

Deceased Estates How to complete the AML/CTF Identification Information Form

The Australian government has introduced legislation called the 'Anti-Money Laundering and Counter Terrorism Financing Act 2006' which is designed to combat money laundering and terrorism financing.

The introduction of this legislation means that investors must provide additional identification details when they request a 'designated service'. You may also be asked to provide supporting identity documentation.

What is a designated service in relation to a Deceased Investor, and are you requesting one of them?

Is the deceased estate applying for securities by way of a Float or Initial Public Offering (IPO)?

- 1. Are you the appointed Executor/Administrator of a deceased investor and you want to transfer or transmit the securities by way of an Off Market Transfer or Transmission Application?
- 2. Are you the Next of Kin (applies only where the deceased investor did not leave a Will) and you want to transfer or transmit the securities by way of an Off Market Transfer or Transmission Application?
- 3. Are you the Beneficiary/Next of Kin (applies only where the deceased investor did not leave a Will) and the securities are being transferred to you by way of an Off Market Transfer?
- 4. Is the deceased estate of an Individual deceased investor OR a Joint deceased investor asking MUFG Corporate Markets (AU) Limited (MUFG Corporate Markets) to SELL securities via MUFG Corporate Markets Share Sale?

If the answer is yes to any of these questions, you are requesting a designated service and therefore must complete an 'Investor Identification Information Form' and provide the identity documents specified on the form.

Which form do you need to complete?

The amount of information you need to provide depends upon your Investor type. You need only complete the form that relates to your particular Investor type and circumstances, as follows:

Deceased Estates – To be used by an Executor/Administrator/Next of Kin/Beneficiary or Surviving Joint holder where the service requested relates to:

- Application by a deceased estate is made for an issue of securities by way of a Float or Initial Public offering (IPO).
- Off Market Transfer of securities from an Executor/Administrator/Next of Kin to Beneficiary/Next of Kin.
- Off Market Transfer of securities from a deceased investor to Beneficiary/Next of Kin.
- · Request by a deceased estate to sell the securities.

What do you need to do?

- 1. Complete the appropriate form or forms for the Investor type by typing it, or handwrite in blue or black pen ink. Do not use correction fluid/tape or pencil. Please initial all corrections. Complete one form for each Investor.
- 2. **Include originally certified copies** of identity documents as specified on each form. A list of people who can certify documents is on the other side of this page. **Do not** send original documents as they may get lost. Certified copies of documents will not be returned to you.
- 3. Each Attorney appointed under Power of Attorney given by and acting on behalf of a surviving joint holder must identity themselves and provide supporting documentation.
- 4. Each person authorised to act on behalf of the deceased investor must identify themselves and provide supporting documentation.
- 5. Attach all of the relevant documents to the front of your completed transfer, transmission, sale authority form, or application form and mail to:

MUFG Corporate Markets (AU) Limited
Registry Operations – AML/CTF Processing
Locked Bag A14
SYDNEY SOUTH NSW 1235
AUSTRALIA

Please note: If you are lodging this form with an 'Application for Securities' such as the type used in a float or public offer, please send your AML form with your application to the address specified on the application form or in the PDS document.

Who can certify identity documents for you?

The following individuals are authorised to certify identity documents. One of the people on this list should certify your identity documents or we may have to reject your forms. You may not certify your own identity documents.

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(b) a non-commissioned officer within the meaning of the Defence Force Discipline Act 1982 with 2 or more years of continuous		

