

# In specie transfers to Navigator Personal Investment Plan



## Deposit

Please complete these instructions in **black ink** using BLOCK letters.

This form should be completed when you want to transfer investments in specie into the Navigator Personal Investment Plan (the 'Service') or into the Integrated Separately Managed Account (the 'SMA') ARSN 138 086 884 within the Service. The Service is issued by Navigator Australia Limited ABN 45 006 302 987 AFSL 236466 (the 'Operator').

You may also need to complete:

- In specie transfers transaction/parcel history for Investment funds and Shares – Navigator Personal Investment Plan
- Incomplete transaction/parcel history declaration (included with this form)
- Deposit Australian Standard Transfer Form Shares Only – Navigator Personal Investment Plan

### Mailing details

**Please mark: 'Private & Confidential' and send to:**

Aviva  
In specie Transfers  
GPO Box 2567W  
Melbourne VIC 3001

Please note:

- original forms are required, copies or faxes of this form cannot be accepted
- for transfers involving investment funds, the Operator will generate Standard Transfer Forms if they are not already provided by the existing investment provider

## Important notes

- The Operator can only accept investments listed in the current Investment Allocation Authority and Shares List, or in limited circumstances by special agreement. Speak to your financial adviser for more details. For a complete list of approved investment funds and shares please refer to [aviva.com.au](http://aviva.com.au)
- New Navigator Personal Investment Plan investors must deposit a minimum of \$1,000 into their Cash Account upfront to cover stamp duty and fees (such as Ongoing Administration Fee) plus the minimum Cash Account requirement, in order to avoid investment sell downs in the quarterly minimum liquidity process.
- Existing investors must ensure there are sufficient funds in their Cash Account to cover stamp duty and fees.
- No further transactions on an investment fund and/or share being transferred can occur until the in specie transfer is complete.
- Taking into consideration the complexity of the process, an in specie transfer could take up to three months to complete. The timing is dependent

on processing by third parties such as the existing investment provider, state revenue offices, fund managers, custodians and brokers.

- Where there is a change of beneficial ownership, transaction/parcel history is not required. The units will be transferred at applicable market price.

### For transfers involving no change of beneficial ownership

- For accurate future capital gains tax reporting by the Operator you must provide a transaction/parcel history for each investment fund and/or share transferred.
- A transaction/parcel history for each investment fund and/or share transferred must be provided, or the *Incomplete transaction/parcel history declaration* must be provided, before any investment transactions can be processed.
- Complete transaction/parcel history **must** be provided to transfer shares in specie into the SMA. Any share which does not have complete transaction/parcel history cannot be transferred into the SMA.

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# 1 Investor details

Investor account name

Investor address

  
 State  Postcode 

Investor phone number

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# 2 Transfer details

Please select one:

I am not transferring investment funds and/or shares into an existing account. (Please attach this form to a completed Navigator Personal Investment Plan Application Form)

OR

I am transferring investment funds and/or shares into an existing account.

Investor account number:

This in specie transfer includes:

Investment funds  Shares  Shares into the SMA

**Transfer type#:**

Please select one only:

- no change in beneficial ownership (please read and sign the No change in beneficial ownership declaration)
- change in beneficial ownership (please read and sign the Change in beneficial ownership declaration); or
- combination of no change in beneficial ownership and change in beneficial ownership (please read and sign both the No change in beneficial ownership declaration and the Change in beneficial ownership declaration)

**Please note: If no selection is made the transfer will be processed as no change in beneficial ownership.**

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# 3 Transfer to the SMA

Complete this section if you would like to transfer your shares into the SMA.

I am transferring shares into the SMA.

Transfer shares into the following Model Portfolio within the SMA: APIR code:

Name

I would like the following additional cash investment transferred into the SMA:

\$ ,  .

**Please note:**

- you can only transfer shares into one nominated Model Portfolio,
- this form can not be used to transfer shares and cash that are already held within the Service into the SMA, these instructions must be provided via n-link,
- you **must** provide complete transaction/parcel history for each share transferred into the SMA,
- the nominated additional cash investment will be transferred from your Cash Account with the Service if a deposit is not made,
- shares being transferred into the SMA which are not part of the chosen Model Portfolio will be sold down, and
- shares being transferred into the SMA may be sold down where the weighting or holding is greater than required in the Model Portfolio.

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## 4 Cash investment amount

Please select one:

**New investors**

New investors must deposit a minimum of \$1,000 into their Cash Account to cover stamp duty and fees (such as the Ongoing Administration Fee) plus the minimum Cash Account requirement, in order to avoid investment sell downs in the quarterly minimum liquidity process.

My initial cash investment is:

\$ , .

**OR**  **Existing investors**

Existing investors must ensure there are sufficient funds in their Cash Account to cover stamp duty and fees.

My additional cash investment is:

\$ , .

