

i This form uses JavaScript for optimal performance. Please ensure you have this enabled if completing electronically. Refer to the end of this document for [submission instructions](#).

What you need to know

- All fields on this form are mandatory.
- This form is used to formally notify us of a customer's death.
- It is also used to formally appoint an authorised representative (executor/administrator/solicitor/trustee of an estate) to manage the account/s of a customer, after they pass away. Any property belonging to someone who has passed away is known as a 'deceased estate' or just 'estate'.
- One form is to be completed for each appointed executor/administrator/trustee as named in the Last Will and Testament or Probate/ Letters of Administration.
- If you are a solicitor representing the executors, you must also email us a signed letter of engagement.
- Once we receive the below documentation, we will provide the portfolio statement and historical transaction summary. This will detail the holdings within the account/s, to help you decide what to do next.

Complete the following forms

Share Trading and Margin Lending Accounts

The below table outlines the requirements for CommSec Share Trading and Margin Lending accounts based on the different account types and the value of the estate:

Account type	Forms to complete	Required documentation
Individual – e.g. John Smith	<input type="checkbox"/> Executor/Administrator/Trustee Authority form (per executor) Please refer to the Estate Management Disbursement form for instructions. To download this form, visit our website and navigate to Estate Management.	<p>If the holdings value is less than \$50,000, complete: If a certified copy of the Probate/Letter of Administration is provided, the below three points are not required.</p> <input type="checkbox"/> Certified copy of the Death Certificate and <input type="checkbox"/> Certified copy of the Last Will and Testament <input type="checkbox"/> Small Estate Indemnity form (Page 3 and 4 of the Estate Management Disbursement Form*)
		<p>If the holdings are \$50,000 or greater</p> <input type="checkbox"/> Certified copy of a Probate/Letter of Administration
Joint – e.g. John Smith & Mary Smith	N/A – Upon receiving the required documentation, we will automatically transfer all joint shareholdings (if any) to an existing account or create a new account for the surviving account holder. The joint account will be closed.	<input type="radio"/> Certified copy of Death Certificate or <input type="radio"/> Certified copy of Probate/Letter of Administration
Formal Trust (Family or SMSF Trust) – e.g. John Smith & Mary Smith <Smith Family S/F A/C>	<input type="checkbox"/> Executor/Administrator/Trustee Authority Form (per new trustee) Please refer to the Estate Management Disbursement form for instructions. To download this form, visit our website and navigate to Estate Management. This form details the process on either continuing the trust by appointing new trustees or dissolving i.e. winding down the trust.	<input type="radio"/> Certified copy of Death Certificate or <input type="radio"/> Certified copy of Probate/Letter of Administration
International Trading Account	<input type="checkbox"/> Executor/Administrator Authority form (per executor)	<input type="checkbox"/> Certified copy of Probate or Letter of Administration (applicable where no will is provided) or the legal equivalent and <input type="checkbox"/> Certified copy of the Death Certificate

i Under ASX business rules, all CHESS holdings on individual and single trust accounts must be 'locked' on initial notification of a deceased estate. This means shares cannot be transferred or sold until all requirements have been satisfied.
 For informal trusts e.g. trust for minor, follow the individual or joint account type instructions above.

CommSec Estate Account Details

List all CommSec Trading Accounts

Trading account number	Trading account name
<input type="text"/>	<input type="text"/>
Margin loan account number	Borrower name/s – <i>If applicable</i>
<input type="text"/>	<input type="text"/>

Executor/Administrator/Trustee Details

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>

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

Male Female

Address Details

i All contact details below must be of the executor/administrator/trustee.

Residential Address

Street address – *Cannot be a PO Box*

Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>

Country – *If not Australia*

Postal Address If left blank, your residential address will be used.

Street address

Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>

Country – *If not Australia*

Contact Details

Email address

Mobile number	Home number – <i>Optional</i>	Work number – <i>Optional</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Employment Information

i You **must** complete these sections using an approved Job Category and Job Type. For the list of categories and types, see [Appendix 1](#).

Job category	Job type
<input type="text"/>	<input type="text"/>

Identification for Executor/Administrator/Trustee

Please choose one of the two identification options below:

Option 1 – Passport or Australian Driver Licence
Attach a copy of your Passport or Australian Driver Licence (front and back)

Option 2 – No Passport or Australian Driver Licence
For a complete list of acceptable documents, persons allowed to certify and how to certify documents please refer to the [DOCUMENT CERTIFICATION INSTRUCTION](#) booklet.
Please be advised we **ONLY** accept wet ink certified documents via post.

