

Step 1. Identified the Value of Estate

Where the value of the Estate exceeds \$15,000 - Core Requirements	Where the value of the Estate is less than \$15,000 – Core Requirements
<ul style="list-style-type: none"> <input type="checkbox"/> Signed instructions from the executors/ trustees of the Estate outlining how the Estate is to be 'unwound' / distributed to the relevant beneficiaries; <input type="checkbox"/> AML Identification for Executors/Trustees <input type="checkbox"/> An original certified copy of the 'Death Certificate' <input type="checkbox"/> An original certified copy of the 'Granting of Probate' / 'Letters of Administration' or 'Transfer Indemnity Bond' (including the Inventory of Assets) documentation <input type="checkbox"/> Most recent Issuer Sponsored statements 	<ul style="list-style-type: none"> <input type="checkbox"/> Signed instructions from the executors/ trustees of the Estate outlining how the Estate is to be 'unwound' / distributed to the relevant beneficiaries; <input type="checkbox"/> AML Identification for Executors/Trustees <input type="checkbox"/> An original certified copy of the 'Death Certificate' <input type="checkbox"/> An original certified copy of the Last Will and Testament of the deceased (where there is a Will) or 'Inventory of Assets' of the Estate (where there is no Will) <input type="checkbox"/> Small Estate Indemnity for each individual holding <input type="checkbox"/> Most recent Issuer Sponsored statements

Step 2. Executors/Trustees Instruction (select one of the below options)

Selling Issuer Holdings	Transfer Issuer Holdings to Beneficiary/ies	Transfer Issuer Holdings into Estate Name
<ul style="list-style-type: none"> <input type="checkbox"/> AML ID <input type="checkbox"/> FSB Application – Set up a/c as executor atf estate 	<ul style="list-style-type: none"> <input type="checkbox"/> AML ID <input type="checkbox"/> FSB Application – set up a/c under beneficiary name 	<ul style="list-style-type: none"> <input type="checkbox"/> AML ID <input type="checkbox"/> FSB Application – Set up a/c as executor atf estate

Or

Selling Broker Holdings	Transfer Broker Holdings to Beneficiary/ies at Macquarie	Transfer Broker Holdings into Estate Name at Macquarie
<ul style="list-style-type: none"> <input type="checkbox"/> AML ID for executors <input type="checkbox"/> FSB Application – Set up a/c as executor atf estate <input type="checkbox"/> Comply with existing broker requirements <input type="checkbox"/> Instruction must include request to transfer deceased stock 	<ul style="list-style-type: none"> <input type="checkbox"/> AML ID for executors and beneficiaries <input type="checkbox"/> FSB Application – set up a/c under beneficiary name 	<ul style="list-style-type: none"> <input type="checkbox"/> AML ID for executors <input type="checkbox"/> FSB Application – Set up a/c as executor atf estate

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