

# TRANSFER FORM FOR NON-MARKET TRANSACTIONS

Use a **black pen**. Print in **CAPITAL** letters

Note: Any alterations must be initialled by the seller/s and the buyer/s.

Any increase to the quantity of securities being transferred is not acceptable even if initialled

**Correction fluid or tape must not be used.**

**Uncertificated CHESS Holdings** - This form must be forwarded to the CHESS Sponsoring Broker or Non-Broker Participant.

**Uncertificated Issuer Sponsored Holdings** - This form must be forwarded to the Issuer's Registry or your broker as appropriate.

1 Stamp Duty if applicable

2	Full name of Company or Corporation		3	State of Incorporation
4	Description of Securities (Shares, options etc.)	Class	If not fully paid, paid to	5 Register
6	Quantity	Words		Figures
7	Full name/s of Transferor/s (Seller/s)	Given Name/s	Surname	For Company Use
8	Securityholder Reference Number ( <i>must be quoted</i> )	SRN : _____		
9	Consideration	A\$	10	Date of Purchase / /
11	Full name/s of Transferee/s (Buyer/s)	Title	Given Name/s	Surname
12	Full postal address of Transferee/s (Buyer/s)	Mr } Mrs } Ms }	..... ..... .....	
13	Transferee/s (Buyer/s) Securityholder Reference Number (if known)	SRN : _____		

I / We the registered holder/s and undersigned seller/s for the above consideration do hereby transfer to the above name/s hereinafter called the Buyer/s the securities as specified above standing in my/our name/s in the books of the above named Company, subject to the several conditions on which I/We held the same at the time of signing hereof and I/We the Buyer/s do hereby agree to accept the said securities subject to the same conditions. I/We have not received any notice of revocation of the Power of Attorney by death of the grantor or otherwise, under which this transfer is signed (if applicable). To sign as power of attorney you must have already lodged it with the registry or your broker as appropriate or enclose a certified copy with this transfer.

14	Transferor/s (Seller/s) sign here	Individual or Securityholder 1	Securityholder 2	Securityholder 3
		<input type="text"/>	<input type="text"/>	<input type="text"/>
		Director or Sole Director and Sole Company Secretary	Director/Company Secretary	Sole Director (No Company Secretary)
				15 Day / Month / Year

16	Transferee/s (Buyer/s) sign here	Individual or Securityholder 1	Securityholder 2	Securityholder 3
		<input type="text"/>	<input type="text"/>	<input type="text"/>
		Director or Sole Director and Sole Company Secretary	Director/Company Secretary	Sole Director (No Company Secretary)
				17 Day / Month / Year

SRA 23

# HOW TO COMPLETE THE TRANSFER FORM FOR NON-MARKET TRANSACTIONS WHEN TRANSFERRING SECURITIES IN A LISTED OR UNLISTED COMPANY

## 1. STAMP DUTY

Transfers of securities that are listed and quoted on an Australian Stock Exchange are exempt from stamp duty. However, Stamp Duty is payable on all other securities by the buyer of the shares and is based on the amount of consideration (refer 8). The stamp duty is calculated at the rate applicable to the state in which the company the securities are held is incorporated. If the company is incorporated outside Australia, the state or territory in which the principal register is located determines the state or territory in which the duty is payable. Transfers must be submitted to the respective State or Territory Stamp Duty office for assessment and payment of any applicable duty.

## 2. FULL NAME OF COMPANY OR CORPORATION

The full name of the company or corporation in which securities are held.

## 3. STATE OF INCORPORATION

State in which the Company (refer 2) is incorporated in. This can be found on the securities certificate, statement or other notices received from the company.

## 4. DESCRIPTION OF SECURITIES

e.g. Fully Paid Ordinary Shares, 9% Unsecured Convertible Notes etc....

## 5. REGISTER

The state on which the seller's securities are registered. This can be found on the securities certificate or statement.

## 6. QUANTITY

Number of securities being transferred (in both words and figures).

## 7. FULL NAME OF TRANSFEROR/S OR SELLER/S

Full names must be included together with any designation (if applicable).

## 8. SECURITYHOLDER REFERENCE NUMBER

This number must be quoted when transferring securities not represented by certificates. That is securities registered on the issuer sponsored (uncertificated) subregister.

## 9. CONSIDERATION

Is the full amount paid in settlement of the transfer of securities. Purchases should reflect the market price of shares as at the date of purchase. Market values are quoted in the daily newspapers.

## 10. DATE OF PURCHASE

Insert date of purchase or completion of the transfer.

## 11. FULL NAME OF TRANSFEREE/S OR BUYER/S

Insert the full names of buyer/s (a maximum of three joint holders).

Securities may not be registered in the names of a firm or business name, an estate or deceased person, a minor, a fund or a trust.

