

Deceased Estates

How to complete the AML/CTF Identification Information Form

The Australian government has introduced legislation called the 'Anti-Money Laundering and Counter Terrorism Financing Act 2006' which is designed to combat money laundering and terrorism financing.

The introduction of this legislation means that investors must provide additional identification details when they request a 'designated service'. You may also be asked to provide supporting identity documentation.

What is a designated service in relation to a Deceased Investor, and are you requesting one of them?

Is the deceased estate applying for securities by way of a Float or Initial Public Offering (IPO)?

1. Are you the appointed Executor/Administrator of a deceased investor and you want to transfer or transmit the securities by way of an Off Market Transfer or Transmission Application?
2. Are you the Next of Kin (applies only where the deceased investor did not leave a Will) and you want to transfer or transmit the securities by way of an Off Market Transfer or Transmission Application?
3. Are you the Beneficiary/Next of Kin (applies only where the deceased investor did not leave a Will) and the securities are being transferred to you by way of an Off Market Transfer?
4. Is the deceased estate of an Individual deceased investor OR a Joint deceased investor asking MUFG Corporate Markets (AU) Limited (MUFG Corporate Markets) to SELL securities via MUFG Corporate Markets Share Sale?

If the answer is yes to any of these questions, you are requesting a designated service and therefore must complete an 'Investor Identification Information Form' and provide the identity documents specified on the form.

Which form do you need to complete?

The amount of information you need to provide depends upon your Investor type. You need only complete the form that relates to your particular Investor type and circumstances, as follows:

Deceased Estates – To be used by an Executor/Administrator/Next of Kin/Beneficiary or Surviving Joint holder where the service requested relates to:

- Application by a deceased estate is made for an issue of securities by way of a Float or Initial Public offering (IPO).
- Off Market Transfer of securities from an Executor/Administrator/Next of Kin to Beneficiary/Next of Kin.
- Off Market Transfer of securities from a deceased investor to Beneficiary/Next of Kin.
- Request by a deceased estate to sell the securities.

What do you need to do?

1. Complete the appropriate form or forms for the Investor type by typing it, or handwrite in blue or black pen ink. Do not use correction fluid/tape or pencil. Please initial all corrections. Complete one form for each Investor.
2. **Include originally certified copies** of identity documents as specified on each form. A list of people who can certify documents is on the other side of this page. **Do not** send original documents as they may get lost. Certified copies of documents will not be returned to you.
3. Each Attorney appointed under Power of Attorney given by and acting on behalf of a surviving joint holder must identify themselves and provide supporting documentation.
4. Each person authorised to act on behalf of the deceased investor must identify themselves and provide supporting documentation.
5. Attach all of the relevant documents to the front of your completed transfer, transmission, sale authority form, or application form and mail to:

MUFG Corporate Markets (AU) Limited
Registry Operations – AML/CTF Processing
Locked Bag A14
SYDNEY SOUTH NSW 1235
AUSTRALIA

Please note: If you are lodging this form with an 'Application for Securities' such as the type used in a float or public offer, please send your AML form with your application to the address specified on the application form or in the PDS document.

Who can certify identity documents for you?

The following individuals are authorised to certify identity documents. One of the people on this list should certify your identity documents or we may have to reject your forms. **You may not certify your own identity documents.**

Part 1 Occupations

- 101 Chiropractor
- 102 Dentist
- 103 Legal practitioner
- 104 Medical practitioner
- 105 Nurse
- 106 Optometrist
- 107 Patent attorney
- 108 Pharmacist
- 109 Physiotherapist
- 110 Psychologist
- 111 Trade marks attorney
- 112 Veterinary surgeon

