

STOCKBROKING CHESS SPONSORED CLIENT OFF MARKET TRANSFER form

For non-Market Transactions

Please use BLOCK letters. Please have any changes initialled by all parties. Any use of correction fluid renders form invalid.

1. Full Name of Security/Stock			
2. Full Description of Securities	Class	If not fully paid, paid to	
3. Quantity	Words	Figures	
4. Price	<input type="checkbox"/> Use previous closing price	AUD\$	or specific price
5. Full Name(s) of Seller(s) [Transferor(s)]	Surname(s) / Company Name		
	Mr/Mrs/Ms/Miss	Given Name(s)	
	A/C Designation (if required)		
6. Full Postal Address of Seller(s) [Transferor(s)]		State	Postcode
7. PID or Broker Name	8. SRN or HIN		
9. Client Account Number (Optional)			
10. Contact Details (Seller)	Work	Mobile	Email
<small>To comply with the ASIC Market Integrity Rules the first email address must be that of the account holder.</small>			
11. Consideration	AUD\$	12. Date of Purchase	/ / 20
13. Full Name(s) of Buyer(s) [Transferee(s)]	Surname(s) / Company Name		
	Mr/Mrs/Ms/Miss	Given Name(s)	
	A/C Designation (if required)		
14. Full Postal Address of Buyer(s) [Transferee(s)]		State	Postcode
15. PID or Broker Name	16. SRN or HIN		
17. Client Account Number (Optional)			
18. Contact Details (Buyer)	Work	Mobile	Email
<small>To comply with the ASIC Market Integrity Rules the first email address must be that of the account holder.</small>			
<small>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 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.</small>			
19. Seller(s) [Transferor(s)] Sign Here >	<input type="checkbox"/> X <input type="checkbox"/> X <input type="checkbox"/> X		Company Use Only (Please circle if relevant) Sole Director Director/Secretary Director/Secretary <div style="border: 1px solid black; width: 100px; height: 100px; margin-top: 10px;"></div> Company Seal
20. Date Signed (Seller)	/ / 20		
21. Buyer(s) [Transferee(s)] Sign Here >	<input type="checkbox"/> X <input type="checkbox"/> X <input type="checkbox"/> X		Sole Director Director/Secretary Director/Secretary
22. Date Signed (Buyer)	/ / 20		
23. Identification (if not already provided). See overleaf.			
Your payment options <input type="checkbox"/> Direct Debit from your Rivkin Securities Cash Account OR <input type="checkbox"/> Cheque		FAX form to 02 9221 9365 or POST to GPO Box 5351, Sydney NSW 2001.	

Verification check

You'll need to provide us with certified copies of original identification verifying your full name, your current residential address and your date of birth. All the documents you'll need to provide are listed below.

Your application must be accompanied by a certified (true) copy of **EITHER** one document from Section A, **OR** one document from Section B and one from Section C, **for each applicant**.

Section A (PROVIDE ONE OF THE FOLLOWING)

- driver's licence (front and back) – MUST be current
- proof of age card issued by the RTA – MUST be current

OR

Section B (PROVIDE ONE OF THE FOLLOWING)

- passport – current or expired within the past TWO years
- birth certificate or birth extract issued by a State or Territory
- citizenship certificate issued by the Commonwealth
- pension card issued by Centrelink (front and back)

and

Section C (PROVIDE ONE OF THE FOLLOWING)

A recent utility bill, financial statement or council rate notice – issued within the last six months – showing your name and residential address. This can include one of the following:

- a financial statement (savings, credit, mortgage) issued by an Approved Deposit-taking Institution (ADI) in Australia. To obtain a full list of ADIs in Australia, visit www.apra.gov.au/adi/ADIList.cfm. Please note that an electronic statement issued by any institution (including ADIs) may be accepted at CMC Markets' discretion
- gas, electricity, water, home phone, internet (dial-up, broadband), mobile phone bill, Foxtel bill
- a council rates notice
- a notice or assessment issued by the RTA or a government body
- a lease agreement, contract for sale of a property or rental bond lodgement document
- home and/or contents insurance policy statement

Certifying your documents

In order for your certification to be accepted, it must be signed and the certifier is to state that the document is a certified copy of an original. They must provide their name, address, phone number, and in what category of certifier they fall. We cannot accept a fax of a certified copy. For copies of your documents to be considered certified, they must be signed by any one of the following:

1. a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described)
2. a judge of a court
3. a magistrate
4. a chief executive officer of a Commonwealth court
5. a registrar or deputy registrar of a court
6. a Justice of the Peace
7. a notary public (for the purposes of the *Statutory Declaration Regulations 1993*)
8. a police officer
9. an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
10. a permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public
11. an Australian consular officer or an Australian diplomatic officer (within the meaning of the *Consular Fees Act 1955*)
12. an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the *Statutory Declaration Regulations 1993*)
13. a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the *Statutory Declaration Regulations 1993*)
14. an officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees
15. a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two or more years of continuous membership.

If you need help to meet these ID requirements, call Rivkin Securities on **1300 748 546**.