

**Phone**Within Australia: 1800 572 018 (free call)  
International: +61 3 9046 4041**Email**

ubs@unitregistry.com.au

**Website**

www.ubs.com/am-australia

# Transfer Request

**Use this form if you are an existing investor and wish to transfer units to another investor.**

Please complete all sections in BLOCK letters, using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

**1. Instructions if you are transferring units to an existing investor**

If you are transferring units to an existing investor, the following needs to be completed:

- transferor needs to write their investor number and investor name as it appears on their latest periodic or transaction statement
- transferee needs to write their investor number and investor name in section 3 as it appears on their latest periodic or transaction statement
- both the transferor and transferee need to sign this form as per the 'Acknowledgements and signatures' in section 7.

**2. Instructions if you are transferring units to a new investor**

If you are transferring units to a new investor, the transferor needs to complete the following:

- write their investor number and investor name as it appears on their latest periodic or transaction statement
- sign this form as per the 'Acknowledgements and signatures instructions' in section 7.

The transferee needs to:

- write their name in section 4 of this form and then sign the form as per the 'Acknowledgements and signatures instructions' in section 7
- complete the Fund's Application form from the relevant Product Disclosure Statement
- complete the relevant identification document found in the Fund's Application form
- arrange for copies of their identification documents to be certified and
- complete the Tax Information form found in the Fund's Application form

**3. Send your documents to us**

Before you submit your transfer form, please check that:

- both the transferor and transferee have signed the transfer form
- the transfer form and application form (if applicable), along with relevant identification form and documents and the Tax Information form (if applicable) are included.

Please post your **original signed** transfer form, **original** application and **original** Tax Information form (if applicable) and **original certified** copies of the relevant identification documents (if applicable) to us:

Send by Post: UBS Asset Management (Australia) Ltd  
GPO Box 804  
Melbourne VIC 3001

**Legal notices**

UBS Asset Management (Australia) Ltd ABN [31 003 146 290], Australian Financial Services Licence [222605], is the Responsible Entity and issuer of this Transfer Form.

Your privacy is important to us. We will treat all personal information in accordance with UBS Asset Management (Australia) Ltd's Privacy Policy. A copy of the Privacy Policy can be obtained by calling 1800 572 018 or +61 3 9046 4041 or from UBS Asset Management (Australia) Ltd's website: [www.ubs.com/au/en/asset\\_management/privacy-policy.html](http://www.ubs.com/au/en/asset_management/privacy-policy.html)

Last updated: 17 September 2018

## Section 1. Transfer details

Please indicate if you are making a full transfer or a partial redemption.

If you are making a partial transfer please specify the number of units or dollar amount you wish to transfer.

Fund name	APIR code	Transfer amount	Transfer option	
			Full balance	Number of units
<b>Equities</b>		<b>AUD</b>	<b>(mark with X)</b>	
UBS Australian Share Fund	SBC0817AU	\$		
UBS Australian Small Companies Fund	UBS0004AU	\$		
UBS Australian Small Companies SIV Fund (Significant Investor Visa)	UBS0063AU	\$		
UBS Emerging Markets Equity Fund	UBS8018AU	\$		
UBS Global High Conviction Fund	UBS2393AU	\$		
UBS-HALO Australian Share Fund	UBS0024AU	\$		
UBS Microcap Fund	UBS0057AU	\$		
UBS International Share Fund	SBC0822AU	\$		
<b>Property Securities and Infrastructure</b>				
UBS Clarion Global Infrastructure Securities Fund	UBS0064AU	\$		
UBS Clarion Global Property Securities Fund	HML0016AU	\$		
UBS Property Securities Fund	SBC0816AU	\$		
<b>Fixed Income and cash</b>				
UBS Australian Bond Fund	SBC0813AU	\$		
UBS Cash Fund	SBC0811AU	\$		
UBS Cash-Plus Fund	SBC0812AU	\$		
UBS Diversified Fixed Income Fund	SBC0007AU	\$		
UBS Income Solution Fund	UBS0003AU	\$		
UBS International Bond Fund	SBC0819AU	\$		
<b>Multi-asset</b>				
UBS Balanced Investment Fund	SBC0815AU	\$		
UBS Defensive Investment Fund	SBC0814AU	\$		
UBS Tactical Beta - Balanced	UBS0041AU	\$		
UBS Tactical Beta - Conservative	UBS0036AU	\$		
UBS Tactical Beta - Growth	UBS0037AU	\$		

No Change of Beneficial Ownership

## Section 2. Transferor / seller details

Investor number

Investor name

## Section 3. Transferee / buyer details – existing investors only

If you are transferring units to a existing investor, please complete the details below:

Investor number

Investor name

## Section 4. Transferee / buyer – new investors

If you are transferring units to a new investor, please complete the details below. **The following forms also need to be completed** by the new investor and can be obtained from the Product Disclosure Statement:

- Application form
- Identification form, and
- Tax Information form.

### New investor details

Title Full given names

Surname

Company/Trust/Superannuation fund

## Section 5. Privacy

### Keeping us informed

Our records about you are important. Please inform us in writing (must be signed by the authorised signatories) of any changes to details which you have given us. This may be a new postal address, a change of name or new financial institution account details for distribution payments.