## 12: FULL POSTAL ADDRESS OF TRANSFEREE/S OR BUYER/S

Insert full address including the postcode. Only one address may be recorded.

## 13. SECURITYHOLDER REFERENCE NUMBER (SRN)

If the buyer is an existing holder in the company and is registered on the Issuer Sponsored (uncertificated) subregister, please quote the existing SRN.

## 14. SELLER SIGNATURE/S

- (i) Individuals - The securityholder must sign
- (ii) Joint Holdings - Where the holding is in more than one name, all of the securityholders must sign
- (iii) Power of Attorney - To sign as power of attorney, you must have already lodged it with the registry. Alternatively, attach a certified photocopy of the power of attorney to this form.
- (iv) Deceased Estate - When the holding is in the name of an estate, all executors/administrators are required to sign. (Probate requirements must also be complied with)
- (v) Companies - Director, Company Secretary, Sole Director and Sole Company Secretary or Sole Director (no Company Secretary) can sign. Please sign in the appropriate box which indicates the office held by you.

## 15. DATE SIGNED

Insert date signed by the seller/s.

## 16. BUYER SIGNATURE/S

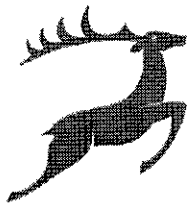
- (vi) Individuals - The securityholder must sign
- (vii) Joint Holdings - Where the holding is to be registered in more than one name, all of the proposed securityholders must sign
- (viii) Power of Attorney - To sign as power of attorney, you must have already lodged it with the registry. Alternatively, attach a certified photocopy of the power of attorney to this form.
- (ix) Deceased Estate - When the holding is in the name of an estate, all executors/administrators are required to sign. (Probate requirements must also be complied with)
- (x) Companies - Director, Company Secretary, Sole Director and Sole Company Secretary or Sole Director (no Company Secretary) can sign. Please sign in the appropriate box which indicates the office held by you.

## 17. DATE SIGNED

Insert date signed by the buyer/s.

**Note 1.** Copies of documents forwarded must be certified as a correct copy by a person who in the State or Territory of certification has the power to witness a Statutory Declaration.

**Note 2.** Transfers or other documents that do not fully meet the company's requirements are liable to be returned unregistered



# amscot STOCKBROKING

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PO Box 7669, CLOISTERS SQUARE WA 6850  
Telephone: +61 8 9288 3333 or 1300 308 305  
Facsimile: +61 8 9288 3359

A Division of State One Stockbroking Ltd // ABN 95 092 989 083  
AFSL 247 100 // Participant of ASX Group & Chi-X Australia

Email: [amscot@amscot.com.au](mailto:amscot@amscot.com.au)

## **Non Market Transfer Request**

I / We \_\_\_\_\_ (transferor), of \_\_\_\_\_  
\_\_\_\_\_ (amscot account # \_\_\_\_\_) being the holder of the securities  
listed below hereby request State One Stockbroking Ltd to complete the following Off-Market Transfer:

Full name of Company or Corporation	
Description of Securities	
Quantity	
Consideration	
Transferor's Contact Person	
Contact Details	Tel: _____ Email: _____

The transferee is \_\_\_\_\_ of \_\_\_\_\_  
\_\_\_\_\_ (amscot account # \_\_\_\_\_).

**Note: There is an A\$55.00 fee inclusive of Australian GST (A\$50 plus \$5.00 GST) per stock for the transfer. The off-market transfer will not be processed without the receipt of this fee.**

Stock Transfer Fee payable by:  Buyer or  Seller  
Payment:  Debit bank account or  Cheque attached

**Unless otherwise advised herein, the transaction monies will be handled by the two parties, without the involvement of State One.**

Or alternatively:

- State One to journal the funds between the two State One accounts involved, with either party to pay the transfer fee.
- State One to receive payment from the buyer and forward payment to the seller.

I / We request State One process the attached transfer and in consideration hereby covenant to indemnify and forever keep indemnified the directors and officers of State One Stockbroking Ltd from and against all losses in respect thereof and all claims, actions, proceedings, demands, costs and expenses whatsoever which may be made or brought against them by reason of compliance with this request.

**Executed on behalf of the:**

- Transferor (Seller)
- Transferee (Buyer)

\_\_\_\_\_  
Security Holder 1 or Individual  
Sole Director and sole Company Secretary

\_\_\_\_\_  
Security Holder 1 or Individual  
Sole Director and sole Company Secretary

\_\_\_\_\_  
Security Holder 2 or Director

\_\_\_\_\_  
Security Holder 2 or Director

Date: \_\_\_\_\_

Date: \_\_\_\_\_

**ATTACHMENT: The original signed Off Market Transfer Form.**