Vanguard®

Transfer initiation form – Transfer out

Use this form to move your investments out of your Vanguard Personal Investor Account.

We will use the details in this initiation form to fill out the required Australian Standard Transfer Forms or Custodian to Custodian Transfer Forms on your behalf. These will then be made available to download from your Vanguard Online portal.

Important: Please include certified identification documents. You may refer to Vanguard's certification guide for our certification requirements. You can find it at https://fund-docs.vanguard.com/AU-Vanguard_Certification_guide.pdf

Questions?
Call 1300 655 101 (Australia)
Call (+61) 3 8888 3888 (Overseas)

Vanguard Client Services are available from 8am to 6pm Monday to Friday (Melbourne time)

Please complete this form in blue or black pen using **CAPITAL** letters.

Section 1. Account details (must be completed)

Account number	Phone number (We will call you on this number if we need additional information)

Investor name

Section 2. Change of beneficial ownership

Please indicate if there is a change in beneficial ownership (CBO) for any of the units you would like to be transferred out of your Vanguard Personal Investor Account.

☐ Yes ☐ No

If you selected **Yes:**

1. Provide new beneficial owner details:

Investor name	Account designation (if applicable e.g. <A&B Superfund A/C>)

Address

2. Designate which units will have a change in beneficial ownership by listing them in the table in section 7.
   - NCBO (No change in beneficial owner) or
   - CBO (Change in beneficial ownership)

If you selected **No:**

Important: For your transfer to be successful, your registration details on this form must be an exact match with your registration details with Vanguard. If your registration details differ (in any way) you'll need to contact your broker/registry to amend the registration of that holding.

Section 3. Account you are transferring to

Please indicate whether you intend to hold your units using a Shareholder Reference Number (SRN) or a Holder Identification Number (HIN).

Important: For help in determining how your units are registered, please refer to the *Issuer sponsored vs broker sponsored guide*.

Please tick the box relevant to you and fill out the required details.

☐ SRN – Please complete **Section 4.** *Issuer sponsored details* per holding, and then proceed to **Section 6.** *What would you like to transfer?*

☐ HIN – Please complete **Section 5.** *Broker sponsored account* details, and then proceed to **Section 6.** *What would you like to transfer?*

Issuer sponsored vs broker sponsored information

As a unitholder, the legal title of your holdings will be registered as either:

1. Broker sponsored via the CHESS sub-register (for example, by Commsec) and be provided with a Holder Identification Number (HIN).

   OR

2. Issuer sponsored via a sub-register maintained by the company who issued the shares and be provided with a Shareholder Reference Number (SRN).

You can find out how your units are held from the reference number on the top right corner of your latest holdings or dividend statement.

If your reference number begins with an 'I' or 'C' you have a Shareholder Reference Number (SRN).
If your reference number begins with an 'X' you have a Holder Identification Number (HIN).

Section 4. For SRN – Issuer sponsored details (all fields must be completed for each holding)

Shareholder Reference Number (SRN)	Holding ticker and quantity
Registered name and address	

Shareholder Reference Number (SRN)	Holding ticker and quantity
Registered name and address	

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Registered name and address	

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Registered name and address	

Shareholder Reference Number (SRN)	Holding ticker and quantity
Registered name and address	

Shareholder Reference Number (SRN)	Holding ticker and quantity
Registered name and address	

Attach a separate sheet if additional products are required to be transferred.

Section 5. For HIN – Broker sponsored account details

Important: The above details are commonly found on holding statements issued by your broker

Registered name

Address

Name of broker/custodian

Account designation (if applicable e.g. <A&B Super Fund A/C>)

Account number

Holder Identification Number (HIN)

Section 6. What would you like to transfer?

I/We request Vanguard to initiate a transfer for:

☐ ALL holdings from my Vanguard Personal Investor Account

☐ ONLY the holdings listed in section 7 below

Section 7. Holdings (Leave blank if selected 'All holdings' in section 6 above)

Important: For a full list of products and their corresponding codes available to you via Vanguard Online, please refer to our investment menu at https://fund-docs.vanguard.com/AU-Vanguard_Personal_Investor_Investment_Menu.pdf

Product name	Product code (APIR or Ticker)	HIN/SRN or N/A	NCBO or CBO	Quantity

Attach a separate sheet if additional products are required to be transferred.

Section 8. Transfer terms

- Any dividends or distributions from Vanguard will not automatically transfer to your new issued holder after this transfer has been received.
- Cash will not be transferred as part of the transfer process.
- By uploading this completed initiation form you are authorising Vanguard to search your holdings for the purposes of validating this transfer.

Important: Transfers usually take 15 – 30 business days from the day we receive your valid Australian Standard Transfer Form(s), but this time can extend if the information provided by you is incorrect or incomplete.

Section 9. Declaration (must be completed)

☐ By ticking this box you are confirming that you are authorised to provide us with these instructions.

Important: If you intend to use a Power of Attorney execute the Australian Standard Transfer Form(s) on behalf of a client. Please tick the box below.

☐ Power of Attorney will be actioning transfer request on behalf of client (if applicable)

Vanguard is committed to respecting the privacy of your personal information. We collect, use and disclose the personal information you provide in order to make any requested changes to your account(s) and provide you with products and services. If you do not provide all of the information requested, we may not be able to proceed with making these changes. Our Privacy Policy at www.vanguard.com.au/privacy and our Privacy Notification set out more details about how and why we collect, use and disclose your personal information, how to correct any information which is inaccurate or out of date, and our privacy complaints process.

Before you submit

Checklist

Before you submit your application, please ensure:

☐ Name and address details listed on your Vanguard Account are the same as the details held with your register/broker (unless there is a CBO).

☐ You reference the correct Holder Identification Number (HIN) or Shareholder Reference Number (SRN) (if you have one).

☐ Lines are drawn through any mistakes on the form and initialled; no white-out or correction fluid.

☐ You have no outstanding orders or pending trade settlements for the shares you wish to transfer.

☐ You have attached certified identification documents

What's next?

You can return your completed form via Vanguard Online secure message.
Once we have received your request we will check your holdings and then be back in touch to request the relevant documentation needed for you to proceed with the transfer.

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