



## **CERTIFIED DOCUMENTS**

All documents supplied must be certified by an approved certifier as per the current list of approved certifiers (preferably using the certification below), they must be dated within the last 3 months & must have an original signature so they cannot be faxed or emailed.

*"I certify that this is a true and correct copy of the original, which I have sighted.*

*[Signature]*

*[Insert full name, occupation which entitles you to certify, and date]"*

## **JOINT HOLDINGS**

Upon receipt of a Death Certificate or Probate, we can transfer all joint holdings into a new account opened in the survivor's name.

## **WHEN PROBATE OR LETTERS OF ADMINISTRATION ARE GRANTED**

We require a certified copy of the Probate or Letters of Administration, together with a certified copy of all the Executors/Administrators Driver's Licences.

If the shares are to be sold we require a letter signed by the executors instructing us to sell the shares and where to send the sale proceeds.

If the shares are Issuer Sponsored we will require either a copy of a shareholder statement from the Share Registry or if they are unavailable the Shareholder Reference Number (SRN) for each holding together with details of the address the shares were registered at.

If the shares are to be transferred we will require Off Market Transfer forms for each shareholding, signed by the executors as the seller and signed by the beneficiaries as the buyer. The cost to transfer shares is \$44.00 (GST Incl) per transfer.

Issuer Sponsored transfers can only be processed if they are being transferred onto a HIN that we control therefore if they are being transferred to another Issuer Sponsored holding, they must be done by the Share Registry.

## **SMALL OR INTESTATE ESTATES**

Small estate are considered to be individual shareholdings in a single company of no more than \$25,000 or combined shareholdings of no more than \$50,000.

We require a signed Small Estate Indemnity form completed for each security together with a certified copy of the Death Certificate and certified copies of the Drivers Licence of the next of kin that signs the form. We also require a signed letter of instruction from the next of kin telling us to sell the shares and where to send the sale proceeds.

As different Share Registries require different forms to be completed, please call this office to confirm which forms are necessary.

All necessary forms are found in the "Forms" section of our website.