

**Client Services contact details**

**Phone**

1800 287 245 or 02 9259 0200

**Email**

ausbil\_transactions@unitregistry.com.au

**Website**

www.ausbil.com.au

## Transfer Request

Use this form if you are an existing investor and wish to transfer units to another investor.

Please complete all sections in BLOCK letters using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

### 1. Instructions if you are transferring units to an existing investor.

If you are transferring units to an existing investor, the following needs to be completed:

- transferor needs to write their investor number and investor name as it appears on their latest periodic or transaction statement
- transferee needs to write their investor number and investor name in section 2 as it appears on their latest periodic or transaction statement
- both the transferor and transferee need to sign this form as per the 'Acknowledgements and signatures' in section 6.

### 2. Instructions if you are transferring units to a new investor.

If you are transferring units to a new investor, the transferor needs to complete the following:

- write their investor number and investor name as it appears on their latest periodic or transaction statement
- sign this form as per the 'Acknowledgements and signatures' in section 6.

The transferee needs to:

- write their name in section 4 of this form and then sign the form as per the 'Acknowledgments and signatures' in section 6
- complete the Fund's Application form from the relevant Product Disclosure Statement
- complete the relevant identification document
- arrange for copies of their identification documents to be certified and
- complete the tax information form

### 3. Send your documents to us

Before you submit your transfer form, please check that:

- both the transferor and transferee have signed the transfer form
- the transfer form and application form (if applicable), along with relevant identification form and documents and the Tax Information form (if applicable) are included.

Please post your **original signed** transfer form, **original** application and **original** Tax Information form (if applicable) and **original certified** copies of the relevant identification documents (if applicable) to us:

Send by post:

Ausbil Investment Management Limited  
GPO Box 804  
Melbourne VIC 3001

## 1 Transfer details

Please indicate if you are making a full transfer or a partial transfer. If you are making a partial transfer please specify the number of units or dollar amount you wish to transfer.

FUND NAME	APIR CODE	TRANSFER AMOUNT AUD\$	TRANSFER OPTION (indicate preference with an X)	
			Full balance	Number of units
Ausbil Australian Active Equity Fund	AAP0103AU		<input type="checkbox"/>	
Ausbil Balanced Fund	AAP0101AU		<input type="checkbox"/>	
Ausbil Australian Emerging Leaders Fund	AAP0104AU		<input type="checkbox"/>	
Candriam Sustainable Global Equity Fund	AAP0001AU		<input type="checkbox"/>	
Ausbil Australian Geared Equity Fund	AAP0002AU		<input type="checkbox"/>	
Ausbil 130/30 Focus Fund (Wholesale)	AAP0008AU		<input type="checkbox"/>	
Ausbil MicroCap Fund	AAP0007AU		<input type="checkbox"/>	
MacKay Shields Unconstrained Bond Fund	AAP0020AU		<input type="checkbox"/>	
Other			<input type="checkbox"/>	

No Change of beneficial ownership

Minimum balances apply. Please refer to the Fund's product disclosure statement.

## 2 Transferor/Seller details

Investor number

        

Investor name

## 3 Transferee/Buyer details – existing investors only

If you are transferring units to a new investor, please complete the details below.

Investor number

        

Investor name

### Buyer details

Unit

Street number

Suburb

State

Street name

Postcode

Country

## 4 Transferee/Buyer – new investors

If you are transferring units to a new investor, please complete the details below. The following forms also need to be completed by the new investor and can be obtained from the product disclosure statement:

- Application form
- Identification form
- Tax information form.

### New investor details

Title

Full given names

Surname

Company/Trust/Superannuation fund

## 4 Facsimile Indemnity

If you are instructing us via facsimile (including applications, withdrawal requests and switching requests) you acknowledge the following conditions:

- We will process your facsimile instructions if it has been received by us in full. We bear no responsibility for any loss or delay that may be incurred from a transmission not being received by us. A facsimile receipt confirmation from the sender's facsimile machine is not evidence that the facsimile has been received.

- We bear no responsibility for any fraudulently completed facsimile transactions and will not compensate you for any losses. For instance, you uphold the risk that a facsimile may be sent by someone who knows your account details.

## 5 Privacy

### Keeping us informed

Our records about you are important. Please inform us in writing (must be signed by the authorised signatories) of any changes to details which you have given us. This may be a new postal address, a change of name or new financial institution account details for distribution payments.

We will send you written confirmation of any changes. Please quote your Investor Number when you contact us.

### Collecting and using your information

We collect information for the following purposes:

- to process your application;
- to administer your investment and provide you with reports;
- to monitor and improve the quality of service provided to you; and
- to comply with regulatory or legal requirements, including the Corporations Act, the Proceeds of Crime Act, the Financial Transaction Reports Act, the Taxation Administration Act and the Anti-Money Laundering and Counter-Terrorism Financing Act.

We also ask you for some personal details so that we, and our related companies, can keep in touch with you and tell you on an ongoing basis about our other products and services that could be useful to you. We may do this by telephone, electronic messages (eg. email), online and other means.

Please contact us if you do not wish your details to be used for marketing purposes.

We may gather information about you from a third party. These include credit agencies, financial advisers, fund managers or intermediaries and spouses. We may also collect details of your interactions with us and our products and services (including from our records of any telephone, email and online interactions).

If you provide someone else's personal information to us, you must ensure that they first agree on the basis of this privacy section.

