



IOOF

ESSENTIAL INVESTMENT

30 November 2019

Transfer of Assets into IOOF Essential Investment

Please use this form if you want to transfer assets directly into your IOOF Essential Investment (Investment Service) account.

The transfer of assets into the Investment Service can only occur where the beneficial owner remains unchanged. Once the assets are transferred they will be held in the name of Australian Executor Trustees Limited¹ as custodian of the Investment Service on behalf of the beneficial owner. AETL is a related party of the Service Operator and is part of the IOOF group.

You must also complete the following documentation for each asset being transferred:

– In Specie Transfer Unrealised CGT Parcel Information

The In Specie Transfer Unrealised CGT Parcel Information form is used to provide the Service Operator with details of the current tax parcel information for each asset you transfer into the Investment Service. The Service Operator will use the information supplied to establish the cost base of the assets in our registry. The cost base will then be managed by the Service Operator, and used to report on tax events which arise through asset sales, corporate actions and dividend/distribution payments in respect of the assets transferred.

It is your responsibility to ensure the information supplied to the Service Operator is correct and in the prescribed format. If you do not supply these details, or they are not supplied in the prescribed format, your transfer may not be processed.

Alternatively, you can download the In Specie Transfer Unrealised CGT Parcel Information spreadsheet (Excel file) available on our website (www.ioof.com.au), complete and email to www.ioof.com.au/privacy

Please note we will not upload the data you provide in this spreadsheet without receipt of your signed declaration on this form.

– Standard Transfer Form

You must complete and supply to the Service Operator a Standard Transfer Form per asset you wish to transfer into your Investment Service account.

Please complete these instructions in BLACK INK using CAPITAL LETTERS and ✓ boxes where provided. Any personal information provided in this form will be handled in accordance with the Service Operator’s privacy policy, available at www.ioof.com.au/privacy.

Step 1: Client details

Title (Dr/Mr/Mrs/Ms/Miss)

Surname

Given name(s)

Step 2: Transfer details

Please select one.

I am transferring assets into a new account and have attached this form to the completed application form for IOOF Essential Investment.

OR

I am transferring assets into an existing IOOF Essential Investment account.

Account number

Step 3: Details of assets to be transferred

Please detail each asset to be transferred, ensuring all columns are completed.

Where is the asset currently held? (eg ABCWrap, Online broker account, etc)	Asset name	Asset code	Units	Standard Transfer Form supplied (✓)	Unrealised CGT Parcel Information supplied (✓)
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Step 4: Checklist

Before signing the declaration and returning this document to the Service Operator, please check that you have.

Completed the Transfer Of Assets Into IOOF Essential Investment Form.

AND

Completed the In Specie Transfer Unrealised CGT Parcel Information Form(s). **OR** Completed the In Specie Transfer Unrealised CGT Parcel Information spreadsheet and emailed to **clientfirst@ioof.com.au** (please ensure you include 'Unrealised CGT Parcel Information <account no – client name>' in the subject line of the email).

AND

Completed the Standard Transfer Form for each asset.

Step 5: Authorisation and declaration

By signing the declaration below, I:

- a** request all assets detailed in Step 3 be transferred into my IOOF Essential Investment (Investment Service) account.
- b** declare the processing of the transfers requested will not constitute a change of beneficial ownership.
- c** acknowledge any assets transferred into the Investment Service will form part of my account balance. The terms and conditions relating to the ongoing administration of these holdings and associated fees and costs previously agreed in my application for the Investment Service will apply to the transferred assets.
- d** acknowledge that the unrealised CGT parcel information I provide will be used by the Service Operator as a base for future tax reporting supplied by the Investment Service.

Client signature

Date

 / /

Please forward all correspondence and enquiries to

Post IOOF Essential, GPO Box 264 Melbourne VIC 3001
Telephone 1800 913 118

Email clientfirst@ioof.com.au
Web www.ioof.com.au