Vanguard Personal Investor

Vanguard®

Deceased estate notification form

Use this form to formally notify us of a deceased client account and the executor and/or legal authorised representative to manage the estate account.

Complete the following forms and requirements – please refer to the relevant account type.

Account type	Required documentation	Forms to complete
☐ **Individual account** **Please note:** If the deceased account holder has an existing Power of Attorney and/or authorised representative access arrangement, these authorities will be revoked upon receipt of this form.	1. Certified copy of the full death certificate 2. Certified copy of the current Will (if available) 3. Certified copy of Grant of Probate or Letter of administration – if holdings are over $50,000 4. Certified copy of identification of the Executor or Administrator of the estate. Please refer to forms of Identification requirement	Executor/Administrator Details – Notification Form
☐ **Joint account**	1. Certified copy of the full death certificate	Notification form is not required for Joint account. The surviving account holder will become the sole owner of the account. Please send us the certified copy of the full death certificate via secure message.
☐ **SMSF or Trusts**	1. Certified copy of the full death certificate	Notification form is not required. If you have appointed a new trustee please log into your Vanguard Personal Investor account and download an update of trustee form.
☐ **Company**	1. Certified copy of the full death certificate	Notification form is not required. If you have appointed a new company officer. Please log into your Vanguard Personal Investor account and download an 'Update Account Company Officer' form.
Nominate a legal representative or solicitor If you have engaged the services of a solicitor or legal representative. Please complete the Legal Representative Appointment Form to act on behalf of the executor or administrator.		Legal Representative Appointment Form
Account disbursement request Complete an account closure request so we can provide you a form.		Account Disbursement Request Form

Questions?
Call 1300 655 101 (Australia) or (+61) 3 8888 3888 (Overseas). Vanguard Client Services are available from 8am to 6pm Monday to Friday (Melbourne time)

Vanguard®

Executor/Administrator details – notification form

Use this form to notify Vanguard Personal Investor of an account holder's death and to formally notify Vanguard of the executor as named in the Will or where appropriate, Letters of Administration appointing a person or persons to manage the account of a deceased client.

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

Section 1. Deceased account holder details

Account number (if known)	Account number (if known)
Given name(s)	Surname
Date of birth (DD/MM/YYYY)	Date of death (DD/MM/YYYY)

Section 2. Executor/Administrator details

Executor/Administrator 1

Title	First name	Middle name	Surname
Relationship to the deceased			Date of birth (DD/MM/YYYY)
Address (must not be a PO Box)			
Suburb	State	Postcode	Country
Mobile phone		Email address	

Executor/Administrator 2

Title	First name	Middle name	Surname
Relationship to the deceased			Date of birth (DD/MM/YYYY)
Address (must not be a PO Box)			
Suburb	State	Postcode	Country
Mobile phone		Email address	

Important: Please attach a separate page if you have additional Executors/Administrator

Section 3. Portfolio statement

Do you require a copy of the last quarterly statement?

☐ Yes

If yes, please ensure you have provided a certified copy of the Will/Probate or Letters of Administration and a certified copy of identification documents

☐ No

Section 4. Declaration

By signing below, I/we confirm and acknowledge the information I/we have provided on this form is true and correct and I/we will indemnify Vanguard Investments Australia against any actions or claims which may be made by any person in relation to the information provided in this form.

Executor/Administrator Signature ✗	Executor/Administrator Signature ✗
Name	Name
Date (DD/MM/YYYY)	Date (DD/MM/YYYY)

Vanguard®

Legal representative appointment form

Use this form if you wish to appoint a legal personal representative to act on behalf of the executor(s) to collect information of the estate.

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

Account number (if known)	Account number (if known)
Estate name	

Section 1. Acknowledgment

I, [Executor name] of [Executor address],

executor of the Estate of the late [Deceased person name],

confirm I have engaged [Lawyer name and address]

to act on my behalf in relation to [Estate name]

estate AND I hereby authorise and direct: For the release of all information relating to the deceased under the Freedom of Information Act or Privacy Act, where necessary to

[Law firm/Administrator name] including but not limited to the lawyer named below.

Section 2. Legal personal representative details

Legal representative firm name

Legal representative given name(s)

Legal representative surname

Address (must not be a PO Box)

Suburb

State

Postcode

Country

Phone number

Section 3. Declaration

By signing below, you are confirming that you are authorised to provide us with these instructions and consent to the below statement.

I/We authorise Vanguard to provide the nominated legal personal representatives of the business listed above with any information they require regarding the estate account.

Executor Signature

✗

Name

Date (DD/MM/YYYY)

Executor Signature

✗

Name

Date (DD/MM/YYYY)

Account disbursement request form

As the estate's executor or administrator, you can complete this section along with the death notification.

☐ **Account Withdrawal**

Important: Vanguard can only pay to an account held in the name of the Estate. Alternatively, funds can be paid to the Solicitor if requested by the executor or administrator. A withdrawal form will need to be signed by the appointed executor(s) or administrator(s).

☐ **Transfer to another Vanguard Personal Investor account**

Please open a new Testamentary trust account in the name of the deceased estate. You can visit our website at vanguard.com.au/personal/ to open a new account. During the new account opening you will be required to submit the Probate. Once a new account is active a transfer form can be completed.

☐ **Small Estate**

If the account holdings are less than $50,000 and there is no Grant of Probate or Letters of Administration you can complete the Small Estate Declaration and Indemnity Form.

Vanguard will issue the relevant form once a selection has been completed or contact us on 1300 655 101.

Before you submit

Checklist

Before you submit your application, please ensure:

- ☐ You have attached true certified copies of the death certificate and any other requirements
- ☐ You have completed the relevant form(s) and signed the declaration box

Forms of identification required

This section outlines the types of identification documents that we will collect from you in accordance with our obligations under Australia's anti-money laundering and counter-terrorism financing laws. If you do not provide the documents we request, we may not be able to provide you with the information you need. Alternative forms of identification may be acceptable under circumstances permitted by law.

Identification required for Executor(s)

	Type of ID to submit	ID requirements
Executor(s)/ Administrator(s)	Driver's licence	☐ A certified copy of an Australian driver's licence (front and back), displaying your current residential address stated on this Form.
		OR
	Passport & Utility bill	☐ A certified copy of your current passport **AND**
		☐ A certified copy of a utilities bill (gas, water, electricity, mobile phone, internet provider or local government rates account), issued in the last 3 months, displaying your name and the residential address stated on this Form.

Certification requirements

Important: When having copies of documents certified you should show both the original document and a copy to the eligible certifier. Please refer to our certification guide https://fund-docs.vanguard.com/AU-Vanguard_Certification_guide.pdf

How to submit your application

Please email the completed form to vanguardestates@vanguard.com.au or via post:

Vanguard Personal Investor
GPO Box 1837
Melbourne, VIC 3001

Vanguard®