

What you need to know

- Use this form to sell shares on behalf of a deceased estate.

Sell some or all of the broker sponsored holdings held on the trading account for the estate.

If your holding statement begins with the letter 'X' your shares are broker sponsored.

If CommSec is not the sponsoring broker, you will need to sell them through the original broker or transfer your shares to us by opening a CommSec trading account.

New trustees that are acting to finalise a trust account must have a CommBank (CBA) profile for identification purposes.

- The personal and contact details provided on this form **must** match your existing CBA profile.
- Brokerage rates apply. You can locate the CommSec Financial Services Guide (FSG) at on the CommSec website by navigating to Support > Forms and Brochures > Shares > Financial Services Guide (FSG).

i Correction fluid cannot be used on this form.

Important Information

Use this form if you are an existing CommSec or CBA customer to place a trade for a deceased estate.

- Executor 1 will be the primary contact. For identification purposes the personal and contact details provided on this form **MUST** match your existing identification details provided.
- The brokerage charged per trade is as follows:
 - \$59.95 (Up to and including \$10,000)
 - 0.52% (Over \$10,000 up to \$25,000 (inclusive))
 - 0.49% (Over \$25,000 up to \$1,000,000 (inclusive))
 - 0.11% (Over \$1,000,000)

Deceased Trade Form Instructions

How it works

If your holding statement begins with the letter 'X', your shares are broker sponsored. If CommSec is not the sponsoring broker, you will need to sell them through the original Broker or transfer your shares to us by opening a CommSec trading estate trust account.

Supporting Documentation

The following documentation is required:

If the value of the shares that belong to the estate is less than \$100,000:

- Certified copy of Death Certificate **AND**
- Certified copy of Last Will and Testament **AND**
- Small Estate Indemnity form **AND**
- Executor Administrator Authority form

If the value of the shares that belong to the estate is \$100,000 or greater:

- Certified copy of Probate **AND**
- Executor Administrator Authority form

Next steps

Once all the details are verified, the shares will be sold at the prevailing market price within 3 business days.

Payment can only be made by electronic funds transfer. Please allow up to 3 business days after the shares have been sold to process your payment.

How to correctly certify documents

Each certified photocopy/s must include the statement (or similar wording):

'I certify that this is a true copy of the original document'.

The certifier must include their full name, signature, date and qualification or occupation which make them eligible.

Best Execution Client Disclosure

Before you submit your Deceased Estate Trade form, ensure you review the CommSec Best Execution Client Disclosure document on the CommSec website.

General advice warning

Read and accept the Share Trading Terms and Conditions available to download from the CommSec website. This form has been prepared without taking account of the objectives, financial situation or needs of any particular individual. For this reason, any individual should, before acting on the information in this form, consider the appropriateness of the information, having regard to the individual's objectives, financial situation and needs and, if necessary, seek professional advice.

Privacy statement

CommSec is collecting your personal information in connection with executing your trade transaction. For details of CommSec's privacy and information handling practices, including how you may access your information, seek correction of that information and how you may lodge a complaint, please refer to our Privacy Policy which is available at the CommSec website.

1. Executor/Trustee Details

Executor/Trustee 1 – Primary contact

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name Middle name/s Surname Date of birth – DD / MM / YYYY / /

Other name/s commonly known by – *If applicable* Male Female

Street address – *Cannot be a PO Box*

Suburb State Postcode Country

Email address* Contact number

*If you would like an electronic copy of your trade confirmation you must provide your email address.

Executor/Trustee 2

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name Middle name/s Surname Date of birth – DD / MM / YYYY / /

Other name/s commonly known by – *If applicable* Male Female

Street address – *Cannot be a PO Box*

Suburb State Postcode Country

Email address Contact number

Executor/Trustee 3

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name Middle name/s Surname Date of birth – DD / MM / YYYY / /

Other name/s commonly known by – *If applicable* Male Female

Street address – *Cannot be a PO Box*

Suburb State Postcode Country

Email address Contact number

2. Sale and Distribution

Estate Details

Registered name – *As listed on trading account*

Registered address – *As listed on trading account*

Suburb

State

Postcode

Country

CommSec account number

Holder Identification Number (HIN)

Complete ONE of the following options:

Option A – Sell **all** broker sponsored shares on the account:

Option B – Sell only the following shares:

Name of shares - *eg TLS, CBA, IAG*

Number of units to be sold

Name of shares - <i>eg TLS, CBA, IAG</i>	Number of units to be sold
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
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Nominated Bank Account – *(for proceeds of sale)*

Name of financial institution or bank at which your account is held

Registered name of bank account – *e.g. John Smith*

Bank State Branch (BSB)

Account number

3. Declaration & Signature/s

By signing this document:

- I/We instruct CommSec to sell the above mentioned securities at the prevailing market price as soon as practicable.
- I/We have downloaded, read and accepted the CommSec Trading Terms and Conditions and the Financial Services Guide from the CommSec website.

Executor/Trustee 1

Full name

Date signed – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

Executor/Trustee 2

Full name

Date signed – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

Executor/Trustee 3

Full name

Date signed – DD / MM / YYYY

 / /


Signature – *Must be signed pen to paper*

Commonwealth Securities Limited ABN 60 067 254 399 AFSL 238814 (CommSec) is a wholly owned but non-guaranteed subsidiary of the Commonwealth Bank of Australia ABN 48 123 123 124 AFSL 234945. CommSec is a Market Participant of ASX Limited and Cboe Australia Pty Limited, a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited.

How to submit your documents

Once completed and signed, email or send the form and relevant supporting documentation to

✉ CommsecEstatesManagement@cba.com.au
☎ 13 15 19

 **CommSec**
Locked Bag 22,
Australia Square, NSW 1215