Estate transfer

Application form

This form is used to transfer securities from a deceased holder's estate into the name(s) of the Executor(s)/Administrator(s), Beneficiary(ies), or another named transferee.

- You don't need to transfer the securities into the Executor(s)/Administrator(s) own name first before transferring on to the Beneficiary(ies)—this one form covers both.
- A separate form is required for each company/issuer and each class of security.
- For a joint holding where the surviving holder is simply taking over the holding by survivorship, you don't need this form at all—see our help article on estate transfers.

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 Deceased holder/estate details

CSN (or Holder Number)

Executor or Administrator(s) contact number

Full name(s) of the deceased/estate, exactly as shown on their register

Registered address, exactly as shown on their register

For security, we may contact the executors or administrators to confirm this transfer. If we can't verify it, we may return the form and ask for more information.

C Signature of executor(s)/administrator(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 an executor/administrator, or a person named in this transfer.

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
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 Transferee(s) details

Complete for whoever is receiving the securities—this may be the Executor(s)/Administrator(s) themselves, a Beneficiary, or another named transferee.

Full name(s) of transferee(s)

Account designation, if applicable (e.g: Estate J Smith)

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

The 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

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

Suburb/town/city | Postcode | Country

Email address | Mobile number

E Transferee(s) IRD number(s)

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

OPTION 1 **Individual/Joint**

Transferee 1	**Joint transferee 2**	**Joint 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 Estate administration payment details

Please submit your payment of **$92.00 NZD** (inclusive of GST) for each estate in advance to:

Bank details:

Bank account name	**Sharesies Registry Limited**
Bank account branch	**BNZ Limited Downtown Auckland**
Bank account number	**02-0108-0778025-02**

Please quote:

Particulars	**Deceased estate's surname**
Code	**Deceased estate's CSN (or Holder Number)**
Reference	**EST**

Fill in the payment reference fields using the details above so we can quickly match your payment to your application.

I Supporting documents checklist

Tick what you've attached. If you're not sure which documents you need, see our help article on estate transfers.

*** 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.

I've included in my application:

- [ ] This completed form
- [ ] Proof of identity for each Executor/Administrator*
- [ ] Payment of the $92.00 NZD estate administration fee

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

If the deceased left a valid Will:

And the holdings are valued under $15,000 NZD:

Checklist A

- [ ] Death Certificate*
- [ ] Will*

OR

- [ ] Probate*

And the holdings are valued over $15,000 NZD:

Checklist B

- [ ] Probate*

If the deceased died intestate (without a valid Will):

And the holdings are valued under $15,000 NZD:

Checklist C

- [ ] Death Certificate*
- [ ] Letters of Administration*
- [ ] Completed Intestacy Request and Indemnity form

And the holdings are valued above $15,000 NZD:

Checklist D

- [ ] Death Certificate*
- [ ] Letters of Administration*

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.

J Certificate of non-revocation of Power of Attorney

Complete this section only if you are signing on behalf of an Executor/Administrator or transferee 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

How to complete this form

See our help article on estate transfers to confirm which supporting documents your scenario needs before you start. A separate form is required for each company/issuer and each class of security.

A Security 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 Deceased holder/estate details

The deceased's CSN (or Holder Number) can be found on a recent holding statement; the transfer cannot be processed without it. Enter the deceased's name and address exactly as it appears on the register.

C Signature of executor(s)/administrator(s)

All appointed Executors/Administrators must sign.

Each Executor/Administrator 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 an Executor/Administrator, or a person named in this transfer.

D Transferee(s) details

Fill out the full name(s) and address for whoever is receiving the securities—this can be the Executor(s)/Administrator(s) themselves, a Beneficiary, or another named transferee.

If the transferee is a trust, name the trustee(s) and attach a current trust deed. If the transferee is a minor, attach a Minor's Statement and Indemnity Form and a certified copy of their birth certificate.

E Transferee 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 transferee(s)

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

H Estate administration payment details

You only need to pay once for each estate. Fill in the payment reference fields using the details so we can quickly match your payment to your application.

I Supporting documents checklist

Tick what you've attached. We've listed out exactly which documents your scenario needs, based on whether there's a Will and the value of the holdings.

J Certificate of non-revocation of Power of Attorney

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

Returning your form: Email a scanned copy of this form with all certified supporting documents and photo ID for each Executor/Administrator 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.