

## TRANSFER FORM FOR NON-MARKET TRANSACTIONS BETWEEN EXISTING ACCOUNTS

### Pricing Considerations:

The NWQ Fiduciary Fund (Fund) Unit price is calculated monthly on the Valuation date. A non-market transaction between existing accounts would occur at the NAV Unit price on the relevant Valuation date (i.e. the transfer does not involve a buy/sell spread).

### Timing Considerations:

The Fund administrator, Apex, must receive the completed Transfer Form prior to the monthly cut off which is **before 4:00pm Sydney time a full 5 business days before** the last business day of the month.

Transfers received by the cut off are then eligible to be processed on the next Dealing Day, which is the first business day of the following month. Your units in the Fund will be transferred on this Dealing Day and you will be issued with Contract Notes, one for each account, on or around the 15<sup>th</sup> of the month confirming the transfer and number of units held. For transfers received in June this process will be delayed due to end of financial year processing.

If the Transfer Form is received after the cut-off, the transfer will be held over to be processed for the following month.

Please note: This Transfer Form applies only to non-market transactions between **existing accounts**. Should you wish to make a transfer to a new account, a full NWQ Fiduciary Fund Application Form will need to be completed and submitted to Apex, as per the detailed instructions in the Product Disclosure Statement (PDS). The PDS and Application Form can be located on NWQ's website, [www.nwqcm.com](http://www.nwqcm.com).

### Steps to complete the Transfer Form for Non-Market Transactions between existing accounts in the Fund:

Step #	Completed By	Description	Note
1	Both Seller and Buyer	Complete Transfer Form for Non-Market Transactions	Complete this Transfer Form and sign where indicated. Additional advice on completing the transfer form is located on the back of the form.
2	Both Seller and Buyer	Email Completed Transfer Form for Non-Market Transactions	Email a scanned, completed and signed Transfer Form to the Fund administrator, Apex, to the email address provided below. This Transfer Form must be received by the cut off which is <b>before 4:00pm Sydney time a full 5 business days</b> before the last business day of the month. If received after this, the transfer will be held over to be processed the following month.
3	Both Seller and Buyer	Post Completed Transfer Form for Non-Market Transactions	Post this <b>original, completed and signed</b> Transfer Form to the Fund administrator, Apex, at the postal address provided below. Unless the Transfer Form has been emailed and acknowledged as received by Apex a full 5 business days before the last Sydney business day of the month, then this Transfer Form, if being sent by post only, must be received on a Sydney business day at least <b>a full 5 business days before</b> the last Sydney business day of the month.
4	Fund Administrator (Apex)	Acknowledgement of Receipt of Form by Email	The Fund administrator, Apex, will acknowledge receipt of the Transfer Form via email and will advise whether all is in order for processing.
5	Fund Administrator (Apex)	Issue Contract Note	The Fund administrator, Apex, will email Contract Notes, one for each account, confirming the transaction for your records.  <b>Typically on or around the 15<sup>th</sup> of the month.</b>

Once completed, please post **completed, signed original** to:

Shareholder Services Group  
Apex Fund Services (Sydney) Pty Ltd  
PO Box A517  
SYDNEY SOUTH NSW 1235  
Tel: (02) 7201 9015 | Email: [ssg.aus@apexfs.com](mailto:ssg.aus@apexfs.com)

# TRANSFER FORM FOR NON-MARKET TRANSACTIONS

**Use a black pen. Print in CAPITAL letters**

Note: Any alterations must be initialled by the seller/s and the buyer/s.  
 Any increase to the quantity of securities being transferred is not acceptable even if initialled  
**Correction fluid or tape must not be used.**

**Uncertificated CHESS Holdings** - This form must be forwarded to the CHESS Sponsoring Broker or Non-Broker Participant.  
**Uncertificated Issuer Sponsored Holdings** - This form must be forwarded to the Issuer's Registry or your broker as appropriate.

1 Stamp Duty if applicable

2	Full name of Company or Corporation		3	State of Incorporation
4	Description of Securities (Shares, options etc.)	Class	5	Register
6	Quantity	Words	Figures	
7	Full name/s of Transferor/s (Seller/s)	Given Name/s ..... .....	Surname	For Company Use
8	Securityholder Reference Number ( <i>must be quoted</i> )	SRN : _____		
9	Consideration	<b>A\$</b>	10	Date of Purchase / /
11	Full name/s of Transferee/s (Buyer/s)	Title Mr } Mrs } Ms }	Given Name/s	Surname
12	Full postal address of Transferee/s (Buyer/s)	..... ..... State/Country ..... Postcode .....		
13	Transferee/s (Buyer/s) Securityholder Reference Number (if known)	SRN : _____		

I / We the registered holder/s and undersigned seller/s for the above consideration do hereby transfer to the above name/s hereinafter called the Buyer/s the securities as specified above standing in my/our name/s in the books of the above named Company, subject to the several conditions on which I/We held the same at the time of signing hereof and I/We the Buyer/s do hereby agree to accept the said securities subject to the same conditions. I/We have not received any notice of revocation of the Power of Attorney by death of the grantor or otherwise, under which this transfer is signed (if applicable). To sign as power of attorney you must have already lodged it with the registry or your broker as appropriate or enclose a certified copy with this transfer.

