

IMPORTANT INFORMATION: Read Before Proceeding

This form is used to initiate transfers of US and Canadian shares and/or warrants held with a US and/or Canadian transfer agent to your CommSec International Shares account. CommSec does not accept the transfer of physical certificates and transfer out of any securities to the Direct Registration System or via Deposit Withdrawal at Custodian. CommSec will only process Electronic Account or Free of Payment Transfers out to another broker.

Before completing the account transfer form:

- Ensure that the name on your account held with the US and/or Canadian transfer agent matches the name on your CommSec International Shares account.
- Ensure that you only provide one CommSec International Shares account number as we can only accept a transfer to one International Shares account per form.
- For Direct Registration System (DRS) transfers, ensure to attach the most recent DRS statement identifying the position for the account held with the US and/or Canadian transfer agent.
- **IMPORTANT:** Before submitting a transfer request check that **all assets requested for transfer are unrestricted at the transfer agent**. The DRS statement should state the unrestricted and restricted quantities. Rejected transfer requests may incur a fee. CommSec will not submit your request unless you have sufficient cleared funds available in your nominated International Shares Account to cover a Rejected Transfer fee.
- For Deposit Withdrawal at Custodian transfers, ensure to attach the most recent statement identifying the position for the account held with the US transfer agent. The statement should state the unrestricted and restricted quantities. Rejected transfer requests may incur a fee. CommSec will not submit your request unless you have sufficient cleared funds available in your nominated International Shares Account to cover a Rejected Transfer fee.
- Please complete all pages of this document and return to CommSecInternationalSettlements@cba.com.au for processing.
- For all transfer related enquiries please contact Us on CommSecInternationalDesk@cba.com.au. Please do not submit transfer related enquiries or incomplete transfer forms directly for processing.

For information on the fees and costs associated with requesting a transfer refer to the CommSec Financial Services Guide. Third party fees and taxes incurred from transfers will be passed through at cost.

CommSec may choose to not accept transfers of certain US Micro-Cap shares and may temporarily restrict shares from being sold where additional information is required. The shares will remain free to transfer out to another broker during this time.

Details Of Transfer

1. Receiving Account (Commsec)

Name on Account:

CommSec International Shares Account Number:

2. Delivering Account (US or Canadian Transfer Agent)

Name of US or Canadian Transfer Agent:

US or Canadian Transfer Agent Account Number:

US or Canadian Transfer Agent Clearing Number:

Name on Account:

Account type (tick only one box)

Individual Joint Company Trust

Acknowledgement, Authorisation and Agreement

I/We understand and acknowledge that all the information as shown on this form is complete and correct and agree that CommSec will rely on this information when actioning your request. I/We understand that CommSec reserves the right to not process this transfer at its own discretion. I/We understand that CommSec will automatically liquidate securities, convert currencies, and/or debit my linked bank account if the fees and taxes associated with this transfer exceed the funds available in the International Shares account.

I/We understand that to any extent any assets are not readily transferable, with or without penalties; such assets may not be transferred. Unless otherwise indicated, I/We authorize CommSec to liquidate any non-transferable proprietary money market fund assets that are part of the account and to transfer the resulting credit to CommSec. I/We authorize CommSec to deduct any outstanding fees and taxes associated with this transfer due to CommSec from the credit balance in the account. If the account does not contain a credit balance, or if the credit balance is insufficient to satisfy outstanding fees, I/We authorize the liquidation of assets by CommSec in the account and the application of the proceeds towards payment of the outstanding amount.

I/We agree to indemnify CommSec against all costs; expenses and losses incurred as a result of CommSec actioning your request save to the extent any such cost, expense or loss was incurred or caused as a result of CommSec's negligence, willful misconduct or fraud.

4. Receiving Account Acknowledgement

Account Holder / Director / Trustee 1

Full name

Date – DD / MM / YYYY

 / /

Client 1 Signature – *Must be signed pen to paper*

Account Holder / Director / Trustee 2

Full name

Date – DD / MM / YYYY

 / /

Client 2 Signature – *Must be signed pen to paper*

Account Holder / Director / Trustee 3

Full name

Date – DD / MM / YYYY

 / /

Client 3 Signature – *Must be signed pen to paper*

Account Holder / Director / Trustee 4

Full name

Date – DD / MM / YYYY

 / /

Client 4 Signature – *Must be signed pen to paper*

Commonwealth Securities Limited ABN 60 067 254 399 AFSL 238814 (CommSec) is a wholly owned but non-guaranteed subsidiary of the Commonwealth Bank of Australia ABN 48 123 123 124 AFSL 234945. CommSec is a Market Participant of ASX Limited and Cboe Australia Pty Limited, a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited.

How to submit your documents

Once completed and signed, please scan and email the form to:  **CommSec**

 **CommSecInternationalSettlements@cba.com.au**

 1300 361 170

Locked Bag 22, Australia Square NSW 1215

 **commsec.com.au**