

2 April 2024

In Specie Transfer Of Assets Into Shadforth Portfolio Service – Investment

Please use this form if you want to transfer assets directly into your Shadforth Portfolio Service – Investment (Investment Service) account.

Once the assets are transferred they will be held in the name of IOOF Investment Services Ltd (IISL)¹ as custodian of the Investment Service on behalf of the beneficial owner. IISL is a related party of the Service Operator and is part of the Insignia Financial Group.

For no change in beneficial ownership transfers, you must also complete the following documentation for each asset being transferred:

In Specie Transfer Unrealised Capital Gains Tax (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. If the information supplied is incorrect, this may result in incorrect Capital Gains Tax being reported in the annual tax statement and annual tax reporting to the Australian Tax Office.

Alternatively, you can download the In Specie Transfer Unrealised CGT Parcel Information spreadsheet (Excel file) available on our website (portfolio.sfg.com.au), complete and email to portfolioservice@sfg.com.au

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.

Step 1: Client details

Account Number (if known)

Account Name

Step 2: Transfer details

Please select one.

I am/We are transferring assets into a new account and have attached this form to the completed application form for Shadforth Portfolio Service – Investment.

OR

I am/We are transferring assets into an existing Shadforth Portfolio Service – Investment account.

Account number

Step 5: Checklist

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

Completed the Transfer Of Assets Into Shadforth Portfolio Service – Investment Form.

AND

Completed the Standard Transfer Form for each asset.

AND

For no change in beneficial ownership transfers only:

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 portfolioservice@sfg.com.au (please ensure you include 'Unrealised CGT Parcel Information <account no – client name>' in the subject line of the email).

Step 6: Authorisation and declaration

The Service Operator collects the information in this form for the purpose of updating the information it holds about you. Any personal information provided in this form will be handled in accordance with the privacy policy available at sfg.com.au/portfolio/privacy.

By signing the declaration below, I/We:

- a request all assets detailed in Step 4 be transferred into the requested Shadforth Portfolio Service – Investment (Investment Service) account.
- b declare that the beneficial ownership declaration selected in Step 3 applies to the transfer of all assets detailed in Step 4.
- c acknowledge any assets transferred into the Investment Service will form part of the account balance. The terms and conditions relating to the ongoing administration of these holdings and associated fees and costs for the Investment Service will apply to the transferred assets.
- d acknowledge that for a no change in beneficial ownership transfer, the unrealised CGT parcel information I/we provide will be used by the Service Operator as a base for future tax reporting supplied by the Investment Service.

Note for Power of Attorney

If this form is signed under Power of Attorney, the Attorney declares that they have not received notice of revocation of that power (a certified copy of the Power of Attorney should be submitted with this form unless we have already received it). You generally cannot sign under Power of Attorney if acting on behalf on entity.

Signature

Signatory 1 Date / /

Role (such as Investor/Director/Trustee as applicable)

Full name

Additional signatures (if required)

Signatory 2 Date / /

Role (such as Investor/Director/Trustee as applicable)

Full name

Signatory 3 Date / /

Role (such as Investor/Director/Trustee as applicable)

Full name

Signatory 4	<input type="text"/>	Date	<input type="text"/>	/	<input type="text"/>	/	<input type="text"/>
Role (such as Investor/Director/Trustee as applicable)	<input type="text"/>						
Full name	<input type="text"/>						
Signatory 5	<input type="text"/>	Date	<input type="text"/>	/	<input type="text"/>	/	<input type="text"/>
Role (such as Investor/Director/Trustee as applicable)	<input type="text"/>						
Full name	<input type="text"/>						
Signatory 6	<input type="text"/>	Date	<input type="text"/>	/	<input type="text"/>	/	<input type="text"/>
Role (such as Investor/Director/Trustee as applicable)	<input type="text"/>						
Full name	<input type="text"/>						
Common seal (of company) if required	<input type="text"/>						

You can forward all correspondence to us via post or email, with the exception of Standard Transfer Forms. We can only accept original Standard Transfer Forms via post.

- Post:** Shadforth Portfolio Service
GPO Box 264, Melbourne VIC 3001
- Email:** portfolioservice@sfg.com.au
- Telephone:** 1800 931 792
- Web:** portfolio.sfg.com.au