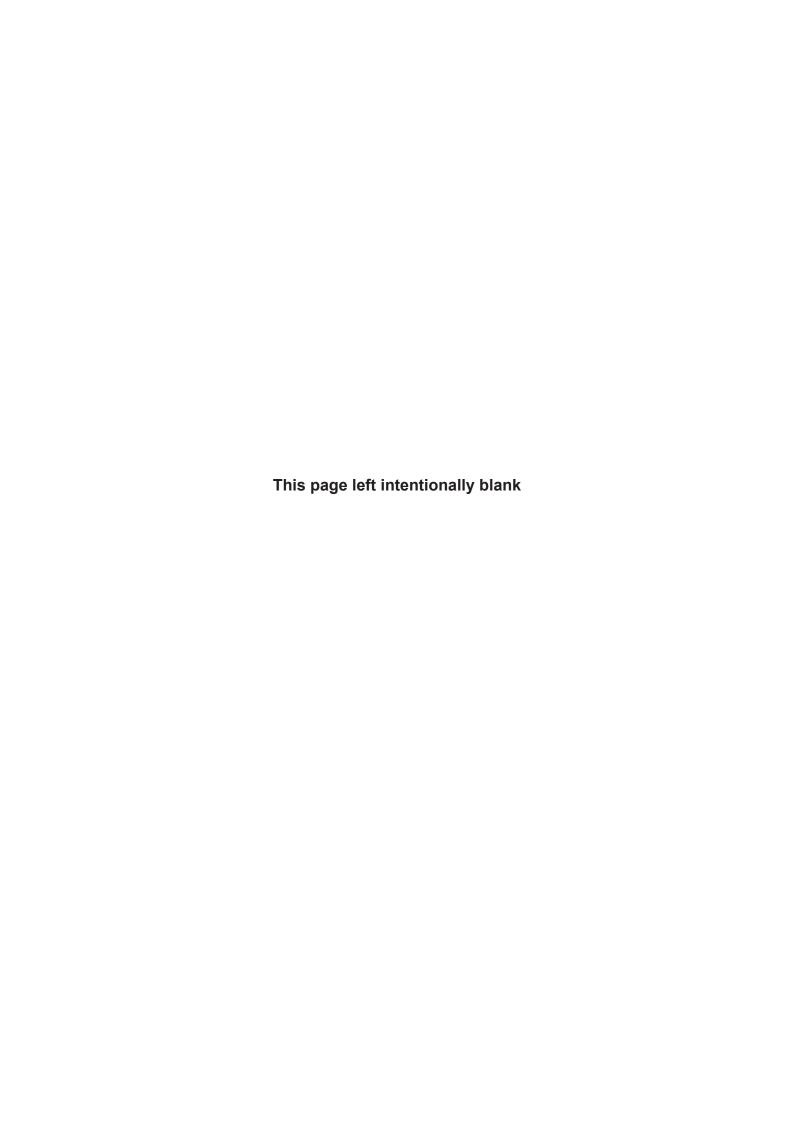
- (c) a warrant officer within the meaning of that Act
- Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the National Institute of Accountants

- 226 Member of:
 - (a) the Parliament of the Commonwealth; or
 - (b) the Parliament of a State; or
 - (c) a Territory legislature; or
 - (d) a local government authority of a State or Territory
- 227 Minister of religion registered under Subdivision A of Division 1 of Part IV of the Marriage Act 1961
- 228 Notary public
- Permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public
- 230 Permanent employee of:
 - (a) the Commonwealth or a Commonwealth authority; or
 - (b) a State or Territory or a State or Territory authority; or
 - (c) a local government authority;

with 5 or more years of continuous service who is not specified in another item in this Part

- Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made
- 232 Police officer
- 233 Registrar, or Deputy Registrar, of a court
- 234 Senior Executive Service employee of:
 - (a) the Commonwealth or a Commonwealth authority; or
 - (b) a State or Territory or a State or Territory authority
- 235 Sheriff
- 236 Sheriff's officer
- 237 Teacher employed on a full-time basis at a school or tertiary education institution
- 238 Member of the Australasian Institute of Mining and Metallurgy
- ### An officer or authorised representative of an Australian Financial Services Licensee e.g. Financial Planner

Personal Information Collection Notification Statement: MUFG Pension & Market Services ("MPMS") advises that your personal information and identification is collected by MPMS organisations for the administration of your investment as required or permitted by the *Anti-Money Laundering & Counter Terrorism Financing Act* 2006 (Cth) (AML/CTF) and accompanying Rules. Your information may be disclosed to the regulator AUSTRAC, other Commonwealth government agencies or law enforcement agencies. MPMS may request additional information or identity evidence from you before providing you with an AML/CTF designated service. For further details about our personal information handling practices, including how you may access and correct your personal information and raise privacy concerns, visit our website at https://www.mpms.mufg.com for a copy of the MPMS privacy policy, or contact us by phone on +61 1300 554 474 to request a copy.





DECEASED ESTATES

Investor Identification Information Form

Anti-Money Laundering and Counter Terrorism Financing (AML/CTF) legislation 2006

Complete this form if the deceased investor eg. Estate John Smith is applying for securities or wants to sell securities.

