Off market transfer

Application form

Use this form to transfer legal ownership of shares or other securities privately through Sharesies Registry, without buying or selling them on a stock exchange.

You'll need a separate form for each issuer and each class of security. Leave blank any section that doesn't apply to your transfer.

Submit your form

BY EMAIL
registry@sharesies.com

BY MAIL
Sharesies Registry
PO Box 6833, Victoria Street West, Auckland 1142

A Security/investment details

Company/Issuer in which the securities are held

Value of the transfer ($ NZD), if applicable

Type and class of security (e.g. fully paid, partly paid, units, options)

Number of securities to transfer, or write ALL

B Seller(s)/transferor(s) details

CSN (or Holder Number)

Mobile number

Other phone number (Optional)

Full name(s) of seller

Unit/Level

Street number

Street name (or PO Box)

Suburb/town/city

Postcode

Country

Email address

If the registered seller has passed away, don't use this form—use the Estate Transfer Form instead. For security purposes we may contact the seller to confirm this transfer. If verification can't be completed, the transfer may be returned with a request for more information.

C Signature of seller(s)/transferor(s)—all must sign

You'll need to get your signature witnessed by an authorised person as part of your application.

How to get your signature witnessed:

1. Take a printout of this form and some photo ID to an authorised person who can watch you sign the form. Don't sign the form beforehand. Most people go to a Justice of the Peace as it's free. On the right are some other options you can use.
2. Get the authorised person to confirm your identity by showing them your ID.
3. Fill out and sign this section in front of the authorised person, and they'll do the same.
4. If you have any documents that need to be certified as true copies as part of this application, you can ask the authorised person to certify them. There's a handy checklist on Page 5 of this form that lists the supporting documentation required.

Authorised persons

- Justice of the Peace (JP)
- registered lawyer in New Zealand
- Notary Public (fees may apply)
- Registrar or Deputy Registrar of the High Court or of any District Court

The authorised person cannot be a buyer, seller, or a person named in this transfer.

If you're signing on behalf of a company, print your name and tick your role. If the company has more than one director, at least two directors must sign.

I/We authorise the transfer of the securities described in Section A to the transferee(s) named in Section D.

Executor/Administrator 1	**Executor/Administrator 2**	**Executor/Administrator 3**
Signature	Signature	Signature
Print name	Print name	Print name
Role (tick one): ☐ **Director** ☐ **Director & Secretary** ☐ **Sole Director & Secretary**	Role (tick one): ☐ **Director** ☐ **Director & Secretary** ☐ **Sole Director & Secretary**	Role (tick one): ☐ **Director** ☐ **Director & Secretary** ☐ **Sole Director & Secretary**
Certified and witnessed by authorised person	**Certified and witnessed by authorised person**	**Certified and witnessed by authorised person**
Certifier/witness signature	Certifier/witness signature	Certifier/witness signature
Print name and qualification of certifier/ witness	Print name and qualification of certifier/ witness	Print name and qualification of certifier/ witness
Date (DD/MM/YYYY)	Date (DD/MM/YYYY)	Date (DD/MM/YYYY)

D Buyer(s)/transferee(s) details

Complete for whoever is receiving the securities. If transferring to an existing holder on Sharesies Registry, the name and address must match that holder exactly.

Full name(s) of transferee(s)

Account designation, if applicable (e.g: Smith Family A/C)

Buyer's CSN (or Holder Number), if already an existing holder

The buyer/transferee is:

- ☐ **A trust**—attach a current Trust Deed and name the trustee(s)
- ☐ **A minor**—attach a completed Minor's Statement and Indemnity Form, and a certified copy of their birth certificate
- ☐ **An estate**

Unit/Level | Street number | Street name (or PO Box)

Suburb/town/city | Postcode | Country

Email address | Mobile number

E Buyer(s)/transferee(s) IRD number(s)

Complete ONE option below, based on the transferee's investor type.

OPTION 1 **Individual/Joint**

Buyer/transferee 1	Joint buyer/transferee 2	Joint buyer/transferee 3
Transferee name	Transferee name	Transferee name
IRD number	IRD number	IRD number
Date of birth (DD/MM/YYYY)	Date of birth (DD/MM/YYYY)	Date of birth (DD/MM/YYYY)

OPTION 2 **Company/partnership/trust/estate/minor**

What is the investor type of the transferee?

☐ Company ☐ Partnership ☐ Trust ☐ Estate ☐ Minor

IRD number

F Tax rate and bank account details

The resident withholding tax (RWT) rate you select here will apply to non-dividend payments. Under Inland Revenue rules, RWT on dividends is a flat 33% (28% for companies). Each holding can only have one tax rate, so select a single rate for all transferees.