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## 5 Fee structure

### Adviser initial remuneration<sup>#</sup>

Customised Entry Fee (to a maximum 4.29%<sup>\*</sup>)  .  % **OR**  Deferred entry fee<sup>^</sup> Option one  
 Deferred entry fee<sup>^</sup> Option two

Financial adviser signature

Date

/  /

<sup>#</sup> If no initial fee is specified the Operator will charge a Nil initial fee.

<sup>\*</sup> Inclusive of GST.

<sup>^</sup> Exit fees will apply if you fully redeem from this option within the first four years.

For a full explanation of fees refer to the IDPS Guide for the Service.





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## 6 Investments to be transferred (continued)

### Complete transaction/parcel history

For investment funds and/or shares where you are providing complete transaction/parcel history please complete the *In specie transfers transaction/parcel history for Investment funds and Shares – Navigator Personal Investment Plan* spreadsheet available on n-link and aviva.com.au

Please e-mail this spreadsheet to services@aviva.com.au at the same time you post this form to us.

Please put 'Transaction History – <investor account no> (if applicable) – <client name>' in the subject line.

**The in specie transfer will not be processed until we have received complete transaction/parcel history, or the *Incomplete transaction/parcel history declaration* has been provided.**

### Incomplete transaction/parcel history

For each investment fund and/or share where you do not provide complete transaction/parcel history you will need to complete the *Incomplete transaction/parcel history declaration* at the end of this form.

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## 7 Authorisation

**I request that legal ownership of the assets listed in section 6 be transferred from:**

Investment provider name

Service name (if applicable)

Provider reference/account number

Name investments are listed in (Note: Refer to the last statement from your provider or fund manager)

Address of provider/fund manager

 State  Postcode 

Phone number of provider/fund manager

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**I request that legal ownership of the assets listed in section 6 be transferred to:**

Navigator Australia Limited – Navigator Personal Investment Plan

## 8 Declaration

By signing in section 10, I/we declare that:

- (a) I/we have read and understood the current Navigator Personal Investment Plan IDPS Guide (including any Supplementary IDPS Guide) to which this application relates and the Applicant Declarations in the Navigator Personal Investment Plan IDPS Guide (including any Supplementary IDPS Guide) and Financial Services Guide.
  - (b) I/we have read and reviewed the disclosure document for each of the underlying investment funds selected.
  - (c) I/we authorise the Operator to deduct any fees, charges, taxes and duties associated or incurred in relation to this transfer from my Cash Account or (if applicable) by sale of assets to cover such costs. Where the Cash Account balance is insufficient to pay any fees or charges, I/we authorise the Operator to redeem investments in my Navigator Personal Investment Plan account, unless otherwise directed, in the order in which they appear in the current Investment Allocation Authority.
  - (d) I/we release and indemnify the Operator from and against any costs, losses, liabilities or other expenses arising as a result of:
    - (i) the Operator acting upon information and/or instructions contained in or attached to this form; and
    - (ii) the Operator processing the transfer of the assets specified in section 6.
  - (e) I/we authorise the Operator to access information from relevant third parties for the purposes of administering this transfer.
  - (f) I/we understand that if a Standard Transfer Form is lost after it has been presented, the Operator will postpone the transfer until it is recovered or until suitable verification is received that it will not be presented. The Operator will not complete a transfer until all completed forms have been received.
  - (g) Any stamp duty liability in respect of the assets specified above was paid at the time of purchase of these assets.
- (b) I am/we are the beneficial owner(s) of the assets to be transferred to the Operator as specified in section 6.
  - (c) The transfer of the assets specified in section 6 will not result in a change of beneficial ownership and the units or shares transferred will be held by the Operator on behalf of the same beneficial owner.
  - (d) The transfer of the assets specified in Section 6 is not part of a scheme under which beneficial ownership may or will pass.
  - (e) Any transaction/parcel history provided for investment fund/s and/or shares is accurate.

### Change in beneficial ownership declaration

In signing I/we acknowledge that in relation to the transfer to the Operator – Navigator Personal Investment Plan of the investment funds and/or shares listed in section 6 of this form:

- (a) I/We are the registered holder(s) and undersigned Seller(s) of the listed consideration hereby transfer to the above named Buyer(s) the investment funds and/or shares as specified above existing in my/our name(s) and;
- (b) The transfer of the assets specified in Section 6 is a change of beneficial ownership and the units or shares transferred will be held on behalf of a new beneficial owner
- (c) The transfer of the assets specified in Section 6 is part of a scheme under which beneficial ownership may or will pass.

### Statutory declaration for investment funds domiciled in the Australian Capital Territory

If you are transferring any of the following investment funds where there is no change in beneficial ownership:

- Australian Ethical Balanced Trust (AUG0001AU)
- Australian Ethical Equities Trust (AUG0002AU)
- Australian Ethical Large Companies Share Trust (AUG0004AU)

Please complete the *Statutory Declaration – No Change in Beneficial Ownership – Transfer in* form located on [aviva.com.au](http://aviva.com.au)

### No change in beneficial ownership declaration

In signing I/we acknowledge that in relation to the transfer to the Operator – Navigator Personal Investment Plan of the investment funds and/or shares listed in section 6 of this form:

- (a) I am/We are the registered holder(s) and undersigned Seller(s) of the listed consideration hereby transfer to the above named Buyer(s) the investment funds and/or shares as specified above existing in my/our name(s) and;

## 9 Checklist

Please complete this checklist. If you do not fully complete this checklist we may not be able to progress with the in specie transfer.

