Broker to Broker

Transfer request

WealthHub Securities Limited
ABN 83 089 718 249
AFSL No. 230704

nabtrade
GPO Box 4545
Melbourne VIC 3001

Telephone 13 13 80
nabtrade.com.au

Please complete this form to transfer your existing holding/s from another broker to your nabtrade Trading Account. If you need help completing this form, call us on 13 13 80 between 8am and 8pm AEST, Monday to Friday.

Please use black or blue pen and write in CAPITALS.

Section 1 Trading Account details

nabtrade Trading Account number

NT

Name(s) in which your Trading Account is held

Section 2 Existing sponsoring participant details (other broker)

Please complete this section to transfer your existing Broker Sponsored holdings to your nabtrade Trading Account.

- If you have a margin lending facility linked to your Trading Account, please contact your margin lender.
- Please provide the same details (name, address and designation) that are registered on your current CHESS Holding Statement(s).
- For this transfer request to be successful, the CHESS registration details (name, address and designation) at your existing broker must exactly match the details that you're providing on this form.
- If your details have changed, you'll need to advise your other broker of the changes before the transfer can be processed. Please make sure that you have no open orders or unsettled trades for the investments you wish to transfer.

Important
Please also attach copies of your latest CHESS Holding Statement(s)

Section 2 Existing sponsoring participant details (other broker) (cont.)

a. Registered name as recorded on your latest CHESS Holding Statement(s)

b. Account designation (if applicable), eg < X and Y Superfund A/C>

c. Registered address as recorded on your latest CHESS Holding Statement(s)

d. Name of existing sponsoring participant (ie other broker's name)

e. Account number

f. Holder Identification Number (HIN)

X

g. CHESS Sponsor ID (PID)

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Section 2 Existing sponsoring participant details (other broker) (cont.)

h. What would you like to transfer?

☐ I/We would like to transfer my/our HIN and all holdings. **Please go to Section 3.**

This option can not be used if you have a current HIN with nabtrade
Please note that by choosing this option you will not be able to trade until we receive your HIN from your existing broker.

OR

☐ Please transfer only the specified holdings listed below.

This is the option to tick if you have an existing HIN with nabtrade

Security name (eg National Australia Bank)	
Security code	**Quantity**

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Security code	**Quantity**

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Security code	**Quantity**

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Security code	**Quantity**

Security name (eg National Australia Bank)	
Security code	**Quantity**

Security name (eg National Australia Bank)	
Security code	**Quantity**

Attach a separate sheet if you require additional securities to be transferred, and sign the attachment

Section 3 Signatures

I/We authorise WealthHub Securities to transfer the existing HIN and all holdings/the above listed holdings into my/our Trading Account. **Please note: all account holders must sign.**

Please provide a copy of identification with your signature (if you haven't already in the past) to verify and provide to the other broker when requested.

1 Account Holder

Given name(s) / Family name (PLEASE PRINT)

Signature

✗ Date / /

2 Account Holder

Given name(s) / Family name (PLEASE PRINT)

Signature

✗ Date / /

3 Account Holder

Given name(s) / Family name (PLEASE PRINT)

Signature

✗ Date / /

Please complete and return this form and any attachments to:

Post:
nabtrade
GPO Box 4545
Melbourne VIC 3001

Fax:
1300 368 758

Email:
enquiries@nabtrade.com.au

Section 4 Further instructions to transfer your holdings to your nabtrade Trading Account

1. Checklist for completing this form

For your transfer to be processed without delay please ensure:

- ☐ Name and address details listed on your current nabtrade account are exactly the same as the details held with your other broker.[2]
- ☐ All security holders requesting the share transfer sign this document.
- ☐ For Joint Accounts: both holders of the account sign.
- ☐ For Company Accounts with two or more directors: either both directors sign, or one director and the company secretary sign.
- ☐ Lines are drawn through any mistakes on the form and initialled by all signatories on the account.
- ☐ You have no outstanding orders or pending trade settlements for the shares you wish to transfer.

