

Off-Market Transfer Process

How can I request an off-market transfer?

Off-market transfers can be requested by completing an Australian Standard Transfer Form or a One Registry Services (“ORS”) [Off-Market Transfer Form](#). Upon completion, please send the signed form to ORS as per the details below.

Security Validation Process

To help protect all parties against fraudulent activity, ORS completes a security check on the authenticity of the seller’s details. ORS charge a \$50.00 (including GST) fee for this service. Where there are multiple transfers from the same seller with exactly the same registered name and address the fee is only payable once where transfers are submitted together. A cheque must be included with each Standard Transfer Form completed.

Anti-Money Laundering & Counter Terrorism Financing (“AML/CTF”)

Under the Anti-Money Laundering and Counter Terrorism Financing Act 2006, security issuers must take steps to identify new investors. If the securities you want to transfer are issued in a stapled structure, a trust or a managed fund, then the buyer must submit AML/CTF Investor Identification Information with the completed transfer form and certified identity documents.

Identification Documents Required

For the security validation process sellers must provide a certified copy of the identification documents below. For AML/CTF buyers must provide a certified copy of the identification documents below.

Individual

An original primary photographic identification document:

- Driver’s Licence or permit issued that contains a photograph of the person;
- Passport issued by the Commonwealth; or
- Passport or a similar document issued for the purpose of international travel that contains a photograph of the person, issued by a foreign government, the UN or an agency of the UN and is accompanied by an English translation prepared by an accredited translator

Joint Holding

Where the holding is in more than one name, an original primary photographic identification document, as per individual, is required for each registered holder.

Domestic Company

An original certified copy of the most recent Company Statement issued by ASIC and original certified copy of a current original photographic identification document (as per individual) for each Officeholder who has signed the transfer form.



Foreign Company

Foreign registered companies must provide an equivalent document issued by the relevant foreign registration body, outlining current Officeholders and original certified copy of a current original photographic identification document, as per individual, for each Officeholder who has signed the transfer form.

Trust & Trustees

Verification of information about a trust must be based on:

- Certified copy of the Trust Deed or extract; or
- Reliable and independent documents relating to the trust.

ORS requires the following information to be verified:

- Full name of the trust;
- If any of the trustees is an individual, then in respect of one of those individuals — the information required to be collected from an individual under the ORS identification procedure with respect to individuals;
- If any of the trustees is a company, then in respect of one of those companies — the information required to be collected from a company under the customer identification procedure with respect to companies; and
- If the trustees comprise both individuals and companies, then in respect of either an individual or a company — the information required to be collected from the individual or a company (as the case may be) under the ORS identification procedure with respect to the individual or company.

Power Of Attorney

To sign under Power of Attorney, you must have already lodged this document with ORS. If you have not previously lodged this document for notation, please attach an original certified copy of the Power of Attorney to the transfer form when you return it. When signed under Power of Attorney, the attorney must state that they have not received a notice of revocation.

Should you require any other information please contact ORS.

All Correspondence to:

PO Box R1479

Royal Exchange NSW 1225

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F: +61 2 8580 5790

E: enquiries@oneregistryservices.com.au