

# Memorandum of Transfer Form

22 January 2021

## 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	<input type="text"/>
Policy number	<input type="text"/>
Date of transfer	<input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

### Current Investor 1

Title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss	Date of birth	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Surname	<input type="text"/>		
Given name(s)	<input type="text"/>		
Residential address (not a PO Box)	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/> <input type="text"/> <input type="text"/>
Postcode	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Country	<input type="text"/>
Phone (after hours)	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Mobile	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>
Email	<input type="text"/>		

### Current Investor 2 (in case of joint ownership)

Title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss	Date of birth	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Surname	<input type="text"/>		
Given name(s)	<input type="text"/>		
Residential address (not a PO Box)	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/> <input type="text"/> <input type="text"/>
Postcode	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Country	<input type="text"/>
Phone (after hours)	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Mobile	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>
Email	<input type="text"/>		

## 2. Authority

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

### Investor 1 signature

Investor 1 Surname

Investor 1 Given name(s)

Date / /

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

Date / /

### Investor 2 signature

Investor 2 Surname

Investor 2 Given name(s)

Date / /

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

Date / /

## 3. Transferee

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](http://australianunity.com.au/privacy-policy) or by phone 1300 1300 38.

### Transferee 1

Title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss	Date of birth	<input type="text"/> / <input type="text"/> / <input type="text"/>
Surname	<input type="text"/>		
Given name(s)	<input type="text"/>		
Residential address (not a PO Box)	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/>
Postcode	<input type="text"/>	Country	<input type="text"/>
Phone (after hours)	<input type="text"/> - <input type="text"/> - <input type="text"/>	Mobile	<input type="text"/> - <input type="text"/> - <input type="text"/>
Email	<input type="text"/>		

Tax Residency rules differ by country. Whether you are a tax resident of a particular country is often (but not always) based on the amount of time you spend in a country, the location of your residence or place of work. For the US, tax residency can be a result of citizenship or residency.

If you have questions on how to define your tax residency status, please visit the OECD website ([oecd.org](http://oecd.org)) or speak to a professional tax adviser as we are not allowed to give tax advice.

Are you a tax resident of Australia?  Yes  No

Are you a tax resident in a country other than Australia?  Yes  No

Tax regulations require Australian Unity to establish the tax residency of investors. t/here if you answered 'Yes' to being a tax resident of a country other than Australia, you must complete the Tax Residency Information Form available at [australianunity.com.au/wealth/TRIF](http://australianunity.com.au/wealth/TRIF) and submit it with your application. Units cannot be issued to you until you have provided a complete Tax Residency Information Form.

Is the minor a Politically Exposed Person?  Yes  No

Please identify the minor's source of investable assets or wealth

<input type="checkbox"/> Gainful employment	<input type="checkbox"/> Inheritance/gift	<input type="checkbox"/> Financial investments
<input type="checkbox"/> Business activity	<input type="checkbox"/> Superannuation savings	<input type="checkbox"/> Other – please specify

**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 (after hours)   -     -     Mobile     -

Email

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<input type="checkbox"/> Business activity	<input type="checkbox"/> Superannuation savings	<input type="checkbox"/> Other – please specify

#### 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

Transferee 1 Surname

Transferee 1 Given name(s)

Date   /   /

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

Date   /   /

##### Transferee 2 signature

Transferee 2 Surname

Transferee 2 Given name(s)

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

Send completed form together with relevant identification documents.

#### Posting from within Australia:

Australian Unity – Investment bonds  
Reply Paid 89,  
Adelaide SA 5001

(No stamp required if mailed in Australia)

#### Posting from outside Australia:

Australian Unity – Head Office  
271 Spring Street,  
MELBOURNE VIC 3000

### Contact us

#### Australian Unity

271 Spring Street,  
MELBOURNE VIC 3000

#### Investor Services

E [enquiries@australianunity.com.au](mailto:enquiries@australianunity.com.au)  
T 1300 1300 38

#### Adviser Services

E [investmentbonds@australianunity.com.au](mailto:investmentbonds@australianunity.com.au)  
T 1300 133 285

Type of investor	Your account must be in the name of	Signature(s) required	Identification documents required (in support of the Application Form)
<b>Individual account</b>	The applicant, e.g. Jane Citizen	The applicant's	Original certified copy of any of the following that identify your (the applicant's) full name, date of birth and/or residential address:
<b>Joint account</b>	Both or all joint applicants, e.g. Jane Citizen & John Citizen.	All joint applicants'	<ul style="list-style-type: none"> <li>• Driver Licence; or</li> <li>• Passport containing photo identification.</li> </ul>
<b>Partnership</b>	All partners, e.g. Jane Citizen & John Citizen	All partners	<ul style="list-style-type: none"> <li>• Original certified copy or certified extract of a partnership agreement; and</li> <li>• Original certified copy or certified extract of minutes of meeting.</li> </ul> <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>
<b>Superannuation fund</b>	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...'	Original certified copy of first page and schedule of the Trust Deed.
<b>Trust</b>	The trustee(s) of the Trust and not the name of the Trust, e.g. ABC Trustees ATF Jane Citizen Trust		For each trustee, please provide the same type of information requested for an Individual account.
<b>Estate</b>	The executors of the estate, e.g. Estate of the late Jane Citizen	The executor(s)	<ul style="list-style-type: none"> <li>• Original certified copy of the grant of probate or Letters of Administration; or</li> <li>• Death Certificate.</li> </ul>
<b>Minor (a person under 18 years of age)</b>	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	<p>For each executor, please provide the same type of information requested for an Individual account.</p> <ul style="list-style-type: none"> <li>• Original certified copy of birth certificate or birth extract of the minor.</li> </ul> <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](http://australianunity.com.au).