Part 2 Other persons

- 201 Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- 202 Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955)
- 203 Bailiff
- 204 Bank officer with 2 or more continuous years of service
- 205 Building society officer with 2 or more years of continuous service
- 206 Chief executive officer of a Commonwealth court
- 207 Clerk of a court
- 208 Commissioner for Affidavits
- 209 Commissioner for Declarations
- 210 Credit union officer with 2 or more years of continuous service
- 211 Employee of the Australian Trade Commission who is:
 - (a) in a country or place outside Australia; and
 - (b) authorised under paragraph 3 (d) of the Consular Fees Act 1955; and
 - (c) exercising his or her function in that place
- 212 Employee of the Commonwealth who is:
 - (a) in a country or place outside Australia; and
 - (b) authorised under paragraph 3 (c) of the Consular Fees Act 1955; and
 - (c) exercising his or her function in that place
- 213 Fellow of the National Tax Accountants' Association
- 214 Finance company officer with 2 or more years of continuous service
- 215 Holder of a statutory office not specified in another item in this Part
- 216 Judge of a court
- 217 Justice of the Peace
- 218 Magistrate
- 219 Marriage celebrant registered under Subdivision C of Division 1 of Part IV of the Marriage Act 1961
- 220 Master of a court
- 221 Member of Chartered Secretaries Australia
- 222 Member of Engineers Australia, other than at the grade of student
- 223 Member of the Association of Taxation and Management Accountants
- 224 Member of the Australian Defence Force who is:
 - (a) an officer; or
 - (b) a non-commissioned officer within the meaning of the Defence Force Discipline Act 1982 with 2 or more years of continuous service; or
 - (c) a warrant officer within the meaning of that Act
- 225 Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the National Institute of Accountants

- 226 Member of:
- (a) the Parliament of the Commonwealth; or
 - (b) the Parliament of a State; or
 - (c) a Territory legislature; or
 - (d) a local government authority of a State or Territory
- 227 Minister of religion registered under Subdivision A of Division 1 of Part IV of the Marriage Act 1961
- 228 Notary public
- 229 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
- 230 Permanent employee of:
- (a) the Commonwealth or a Commonwealth authority; or
 - (b) a State or Territory or a State or Territory authority; or
 - (c) a local government authority;
- with 5 or more years of continuous service who is not specified in another item in this Part
- 231 Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made
- 232 Police officer
- 233 Registrar, or Deputy Registrar, of a court
- 234 Senior Executive Service employee of:
- (a) the Commonwealth or a Commonwealth authority; or
 - (b) a State or Territory or a State or Territory authority
- 235 Sheriff
- 236 Sheriff's officer
- 237 Teacher employed on a full-time basis at a school or tertiary education institution
- 238 Member of the Australasian Institute of Mining and Metallurgy
- #### An officer or authorised representative of an Australian Financial Services Licensee e.g. Financial Planner

Personal Information Collection Notification Statement: MUFG Pension & Market Services ("MPMS") advises that your personal information and identification is collected by MPMS organisations for the administration of your investment as required or permitted by the *Anti-Money Laundering & Counter Terrorism Financing Act 2006* (Cth) (AML/CTF) and accompanying Rules. Your information may be disclosed to the regulator AUSTRAC, other Commonwealth government agencies or law enforcement agencies. MPMS may request additional information or identity evidence from you before providing you with an AML/CTF designated service. For further details about our personal information handling practices, including how you may access and correct your personal information and raise privacy concerns, visit our website at <https://www.mpms.mufig.com> for a copy of the MPMS privacy policy, or contact us by phone on +61 1300 554 474 to request a copy.

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DECEASED ESTATES

Investor Identification Information Form

Anti-Money Laundering and Counter Terrorism Financing (AML/CTF) legislation 2006

Complete this form if the deceased investor eg. Estate John Smith is applying for securities or wants to sell securities.

