

Macquarie Asset Management

Transfer form – Change trustee for a self managed superannuation fund (SMSF)

This form is issued by Macquarie Investment Management Australia Limited (**Macquarie**) ABN 55 092 552 611 AFSL 238321 and Macquarie Specialist Investment Management Limited (**Macquarie**) ABN 84 086 438 995 AFSL 229916, in each case for those Funds for which they act as Responsible Entity or Trustee.

Only applicable to existing Macquarie Asset Management investors

Guide to completing this form

- This form can only be used by existing investors where the trustee is changing from an individual to a company, or a company to an individual, and there are no new individual trustees or directors of the new corporate trustee. It can only be used where the following conditions exist.
 - There are no new beneficial owners of the units in the Fund (that is, the units remain held for the same SMSF as before and the transfer does not involve a change to the beneficiaries of the SMSF).
- For individual trustees, all trustees (or their authorised representatives) must sign the form. Attach a separate page for more than two trustees.
- For corporate trustees, two directors or one director and the company secretary, or the sole director for sole director companies must sign.
- Return the completed form by email or mail, together with a certified copy of proof of the appointment of the new trustee.



Please note all other account details will remain the same, including:

- Tax File Number
- distribution preferences
- correspondence preferences
- annual financial report election
- contact details, and
- adviser details.

If any of your details have changed, please contact us.

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Transferor details

My existing investor number



Your investor number can be located on your statements.



All accounts under this investor number will be updated to reflect the change in trustee of the SMSF.

Full name of SMSF

Provide details of the former individual trustees of the SMSF.

☐ Individual trustee/s

Name of individual trustee 1

Date of birth

/ /

Name of individual trustee 2

Date of birth

/ /

If there are more than two, please provide details (as required above) of additional individual trustees on a separate sheet.

Transferor details (continued)

☐ Corporate trustee

Units in all Funds linked to the investor number referred to in Section 1 of this form will be transferred to the new trustee(s).

Full name of corporate trustee

ACN/ARBN or reason for exemption

Principal place of business (cannot be a PO Box)

Street name and number

Suburb

State

Postcode

Country

Registered address (if different from above)

Street name and number

Suburb

State

Postcode

Country

Postal address

☐ Cross this box if same as 'Principal place of business' ☐ Cross this box if same as 'Registered address'

If different, please complete below.

Street name and number

Suburb

State

Postcode

Country

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Transferee details

Units in all Funds linked to the investor number referred to in Section 1 of this form will be transferred to the new trustee(s).

Provide the details of the new trustee

☐ Individual trustee/s

Name of individual trustee 1

Date of birth

/ /

Name of individual trustee 2

Date of birth

/ /

☐ Corporate trustee

Full name of corporate trustee

ACN/ARBN or reason for exemption

Principal place of business (cannot be a PO Box)

Street name and number

Suburb

State

Postcode

Country

Transferee details (continued)

Registered address (if different from above)

Street name and number	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/>
Country	<input type="text"/>		
Business activity	<input type="text"/>		
Industry	<input type="text"/>		

Postal address

☐ Cross this box if same as 'Principal place of business' ☐ Cross this box if same as 'Registered address'


If different, please complete below.

Street name and number	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/>
Country	<input type="text"/>		

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Nominated bank accounts

Please provide your bank details for redemptions and distributions. A distribution bank account is not required if your distribution preference is currently reinvest. Completing 3B will not update your distribution preference, unless the corresponding box is checked below the bank account.

 **Distribution and redemption proceeds can only be paid into an account with an Australian financial institution. This account must be in the investor's name and therefore must include the name of the trust. Payment to a third party bank account is not permitted.**

A. Payment of redemption proceeds (this is mandatory)

Name of financial institution	
<input type="text"/>	
Branch location	
<input type="text"/>	
Account name	
<input type="text"/>	
Branch number (BSB)	Account number
<input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>

B. Distribution of income

☐ Cross this box if same as nominated redemption bank account details. If different, please complete below.

Name of financial institution	
<input type="text"/>	
Branch location	
<input type="text"/>	
Account name	
<input type="text"/>	
Branch number (BSB)	Account number
<input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>

☐ Tick this box to update your distribution preference to cash.

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Authorised signatories for future transactions

Please complete one of the following:



If no option is nominated, all future written instructions must be executed by all authorised signatories of the investor.

Individual trustees

- ☐ Any one trustee to sign
- ☐ All trustees to sign

Corporate Trustees

- ☐ Any one director to sign
- ☐ Two directors **OR** a director and one company secretary to sign

To appoint a company or individual(s), including financial advisers, to act on your behalf in relation to your Macquarie Asset Management account(s)

- ☐ Complete the 'Appointment of authorised signatories form' which can be found under 'Resources' on our website.

OR

- ☐ Attach an authorised signatories list or a certified copy of a Power of Attorney which has been executed by the investor.

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Transferor and transferee acknowledgements

Transfer

I/We the registered holder and undersigned **Transferor** transfer all of the units in the Fund(s) linked to the investor number referred to in Section 1 of this form to the Transferee named in Section 2 of this form.

Transferee representations

The following representations are given by the **Transferee** in relation to each Fund linked to the investor number referred to in Section 1 of this form.

