

# Transfer form

Please use this form if you are an existing investor and wish to transfer units to another investor.

Transferring units may have tax consequences for you. You may wish to speak to your tax adviser before submitting this form.

**1.** Please complete all sections in capital letters and using a black pen.

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

If you are transferring units to an existing investor, please complete the following:

- Section 1 – by the transferor/seller
- Section 2 – transfer details
- Section 3 – by the transferee/buyer
- Section 5 – by the transferee/buyer, but only if they do not currently hold units in the relevant Fund
- Section 6 – by both the transferor and transferee

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

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

- Section 1 – by the transferor/seller
- Section 2 – transfer details
- Section 4 – by the transferee/buyer. Note the transferee also needs to complete account opening documentation
- Section 5 – by the transferee/buyer, but only if they do not currently hold units in the relevant Fund
- Section 6 – by both the transferor and transferee

**Legal Notices**

Equity Trustees Ltd AFSL No. 240975 (Equity Trustees) and referred to as Equity Trustees throughout the document, is the issuer of units in the Allan Gray Australia Equity Fund, Allan Gray Australia Balanced Fund and the Allan Gray Australia Stable Fund (together Funds).


Personal information is collected on this form by Equity Trustees and Allan Gray including their delegates, such as SS&C Solutions Pty Ltd and Orbis, (together us), for the purposes of maintaining the register of unitholders, facilitating distribution payments and other unitholder communications required or permitted by the Corporations Act 2001 or other legislation. Your personal information may be disclosed to external service companies such as print or mail service providers, to Allan Gray, Orbis or to the Funds' custodian, or as otherwise required or permitted by law. If you would like details of your personal information held by us, or you would like to correct information that is inaccurate, incorrect or out of date, please contact Allan Gray. Our privacy policy is available on our website, [allangray.com.au](http://allangray.com.au) In accordance with the Corporations Act 2001, you may be sent material (including marketing material) approved by Equity Trustees, Allan Gray or Orbis in addition to general corporate communications. You may elect not to receive marketing material by contacting Allan Gray using the details on this form. If you are a New Zealand retail investor, we cannot add you to our marketing list. Allan Gray means Allan Gray Australia Pty Ltd AFSL No. 298487 as manager for the Funds. Orbis means Orbis Investment Advisory Pty Ltd AFSL No. 237862 and its associates.


**2.** Send your documents to us.

Before you submit your transfer form, please double check that:

- both the transferor and transferee have signed the transfer form
- you included any account opening documentation if transferring to a new investor (application form, identification form and certified copies of required identification documents).

**Please post or email your signed transfer form and (if applicable) your application form, identification form and certified copies of required identification documents to us.**

 [instructions@registry.allangray.com.au](mailto:instructions@registry.allangray.com.au)

 Allan Gray Funds Unit Registry  
GPO Box 804  
Melbourne VIC 3001  
Australia

Due to Australia's Anti-Money Laundering/Counter Terrorism Financing laws, if you are a new investor, your application form cannot be processed until all relevant identification documents are received.

**Should you require any assistance please contact us:**

**Australia** 1300 604 604  
**International** +61 2 8224 8604  
[clientservices@allangray.com.au](mailto:clientservices@allangray.com.au)  
[allangray.com.au](http://allangray.com.au)

## 1. Transferor/Seller details

Account number

Account name

## 2. Transfer details

Please indicate which Fund your transfer relates to.

### Allan Gray Australia Equity Fund – Class A

AUD consideration

Units

### Allan Gray Australia Equity Fund – Class B

AUD consideration

Units

### Allan Gray Australia Balanced Fund

AUD consideration

Units

### Allan Gray Australia Stable Fund

AUD consideration

Units

Note – the transfer will only be finalised if the minimum account balance requirement is met by both the Transferor and the Transferee after this transfer is processed.

## 3. Transferee/Buyer – existing investors only

If you are transferring units to an existing investor, please complete the account details below.

Account number

Account name

## 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 any new investors who have never invested in any Allan Gray or Orbis Fund in Australia and are available from [allangray.com.au](http://allangray.com.au), under the 'Forms & Documents' section.

- Application form
- Identification form

### New investor details

Title	<input type="text"/>
Full name(s)	<input type="text"/>
Surname	<input type="text"/>
Company/Trust/ Superannuation Fund	<input type="text"/>

## 5. Transferee/Buyer – investing into a new Fund

Please complete the following for any new Fund received as a result of this transfer request.

### Distribution instructions

Distributions may be reinvested or paid to your Australian bank account. Please indicate your choice below. If you do not have an Australian bank account, or do not make a choice below, we will reinvest your distribution into the Fund.

	Reinvest		Pay to my bank account
Allan Gray Australia Equity Fund – Class A	<input type="checkbox"/>	or	<input type="checkbox"/>
Allan Gray Australia Equity Fund – Class B	<input type="checkbox"/>	or	<input type="checkbox"/>
Allan Gray Australia Balanced Fund	<input type="checkbox"/>	or	<input type="checkbox"/>
Allan Gray Australia Stable Fund	<input type="checkbox"/>	or	<input type="checkbox"/>

### Fund annual financial report options

Please indicate if you wish to receive the Fund's annual financial report. If no election is made, we will not send you a copy. You can access the latest report from [eqt.com.au/allangrayfunds](http://eqt.com.au/allangrayfunds)

- I would like to receive the Fund annual financial report by email.
- I would like to receive the Fund annual financial report by post.