Service Requested by the authorised person	Issuer Details
<p>Please tick one</p> <input type="checkbox"/> Application by a deceased estate for an issue of securities e.g. float or IPO <input type="checkbox"/> Request by a deceased estate for a sale of securities <input type="checkbox"/> Transmission from a deceased estate to Executor/Administrator <input type="checkbox"/> Off market transfer to Beneficiary or Next of Kin	<p>Issuer name</p> <input type="text"/> <p>Security code/Description</p> <input type="text"/>

Section 1	Details of the Deceased Investor
Surname of the Deceased	Date of birth
<input type="text"/>	<input type="text" value="dd / mm / yyyy"/>
First name(s)	Middle name(s)
<input type="text"/>	<input type="text"/>
Residential street address (Do not use a PO Box or C/- Address)	Suburb/Town/City
Line 1 <input type="text"/>	<input type="text"/>
Line 2 <input type="text"/>	State/Territory/County/Region
Line 3 <input type="text"/>	Post/Zip code
Line 4 <input type="text"/>	Country (if not Australia)
Date of Death	
<input type="text" value="dd / mm / yyyy"/>	

Section 2	Details of Person Authorised to Act on Behalf of a Deceased Individual
Service Requested	Name of person/company authorised to act on behalf of a deceased estate
1. Transmission from a deceased security holding direct to the appointed Executor(s)/Administrator(s) or	1. Name and Identification details required of the appointed Executor(s)/ Administrator(s).
2. Transmission from a deceased security holding direct to the Next of Kin where the deceased did not leave a Will	2. Name and Identification details required of the Next of Kin
1. Transfer of securities from a deceased security holding direct to a Beneficiary	1. Name and Identification details required of the Beneficiary
2. Transfer of securities held in the name(s) of the appointed Executor(s)/Administrator(s) on behalf of a deceased estate direct to a Beneficiary	2. Name and Identification details required of the Beneficiary
Sale of the securities of an INDIVIDUAL deceased security holding	Name and Identification details required of the appointed Executor(s)/ Administrator(s) OR the Next of Kin where the deceased did not leave a Will.
Sale of the securities of an JOINT security holding where one of the joint holders is deceased	Name and Identification details required of the Surviving joint holder(s). Note: If the surviving joint holder has given a Power of Attorney to a third party, the name and Identification details of BOTH the surviving joint holder AND the appointed Attorney(s) is required
Application by a deceased estate for an issue of securities eg a Float or Initial Public Offering (IPO)	Name and Identification details required of the appointed Executor(s)/ Administrator(s) OR the next of kin where the deceased did not leave a Will.

Section 1 – to be completed by the person authorised to act on behalf of a deceased investor.

Section 2 – to be completed by a person authorised to act for the deceased estate.

Section 2 Details of Person Authorised to Act on Behalf of a Deceased Estate

Executor/Administrator 1

Full name of person acting on behalf of the deceased individual

Phone number

Residential address (Do not use a PO Box or C/- Address)

Identification documents – of the person authorised

Please complete either Option 1 or Option 2 and attach the applicable document(s). Please **DO NOT** attach original documents. Send only certified copies of original documents. Documents will not be returned.

Option 1 – Please attach at least 1 document

Tick ✓ 1	Primary photographic identity document
	Drivers Licence
	Australian Passport (current or expired in the last 2 years)
	International Travel Document – foreign passport
	Proof of Age Card
	National Identity Card

OR Option 2 – Please attach at least 1 primary non-photographic document and 1 secondary non-photographic document

Tick ✓ 1	Primary non-photographic identity document;
	Australian Birth Certificate or Extract of Birth
	Australian Citizenship Certificate
	Foreign Citizenship Certificate
	Foreign Birth Certificate
	A Centrelink Pension card or Centrelink Healthcare card
Tick ✓ 1	Secondary non-photographic identity document
	A financial benefit notice issued by the Commonwealth, State or Territory within the last 12 months
	An income tax assessment notice issued within the last 12 months
	A local government notice (e.g. council rates) or utilities notice (e.g. power, gas or phone bill) issued within the last 3 months
	In relation to a minor (under 18 years of age) a notice issued by a school principal within the last 3 months

All foreign language documents must be accompanied by an English translation prepared by an accredited translator

Authorisation – In relation to the person authorised to act for the Deceased Investor

Please **DO NOT** attach original documents. Send only certified copies of original documents. Documents will not be returned.