- i. I/We the undersigned Transferee accept the transfer of units in the Fund(s).
- ii. I/We have received, read and understood the PDS for the Fund (as may be updated from time to time) to which this form relates and agree to be bound by the terms of the PDS.
- iii. I/We agree to be bound by the constitution of the Fund (as amended from time to time).
- iv. I/We will not knowingly do anything to put Macquarie in breach of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth) and related rules (**AML/CTF Laws**). I/We will notify Macquarie if I/we are aware of anything that may put Macquarie in breach of AML/CTF Laws.
- v. If requested, I/we will provide additional information and assistance, and comply with all reasonable requests to facilitate Macquarie's compliance with AML/CTF Laws in Australia or an equivalent overseas jurisdiction.
- vi. I/We undertake that I/we are not aware and have no reason to suspect that:
 - the money used to fund the investment is derived from or related to:
 - money laundering, terrorism financing or similar activities
 - illegal activities, and
 - proceeds of investment made in connection with the Fund will fund illegal activities.
- vii. I/We acknowledge that in certain circumstances, Macquarie may be obliged to freeze or block an account where it is used in connection with illegal activities or suspected illegal activities. I/We further acknowledge that if this occurs, Macquarie will not be liable to me/us for any consequences or losses.
- viii. Macquarie is subject to the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth) (**AML/CTF Laws**). Macquarie may disclose your personal information in connection with AML/CTF Laws. In certain circumstances, Macquarie may be obliged to freeze or block an account where it is used in connection with illegal activities or suspected illegal activities. Freezing or blocking can arise as a result of Macquarie's account monitoring obligations under the AML/CTF Laws.
- ix. I/We confirm that I/we have provided all information required and that the information is accurate, complete and up to date.
- x. I/We confirm that, if I/we have submitted a FSC/FPA Identification Form completed by a financial adviser with this form, I/we have provided all information required in that form and that information is accurate, complete and up to date.
- xi. I/We agree that by providing Macquarie with my/our email address, I/we consent to Macquarie corresponding with me/us via email, unless I/we notify Macquarie otherwise.
- xii. I/We agree to personal information about me/us being collected, used and disclosed in accordance with Macquarie's Privacy Policy (a copy of which is available at macquarie.com/disclosures/privacy-and-cookies.html) and the privacy statement in the Information Booklet, including direct marketing.
- xiii. I/We am/are authorised under the trust deed of the trust to apply for, and hold, units in the Fund. I/We agree that this representation is given by me/us on the date on which I/we sign this form and on each day thereafter until the termination of the Fund and agree to promptly notify Macquarie of any change in circumstances which would cause this representation to become incorrect or misleading.
- xiv. Other than Macquarie Bank Limited ABN 46 008 583 542 (**Macquarie Bank**), any Macquarie Group entity noted in this material is not an authorised deposit-taking institution for the purposes of the Banking Act 1959 (Commonwealth of Australia). The obligations of these other Macquarie Group entities do not represent deposits or other liabilities of Macquarie Bank. Macquarie Bank does not guarantee or otherwise provide assurance in respect of the obligations of these other Macquarie Group entities. In addition, (a) the investor is subject to investment risk including possible delays in repayment and loss of income and principal invested and (b) none of Macquarie Bank, or any other Macquarie Group entity, guarantees any particular rate of return on or the performance of the investment nor do they guarantee repayment of capital in respect of the investment.

Client acknowledgement (continued)

- xv. I/We agree that Macquarie may send notices, communications and disclosures to me/us by post or electronically by email and/or by posting the notice, communication or disclosure on the Macquarie website.
- xvi. I/We agree to access communications, notices and disclosures on the Macquarie website. Communications, notices and disclosures will be taken to have been received by me/us upon posting of the communication, notice or disclosure on the Macquarie website.

Use of email

If I/we submit this form by email, Macquarie may rely on the faxed or emailed form to process the requested change to the holdings of the relevant SMSF of which I have become trustee. For each investment in a Fund, if Macquarie receives instructions by email in relation to my/our investment in the Fund, I/we:

- acknowledge that there is potentially a greater risk that fraudulent instructions can be given by someone who has access to my/our account number and a copy of my/our signature(s) and that I/we accept such risks
- acknowledge that Macquarie may assume that the instruction has been sent, and is authorised, by or on behalf of me/us, and
- release Macquarie from, and indemnify Macquarie against all losses and liabilities arising from any payment or action taken by Macquarie based on any instruction bearing my/our account number and a signature that purports to be mine/ours or that of an authorised signatory on the account, even if such instructions are not authorised (except to the extent that such losses and liabilities directly arise from the negligence or wilful default of Macquarie).

You should read the relevant offer document before signing this form.

Transferor

Authorisation 1

Signature

Date / /

Name

Capacity ☐ Sole Director ☐ Director ☐ Company Secretary
☐ Individual trustee

Authorisation 2

Signature

Date / /

Name

Capacity ☐ Director ☐ Company Secretary
☐ Individual trustee

Transferee

Authorisation 1

Signature

Date / /

Name

Capacity ☐ Sole Director ☐ Director ☐ Company Secretary
☐ Individual trustee

Authorisation 2

Signature

Date / /

Name

Capacity ☐ Director ☐ Company Secretary
☐ Individual trustee

If you are signing on behalf of someone else, please attach evidence of your authority.