14 Transferor/s (Seller/s) sign here	Individual or Securityholder 1 _____ Director or Sole Director and Sole Company Secretary	Securityholder 2 _____ Director/Company Secretary	Securityholder 3 _____ Sole Director (No Company Secretary)
	15 Day / Month / Year		

16 Transferee/s (Buyer/s) sign here	Individual or Securityholder 1 _____ Director or Sole Director and Sole Company Secretary	Securityholder 2 _____ Director/Company Secretary	Securityholder 3 _____ Sole Director (No Company Secretary)
<b>SRA 23</b>	17 Day / Month / Year		

# HOW TO COMPLETE THE TRANSFER FORM FOR NON-MARKET TRANSACTIONS WHEN TRANSFERRING SECURITIES IN A LISTED OR UNLISTED COMPANY

## 1. STAMP DUTY

Transfers of securities that are listed and quoted on an Australian Stock Exchange are exempt from stamp duty. However, Stamp Duty is payable on all other securities by the buyer of the shares and is based on the amount of consideration (refer 8). The stamp duty is calculated at the rate applicable to the state in which the company the securities are held is incorporated. If the company is incorporated outside Australia, the state or territory in which the principal register is located determines the state or territory in which the duty is payable. Transfers must be submitted to the respective State or Territory Stamp Duty office for assessment and payment of any applicable duty.

## 2. FULL NAME OF COMPANY OR CORPORATION

The full name of the company or corporation in which securities are held.

## 3. STATE OF INCORPORATION

State in which the Company (refer 2) is incorporated in. This can be found on the securities certificate, statement or other notices received from the company.

## 4. DESCRIPTION OF SECURITIES

e.g. Fully Paid Ordinary Shares, 9% Unsecured Convertible Notes etc....

## 5. REGISTER

The state on which the seller's securities are registered. This can be found on the securities certificate or statement.

## 6. QUANTITY

Number of securities being transferred (in both words and figures).

## 7. FULL NAME OF TRANSFEROR/S OR SELLER/S

Full names must be included together with any designation (if applicable).

## 8. SECURITYHOLDER REFERENCE NUMBER

This number must be quoted when transferring securities not represented by certificates. That is securities registered on the issuer sponsored (uncertificated) subregister.

## 9. CONSIDERATION

Is the full amount paid in settlement of the transfer of securities. Purchases should reflect the market price of shares as at the date of purchase. Market values are quoted in the daily newspapers.

## 10. DATE OF PURCHASE

Insert date of purchase or completion of the transfer.

## 11. FULL NAME OF TRANSFEREE/S OR BUYER/S

Insert the full names of buyer/s (a maximum of three joint holders).

Securities may not be registered in the names of a firm or business name, an estate or deceased person, a minor, a fund or a trust.

## 12. FULL POSTAL ADDRESS OF TRANSFEREE/S OR BUYER/S

Insert full address including the postcode. Only one address may be recorded.

## 13. SECURITYHOLDER REFERENCE NUMBER (SRN)

If the buyer is an existing holder in the company and is registered on the Issuer Sponsored (uncertificated) subregister, please quote the existing SRN.

## 14. SELLER SIGNATURE/S

(i) Individuals - The securityholder must sign

(ii) Joint Holdings - Where the holding is in more than one name, all of the securityholders must sign

(iii) Power of Attorney - To sign as power of attorney, you must have already lodged it with the registry.

Alternatively, attach a certified photocopy of the power of attorney to this form.

(iv) Deceased Estate - When the holding is in the name of an estate, all executors/administrators are required to sign.

(Probate requirements must also be complied with)

(v) Companies - Director, Company Secretary, Sole Director and Sole Company Secretary or Sole Director (no Company Secretary) can sign.

Please sign in the appropriate box which indicates the office held by you.

## 15. DATE SIGNED

Insert date signed by the seller/s.

## 16. BUYER SIGNATURE/S

(vi) Individuals - The securityholder must sign

(vii) Joint Holdings - Where the holding is to be registered in more than one name, all of the proposed securityholders must sign

(viii) Power of Attorney - To sign as power of attorney, you must have already lodged it with the registry.

Alternatively, attach a certified photocopy of the power of attorney to this form.

(ix) Deceased Estate - When the holding is in the name of an estate, all executors/administrators are required to sign.

(Probate requirements must also be complied with)

(x) Companies - Director, Company Secretary, Sole Director and Sole Company Secretary or Sole Director (no Company Secretary) can sign.

Please sign in the appropriate box which indicates the office held by you.

## 17. DATE SIGNED

Insert date signed by the buyer/s.

**Note 1.** Copies of documents forwarded must be certified as a correct copy by a person who in the State or Territory of certification has the power to witness a Statutory Declaration.

**Note 2.** Transfers or other documents that do not fully meet the company's requirements are liable to be returned unregistered.