Declaration & Signature/s

I understand, acknowledge and declare that the information I have provided to you on this form is true and correct and the law prohibits the use of false names, as well as the giving or use of false documents in connection with an identification procedure.

CommSec is required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* to collect information about you and verify your identity before CommSec can provide you access to the services or products for which you hold/operate.

I:

- Consent to having electronic identification performed using personal details and identification documents that I have provided, and understand that providing false or misleading information about my identity/s is an offence under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.
- Consent to having my/our personal details and identification documents matched to information held by the issuer or Official Record Holder via third party systems.
- Understand that my personal information will be exchanged with external organisations including: credit reporting agencies, Commonwealth and State government departments, independent and private sector organisations and outsourced providers who coordinate the electronic identification process and who may conduct additional matches against public or proprietary databases.
- As part of the electronic identification process, I permit these external organisations to record, use and disclose my our information in accordance with their own privacy policies and legal obligations. I understand that CommSec and its outsourced providers will access records held about me by these external organisations only for the purpose of matching the identifying information I have chosen to provide.
- Consent to providing my name/s, address/es and date of birth to selected credit reporting agencies to match this information against their records. I understand that this is done only for identity verification purposes as required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.

You do not have to consent to electronic verification. If you do not want to be verified electronically, you have the option of attending a branch to be identified.

Full name

Date Signed – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

- I have an existing CommSec Share Trading Account

Account number

- I have a Commonwealth Bank account

BSB

Account number

Privacy statement

For details of how any personal information you may have provided is handled by us, please refer to our [Group Privacy Statement](#).

Commonwealth Securities Limited (CommSec) ABN 60 067 254 399 AFSL 238814, a Participant of the ASX Group and Cboe Australia (formerly Chi-X Australia).

How to submit your documents

Once completed and signed, email the form and any supporting documentation to:

✉ CommSecEstatesManagement@cba.com.au

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

📞 13 15 19 or +61 2 9115 1417
(outside Australia)

🌐 CommSec.com.au

Job Category and Job Type Classification for Individuals

i The list of eligible Job Category and Job Type for individuals is provided below. Job Categories are in bold with their associated Job Types listed underneath.

Air / Sea Trans Workers

- Air Transport/Support Worker
- Aircraft Pilots
- Stewards
- Other
- Ships Pilots And Crew

Clerks

- Data Processing
- Filing/Mail Sorters
- Receptionists
- Other (Clerks)
- Dispatch/Purchasing
- Numerical/Accounting/Statistics
- Stenographers/Typists

Commonwealth Bank Staff

- Commonwealth Bank Staff

Engineers / Technicians

- Aircraft
- Building Engineer
- Electrical Engineer
- Mechanical
- Architect
- Chemical
- Marine
- Other (Engineers/Technicians)
- Civil

Government Officials

- Ambulance
- Judges/Magistrates/Mediators
- Parliamentarians/Councillors
- Police
- Fire Fighter

Home Duties

- Home Duties

Labourers and Related Workers

- Agricultural Labourers
- Construction
- Farm Hands
- Mining
- Cleaners
- Factory Hands
- Fishing
- Other (Labourers)

Machine Operators / Drivers

- Excavating/Earthmoving
- Rail/Tram/Road
- Stationary Plant/Equipment
- Other Machine Operators
- Mobile Plant/Equipment

Managers

- Farmers And Farm Managers
- Personnel & Industrial Relations
- Production
- Other (Managers)
- Finance
- Sales And Marketing

Medical / Veterinarians

- Dental
- Doctor/General Practitioner
- Nurses
- Occupational Therapists
- Optometrists
- Pharmacists
- Physiotherapists
- Specialist
- Other (Medical/Veterinarians)

Professionals

- Accountants
- Artists
- Computing
- Journalists
- Lawyers
- Minister Of Religion/Social Work
- Personnel
- Public Relations
- Other (Professionals)

Retired

- Independent Means
- Pensioner (Dss)
- Pensioner (Vet Affairs)
- Private Superannuant
- Other (Retired)

Salespersons / Careworkers

- Care Worker
- Cashier/Telling
- Investment/Insurance
- Real Estate
- Sales Assistant
- Sales Representative
- Travel
- Waiters/Waitresses
- Other (Salesperson/Care Workers)

