

## ONE-OFF SALE BROKERAGE RATES

To sell New Zealand listed securities (other than debt securities): 1.25% or NZ\$100.00 (whichever is greater).

To sell Australian listed securities: 1.25% or AU\$100.00 (whichever is greater).

These rates are also displayed on the ANZ New Zealand Securities Limited ("ANZ Securities") website under "Our Rates".

### IMPORTANT NOTE

Your shares will not be sold until this form has been verified and you receive a phone call from ANZ Securities.

## SECTION 1. SHAREHOLDING CONTACT DETAILS

If you have done a one-off sale with us previously, this option is no longer available to you and a client account must be opened. Complete your details below, exactly as they appear on the statement of holding sent to you by the Share Registry.

Registered Shareholder Name

Registered Shareholder Address

Confirmation of your sale must be sent to the Registered Shareholder Address.

Provide a daytime number and email for the Registered Shareholder listed above – this person will be contacted by ANZ Securities to sell the shares.

Daytime Number

Email Address

## SECTION 2. LIST OF SHAREHOLDINGS

For security reasons, please do not write your FIN number below – we will ring you to obtain the FIN. If you do not know what your FIN is, please contact the applicable Share Registry (Computershare or Link Market Services). All shareholdings must be sold during a one-off sale; we cannot sell part of your holdings in a company.

Shares to be sold (Company name)	Total quantity	Shareholder Number (NZX or ASX)
e.g. Air NZ	e.g. 1,000	e.g. 13788894

## SECTION 3. BANK ACCOUNT DETAILS

Please provide the details of your bank account below. The bank account must be a New Zealand domestic bank account in the name of the Registered Shareholder.

Bank Compulsory

Branch

Bank Account Name Compulsory

Bank Account Number Compulsory

We cannot pay sale proceeds to the bank account of a Third Party (eg. Company or Family Trust).

## SECTION 4. ATTACH IDENTIFICATION

Please refer to Section 7 for a list of acceptable forms of identification and address verification.

- The details on your shareholdings must match the details on your passport/driver's licence and bank account details.
- Please supply a certified, clear copy of your marriage certificate if your maiden name is used on your shareholding details or identification documents.
- Settlement proceeds are only paid out to the Registered Shareholder in either NZ\$ or AU\$.

## Individual One-Off Sale Form (cont)

### SECTION 5. SEND TO ANZ SECURITIES

Please return this form and the required identification (as per Section 4) to ANZ Securities. All documentation must be returned by post; we cannot accept faxed or emailed copies because we are required to hold your original signature on file.

**POST:** ANZ Securities, PO Box 1790, Wellington 6140

### SECTION 6. SELLING YOUR SHARES

All documentation must be verified by ANZ Securities in accordance with NZX and ASX compliance obligations before an order can be submitted.

**Note: this can be a lengthy process and you should make allowances for a delay before your shares are sold.**

If your documentation is correct you will be contacted by ANZ Securities on the phone number you have provided above and your shares will be sold at the best available market price during this phone call.

Please ensure you are able to provide the FIN number(s) for the NZX Shareholder Number(s) when you are contacted by ANZ Securities.

When the sale has been completed a contract note will be delivered to the Registered Shareholder Address to confirm the details of the sale.

Two business days after the sale has taken place, funds will be direct credited to the bank account that you provide.

### SECTION 7. SIGNATURE OF THE REGISTERED SHAREHOLDER

By signing below you agree that all one-off sales are conducted in accordance with NZX Rules and ANZ Securities' Client Agreement Terms and Conditions and that you have not previously conducted a one-off sale with ANZ Securities.

Signature

Date:   2 0

#### ACCEPTABLE FORMS OF IDENTIFICATION AND ADDRESS VERIFICATION

**Photo Identification – You must provide a certified copy of one of the following:** (*Photo ID must be current – we cannot accept expired photo ID*)

- Passport;
- New Zealand Firearms Licence;
- New Zealand Driver's Licence **AND** bank-generated statement; or
- Another combination of identification as agreed to by ANZ Securities.

**Bank Account – You must provide a certified copy of one of the following:**

- Bank statement (as delivered by mail, not via internet banking);
- A bank-generated deposit slip; or
- A cheque.

**Residential Address – You must provide an original or a certified copy of one of the following:**

- Bank statement (as delivered by mail, not via internet banking);
- Utility or Rates Bill;
- IRD tax notice/certificate;
- Insurance policy document; or
- Another combination of identification as agreed to by ANZ Securities.

#### COMPULSORY CERTIFICATION OF IDENTIFICATION

- Certified documents must be signed and include the name of the certifier, their occupation and the date.
- The certifier must state on each item, "I certify this to be a true and accurate copy of the original document."
- The certifier must be at least 16 years of age and cannot be related to the person, the spouse or partner of the person or living at the same address as the person.
- The document being certified and the signature of the certifier must not be dated more than three months before the date this application form was signed.

#### Acceptable verifiers are:

- ANZ employees (where you attend an ANZ Bank New Zealand Limited branch in person with the original documentation).

#### Acceptable certifiers are:

- Justice of the Peace;
- Lawyer (must be from a Financial Action Task Force (FATF) member country (including NZ));
- Chartered Accountant (must be member of CAANZ);
- A sworn employee of the NZ Police who holds the office of constable (any rank);
- Notary Public;
- New Zealand Honorary Consul;
- Member of Parliament; or
- Commonwealth Representative; includes Ambassador, High Commissioner, Commissioner, Minister, Counsellor, Charge d'Affaires, Head of Mission, Consular Officer, Pro-Consul, Trade Commissioner of a Commonwealth country.

#### FOR OFFICE USE ONLY

One off account number

Trade number

Settlement currency

Settlement date



If you have any questions about the One-off Sale process, please call 0800 805 777 or send an email to [directtrade@anzsecurities.co.nz](mailto:directtrade@anzsecurities.co.nz)