## Information about you

If you are transferring units to an investor who currently does not hold units in the relevant Fund, the transferee/buyer MUST complete the six questions below for each new Fund, to help us meet our legal requirements. The answers will be kept confidential and only made available to the relevant Fund's responsible entity, investment manager and other organisations that require the information to assist in the administration of the investment in the Fund(s).

**Instructions:** Please answer the questions for each new Fund you intend to invest in (e.g. if you are investing in 2 funds, you need to complete the 2 relevant columns).

	Allan Gray Australia Equity Fund – Class A	Allan Gray Australia Equity Fund – Class B	Allan Gray Australia Balanced Fund	Allan Gray Australia Stable Fund
<b>1. Have you received personal financial advice regarding investing in the relevant Fund?</b>				
<b>Yes</b> – I/we have received financial advice from a licensed financial adviser that did consider my/our personal financial situation or needs (i.e. personal advice).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>No</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>2. Please tell us what is your main reason for investing in the Fund. I/We are seeking (choose one for each relevant Fund):</b>				
<b>Capital growth</b> – Looking for capital returns above inflation by mainly investing in growth assets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Capital preservation</b> – Looking to minimise loss in market downturns by mainly investing in defensive assets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Income distribution</b> – Looking for regular and/or tax effective income distribution.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>3. Looking at your total investment portfolio, is the proposed investment in the Fund going to be (choose one for each relevant Fund):</b>				
<b>A standalone solution</b> (up to 100% of your total investment portfolio)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>A major allocation</b> (up to 75% of your total investment portfolio)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>A core component</b> (up to 50% of your total investment portfolio)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>A minor allocation</b> (up to 25% of your total investment portfolio)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>A satellite allocation</b> (up to 10% of your total investment portfolio)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Allan Gray Australia Equity Fund – Class A	Allan Gray Australia Equity Fund – Class B	Allan Gray Australia Balanced Fund	Allan Gray Australia Stable Fund
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**4. I/ We are investing in the Fund for the (choose one for each relevant Fund):**

**Long term** (7 years or more)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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**Medium to long term** (equal to 5 years but less than 7 years)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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**Medium term** (more than 2 years but less than 5 years)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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**Short term** (up to and including 2 years)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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**5. Please select the statement that best describes your investment risk profile (choose one for each relevant Fund):**

**Extremely high** – I/we can tolerate significant volatility and losses as I/we are seeking to obtain accelerated returns, potentially over a short timeframe.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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**Very high** – I/we can tolerate more than 6 periods of negative return over 20 years and seek to maximise returns from this investment, typically over a medium or long timeframe.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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**High** – I/we can tolerate up to 6 periods of negative return over 20 years in order to achieve higher returns from this investment.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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**Medium** – I/we can tolerate up to 4 periods of negative return over 20 years and a moderate target return from this investment.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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**Low** – I/we can tolerate up to 1 period of negative return over 20 years and a low target return from this investment.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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**6. Under normal circumstances, within what period do you expect to be able to access your funds for this investment (choose one for each relevant Fund)?**

Within one week

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Within one month

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Within three months

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Within one year

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Within five years

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Within ten years

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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More than ten years

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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## 6. Acknowledgement and signatures

By completing and signing this form:

- you authorise us to act according to the instructions on this form
- you acknowledge that the instructions on this form supersede, and have priority over, all previous instructions received by us, and
- the transferee/buyer confirms that it has read and understood the Target Market Determination (TMD) for the relevant Allan Gray Fund, available at [allangray.com.au/PDS-TMD-documents](http://allangray.com.au/PDS-TMD-documents)
- the transferee/buyer has carefully considered the features of the relevant Allan Gray Fund as described in the PDS and TMD (including its investment objectives, minimum suggested investment timeframe, risk level, withdrawal arrangements and investor suitability) and it is satisfied that its proposed investment in the relevant Allan Gray Fund is consistent with its investment objectives, financial circumstances and needs
- the transferee/buyer, acknowledge and agree that an acceptance of this form is not a representation or confirmation from EQT or Allan Gray Australia that an investment in the relevant Fund is or is likely to be consistent with your objectives, financial situation and needs, as indicated in your responses to the questions in Part 1 of section 5 (if completed)
- you acknowledge that a failure to complete the mandatory questions in Part 1 of section 5 (if applicable) may delay or stop this transaction from being accepted
- you agree to indemnify us from and against all losses, costs, expenses, claims, actions or proceedings brought against us in connection with following your instructions on this form.

### Signing instructions

**Individual/Sole Trader** – 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 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 this form is signed.

**Trust** – the trustee(s) must sign this form, as permitted by the trust deed (for example if the deed says two trustees must sign, then this form must be signed by two trustees). If the trustee is a company, then the signing instructions under 'Companies' apply. 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 a copy of the Power of Attorney, certified on every page. You will also need to give us a certified copy of photo identification to satisfy Anti-Money Laundering requirements.

# Transfer form

## Transferor/Seller

### Signature of investor 1

Director or authorised signatory

Full name(s)

Date

Company officer (please indicate company capacity)

- Director
- Sole director and company secretary/sole trader
- Authorised signatory

### Signature of investor 2

Director/company secretary or authorised signatory

Full name(s)

Date

Company officer (please indicate company capacity)

- Director
- Company secretary
- Authorised signatory

## Transferee/Buyer

### Signature of investor 1

Director or authorised signatory

Full name(s)

Date

Company officer (please indicate company capacity)

- Director
- Sole director and company secretary/sole trader
- Authorised signatory

### Signature of investor 2

Director/company secretary or authorised signatory

Full name(s)

Date

Company officer (please indicate company capacity)

- Director
- Company secretary
- Authorised signatory