

# Estate Management Notification

Use this form to formally notify us of a customer's death and formally appoint an executor/administrator/solicitor to manage the account/s of a customer, after they pass away.

Please refer to the end of this document for submission instructions.

## Section 1 – Complete the Following Forms

### Geared Investments Loan Accounts

The below table outlines the initial notification requirements for Investment Loan accounts based on the different account types and the value of the estate:

Account type	Forms to complete	Required documentation
<b>Individual</b> (e.g. John Smith)	<b>Executor/Administrator Authority form</b> (per executor)	<ul style="list-style-type: none"> <li>• Certified copy of the Death Certificate; and</li> <li>• Certified copy of the Last Will and Testament.</li> </ul> <p><b>If the holdings are \$50,000 or greater, once you've received the portfolio and historical transaction statements from us, please also provide:</b></p> <ul style="list-style-type: none"> <li>• Certified copy of a Probate/Letter of Administration (A Probate supersedes the Death Certificate and Last Will and Testament).</li> </ul>
<b>Joint</b> (e.g. John Smith & Mary Smith)	N/A (Upon receiving the required documentation, we will automatically transfer all joint shareholdings (if any) to an existing account or create a new account for the surviving account holder. The joint account will be closed.)	<input type="checkbox"/> Certified copy of Death Certificate; <b>or</b> <input type="checkbox"/> Certified copy of Probate/Letter of Administration.
<b>Formal Trust (Family or SMSF Trust)</b> (e.g. John Smith & Mary Smith <Smith Family S/F A/C>)	N/A (Refer to the Estate Management Disbursement form available from the <a href="http://www.commbank.com.au/gearedinvestments">www.commbank.com.au/gearedinvestments</a> website for instructions.  This form details the process on either continuing the trust by appointing new trustees or dissolving i.e. winding down the trust.	<input type="checkbox"/> Certified copy of Death Certificate; <b>or</b> <input type="checkbox"/> Certified copy of Probate/Letter of Administration.

Note 1: Under ASX business rules, all CHESSE holdings on individual and single trust accounts must be 'locked' on initial notification of a deceased estate. This means shares cannot be transferred or sold until all requirements have been satisfied.

Note 2: For informal trusts e.g. trust for minor, follow the individual or joint account type instructions above.

### What you need to know

- All fields are mandatory
- Use this form to appoint an authorised representative i.e. executor or administrator of an estate to a Share Trading account or Investment loan
- One form is to be completed for each appointed executor/administrator as named in the Last Will and Testament or Probate/Letters of Administration
- If you are a solicitor representing the executors, you must also email us a signed letter of engagement
- Once we receive the below documentation, we will provide the portfolio statement and historical transaction summary This will detail the holdings within the account/s, to help you decide what to do next

## Section 2 – Executor/Administrator Details

Title	Mr	Mrs	Miss	Ms	Other	<input type="text"/>		
Full given name/s						Surname		
Other name/s commonly known by (if applicable)					Date of Birth (DD/MM/YYYY)			
Residential address (cannot be a PO Box)						Gender	Male	Female
State			Postcode		Country			
Postal address (if same as residential address, write 'As above')								
State			Postcode		Country			

### Contact Details

Email address (mandatory)	Mobile number (mandatory)
Home number	Work number

### Employment Information

Refer to 'Job and Industry Classifications List' available on the website for the list of acceptable job categories and types.

Job category	Job type
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## Section 3 – Executor/Administrator Identification

Commonwealth Bank is required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* to collect information about you and verify your identity before we can provide you with financial services or products.

The proof of identification selected below and the personal details provided on this form must exactly match.

Select and complete **one** of the following options below:

#### Option A – I have a Commonwealth Bank account

BSB

Account number

#### Option B – I have attached a clear, legible original certified photocopy of one of the following and consent to the electronic verification to be performed.

- Australian Driver License **or**
- Passport

By ticking this box:

- I consent to having electronic identification performed using personal details and identification documents I have provided, and understand that providing false or misleading information about my identity is an offence under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.
- I consent to having my personal details and identification documents matched to information held by the issuer or Official Record Holder via third party systems.
- I understand that my personal information will be exchanged with external organisations including: credit reporting agencies, Commonwealth and State government departments, independent and private sector organisations and outsourced providers who coordinate the electronic identification process and who may conduct additional matches against public or proprietary databases.
- As part of the electronic identification process, I permit these external organisations to record, use and disclose my information in accordance with their own privacy policies and legal obligations. I understand that Commonwealth Bank and its outsourced providers will access records held about me by these external organisations only for the purpose of matching the identifying information I have chosen to provide.
- I consent to providing my name, address and date of birth to selected credit reporting agencies to match this information against their records. I understand that this is done only for identity verification purposes as required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.

You do not have to consent to electronic verification. If you do not want to be verified electronically, you have the option to be identified by sending in your original certified copy of identification to us via post.

#### Section 4 – Adviser Access

To allow the existing adviser/s to retain view-only access to the account/s, tick the following box and provide the full name/s of the adviser/s.

Retain View-Access

Full name/s of existing adviser/s

Note: Existing adviser access will be automatically removed unless this section is completed by all executors.

#### Section 5 – Declaration and Signature/s

I understand, acknowledge and declare that the information I have provided to you on this form is true and correct and the law prohibits the use of false names, as well as the giving or use of false documents in connection with an identification procedure.

##### Signature

Full name

Date (DD/MM/YYYY)

Signature (must be signed pen to paper)

##### Privacy statement

Commonwealth Bank is collecting your personal information in connection with your role as an executor/administrator. For details of The Bank's privacy and information handling practices, including how you may access your information, seek correction of that information and how you may complain, refer to our Privacy Policy which is available at [commbank.com.au/gearedinvestments](http://commbank.com.au/gearedinvestments)

Geared Investments Loans are issued by Commonwealth Bank of Australia (The Bank) ABN 48 123 123 124 AFSL and ACL 234945 and administered by its wholly owned but non-guaranteed subsidiary Commonwealth Securities Limited ABN 60 067 254 399 AFSL 238814. Commonwealth Securities Limited is a market participant of the ASX and Cboe Australia (Formerly Chi-X Australia), clearing participant of ASX Clear Pty Limited and settlement participant of ASX Settlement Pty Limited.

#### How to submit your documents

Once completed and signed, please scan and email the form to

 [gearedinvestments@cba.com.au](mailto:gearedinvestments@cba.com.au)



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[commbank.com.au/gearedinvestments](http://commbank.com.au/gearedinvestments)



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