

Form AD4

Application to register the transfer or partial transfer of an authority

Mining Act 1992

February 2018 | v2.4

More information

For help with lodging this application, or for more information about authorisations in New South Wales, contact:

Division of Resources and Geoscience

Titles Customer Assistance Line

Phone +61 2 4931 6500 (9:30am-4:30pm)

titles.services@industry.nsw.gov.au

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Privacy statement

This information is collected by the NSW Department of Planning and Environment for the purposes of assessing an application for an authorisation or an application associated with an authority as required by the *Mining Act 1992* or *Mining Regulation 2016*.

This information may also be used by the Department to confirm applicant details in the event that subsequent applications are made, and may also be used to establish and maintain databases to assist the Department with its work generally.

Except for purposes required by law, the information will not be accessed by any third parties in a way that would identify the person without the consent of that person.

You may apply to the Department to access and correct any information the Department holds if that information is inaccurate, incomplete, not relevant or out of date.

When to use this form

Complete this form if you are applying to register the transfer or partial transfer of an authority in New South Wales. This includes exploration licences, assessment leases, mining leases, exploration (mineral owner) licences, assessment (mineral owner) leases and mining (mineral owner) leases. Either the transferor or the transferee can lodge this application.

This form has been prepared for the purposes of [Section 122](#) of the *Mining Act 1992*.

This form can be used by companies or individuals. If there is insufficient room in the fields, please provide the information as an attachment.

Important notes

[Section 122](#) of the *Mining Act 1992* contains the requirements relating to the Registration of a Transfer.

A transfer is to be registered **within three months** of being notified of the approval. **The application to register the transfer will not be accepted unless:**

- **the relevant transfer has been approved;**
- **no caveats have been lodged that prevent registration;**
- **evidence that the required security deposit from the transferee is in place; and**
- **in the case of mineral owner authorities, the mineral/s is owned by the transferee.**

The transfer will not take effect and the transferor will remain liable for any rent and levy until the transfer is registered.

If this application is lodged by any party other than the applicant/s (ie. an agent), the NSW Department of Planning and Environment (Department) may seek confirmation of that authority and any limits of that authority given to that other party by the applicant ([Section 163F](#) of the *Mining Act 1992* and [Clause 97](#) of the *Mining Regulation 2016*). The agent will need to complete the declaration at the end of this form and supply evidence of their appointment, if not already supplied to the Department.

How to submit this form

- **By email:** Send an electronic copy of the form including any attachments to titles.services@industry.nsw.gov.au
- **By mail:** Mail your form, any attachments to Division of Resources and Geoscience, Titles Services, PO Box 344, Hunter Region Mail Centre NSW 2310
- **In person:** Submit your application in person at the Division of Resources and Geoscience's Titles Services office, 516 High Street, Maitland, New South Wales. Office hours are 9.30am to 4.30pm.

Next steps

The transfer registration only takes effect once this application is receipted (see [Section 122\(3\) of the Mining Act 1992](#)).

Receipting will occur when the application is fully submitted. The Secretary for Planning & Environment (or delegate) will then register the transfer.

1 Authority details

Type	Number	Act
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

2 Current authority holder(s) details

Provide the full name of the current authority holder/s (i.e. transferor) and if applicable, the ACN or ARBN (for foreign companies).

Name	<input type="text"/>
ACN / ARBN	<input type="text"/>
Name	<input type="text"/>
ACN / ARBN	<input type="text"/>
Name	<input type="text"/>
ACN / ARBN	<input type="text"/>

Additional authority holders

Provide the full name and if applicable, the ACN or ARBN (for foreign companies) of additional authority holders.

3 Transferee details

Provide the full name, registered street address and if applicable, the ACN or ARBN (for foreign companies) of the transferee/s. The registered street and postal address will be retained by the Department for administrative purposes.

Name	<input type="text"/>
Contact phone/email	<input type="text"/>
	<input type="checkbox"/> This is an individual and is at least 18 yrs old.
ACN / ARBN	<input type="text"/>
Registered street address	<input type="text"/>
Postal address	<input type="checkbox"/> Same as above Enter here if different

Name	<input type="text"/>
Contact phone/email	<input type="text"/>

This is an individual and is at least 18 yrs old.

ACN / ARBN	<input type="text"/>
Registered street address	<input type="text"/>
Postal address	<input type="checkbox"/> Same as above Enter here if different

Name	<input type="text"/>
Contact phone/email	<input type="text"/>

This is an individual and is at least 18 yrs old.

ACN / ARBN	<input type="text"/>
Registered street address	<input type="text"/>
Postal address	<input type="checkbox"/> Same as above Enter here if different

Additional transferees

Provide the full name, ACN or ARBN (for foreign companies), registered street address and postal address details of additional transferee/s.

<input type="text"/>

3.1 Mineral owner authority/s

Is the authority/s to be transferred a mineral owner authority?

