

## Share Registry Requirements For Deceased Estates – Overseas

### Selling Through a Stockbroker

If the securities are to be SOLD through a Stockbroker, the executor(s) or administrator(s) of the estate must consult the stockbroker regarding their requirements.

Alternatively the executor(s) or administrator(s) may deal with the holding through the Share Registry following the procedures as listed below :

### CHESSE Holdings

When securities are held on the CHESSE subregister under a sponsorship agreement, the executor(s) or administrator(s) of the estate must deal with the holding through the Sponsoring Broker and consult the sponsor regarding their requirements.

Alternatively the executor(s) or administrator(s) may instruct the Sponsoring Broker to remove the securities from CHESSE and deal with the holding through the Share Registry following the procedures as listed below :

### Issuer Sponsored or Certificated Holdings

#### Joint Holdings

The survivor(s) of a joint holding of securities may deal with the holding upon production of the following:

- a certified copy of the *Death Certificate* of the deceased.
- a) Securities may be transmitted to the survivor(s) by completing the enclosed *Survivorship Form* or by the production of a written request signed by the surviving holder(s). **OR**
- b) *Off Market Transfers* may be processed direct from the joint holding if the securities are to be sold or transferred, normal stamp duty requirements would apply.

together with any relevant Securityholder Reference Number (SRN) or Securities certificate(s)

#### Transmission or Transfer

Securities can be transmitted to the executor(s) or administrator(s) or transferred to the beneficiary(s) upon receipt of the following:

- a) a certified copy of *Probate or Letters of Administration*; **OR**  
**Probate or Letters of Administration granted outside Australia** should be resealed in Australia to confirm the appointment of the executor(s) or administrator(s) for the Australian assets. Where Overseas Probate or Letters of Administration has been resealed in the State or Territory of Australia other than that in which the securities are registered, an *Overseas - Section 1071B Statutory Declaration* must be lodged together with the transmission(s) or transfer(s), within three months of being completed.
- b) Dispensing with the Resealing of an Overseas Probate  
Consideration will be given to waiving the requirement for Proclaimed Countries (United Kingdom and New Zealand) Probates to be resealed in Australia, when the market value of the securities is A\$15,000 or less as at date of death or current market value whichever is greater. The executor(s), or administrator(s) or solicitors would need to produce the following documents:
  - Certified copy of the *Probate*
  - *Small Estates Indemnity - Overseas Estates* duly completed

Where the holding is to be:

- a) Transmitted to the Executor(s) or Administrator(s), a completed *Transmission Application* is required. **OR**
- b) Transferred to the beneficiary(s) or other persons, a completed *Australian Standard Transfer form* bearing evidence that stamp duty obligations have been met.

together with any relevant Securityholder Reference Number (SRN) or Securities certificate(s).

**Note :** It should be noted that the Probate or Letters of Administration and any subsequent Section 1071B Statutory Declaration, relate to the State or Territory Register on which the Securities are held, whereas, the stamp duty on any transfer relate to the State or Territory in which the Company is incorporated.

The movement of securities from the deceased's name into the name of the executor who is also the beneficiary should be effected by way of a proper instrument of off-market transfer and not by transmission.

Separate transmission applications or transfers are required for each class of security.

The requirements of the registry are in no way to be regarded as legal advice, Executors and Administrators should obtain their own legal advice regarding their obligation.