

Memorandum of Transfer Form



Australian Unity Investment Bonds

This Form is used to change ownership of an investor on an existing investment. If clients are over the age of 16 they can transfer (or assign) the ownership of their investment at any time by completing this Form. Stamp duty may apply, please contact the Investor Services Team on 1300 1300 38 to find out more.

Ownership can be assigned to another person, the trustee of a family trust, or to a company.

Please **PRINT** clearly in **BLACK or BLUE** pen keeping well within the boxes. Use crosses in the boxes marked with an "X".

1. Investor Details

Investment fund

Policy number

Date of transfer / /

Current Investor 1

Title Mr Mrs Ms Miss Date of birth / /

Surname

Given name(s)

Residential address (not a PO Box)

Suburb State

Postcode Country

Phone Mobile

Email

Current Investor 2 (in case of joint ownership)

Title Mr Mrs Ms Miss Date of birth / /

Surname

Given name(s)

Residential address (not a PO Box)

Suburb

Postcode Country

Phone Mobile

Email

2. Authority

I hereby transfer my right and title interest in the Investment Fund to the transferee listed below.

Investor 1 signature

Name of Investor 1

Date / /

Signature of Witness (must be an adult, not a transferor)

Date / /

Investor 2 signature

Name of Investor 2

Date / /

Signature of Witness (must be an adult, not a transferor)

Date / /

3. Transferee(s)

Your personal information will be collected, used and disclosed by us in accordance with our Privacy Policy and in accordance with the law. You can obtain a copy of our Privacy Policy via our website australianunity.com.au/privacy-policy or by telephone 1300 1300 38.

Transferee 1

Title Mr Mrs Ms Miss Date of birth / /

Surname

Given name(s)

Residential address (not a PO Box)

Suburb State

Postcode Country

Phone Mobile

Email

Are you a US citizen or US tax resident? Yes No If Yes, please provide your Taxpayer Identification Number (TIN):

Source of investment funds - Please identify the source of your investable assets or wealth:

Gainful employment Inheritance/gift Business activity Superannuation savings
 Financial investments Other, please specify

Are you a Politically Exposed Person? Yes No

Life insured Yes No

3. Transferee(s) continued

Transferee 2

Title Mr Mrs Ms Miss Date of birth / /

Surname

Given name(s)

Residential address (not a PO Box)

Suburb State

Postcode Country

Phone Mobile

Email

Are you a US citizen or US tax resident? Yes No If Yes, please provide your Taxpayer Identification Number (TIN):

Source of investment funds - Please identify the source of your investable assets or wealth:

Gainful employment Inheritance/gift Business activity Superannuation savings

Financial investments Other, please specify

Are you a Politically Exposed Person? Yes No

Life insured Yes No

* **Note:** If you wish to nominate a beneficiary, you must also be the Life insured. For joint applications, all joint investors must be the Lives insured. In these circumstances, payment to the beneficiary will only occur upon the death of the last surviving Life insured.

Company, Trust and other Investors

Name of company/trust/ other investors

ABN

Contact person

4. Authority and Signature(s) of Transferee

I hereby accept transfer of the aforementioned Investment Fund into my name to the extent contained within this memorandum and agree to be bound by the rules of the Fund.

Transferee 1 signature

Name of Transferee 1

Date / /

Signature of Witness (must be an adult, not a transferor)

Date / /

Transferee 2 signature

Name of Transferee 2

Date / /

Signature of Witness (must be an adult, not a transferor)

Date / /

OFFICE USE ONLY

Signature of authorised
Officer of the Society

Date / /



Return by post

(together with any identification documents where relevant)

Australian Unity - Investment bonds, Reply Paid 89, Adelaide SA 5001
(no stamp required if mailed in Australia)

If posting from outside of Australia, please send to:


Head Office: 114 Albert Road, South Melbourne VIC 3205




Fax


1800 804 890


Contact us


 Australian Unity
114 Albert Road, South Melbourne VIC 3205

 australianunity.com.au/wealth


Investor Services


 enquiries@australianunity.com.au


 1300 1300 38

 1800 804 890

Adviser Services

 investmentbonds@australianunity.com.au

 1300 133 285

 1800 804 890

Identification Document

If your financial adviser is assisting with your transfer they will assist you in providing the necessary identification documents.

The following identification documents are required if you are submitting your transfer directly, without the assistance of a financial adviser.