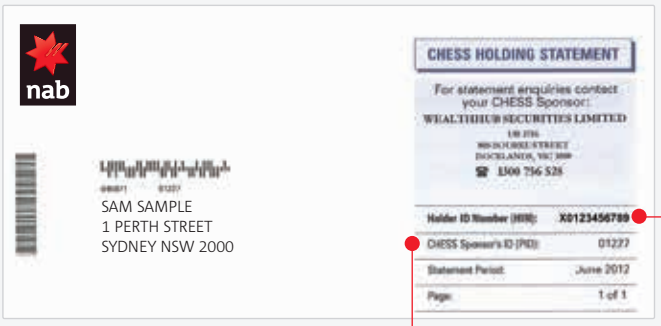
Instructions for a successful transfer

CHESS Statement has	nabtrade account has	Scenario	What you need to do
Mr John Smith and Mrs Mary Smith 1 Perth Street Sydney NSW 2000	Mr John Smith 1 Perth Street Sydney NSW 2000	Account with other broker is in a joint holding, nabtrade account is not	Open an account at nabtrade in the name of Mr John Smith and Mrs Mary Smith or complete an Off Market Transfer form from the download centre at nabtrade.com.au
Mr John Smith and Mrs Mary Smith <Smith Super Fund A/C> 1 Perth Street Sydney NSW 2000	Mr John Smith 1 Perth Street Sydney NSW 2000	Account with other broker is in the name of a superfund, nabtrade account is not	Open an account at nabtrade in the name of Mr John Smith and Mrs Mary Smith <Smith Super Fund A/C> or complete an Off Market Transfer form from the download centre at nabtrade.com.au
Mr John Andrew Smith 1 Perth Street Sydney NSW 2000	Mr John Smith 1 Perth Street Sydney NSW 2000	Account with other broker has a middle name, nabtrade account does not	Contact nabtrade to add your middle name. We will require a Change of Name form and a certified copy of identification
Mr J Smith Pty Ltd 1 Perth Street Sydney NSW 2000	Mr J Smith Pty Ltd <Smith Super Fund A/C> 1 Perth Street Sydney NSW 2000	Account with other broker is in the name of the company, nabtrade account has the company as trustee for the Super Fund	Open an account at nabtrade in the name of J Smith Pty Ltd or complete an Off Market Transfer form from the download centre at nabtrade.com.au
Mr John Alfred Smith 1 Perth Street Sydney NSW 2000	Mr John Smith 11 Adelaide Street Sydney NSW 2000	Other broker account has a different name and address to nabtrade account	To correct your name, please submit a Change of Name form and certified copy of identification. To correct your address, please contact the broker who has the incorrect registered address (submit a Change of Address form to correct it with nabtrade)

2 The name and registration that appear on your current registered holding **must** be in the same name and registration that appears on your nabtrade account. If this requirement is not met, your request to transfer holdings may be delayed or rejected. If your details have changed, you will need to advise your existing sponsoring participant (broker) of any changes before we can process this transfer.

Section 4 Further instructions to transfer your holdings to your nabtrade Trading Account

Sample of a CHESS Holding Statement



Broker Sponsored Holdings

If your shares are Broker Sponsored, you will have a Holder Identification Number (HIN) allocated to your holding rather than a Shareholder Reference Number (SRN), which starts with an 'X'. You can be sponsored on CHESS by more than once broker or institution and you can even maintain holdings in the same security under different sponsorships.

PID

Is an acronym for Participant Identification number. This is the Broker's identification number. Our PID is 1227.

Holder Identification Number (HIN)

HIN stands for Holder Identification Number. It's the number by which CHESS identifies and registers holdings. It also identifies the broker with which you hold financial products.

Related definitions

CHESS stands for Clearing House Electronic Sub-register System. The CHESS Settlement Facility is a computerised share registry and settlement system operated by the ASX Settlement Pty Ltd (ASX Settlement), a subsidiary of the ASX. CHESS records an account's share ownership via the ASX's computer-based share and settlement transaction system. An account's security holdings are recorded against their HIN and a statement is sent out to their registered address.

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

Shareholder Reference Number is a unique number that identifies you as an Issuer Sponsored Holder with a listed company. A SRN usually starts with the letter 'I' eg I0012345678. If you hold shares in more than one company and choose to be Issuer Sponsored, you will have a different SRN for each shareholding.

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