact Phone Number

Please tick and complete **ONE** of the following options below:

I have an existing CommSec Client ID or Share Trading account

Client ID/Account Number

Client/Account Name

OR

I have a Commonwealth Bank account

Bank State Branch (BSB) Account Number

OR

I am not an existing Commonwealth Bank customer. I have attended a branch on the below date and now have a customer profile created

 DD / MM / YYYY

SHARE REGISTRATION DETAILS 2

Registered name (as per the latest Issuer Holding Statement(s) or as listed on trading account)

Registered address (as per the latest Issuer Holding Statement(s) or as listed on trading account)

Postal address for cheque payment to be sent (address should be that of Executor or Solicitor)

Instructions:

A) Sell ALL broker sponsored shares on the HIN Account Number

OR

B) Sell only the following shares:

Name of Shares (eg TLS, CBA, IAG)	Shareholder Reference Number Holder identification Number (SRN/HIN)	Number of units to be sold

DECLARATION/SIGNATURE 3

By signing this document, I/We:

- Instruct CommSec to sell the above mentioned securities at the prevailing market price as soon as practicable.
- I have read and accept the CommSec Trading Terms and Conditions and have been provided a copy of the latest Financial Services Guide, both available to download from the CommSec website.

Name of Executor 1

Signature of Executor 1

 x

Date

Name of Executor 2

Signature of Executor 2

 x

Date

Name of Executor 3

Signature of Executor 3

 x

Date