

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

- This form is used to formally notify us of a customer's death.
- It is also used to formally appoint an executor/administrator/solicitor to manage the account/s of a customer, after they pass away. Any property belonging to someone who has passed away is known as an 'deceased estate' or just 'estate'.
- 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.	<input type="checkbox"/> Certified copy of the Death Certificate and <input type="checkbox"/> Certified copy of the Last Will and Testament <input type="checkbox"/> Page 3 of the Estate Management Disbursement form If the holdings are \$50,000 or greater Once you have received the portfolio and historical transaction statements from us, also provide: <input type="checkbox"/> Certified copy of a Probate/Letter of Administration (A Probate supersedes the Death Certificate and Last Will)
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

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.

Account type	Forms to complete	Required documentation
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

Where to send this form and supporting documents

You can email this form and the required documents to: commsecestatesmanagement@cba.com.au. For further information relating to Estate Management, visit commsec.com.au and navigate to Estate Management. Alternatively, please call CommSec on **13 15 19** or **+61 2 9115 1417** if calling from outside Australia.

What you need to know

- All fields are mandatory.
- Use this form to appoint an authorised representative i.e. executor, administrator or trustee of an estate to a share trading account.
- 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.

CommSec Estate Account Details

List all CommSec Trading Accounts

Trading account number	Trading account name
<input type="text"/>	<input type="text"/>
Trading account number	Trading account name
<input type="text"/>	<input type="text"/>
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 / /

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

Country – *If not Australia*

Postal Address

Same as residential address

Street address

Suburb State Postcode

Country – *If not Australia*

Contact Details

 Email address

 Mobile number

 Home number – *Optional*

 Work number – *Optional*

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

Executor/Administrator/Trustee Identification

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 with the services or products for which you've applied.

⚠ The proof of identification selected below and the personal details provided on this form must exactly match.

I will attach a clear, legible original certified photocopy of one of the following and consent to the electronic verification to be performed. (Refer to [Appendix 2](#) for list of eligible certifiers)

- Australian Driver Licence (front and back of licence is required) **OR**
- Passport

By selecting this option:

- I consent to having electronic identification performed using personal details and identification documents I have provided, and understand that providing false or misleading information about my identity is an offence under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.
 - I consent to having my personal details and identification documents matched to information held by the issuer or Official Record Holder via third party systems.
 - I 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 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.
 - I consent to providing my name, address 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.

For a complete list of acceptable documents, persons allowed to certify and how to certify documents please refer to the **Document Certification Instructions** booklet available at: https://www2.commsec.com.au/media/68016/formsofid_and_eligiblecertifiers.pdf

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.

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

CommSec is collecting your personal information in connection with your role as an executor/administrator/trustee. For details of CommSec privacy and information handling practices, including how you may access your information, seek correction of that information and how you may complain, please refer to our Privacy Policy which is available at www.commsec.com.au.

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
🌐 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)

Unemployed / Other

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

How to CERTIFY acceptable identification documentation

The certified photocopy must include the statement (or similar wording): *"I certify that this is a true copy of the original document"*

The certifier must also include their full name, original signature, date of certification and qualification or occupation which makes them eligible, on the photocopied ID.

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.