Scientists

- Geologist
- Physicist
- Research Chemist
- Other (Scientists)

Sports Persons

- Sports Persons

Students

- Austudy
- Other (Students)

Teachers / Instructors

- Primary
- Secondary
- Tafe
- University
- Other (Teachers/Instructors)

Tradespersons / Apprentices

- Building
- Electrical
- Food
- Horticultural
- Metal
- Printing
- Vehicle
- Other (Tradesperson/Apprentices)

Other (including unemployed)

- Invalid Pensioner
- Unemployment Benefits
- Other (Unemployed/Other)

How to CERTIFY acceptable identification documentation

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, original signature, qualification or occupation which makes that eligible, date and contact details (phone number).

- A person may not certify their own documents. An applicant cannot certify documents for another applicant.
- Certification of the identification document **must** be within the past 12 months
- See below for a list of persons who are allowed to certify identification.
- Please attach the original certified copy/s of the document/s to your application.

Do not send original documents, or copies of certified copies.

List of eligible persons allowed to certify true copies of identification documents

- Chiropractor
- Dentist
- Legal practitioner
- Medical practitioner
- Nurse
- Optometrist
- Patent attorney
- Pharmacist
- Physiotherapist
- Psychologist
- Trade marks attorney
- Veterinary surgeon
- Person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described)
- An officer with, or authorized representative of, a holder of an Australian financial services licence (AFSL), having 2 or more years of continuous service with one or more licensees
- An officer with, or a credit representative of, a holder of an Australian Credit Licence (ACL), having 2 or more years of continuous service with one or more licencees
- Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955). This includes a person appointed to hold or act in any of the following offices of the Commonwealth (of Australia) in a country or place outside Australia:
 - Consul-General
 - Consul
 - Vice-Consul
 - Trade Representative
 - Consular Agent
- Australian Diplomatic Officer, within the meaning of the Consular Fees Act 1955. This includes a person appointed to hold or act in any of the following offices of the Commonwealth (of Australia) in a country or place outside Australia:
 - Ambassador
 - High Commissioner
 - Head of a Mission
 - Commissioner
 - Charge d'Affaires
 - Counsellor, Secretary or Attache at an Embassy, High Commissioner's office, Legation or similar
- Bailiff
- Bank officer with 2 or more continuous years of service
- Building society officer with 2 or more years of continuous service
- Chief executive officer of a Commonwealth court
- Clerk of a court
- Commissioner for Affidavits
- Commissioner for Declarations
- Credit union officer with 2 or more years of continuous service
- Employee of the Australian Trade Commission who is:
 - in a country or place outside Australia; and
 - authorised under paragraph 3 (d) of the Consular Fees Act 1955; and
 - exercising his or her function in that place
- Employee of the Commonwealth who is:
 - in a country or place outside Australia; and
 - authorised under paragraph 3 (c) of the Consular Fees Act 1955; and
 - exercising his or her function in that place
- Fellow of the National Tax Accountants' Association
- Finance company officer with 2 or more years of continuous service with a finance company
- Holder of a statutory office not specified in another item in this list
- Judge of a court
- Justice of the Peace
- Magistrate
- Marriage celebrant registered under Subdivision C of Division 1 of Part IV of the Marriage Act 1961
- Master of a court
- Member of Chartered Secretaries Australia
- Member of Engineers Australia, other than at the grade of student
- Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the Institute of Public Accountants

- Member of:
 - the Parliament of the Commonwealth; or
 - the Parliament of a State; or
 - a Territory legislature; or
 - a local government authority of a State or Territory
 - Minister of religion registered under Subdivision A of Division 1 of Part IV of the Marriage Act 1961
 - Notary public
 - Permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public
 - Permanent employee of:
 - the Commonwealth or a Commonwealth authority; or
 - a State or Territory or a State or Territory authority; or
 - a local government authority; with 2 or more years of continuous service and the person is not already specified on this list
 - Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made
 - Police officer
 - Registrar, or Deputy Registrar, of a court
 - Senior Executive Service employee of:
 - the Commonwealth or a Commonwealth authority; or
 - a State or Territory or a State or Territory authority
 - Sheriff
 - Sheriff's officer
 - Teacher employed on a full-time basis at a school or tertiary education institution
 - Member of the Australasian Institute of Mining and Metallurgy
- Note:** All documents must be current unless otherwise stated. Please **DO NOT** attach original identification documents. Send only original **CERTIFIED** photocopies of original documents.