Type of investor	Your account must be in the name of:	Signature(s) required	Identification documents required (in support of the Application Form)
Individual account	The applicant, e.g. Jane Citizen	The applicant's	<p>Original certified copy of any of the following that identify your (the applicant's) full name, date of birth and/or residential address:</p> <ul style="list-style-type: none"> • Driver Licence; or • Passport containing photo identification.
Joint account	Both or all joint applicants, e.g. Jane Citizen & John Citizen	All joint applicants'	
Partnership	All partners, e.g. Jane Citizen & John Citizen	All partners	<ul style="list-style-type: none"> • Original certified copy or certified extract of a partnership agreement; and • Original certified copy or certified extract of minutes of meeting. <p>For an individual partner, please provide the same type of information requested for an Individual account (referred to as Partnership – Individual).</p> <p>For a corporate partner, please provide the same type of information requested for a Company (referred to as Partnership – Corporate).</p>
Company	The name of the company, e.g. Sample Company Pty Ltd.	Two directors; or a director and a company secretary or if there is only one director, by that director	<ul style="list-style-type: none"> • Copy of the Certificate of Registration/Incorporation confirming the company's name, identification number and whether the company is a public or proprietary company. <p>For each director and/or secretary, please provide the same type of information requested for an Individual account.</p>
Superannuation fund	The trustee(s) of the fund and not the name of the Super Fund, e.g. ABC Trustees ATF Jane Citizen Super Fund	The trustee(s), 'as trustees(s) for...'	<ul style="list-style-type: none"> • Original certified copy of first page and schedule of the Trust Deed. <p>For each trustee, please provide the same type of information requested for an Individual account.</p>
Trust	The trustee(s) of the Trust and not the name of the Trust, e.g. ABC Trustees ATF Jane Citizen Trust		<p>For corporate trustees, please provide the same type of information requested for a Company.</p>
Estate	The executors of the estate, e.g. Estate of the late Jane Citizen	The executor(s)	<ul style="list-style-type: none"> • Original certified copy of the grant of probate or Letters of Administration; or • Death Certificate. <p>For each executor, please provide the same type of information requested for an Individual account.</p>
Minor (a person under 18 years of age)	The adult's name in trust for the minor's name, e.g. Jane Citizen ITF John Citizen Jr.	All adults investing on behalf of the minor	<ul style="list-style-type: none"> • Original certified copy of birth certificate or birth extract of the minor. <p>For adults please provide the same type of information requested for an Individual account.</p>

Identification Document

Anti-money laundering

Anti-money laundering legislation helps combat money laundering and financing terrorism.

If your financial adviser is assisting with your transfer they will assist you in providing the necessary identification documents prior to submitting the transfer.

If you are submitting your transfer directly (without the assistance of a financial adviser), please refer below to the information that should be provided with your transfer Form.

We need to identify the underlying owner of each investment. For example, a private company will need to provide supporting documentation to identify their directors and shareholders as well as the usual account opening information.

If you are an existing investor with Lifeplan and are making an additional investment using the same investor name, then you are not required to provide us with the required identification documents. However, we may, at our discretion, request these documents from you in an effort to comply with the anti-money laundering legislation.

Submitting your transfer Form without the assistance of a financial adviser

If you are submitting the Memorandum of Transfer Form directly, without having consulted with a financial adviser, you must submit certified copies of your identification documents with the Form.

Certification of documents

Where your identification documents need to be certified, we suggest that the person certifying the document(s) for you use the following statement on the copy being certified:

'I certify this to be a true copy of [name of document], of [name of investor], the original of which was produced to me at the time of signing'.

The document must also be dated, and have the signature, printed name, occupation, employer and address of the person certifying the document.

Persons who may certify copies of original documents include:

- Officer with or authorised representative by an Australian Financial Services licence holder with two or more years of continuous service with one or more licensees
- Chartered Accountant, CPA or member of the National Institute of Accountants with two or more years of continuous membership
- Officer of a financial institution or finance company with two or more years of continuous service with one or more institutions or companies
- Permanent employee of the Australian Postal corporation with two or more years of continuous service, or someone who operates as an agent of the Australian Postal Corporation
- Police Officer
- A person who, under the law in force in a state or territory, is currently licensed or registered to practice as a: chiropractor, dentist, legal practitioner, medical practitioner, nurse, optometrist, pharmacist, physiotherapist, psychologist or veterinary surgeon
- Lawyer, magistrate, registrar of a Court, Justice of the Peace
- Notary Public (including persons authorised as a notary public in a foreign country).

A complete list of persons who may certify documents can be obtained from our website australianunity.com.au/wealth or by contacting us on 1300 1300 38.