Service Requested by the authorised person	Issuer Details		
Please tick one Application by a deceased estate for an issue of securities e.g	g. Issuer name		
Request by a deceased estate for a sale of securities			
Transmission from a deceased estate to Executor/Administra	tor Security code/Description		
Off market transfer to Beneficiary or Next of Kin			
On market transfer to beneficiary of Next of Min			
Section 1 Deta	nils of the Deceased Investor		
Surname of the Deceased	Date of birth		
	dd / mm / yyyy		
First name(s)	Middle name(s)		
Residential street address (Do not use a PO Box or C/- Address)	Suburb/Town/City		
Line 1	- Could to will only		
	State/Territory/County/Region		
Line 2			
	Post/Zip code		
Line 3			
	Country (if not Australia)		
Line 4			
Date of Death dd / mm / yyyy			
Section 2 Details of Person Author	orised to Act on Behalf of a Deceased Individual		
Service Requested	Name of person/company authorised to act on behalf of a deceased estate		
Transmission from a deceased security holding direct to the appointed Executor(s)/Administrator(s) or	Name and Identification details required of the appointed Executor(s)/ Administrator(s).		
Transmission from a deceased security holding direct to the Next of Kin where the deceased did not leave a Will	Name and Identification details required of the Next of Kin		
Transfer of securities from a deceased security holding direct to a Beneficiary	Name and Identification details required of the Beneficiary		
Transfer of securities held in the name(s) of the appointed Executor(s)/Administrator(s) on behalf of a deceased estate direct to a Beneficiary	2. Name and Identification details required of the Beneficiary		
Sale of the securities of an INDIVIDIUAL deceased security holding	Name and Identification details required of the appointed Executor(s)/ Administrator(s) OR the Next of Kin where the deceased did not leave a Will.		
Sale of the securities of an JOINT security holding where one of	Name and Identification details required of the Surviving joint holder(s).		
the joint holders is deceased	Note: If the surviving joint holder has given a Power of Attorney to a third party, the name and Identification details of BOTH the surviving joint holder AND the appointed Attorney(s) is required		
Application by a deceased estate for an issue of securities eg a Float or Initial Public Offering (IPO)	Name and Identification details required of the appointed Executor(s)/ Administrator(s) OR the next of kin where the deceased did not leave a Will.		

Section	Details of Person Authorised to Act on Bo	ehalf of a Deceased Estate	
	Administrator 1	Dhone with a	
-uii name o	of person acting on behalf of the deceased individual	Phone number	
1 1		Country code / area code / number	
Residential	address (Do not use a PO Box or C/- Address)		
Address I	ine 1		
1 1		1 1 1 1 1 1 1 1 1 1 1 1 1	
Address I	ine 2		
	Identification documents – of the perso	n authorised	
	plete either Option 1 or Option 2 and attach the applicable document(s). Please DO NO	${f I}$ attach original documents. Send only certified copies	
•	uments. Documents will not be returned.		
	- Please attach at least 1 document		
Tick √ 1	Primary photographic identity document		
	Drivers Licence		
	Australian Passport (current or expired in the last 2 years)		
	International Travel Document – foreign passport		
	Proof of Age Card		
	National Identity Card		
-	n 2 – Please attach at least 1 primary non-photographic document <u>and</u> 1 second	ary non-photographic document	
Tick √ 1	Primary non-photographic identity document;		
	Australian Birth Certificate or Extract of Birth		
	Australian Citizenship Certificate		
	Foreign Citizenship Certificate		
	Foreign Birth Certificate		
	A Centrelink Pension card or Centrelink Healthcare card		
Tick √ 1	Secondary non-photographic identity document		
	A financial benefit notice issued by the Commonwealth, State or Territory within the last 12 months		
	An income tax assessment notice issued within the last 12 months		
	A local government notice (e.g. council rates) or utilities notice (e.g. power, gas or phone bill) issued within the last 3 months		
	In relation to a minor (under 18 years of age) a notice issued by a school principal wit		
	All foreign language documents must be accompanied by an English translation	n prepared by an accredited translator	
	Authorisation – In relation to the person authorised to a	ect for the Deceased Investor	
Please DO	NOT attach original documents. Send only certified copies of original documents. Docum	nents will not be returned.	
Tick ✓			
	Grant of Probate		
	Letters of Administration		
	Will		
	Statutory Declaration – Next of Kin		
	Power of Attorney – To be provided only where a joint surviving holder of the joint hol	lding has given a Power of Attorney	
	Proof of Identity and Authorisation to Act on the Dec	eased Investors Behalf	
	attached a certified copy of my drivers licence, passport or other photo Id which ms my details above and contains my signature; and	Surviving joint holder (for the sale of securities only)	
	e attached a certified copy of my authorisation to Act on behalf of the Deceased dual (tick from the list over page); and	Next of Kin	
I have	e attached a certified copy of the death certificate	Executor/Administrator	
Signature	<i>&</i>	Beneficiary Days of Atternation	
Date	dd / mm / yyyy	Power of Attorney (for the sale of Joint Securities only)	

