

Requirements for dealing with Deceased Estate investor units

Balmain AQUA Income Trusts

If the investment is being transferred, please provide:

Where an application for Probate or Letters of Administration has been made

1. An original certified copy of *Probate or Letters of Administration; and
2. Standard Transfer Form (available on Balmain AQUA website) completed and signed by the Executor/s on behalf of the estate (transferor) and the beneficiary/recipient (transferee) stamped; and
3. An Off Market Transfer Form to be completed and signed by the new unit holder/s (the recipient/s of the transfer) (available on Balmain AQUA website).

* Where Probate or Letters of Administration have been granted in a State or Territory other than where the units are registered (ie. NSW), a Section 1071B Corporations Act 2001 Statement (available on Balmain AQUA website) must be lodged.

Where the estate is a "small estate" (ie. where no application has been made for Probate as the total value of the estate does not exceed \$25,000.00) consideration will be given to transmission on receipt of;

1. A certified copy of death certificate; and
2. A certified copy of the Will to establish the identity of the Executors; and
3. A completed "Small Estates Indemnity" form; and
4. Standard Transfer Form (available on the Balmain AQUA website) completed and signed by the Executor/s on behalf of the estate (transferor) and the beneficiary/recipient (transferee) stamped; and
5. An Off Market Transfer Form (available on Balmain AQUA website) to be completed and signed by the new unit holder/s (the recipient/s of the transfer); and

Upon receipt of the required documentation, completed Off Market Transfer Form and stamped standard transfer form, we will then transfer the units to the transferee at the next valuation.

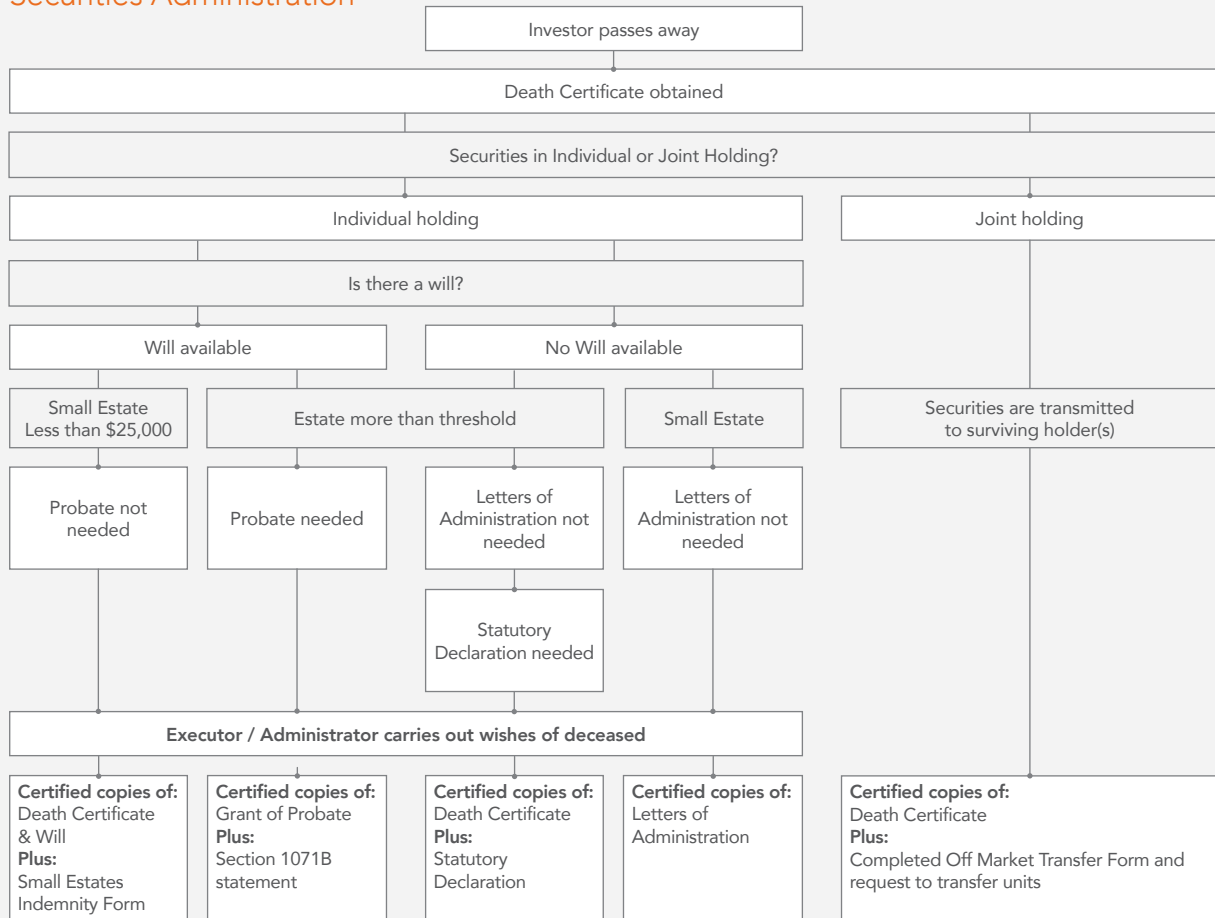
Transfer to Surviving Party – Joint Investment

A deceased unit holders units, if held jointly, will be transferred to the surviving joint unit holder/s upon provision of the below documents;

1. A certified copy of death certificate
2. A complete Transfer Request signed by the executors/or surviving party or an original letter requesting the transfer signed by the executor/s or surviving party

For further information please contact our Investor Services Team on 1800 225 624 or send an email to balmainfunds@balmain.com.au

Securities Administration



Glossary of Terms used in this document

Death Certificate

A legal document confirming the cause of death, issued by the Registrar of Births, Deaths and Marriages in each state. This is not the same as a "Medical Certificate as to Cause of Death" which is not acceptable as a supporting document when transferring securities from a deceased estate.

Will

A legal document setting out the wishes of the deceased for the distribution of their assets.

Threshold

The maximum value of an asset above which Probate is required. The threshold for the Balmain AQUA Income Funds is \$25,000.

Grant of Probate

An official court document stating that the will is legally valid and the named Executor of the Will has the authority to administer the estate.

Letters of Administration

An official court document issued where there is no Will, appointing an Administrator to administer the estate of the deceased, similar to an Executor.

Statutory Declaration

A written statement declared to be true and made before a prescribed witness such as Justice of the Peace. Where the diagram shows that there is no Will or Letters of Administration, a Statutory Declaration by the Next of Kin is needed.

Next of Kin

Usually the surviving spouse, if no spouse, then the parents of the deceased. Note that under State law there are specific rules for identifying Next of Kin.

Certified Copy

A copy of a document which has been certified to be a true copy of the original by an authorised person such as a Justice of the Peace.