### Disclosing your information

We exchange your personal information with your consultant/adviser and third parties appointed by your consultants/adviser if you complete section 10 of the Application Form, or if you request us to, and to any other authorised representative of yours (such as your accountant or lawyer) from time to time. In addition, we may exchange personal information about you in the following circumstances:

- you consent to the disclosure;
- with any joint investor;
- with companies that provide services to us, to our related companies, to the Fund, or on our behalf (and our related companies may also exchange personal information with these companies) - for example administration, custody, investment management, technology, identity verification, auditing, registry, mailing or printing services; or
- where required or authorised by law, which may include disclosures to the Australian Taxation Office and other Government or regulatory bodies.

## 6 Acknowledgements and signatures

This form must be signed by all authorised signatories (eg. For a joint account, both signatories must sign this form).

By executing this Form I/we agree with, and represent and warrant to Ausbil that:

- All details in this Form are complete, true and correct including the FATCA information;
- I/we have read and understood the Product Disclosure Statement (PDS) and Additional Information Guide (AIG) for the applicable fund(s) and agree to be bound by them (as updated from time to time);

- I agree to be bound by the constitution(s) for those fund(s) (as amended from time to time);
- That acceptance of my/our application for units in any fund(s) will be at the sole discretion of Ausbil and that Ausbil has the right to reject any application;
- I/we have legal power to sign this Form and invest in the fund(s) and have complied with all applicable laws in doing so (including those relating to superannuation and tax);
- The details of my/our investment can be provided to the dealer group or adviser shown on this Form by the means and in the format that they direct;

- Sole signatories signing on behalf of a company confirm that they are signing as sole director of the company;
- If acting as a trustee or custodian, I/we confirm that I/we am/are acting in accordance with my/our designated powers and authority under the trust deed or custody agreement;
- If the Form is signed by an attorney, the attorney declares that he/she has not received notice of revocation of appointment and has provided a certified copy of the Power of Attorney to Ausbil;
- I/we are aware of the risks involved with investing in the fund(s) and have not relied on any representation (whether oral or written) from Ausbil or any other persons in connection with the fund(s);
- It is my/our responsibility to seek independent investment, financial, legal or taxation advice as to the suitability of the fund(s) to my/our circumstances;
- I/we understand that my/our investment in the fund(s) is subject to investment risks, including possible delays in repayment and loss of income and principal;
- I/we understand that none of Ausbil or its related entities or associates guarantees the performance of the fund(s), repayment of capital, rate of return or amount of any distribution;
- I/we will not knowingly do anything to put Ausbil in breach of AML/CTF Laws and I will notify Ausbil if I/we are aware of anything that may put Ausbil in breach of AML/CTF Laws.
- I/we are not aware and have no reason to suspect that the application monies or proceeds of investment in the fund(s) are derived from or will be used in connection with money laundering, terrorism financing or any other illegal activities;
- If requested, I/we will provide additional information and comply with all reasonable requests by Ausbil to enable it to comply with AML/CTF Laws;
- That personal information about me/us may be collected, used and disclosed in accordance with Ausbil's Privacy Policy and the privacy statements included in the PDS, including for marketing purposes;
- I/we will promptly advise Ausbil if event or circumstances occurs which would cause these representations and warranties to be incorrect or misleading or if I/we are in breach of any agreement or undertaking; and
- I/we indemnify Ausbil against any losses or liabilities incurred by it as a result of a breach by me/us of any agreement, representation or warranty.

I/we agree that the above agreements, representations and warranties are given on the date this Form is signed and repeated on each day thereafter until I/we cease to have an investment in the fund(s).

#### **By completing and signing this form, you:**

- authorise us to act according with the instructions on this form
- acknowledge that the instructions on this form supersede all previous instructions received by us, and
- agree to indemnify us from and against all losses, costs, expenses, claims, actions or proceedings brought against us in connection with following your instructions on this form.

#### **Who needs to sign this form**

**Individual** – where the investment is in one name, the account holder must sign.

**Joint Holding** – where the investment is in more than one name, all of the account holders must sign.

**Companies** – where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

**Trust** – the trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.

**Power of Attorney** – if you have not already lodged the Power of Attorney with us, please attach an original certified copy of the Power of Attorney document that includes Certificate of Witness and Statement of Acceptance and original Certified Identification Document of the Power of Attorney. I/We attest that the Power of Attorney has not been rescinded or revoked and that the Donor is still living.

I/We the registered holder(s) and undersigned Seller(s) do hereby transfer the above name(s) hereafter, called the Buyer(s) or to the several buyers named in section 3/4 of the Transfer Form units as specified above and I/We the Buyer(s) do hereby agree to accept the said securities subject to the same conditions.

I/We the registered holder(s) and undersigned Seller(s) hereby transfer the above units to the several transferees named in section 3/4 of the Transfer Form.

I/We have not received any notice of revocation of the Power of Attorney by death of the grantor or otherwise, under which the transfer is signed.

I/We the registered holder(s) and undersigned Seller(s) do hereby transfer the above name(s) hereafter, called the Buyer(s) or to the several buyers named in section 3/4 of the Transfer Form units as specified above and I/We the Buyer(s) do hereby agree to accept the said securities subject to the same conditions.

I/We the registered holder(s) and undersigned Seller(s) hereby transfer the above units to the several transferees name in section 3/4 of the Transfer Form.

I/We have not received any notice of revocation of the Power of Attorney by death of the grantor or otherwise, under which the transfer is signed.

**Transferor/Seller**

**Signature of investor 1, director or authorised signatory**

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- Director
- Sole director and company secretary
- Authorised signatory

**Signature of investor 2, director/company secretary or authorised signatory**

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- Director
- Company secretary
- Authorised signatory

**Transferee/Buyer**

**Signature of investor 1, director or authorised signatory**

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- Director
- Sole director and company secretary
- Authorised signatory

**Signature of investor 2, director/company secretary or authorised signatory**

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- Director
- Company secretary
- Authorised signatory