Section		enait of a Deceased Estate	
	Administrator 2	Phone number	
-uii name c	f person acting on behalf of the deceased individual		
		Country code / area code / number	
Residential	address (Do not use a PO Box or C/- Address)		
Address I	ine 1		
1 1			
Address	ine 2		
	Identification documents – of the persor	n authorised	
	plete either Option 1 or Option 2 and attach the applicable document(s). Please DO NOT	attach original documents. Send only certified copies	
•	uments. Documents will not be returned.		
<u> </u>	- Please attach at least 1 document		
Tick √ 1	Primary photographic identity document		
	Drivers Licence		
	Australian Passport (current or expired in the last 2 years)		
	International Travel Document – foreign passport		
	Proof of Age Card		
	National Identity Card		
OR Option	n 2 – Please attach at least 1 primary non-photographic document <u>and</u> 1 seconda	ry non-photographic document	
Tick √ 1	Primary non-photographic identity document;		
	Australian Birth Certificate or Extract of Birth		
	Australian Citizenship Certificate		
	Foreign Citizenship Certificate		
	Foreign Birth Certificate		
	A Centrelink Pension card or Centrelink Healthcare card		
Tick √ 1	Secondary non-photographic identity document		
	A financial benefit notice issued by the Commonwealth, State or Territory within the last 12 months		
	An income tax assessment notice issued within the last 12 months		
	A local government notice (e.g. council rates) or utilities notice (e.g. power, gas or phone bill) issued within the last 3 months		
	In relation to a minor (under 18 years of age) a notice issued by a school principal with	in the last 3 months	
	All foreign language documents must be accompanied by an English translation	prepared by an accredited translator	
	Authorisation – In relation to the person authorised to a	ct for the Deceased Investor	
lease DO	NOT attach original documents. Send only certified copies of original documents. Docume	ents will not be returned.	
Tick √			
	Grant of Probate		
	Letters of Administration		
	Will		
	Statutory Declaration – Next of Kin		
	Power of Attorney – To be provided only where a joint surviving holder of the joint hold	ling has given a Power of Attorney	
	Proof of Identity and Authorisation to Act on the Dece	eased Investors Behalf	
	attached a certified copy of my drivers licence, passport or other photo Id which ms my details above and contains my signature; and	Surviving joint holder (for the sale of securities only)	
☐ I have	attached a certified copy of my authorisation to Act on behalf of the Deceased dual (tick from the list over page); and	Next of Kin	
I have	attached a certified copy of the death certificate	Executor/Administrator	
Signature		Beneficiary Reverse of Atternation	
Date	dd / mm / yyyy	Power of Attorney (for the sale of Joint Securities only)	

Section		enait of a Deceased Estate
	Administrator 3 If person acting on behalf of the deceased individual	Phone number
T T		Country code / area code / number
		Coding code / area code / number
Residential	address (Do not use a PO Box or C/- Address)	
Address	ine 1	
A di dina a a		
Address		
	Identification documents – of the perso	
	plete either Option 1 or Option 2 and attach the applicable document(s). Please <u>DO NO</u> uments. Documents will not be returned.	$\underline{ extbf{T}}$ attach original documents. Send only certified copi
•	- Please attach at least 1 document	
Tick ✓ 1	Primary photographic identity document	
IICK 7 I	Drivers Licence	
	Australian Passport (current or expired in the last 2 years)	
	International Travel Document – foreign passport	
	Proof of Age Card	
	National Identity Card	
OR Ontio	n 2 – Please attach at least 1 primary non-photographic document <u>and</u> 1 second	lary non-photographic document
Tick √ 1	Primary non-photographic identity document;	, p
	Australian Birth Certificate or Extract of Birth	
	Australian Citizenship Certificate	
	Foreign Citizenship Certificate	
	Foreign Birth Certificate	
	A Centrelink Pension card or Centrelink Healthcare card	
Tick √ 1	Secondary non-photographic identity document	
	A financial benefit notice issued by the Commonwealth, State or Territory within the I	ast 12 months
	An income tax assessment notice issued within the last 12 months	
	A local government notice (e.g. council rates) or utilities notice (e.g. power, gas or ph	one bill) issued within the last 3 months
	In relation to a minor (under 18 years of age) a notice issued by a school principal wit	thin the last 3 months
	All foreign language documents must be accompanied by an English translatio	n prepared by an accredited translator
	Authorisation – In relation to the person authorised to a	act for the Deceased Investor
lease DO	NOT attach original documents. Send only certified copies of original documents. Docum	nents will not be returned.
Tick ✓		
IICK ·	Grant of Probate	
	Letters of Administration	
	Will	
	Statutory Declaration – Next of Kin	
	Power of Attorney – To be provided only where a joint surviving holder of the joint ho	Iding has given a Power of Attorney
	10 be provided only whole a joint out wring holder of the joint he	iding had given a 1 even of 7 memby
	Proof of Identity and Authorisation to Act on the Dec	eased Investors Behalf
	e attached a certified copy of my drivers licence, passport or other photo Id which ms my details above and contains my signature; and	Surviving joint holder (for the sale of securities only)
I have	e attached a certified copy of my authorisation to Act on behalf of the Deceased dual (tick from the list over page); and	Next of Kin
I have	e attached a certified copy of the death certificate	Executor/Administrator
Signature		Beneficiary
Date	dd / mm / yyyy	Power of Attorney (for the sale of Joint Securities only