

# CHESS Sponsorship and Issuer Sponsored Transfer

Share Trading is a service provided 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 Issuer Sponsored Holdings 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 Issuer Sponsored Holding Statement/s** by email (preferred), fax or post to the details listed at the top of this page.

### Section 1 – Client Details

Trading Account Number

Trading Account Name

SMSF/Trust Account Designation (if applicable)

**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 CHESS.

Securityholder Reference Number (SRN)

ASX Code or Security Name

Qty

Securityholder Reference Number (SRN)

ASX Code or Security Name

Qty

If you have more than 4 holdings to transfer, please photocopy this page, complete and attach to the form.



It may be necessary to re-lodge your standing instructions with the Share Registry after some transfers. These include tax file numbers, banking details or dividend instructions.

### Section 2 – Issuer Sponsored Holdings to CHESS Sponsored Holdings Request

An Issuer Sponsored Holding refers to shares that are not sponsored under CHESS with a broker. These are maintained by the Share Registry on behalf of the company issuing the shares (for example in a float or Initial Public Offering).



The name and address details listed on your current registered holding **must be an exact match** with the registration details on your Trading Account. If your registration details differ you will need to contact the Share Registry to change your registration details before we can process this transfer. When the Share Registry has notified you of the correction you will need to forward the confirmation and a copy of your previous Issuer Sponsored Holding Statement.

If this requirement is not met any request to transfer holdings may be delayed or rejected.

Please transfer my/our Issuer Sponsored Holdings listed below to the Participant.

Securityholder Reference Number (SRN)

ASX Code or Security Name

Qty

Securityholder Reference Number (SRN)

ASX Code or Security Name

Qty

### 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 Trading Account as CHESS 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 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 attached to the form.

## Guide for a Successful Transfer

Your Issuer Statement has	Your Trading 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	Issuer holding has two holders, Trading Account does not	Open an account with us in the name of Mr John Smith + Mrs Mary Smith or complete a Standard Transfer Form for Off-Market Transactions 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	Issuer holding is in the name of a Super Fund, Trading Account is not	Open an account with us in the name of Mr John Smith <Smith Super Fund A/C> or complete a Standard Transfer Form for Off-Market Transactions available under Forms and Brochures at our website
Mr John Alfred Smith 11 Adelaide Street Sydney NSW 2000	Mr John Smith 11 Adelaide Street Sydney NSW 2000	Issuer holding has a middle name, Trading Account does not	Contact the Share Registry and complete a Name Correction Request and Indemnity Form. Your Issuer holding must have the exact same name as your Trading Account
Mr J Smith 11 Adelaide Street Sydney NSW 2000	Mr John Smith 11 Adelaide Street Sydney NSW 2000	Issuer holding states an initial, Trading Account does not	Contact the Share Registry and complete a Change of Name Form. Your Issuer holding must have the exact same name as your Trading Account
Mr John Smith Apartment 15 11 Adelaide Street Sydney NSW 2000	Mr John Smith Unit 15 11 Adelaide Street Sydney NSW 2000	Issuer holding states a different word in the address field to the Trading Account	Contact the Share Registry and complete a Change of Address Form. Some Share Registries will allow you to amend your address online at their website. Your Issuer holding must have the exact same address as your Trading Account
Mr John Smith 21 Melbourne Street Sydney NSW 2000	Mr John Smith 11 Adelaide Street Sydney NSW 2000	Issuer holding has a different address to Trading Account	Contact the Share Registry and complete a Change of Address Form. Some Share Registries will allow you to amend your address online at their website. Your Issuer holding must have the exact same address as your Trading Account
Mr John A Smith 21 Melbourne Street Sydney NSW 2000	Mr John Smith 11 Adelaide Street Sydney NSW 2000	Issuer holding has an initial in the name, the Trading Account does not. The address of the Issuer holding is different to the Trading Account	Contact the Share Registry and complete Change of Name and a Change of Address Form. Some Share Registries will allow you to amend your address online at their website. Your Issuer holding must have the exact same address and name as your Trading Account

## Sample of an Issuer Sponsored Holding Statement

All Registry communications to:  
Link Market Services Limited  
Locked Bag A14  
Sydney South NSW 1235 Australia  
Telephone: 1800 022 440  
Facsimile: (02) 9287 0303  
Email: [registrars@linkmarketservices.com.au](mailto:registrars@linkmarketservices.com.au)  
Website: [www.linkmarketservices.com.au](http://www.linkmarketservices.com.au)

MR JOHN SMITH &  
MRS JOAN SMITH  
1 SOMEWHERE STREET  
SYDNEY NSW 2000

**SECURITYHOLDER  
REFERENCE NUMBER (SRN):** 100000000000

**PAGE NUMBER:** 1

**STATEMENT DATE:** 30/09/2008

TFN/ABN RECEIVED AND RECORDED

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

To convert your Issuer Holding we need to know the ASX Code and the number of units you would like us to convert.

**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.