

Memorandum of Transfer Form

March 2021

Platinum Investment Bond

This Form is used to change ownership of an investor on an existing investment. If clients are 16 years or over 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 **1800 670 638** to find out more.

Ownership can be assigned to another person, the trustee of a family trust, or to a company. If you are transferring to or from a company please contact the Investor Services Team for further instructions.

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" value="DD/MM/YYYY"/>

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" value="DD/MM/YYYY"/>
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" value="AA"/>
Postcode	<input type="text" value="AAAA"/>	Country	<input type="text"/>
Phone (after hours)	<input type="text" value="AA-AA-AA-AA"/>	Mobile	<input type="text" value="AA-AA-AA-AA"/>
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" value="DD/MM/YYYY"/>
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" value="AA"/>
Postcode	<input type="text" value="AAAA"/>	Country	<input type="text"/>
Phone (after hours)	<input type="text" value="AA-AA-AA-AA"/>	Mobile	<input type="text" value="AA-AA-AA-AA"/>
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 / /

Investor 2 signature

Investor 2 Surname

Investor 2 Given name(s)

Date / /

3. Transferee

Your personal information will be collected, used and disclosed by us in accordance with our Privacy Policies and in accordance with the law. For more information, and to obtain a copy of the Privacy Policies, please refer to the 'Providing your Information' document at australianunity.com.au/platinum/providingyourinformation, or call Australian Unity on 1800 670 638.

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"/> <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"/>
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) 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. 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/platinum and submit it with your application. Units cannot be issued to you until you have provided a completed Tax Residency Information Form.

Are you a Politically Exposed Person? ☐ Yes ☐ No

Please identify the source of your investable assets or wealth

☐ Gainful employment

☐ Inheritance/gift

☐ Financial investments

☐ Business activity

☐ Superannuation savings

☐ Other – please specify

Transferee 2

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"/>												
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"/>	
Email	<input type="text"/>																						

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If you have questions on how to define your tax residency status, please visit the OECD website (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. 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/platinum and submit it with your application. Units cannot be issued to you until you have provided a completed Tax Residency Information Form.

Are you a Politically Exposed Person? ☐ Yes ☐ No

Please identify the source of your investable assets or wealth

☐ Gainful employment

☐ Inheritance/gift

☐ Financial investments

☐ Business activity

☐ Superannuation savings

☐ 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

X

Transferee 1 Surname

Transferee 1 Given name(s)

Date / /

Transferee 2 signature

X

Transferee 2 Surname

Transferee 2 Given name(s)

Date / /

OFFICE USE ONLY

Signature of authorised
Officer of the Society

X

Date / /

Return by email

Send completed form together with identification documents where relevant.

platinuminvestmentbond@australianunity.com.au

Contact us

Australian Unity
Investment Bonds
GPO Box 4397
Melbourne VIC 3001
australianunity.com.au/platinum

Investor Services

platinuminvestmentbond@australianunity.com.au
1800 670 638

Adviser Services

investmentbonds@australianunity.com.au
1300 133 285

Type of investor	Your account must be in the name of	ABN or ARSN (if applicable)	Signature(s) required	Identification documents required (in support of the Application Form)
Individual account	The applicant, e.g. Jane Citizen	N/A	The applicant's	<p>An original OR a certified copy OR a copy of a certified copy of any of the following that identify your (the applicant's) full name and either date of birth and/or residential address:</p> <ul style="list-style-type: none"> • Driver Licence; or • Passport containing photo identification. <p>Applicable to foreign individual accounts only:</p> <ul style="list-style-type: none"> • In addition to the identification documents outlined above, a foreign individual who wishes to establish a relationship must also provide evidence of a current visa with working rights.
Joint account	Both or all joint applicants, e.g. Jane Citizen & John Citizen.	N/A	All joint applicants	
Partnership	Registered business name of partnership (if applicable) or full name of the partnership	N/A	As required under the partnership agreement	<p>Please provide at least one of the following three documents:</p> <ul style="list-style-type: none"> • An original OR a certified copy OR a copy of a certified copy OR a certified extract OR a copy of a certified extract of a partnership agreement; and/or • An original OR a certified copy OR a copy of a certified copy OR a certified extract OR a copy of a certified extract of minutes of meeting; and/or • A relevant ASIC company search/extract showing registered business name, number and address. This document should also list the full name of each Partner (not required if the regulated status of the partnership is confirmed by referring to a current membership directory of the relevant professional association). <p>If the Partner is a company, please provide the same type of information requested for a Company account. For each Director and/or company secretary, please provide the same type of information requested for an Individual account.</p> <p>If the Partnership is not regulated by a professional association, for each Partner please provide:</p> <ol style="list-style-type: none"> 1) the same type of information requested for an Individual account (e.g. full name, date of birth and residential address); 2) the respective share of the partner in the partnership; and 3) the business activity of the partnership. <p>If the Partnership is regulated by a professional association, identification documents are only required for a minimum of one Partner. Please provide the same type of information requested for an Individual account. Please also provide:</p> <ol style="list-style-type: none"> 1) the name of the professional association; and 2) relevant membership details (e.g. account name and membership number).
Company	The name of the company e.g. Sample Company Pty Ltd	The company's	Two directors; or a director and a company secretary or if there is only one director, by that director	<p>Please provide at least one of the following two documents:</p> <ul style="list-style-type: none"> • An original OR a certified copy OR a copy of a certified copy of the Certificate of Registration/Incorporation (or similar) document confirming the company's name, registered business number and whether the company is a public or proprietary company; and/or • An original OR a certified copy OR a copy of a certified copy OR a certified extract OR a copy of a certified extract of minutes of meeting. <p>For each director and/or company secretary, please provide the same type of information requested for an Individual account.</p> <p>Note: Where the company is an Australian listed public company, a majority owned subsidiary of an Australian listed public company or is licensed and subject to Commonwealth, state or territory regulatory oversight in relation to its activities as a company, Company documents are not required (unless in circumstances where the documents are not publicly available for us to verify).</p>
Unregulated Trust	The trustee(s) of the Trust or Trust e.g. ABC Trustees ATF for the Citizen Family Trust or Citizen Family Trust	N/A	The trustee(s), 'as trustee(s) for...'	<ul style="list-style-type: none"> • An original OR a certified copy OR a copy of a certified copy of the first page and schedule of the Trust Deed. • For each trustee, please provide the same type of information for an Individual account. <p>For Corporate Trustees, please provide the same identification documents and information requested for a Company.</p> <p>For Directors, please provide the same type of documents and information requested for an Individual account.</p> <p>For Settlor of the unregulated trust please provide full name and identification documents as requested for an Individual account unless:</p> <ol style="list-style-type: none"> (i) the material asset contribution by the settlor at the time the trust is established is less than \$10,000; or (ii) the settlor is deceased.
Estate	The executor(s) of the estate e.g. Estate of the late Jane Citizen.	The deceased person's	The executor(s) or administrator(s)	<ul style="list-style-type: none"> • An original OR a certified copy OR a copy of a certified copy of the grant of probate or Letters of Administration; or • Death Certificate. <p>For each executor, please provide the same identification documents and information requested for an Individual account.</p>

Identification documents

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 australianunity.com.au/platinum.