Select your resident withholding tax (RWT) rate:

☐ 10.5% ☐ 17.5% ☐ 28%* ☐ 30% ☐ 33% ☐ 39% ☐ Exempt

*28% is only available for companies.

Nominated NZ bank account for company/issuer payments

We'll pay dividends, interest, and any other payments from the company into this account. We can only pay out to a New Zealand bank account at this time.

Nominated NZ bank account number

| | | |

H Certificate of non-revocation of Power of Attorney

Complete this section only if you are signing on behalf of a buyer or seller under a Power of Attorney (POA).

Full name of attorney	Occupation

Place and country of residence of attorney

Full name of person/body corporate who granted the Power of Attorney	Date POA was created (DD/MM/YYYY)

Place and country of residence of the person/body corporate who granted the POA

I certify that I have executed the transfer on this form under that appointment and the powers it confers, and that I have not received notice of any event revoking the Power of Attorney.

Signed at (Place)

Attorney 1 signature	Attorney 2 signature	Attorney 3 signature

I Supporting documents checklist

Tick what's attached.

*** Must be a certified copy**

Every supporting document must be certified as a true copy by an authorised person such as a registered NZ lawyer, Justice of the Peace, or Notary Public.

Please do not send original documents. Forms with uncertified copies will be returned unprocessed.

Once you've got these documents together, send scans or photos of them to registry@sharesies.com, or post them to PO Box 6833, Victoria Street West, Auckland 1142.

I've included in my application:

- [ ] This completed form
- [ ] Proof of identity for each seller*

If relevant:

- [ ] Power of Attorney*, if a signatory is signing under one
  - [ ] Completed certificate of non-revocation of Power of Attorney (Section J)
- [ ] Current Trust Deed*, if a transferee is a trust
- [ ] Birth certificate*, if transferee is a minor
  - [ ] Completed Minor's Statement and Indemnity Form

How to complete this form

A separate form is required for each company/issuer and each class of security.

A Security/investment details

The company or issuer whose securities you're transferring, the type and class of security (fully paid, partly paid, units, options, etc.), how many are being transferred, and the value of the transfer.

B Seller(s)/transferor(s) details

The CSN (or Holder Number) can be found on a recent holding statement; the transfer cannot be processed without it. Enter the seller's/transferor's name(s) exactly as they appear on the register. If the registered seller has passed away, use the Sharesies Estate Transfer Form instead of this one.

C Signature of seller(s)/transferor(s)

All sellers must sign, in the order of how their names appear on the register. If signing on behalf of a company, please print your name and state your role. If the company has more than one director, at least two directors must sign.

Each seller must sign in front of an authorised person, who must be one of the following: a Justice of the Peace; a registered lawyer in New Zealand; a Notary Public (a fee may apply); or a Deputy Registrar at a court (not all courts can certify copies).

1. Take a printout of this form and show the authorised person your current photo ID so they can confirm who you are.
2. Sign in the authorised person's presence. Don't sign the form beforehand.
3. The authorised person then signs, prints their name and qualification (e.g. JP, Solicitor), and dates the box under their signature.

Each signatory has their own certifier/witness box. One authorised person can certify several signatories, but cannot be a buyer, seller, or a person named in this transfer.

D Buyer(s)/transferee(s) details

Fill out the full name(s) and address of the buyer(s). Securities can't be registered directly to a trust; if the buyer is a trust, name the trustee(s) and attach a current trust deed. If the buyer is a minor, attach a Minor Indemnity Statement and a certified copy of their birth certificate.

E Buyer(s)/transferee(s) IRD number(s)

Complete Option 1 for individuals or joint transferees, giving an IRD number and date of birth for each. Complete Option 2 instead where the transferee is a company, partnership, trust, estate, or minor. Only one option should be completed.

F Tax rate and bank account details

Find your resident withholding tax (RWT) rate on the Inland Revenue (IRD) website. Only one tax rate can apply per holding, so joint holders need to agree on a single rate rather than electing separately.

Add the bank account you'd like company payments paid into.

G Signature of buyer(s)/transferee(s)

All buyers must sign. No certification/witnessing is required here, unlike Section C.

H Certificate of non-revocation of Power of Attorney

Only complete this section if you're signing on behalf of a buyer or seller under a Power of Attorney (POA). Attach a certified copy of the POA unless it's already been lodged and noted against the holding.

Certified copies:

Every supporting document must be certified as a true copy by an authorised person such as a lawyer, Justice of the Peace, or Notary Public.

Please do not send original documents. Forms with uncertified copies will be returned unprocessed.

Returning your form: Email a scanned copy of this form with all certified supporting documents and photo ID of each seller to registry@sharesies.com, or post to the PO Box below.

Privacy: Section 87 of the Companies Act 1993 requires certain information about you as an investor (including name, address and details of securities held) to be included in the issuer's public register. Contact registry@sharesies.com for details of what we hold about you.