- No, **Go to Question 4.**
- Yes, **Continue to Q3.1.1.**

3.1.1 Evidence of mineral ownership

Evidence that the transferee/s is the owner of the mineral/s to which the authority/s to be transferred relate must be provided prior to registration. This may have been provided with the application for approval of the transfer or the transfer approval may have been conditional upon this being provided. For the purposes of confirming a transferee's ownership of any mineral, the Secretary may require the applicant to provide further information, which may include written advice from an Australian legal practitioner certifying that the relevant evidence establishes that the transferee owns the mineral.

- I provided evidence of mineral ownership with the application for approval.
- I have attached evidence of mineral ownership.

4 Contacts for this application

Any correspondence in relation to this application will be sent to the holder and a copy provided to the transferee.

4.1 Holder contact details

Holder contact name	<input type="text"/>
Position held	<input type="text"/>
Company	<input type="text"/>
Postal address	<input type="text"/>
Phone (inc. area code)	<input type="text"/>
Mobile	<input type="text"/>
Email	<input type="text"/>

Preferred contact method

- Email (For companies – provide a generic company email address which is regularly monitored rather than an individual employee’s email address.)
- Mail (including DX)

4.2 Transferee contact details

Transferee contact name	<input type="text"/>
Position held	<input type="text"/>
Company	<input type="text"/>
Postal address	<input type="text"/>
Phone (inc. area code)	<input type="text"/>
Mobile	<input type="text"/>
Email	<input type="text"/>

Preferred contact method

- Email (For companies – provide a generic company email address which is regularly monitored rather than an individual employee’s email address.)
- Mail (including DX)

5 Security deposit

Provide the required security deposit in an approved form. For more information about the approved form, refer to [Section 261D](#) of the *Mining Act 1992* and the letter that accompanied the transfer approval.

Total security deposit lodged
<input type="text" value="\$"/>

Check one of the boxes below to indicate how the security deposit is being provided.

- I have provided/I am providing with this application form a new security deposit as a security certificate.*
- I have provided/I am providing with this application form a new security deposit in cash, cheque or by direct deposit.*
- The transferor has authorised the cash security to remain with the authority (refer to Question 11 on the [AD2 transfer approval application](#) or Question 10 on the [AD3 transfer approval application](#)).

*If selected the new security deposit must be included with or prior to this application. If the security deposit was lodged prior to this application, evidence of the security deposit must be included with this application.

6 Checklist of items to be included with this application

Item		Reference
Evidence of transferee is the owner of the minerals – if applicable	<input type="checkbox"/>	Question 4
Security deposit – evidence that a security deposit has been provided	<input type="checkbox"/>	Question 5
For agents only – evidence of appointment as agent, if this has not been previously supplied to the Department	<input type="checkbox"/>	Question 7

7 Declaration


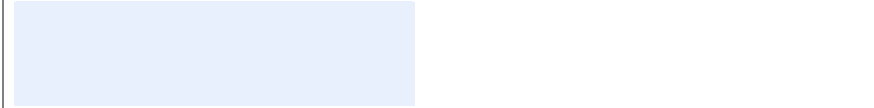
This form should be signed by either the transferor, transferee or their respective authorised representative or agent.

I/We declare that the information provided in this application is true and correct. I/We understand that under [Part 5A](#) of the *Crimes Act 1900*, knowingly giving false or misleading information is a serious offence; and under [Section 378C](#) of the *Mining Act 1992*, any person who provides information that the person knows to be false or misleading is also guilty of an offence, for which they may be subject to prosecution.

7.1 Applicant(s)

Name	<input type="text"/>
Position/title	<input type="text"/>
Date	<input type="text"/>
Signature	<input type="text"/>

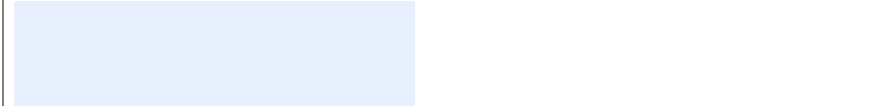
Name	<input type="text"/>
Position/title	<input type="text"/>
Date	<input type="text"/>

Signature	
Name	<input type="text"/>
Position/title	<input type="text"/>
Date	<input type="text"/>
Signature	

OR

7.2 Agent authorised to act for this applicant(s)

Provide evidence of appointment if this has not been previously supplied to the Department.

Name	<input type="text"/>
Position/title	<input type="text"/>
Date	<input type="text"/>
Signature	

Office use only

Application received:

Time: Date:

Received under delegation from the Secretary

Name

Signature

Document control

Authorised by: Director Titles Services

RM8 Reference: PUB17/697 (V17/10428)

Amendment schedule

Date	Version #	Amendment
01 March 2016	2.0	Legislation update, new template
06 March 2016	2.1	Hyperlinks updated, minor edits
10 October 2017	2.2	Security requirements clarified, legislation update, hyperlinks updated, dept and division name change, project codes updated.
21 December 2017	2.3	Update of DPE banking details and removal of cost codes
01 February 2017	2.4	Removal of fees