We will send you written confirmation of any changes. Please quote your Investor Number when you contact us.

### Collecting and using your information

We collect information for the following purposes:

- to process your application;
- to administer your investment and provide you with reports;
- to monitor and improve the quality of service provided to you; and
- to comply with regulatory or legal requirements, including the Corporations Act, the Proceeds of Crime Act, the Financial Transaction Reports Act, the Taxation Administration Act and the Anti-Money Laundering and Counter-Terrorism Financing Act.

We also ask you for some personal details so that we, and our related companies, can keep in touch with you and tell you on an ongoing basis about our other products and services that could be useful to you. We may do this by telephone, electronic messages (eg. email), online and other means. Please contact us if you do not wish your details to be used for marketing purposes.

We may gather information about you from a third party. These include credit agencies, financial advisers, fund managers or intermediaries and spouses. We may also collect details of your interactions with us and our products and services (including from our records of any telephone, email and online interactions).

If you provide someone else's personal information to us, you must ensure that they first agree on the basis of this privacy section.

### Disclosing your information

We exchange your personal information with your consultant/adviser and third parties appointed by your consultants/adviser if you complete section 10 of the Application Form, or if you request us to, and to any other authorised representative of yours (such as your accountant or lawyer) from time to time.

In addition, we may exchange personal information about you in the following circumstances:

- you consent to the disclosure;
- with any joint investor;
- with companies that provide services to us, to our related companies, to the Fund, or on our behalf (and our related companies may also exchange personal information with these companies) - for example administration, custody, investment management, technology, identity verification, auditing, registry, mailing or printing services; or
- where required or authorised by law, which may include disclosures to the Australian Taxation Office and other Government or regulatory bodies; or
- with organisations related to us whether in Australia or any overseas jurisdiction ('Related Companies').

In some cases, the types of organisations referred to above to whom we will disclose your personal information may be located in Switzerland, China, Hong Kong, India, New Zealand, Poland, Singapore, United Kingdom, United States of America and other countries.

## Section 6. Foreign Account Tax Compliance Act (FATCA)

The Fund is registered as a Reporting Australian Financial Institution under the intergovernmental agreement entered into between the Australian and United States (US) governments in relation to FATCA on 28 April 2014 (IGA).

As a Reporting Australian Financial Institution, we will conduct due diligence on prospective investors in the Fund and on existing unit holders. Prospective investors (including existing unit holders applying for additional units) will need to provide us with certain information and/or documentation when applying for units. Existing unit holders will need to provide us with certain information and/or documentation on request. We will report information in respect of certain unit holders and their unit holdings in the Fund to the Australian Taxation Office (ATO). Broadly, we will report to the ATO information in respect of unit holders who are:

- U.S. citizens or residents,
- certain types of U.S. entities, or
- certain types of non-U.S. entities that are controlled by one or more U.S. citizens or residents.

We are also required to report to the ATO the details of any

payments we make to 'Non-participating Financial Institutions', as such term is defined in the IGA.

If you are an existing unit holder and you do not provide us with the required documentation upon request we may be required to report information in respect of you and your unit holding in the Fund to the ATO.

If you are a new investor (including an existing unit holder applying for additional units) and you do not provide us with the required information and/or documentation on request, we may not issue units to you. Alternatively, we may report information in respect of you and your unit holding in the Fund to the ATO.

In accordance with the IGA, the ATO will share information reported to it by Australian financial institutions with the U.S. Internal Revenue Service.

For further information in relation to how our due diligence and reporting obligations under the IGA may affect you, please consult your tax adviser.

## Section 7. Acknowledgments and signatures

By signing this form I/we agree that OneVue and the unit registry are entitled to act on the instructions, without further enquiry and these instructions supersede and have priority over all previous instructions in respect to my/our investment.

### Who needs to sign this form

*Individual* – where the investment is in one name, the account holder must sign.

*Joint Holding* – where the investment is in more than one name, all of the account holders must sign.

*Companies* – where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

*Trust* – the trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.

*Power of Attorney* – if you have not already lodged the Power of Attorney with us, please attach an original certified copy of the Power of Attorney document that includes Certificate of Witness and Statement of Acceptance and original Certified Identification Document of the Power of Attorney. I/We attest that the Power of Attorney has not been rescinded or revoked and that the Donor is still living.

### Transferor/Seller

#### Signature of investor 1, director or authorised signatory

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- Director  
 Sole director and company secretary  
 Authorised signatory

#### Signature of investor 2, director/company secretary or authorised signatory

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- Director  
 Company secretary  
 Authorised signatory

## Section 7. Acknowledgments and signatures (continued)

### Transferee/Buyer\*

Signature of investor 1, director or authorised signatory

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- Director  
 Sole director and company secretary  
 Authorised signatory

### Signature of investor 2, director/company secretary or authorised signatory

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- Director  
 Company secretary  
 Authorised signatory

\*I acknowledge I have read the current Product Disclosure Statement