	Yes	No
1. I/we have completed and signed the <i>In specie transfers to Navigator Personal Investment Plan – Deposit</i> form	<input type="checkbox"/>	<input type="checkbox"/>
2. I/we have completed a <i>Navigator Personal Investment Plan Application Form</i> (new investors only).	<input type="checkbox"/>	<input type="checkbox"/>
3. I/we confirm that all investment funds to be transferred to the Operator are listed within the current Investment Allocation Authority or by special agreement with the Operator. Speak to your financial adviser for more details.	<input type="checkbox"/>	<input type="checkbox"/>
4. If the transfer includes shares, the shares are listed in the most recent Shares List located on <a href="http://aviva.com.au">aviva.com.au</a>	<input type="checkbox"/>	<input type="checkbox"/>
5. There are sufficient funds in my/our Cash Account (existing investor) or a cash deposit included (new investor) with the transfer to cover the minimum cash holdings, Operator fees and any associated stamp duty, in order to avoid investment sell downs in the quarterly minimum liquidity process.  <b>A minimum \$1,000 cash deposit must be contributed with an in specie transfer (new accounts only).</b>	<input type="checkbox"/>	<input type="checkbox"/>
6. For investment funds and/or shares, where I/we have indicated I am/we are providing complete transaction/parcel history, that I/we have completed the <i>In specie transfers transaction/parcel history for Investment funds and Shares – Navigator Personal Investment Plan</i> spreadsheet and e-mailed the spreadsheet to <a href="mailto:services@aviva.com.au">services@aviva.com.au</a>	<input type="checkbox"/>	<input type="checkbox"/>
7. For shares where I/we have indicated they are being transferred to an SMA, I am/we are providing complete transaction/parcel history and have completed the <i>In specie transfers transaction/parcel history for Investment funds and Shares – Navigator Personal Investment Plan</i> spreadsheet and e-mailed the spreadsheet to <a href="mailto:services@aviva.com.au">services@aviva.com.au</a>	<input type="checkbox"/>	<input type="checkbox"/>
8. If the transfer includes investment funds and/or shares where I am/we are not providing complete transaction/parcel history, that I/we have completed the <i>Incomplete transaction/parcel history declaration</i> at the end of this form.	<input type="checkbox"/>	<input type="checkbox"/>
9. For shares, a <i>Deposit Australian Standard Transfer Form Shares Only – Navigator Personal Investment Plan</i> has been completed for each share.	<input type="checkbox"/>	<input type="checkbox"/>
10. Where the transfer involves the three investment funds domiciled in the Australian Capital Territory, that you have completed the <i>Statutory Declaration – No Change in Beneficial Ownership – Transfer in</i> form located on <a href="http://aviva.com.au">aviva.com.au</a>	<input type="checkbox"/>	<input type="checkbox"/>

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## 10 Signature

### (A) Individual or joint applicants sign here.

If the account is in joint names, both people must sign.

#### Investor one

Full name of investor one

Signature of investor one

Date

#### Investor two

Full name of investor two

Signature of investor two

Date

### (B) Companies or trusts sign here

If signing under company seal, we confirm it was affixed in my/our presence.

Full name of Director/Trustee

Signature of Director/Trustee

Date

Full name of Director/Sole Director or Secretary/Trustee (delete as applicable)

Signature of Director/Sole Director or Secretary/Trustee (delete as applicable)

Date

#### Company Seal

(if required under your company's constitution)

Company Seal (if required under your company's constitution)
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## 11 Privacy

By completing this form, you consent to any personal and sensitive information we collect about you being used and disclosed as outlined in our privacy policy which can be obtained on [aviva.com.au](http://aviva.com.au), or by writing to the Operator.

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## 12 Adviser details

Adviser name

Adviser code

Office

Dealer group

Contact name

Contact phone number

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## Declaration

I/we understand that any investment fund and/or share transferred that does not have a complete transaction/parcel history may result in incorrect capital gains tax being calculated and reported by the Operator for as long as the investment fund and/or share is invested in the Service.

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## Signatures

### (A) Individual or joint applicants sign here.

If the account is in joint names, both people must sign.

#### INVESTOR ONE

Full name of investor one

Signature of investor one

Date

#### INVESTOR TWO

Full name of investor two

Signature of investor two

Date

### (B) Companies or trusts sign here.

If signing under company seal, we confirm it was affixed in my/our presence.

Full name of Director/Trustee

Signature of Director/Trustee

Date

Full name of Director/Sole Director or Secretary/Trustee (delete as applicable)

Signature of Director/Sole Director or Secretary/Trustee (delete as applicable)

Date

Company Seal  
(if required under your company's constitution)