

# PART C: BROKER TO BROKER TRANSFER AUTHORITY FORM - EQUITIES

Please complete this form if you wish to transfer securities from another Sponsoring Broker to Penson Financial Services Australia Pty Ltd (Penson).

**Important: PLEASE ATTACH A COPY OF YOUR LATEST CHESS HOLDING STATEMENT**

## 1. ACCOUNT DETAILS

Name in which account is held with Penson

Account Number

## 2. EXISTING SPONSORING BROKER DETAILS (Transferring Broker)

For your transfer to be successful, your registration details (i.e. your name and address) on this form must agree with the details on your account with Penson. If not, you will need to advise your existing Sponsoring Broker of any changes before we can process this transfer.

Registered name and address as recorded on your latest CHESS Holding Statement

  


Account Designation or Trust (if applicable) eg: <X&Y Superfund A/C>

Name of existing sponsoring broker

Account Number

Holder Identification Number (HIN)

Broker PID

Please select one option:

Please transfer HIN (and all holdings) from existing broker to Penson (PID 1791); **or**

Please transfer all holdings from existing broker to Penson (PID 1791); **or**

Please transfer only those holdings listed below from existing broker to Penson (PID 1791)

Security to be transferred

ASX Code	Security Name (eg/ BHP Limited)	Quantity (no. of shares)

Attach a separate sheet if additional securities are required to be transferred

### Agreement:

**CHESS Sponsorship:** Sponsor me/us into the CHESS Settlement Facility in accordance with Penson's CHESS Sponsorship Agreement Terms and Conditions. I/we authorise Penson to transfer the existing HIN and all holdings or the above listed Holdings to my/our Penson account and we agree to be bound by Penson's Sponsorship Agreement Terms and Conditions.

**Signature of Security Holders Requesting Transfer (all security holders must sign):**

Full name

Signature

Date

Full name

Signature

Date

Full name

Signature

Date

\*ALL ACCOUNT HOLDERS MUST SIGN. FOR COMPANY ACCOUNTS, SIGN IN ACCORDANCE WITH THE COMPANY'S CONSTITUTION

## PART D: BROKER TO BROKER TRANSFER AUTHORITY FORM - OPTIONS

Please complete this form if you wish to transfer Options Positions from another Broker to Penson Financial Services Australia Pty Ltd (**Penson**).

**Important: PLEASE ATTACH A COPY OF YOUR LATEST POSITION STATEMENT**

### 1. ACCOUNT DETAILS

Name in which account is held with Penson

Account Number



### 2. EXISTING BROKER DETAILS (Transferring Broker)

For your transfer to be successful, your registration details (i.e. your name and address) on this form must agree with the details on your account with Penson. If not, you will need to advise your existing Broker of any changes before we can process this transfer.

Registered name and address as recorded on your latest Statement

  


Account Designation or Trust (if applicable) eg: <X&Y Superfund A/C>

Name of existing broker

Account Number

Holder Identification Number (HIN)

Broker PID




Please select one option:

- Please transfer ALL Options from existing broker to Penson (PID 1791); **or**
- Please transfer only those positions shown in the attached statement /confirmation note from existing broker to Penson (PID 1791); **or**
- Please transfer only those positions listed below from existing broker to Penson (PID 1791)

Option Positions to be transferred

Call / Put, Expiry Month, Strike	Quantity	Trade Price

Attach a separate sheet if additional option positions are required to be transferred

#### Agreement:

I/we authorise Penson to transfer the existing Options Positions as detailed above to my/our Penson account and we agree to be bound by Penson's Derivatives Terms and Conditions.

Signature of Account Holders Requesting Transfer\*:

Full name

Signature

Date

Full name

Signature

Date

Full name

Signature

Date

\*ALL ACCOUNT HOLDERS MUST SIGN. FOR COMPANY ACCOUNTS, SIGN IN ACCORDANCE WITH THE COMPANY'S CONSTITUTION