Tick ✓	
	Grant of Probate
	Letters of Administration
	Will
	Statutory Declaration – Next of Kin
	Power of Attorney – To be provided only where a joint surviving holder of the joint holding has given a Power of Attorney

Proof of Identity and Authorisation to Act on the Deceased Investors Behalf

- I have attached a certified copy of my drivers licence, passport or other photo Id which confirms my details above and contains my signature; and
- I have attached a certified copy of my authorisation to Act on behalf of the Deceased Individual (tick from the list over page); and
- I have attached a certified copy of the death certificate

- Surviving joint holder (for the sale of securities only)
- Next of Kin
- Executor/Administrator
- Beneficiary
- Power of Attorney (for the sale of Joint Securities only)

Signature _____ 

Date

Section 2 Details of Person Authorised to Act on Behalf of a Deceased Estate

Executor/Administrator 2

Full name of person acting on behalf of the deceased individual

Phone number

Residential address (Do not use a PO Box or C/- Address)

Identification documents – of the person authorised

Please complete either Option 1 or Option 2 and attach the applicable document(s). Please **DO NOT** attach original documents. Send only certified copies of original documents. Documents will not be returned.

Option 1 – Please attach at least 1 document

Tick ✓ 1	Primary photographic identity document
	Drivers Licence
	Australian Passport (current or expired in the last 2 years)
	International Travel Document – foreign passport
	Proof of Age Card
	National Identity Card

OR Option 2 – Please attach at least 1 primary non-photographic document and 1 secondary non-photographic document

Tick ✓ 1	Primary non-photographic identity document;
	Australian Birth Certificate or Extract of Birth
	Australian Citizenship Certificate
	Foreign Citizenship Certificate
	Foreign Birth Certificate
	A Centrelink Pension card or Centrelink Healthcare card
Tick ✓ 1	Secondary non-photographic identity document
	A financial benefit notice issued by the Commonwealth, State or Territory within the last 12 months
	An income tax assessment notice issued within the last 12 months
	A local government notice (e.g. council rates) or utilities notice (e.g. power, gas or phone bill) issued within the last 3 months
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Authorisation – In relation to the person authorised to act for the Deceased Investor

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Tick ✓	
	Grant of Probate
	Letters of Administration
	Will
	Statutory Declaration – Next of Kin
	Power of Attorney – To be provided only where a joint surviving holder of the joint holding has given a Power of Attorney

Proof of Identity and Authorisation to Act on the Deceased Investors Behalf

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- I have attached a certified copy of my authorisation to Act on behalf of the Deceased Individual (tick from the list over page); and
- I have attached a certified copy of the death certificate

- Surviving joint holder (for the sale of securities only)
- Next of Kin
- Executor/Administrator
- Beneficiary
- Power of Attorney (for the sale of Joint Securities only)

Signature _____ 

Date

Section 2 Details of Person Authorised to Act on Behalf of a Deceased Estate

Executor/Administrator 3

Full name of person acting on behalf of the deceased individual

Phone number

Residential address (Do not use a PO Box or C/- Address)

Identification documents – of the person authorised

Please complete either Option 1 or Option 2 and attach the applicable document(s). Please **DO NOT** attach original documents. Send only certified copies of original documents. Documents will not be returned.

Option 1 – Please attach at least 1 document

Tick ✓ 1	Primary photographic identity document
	Drivers Licence
	Australian Passport (current or expired in the last 2 years)
	International Travel Document – foreign passport
	Proof of Age Card
	National Identity Card

OR Option 2 – Please attach at least 1 primary non-photographic document and 1 secondary non-photographic document

Tick ✓ 1	Primary non-photographic identity document;
	Australian Birth Certificate or Extract of Birth
	Australian Citizenship Certificate
	Foreign Citizenship Certificate
	Foreign Birth Certificate
	A Centrelink Pension card or Centrelink Healthcare card
Tick ✓ 1	Secondary non-photographic identity document
	A financial benefit notice issued by the Commonwealth, State or Territory within the last 12 months
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Tick ✓	
	Grant of Probate
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- Surviving joint holder (for the sale of securities only)
- Next of Kin
- Executor/Administrator
- Beneficiary
- Power of Attorney (for the sale of Joint Securities only)

Signature _____ 

Date / /