Stock Transfer form

Please check guidance notes before completing this form.

Consideration Money £ ……………………….. (See note 1)	Certificate lodged with the Registrar (For completion by the Registrar/Stock Exchange)	
Full name of undertaking. *(See note 2)*		
Full description of security. *(See note 3)*		
Number or amount of shares, stock or other security and, in figures column only, number and denomination of units, if any. *(See note 4)*	Words	Figures (units of)
Name(s) of registered holder(s) should be written exactly as shown on the certificate; the address should be given where there is only one holder. If the transfer is not made by the registered holder(s), also write the name(s) and capacity (e.g. Executor(s)) of the person(s) making the transfer. *(See note 5)*	In the name(s) of	Holding designation (if any) (max 8 characters). *(See note 5)*

I/We hereby transfer the above security out of the name/s of the aforesaid to the person(s) named:

Signature(s) of transferor(s)

1. ……………………………………………………………………………………..
2. ……………………………………………………………………………………..
3. ……………………………………………………………………………………..
4. ……………………………………………………………………………………..

Bodies corporate may execute under their common seal or otherwise in accordance with applicable statutory requirements. *(See note 6)*

Date ……………………………………………………………………… *(See note 7a)*

Stamp of selling broker(s) or agent(s), if any, *acting for the transferor(s). (See note 7b)*

Full name(s) and full postal address(es) (including county or, if applicable, postcode) of the person(s) to whom the security is transferred (transferee). Please state title, if any, or whether Mr, Mrs, Ms or Miss. *(See note 8)*		Holding designation (if any) (max 8 characters). *(See note 9)*

Email address	**Mobile number**

IMPORTANT INFORMATION FOR 1ST NAMED HOLDER (TRANSFEREE):
If you provide an email address, your communication preference will be set to ‘email’. **Email and/or phone number details will be applied to all holdings linked to the 1st named holder (transferee) and your communication preference will be manageable through Shareview Portfolio** (this feature is not available for corporate bodies). Register for your Shareview Portfolio at www.shareview.co.uk using your new Shareholder Reference available on the share certificate issued to you. Provide your mobile phone number to receive future service notifications via SMS. We will notify you as soon as this service becomes available.

I/We request that such entries be made in the Register of Shareholders as are necessary to give effect to this transfer.

Stamp of buying broker(s) (if any)	**Stamp or name and address of person lodging this form (if other than buying broker(s))** *(See note 10)*

Form of certificate required – transfers not chargeable with ad valorem stamp duty

Complete Certificate 1 if:	a) Consideration you give for the shares is £1,000 or less b) Transfer does not form part of a larger transaction or series of transactions whether the total cost is more than £1,000
Complete Certificate 2 if:	a) The transfer is exempt from stamp duty *(see note 11)* b) The consideration given is not chargeable consideration *(see note 11)*
Do not complete either certificate if:	a) No consideration is given for the shares, or b) You're claiming a relief from Stamp Duty *(see note 12)*

Certificate 1

* Please delete as appropriate	I/We* certify that the transaction effected by this instrument does not form part of a larger transaction or series of transactions in respect of which the amount or value, or aggregate amount or value, of the consideration exceeds £1,000.
** Delete second sentence if certificate is given by transferor	I/We* confirm that I/we* have been authorised by the transferor to sign this certificate and that I/we* am/are* aware of all the facts of the transaction.**

Signature(s) (see note 13)

Description ("Transferor", "Solicitor", etc).

Date

(see note 14)

Certificate 2

* Please delete as appropriate	I/We* certify that the transfer effected by this instrument is otherwise exempt from ad valorem stamp duty without a claim for relief being made or that no chargeable consideration is given for the transfer for the purposes of stamp duty.
** Delete second sentence if certificate is given by transferor	I/We* confirm that I/we* have been authorised by the transferor to sign this certificate and that I/we* am/are* aware of all the facts of the transaction.**

Signature(s) (see note 13)

Description ("Transferor", "Solicitor", etc).

Date

(see note 14)

CHECKLIST

Before you return this form, please check that:

- ☐ **You have entered the name of the Company (referred to as full name of undertaking) in which the shares are held.**
- ☐ **You have entered the type of share (referred to as full description of security) for example Ordinary Shares.**
- ☐ **You have entered the amount of shares to be transferred in both words and figures.**
- ☐ **You have entered the full name and address details for both transferor (the old owner) and transferee (the new owner).**
- ☐ **The transferor/personal representatives/Power of Attorney have signed the form.**
- ☐ **The transfer has been dated underneath the signature(s) of the transferor(s).**
- ☐ **You have entered your email address and mobile phone number (not applicable for corporate bodies).**
- ☐ **If you are not required to pay stamp duty, you will also need to complete and sign the back of the form if applicable.**
- ☐ **You have enclosed valid share certificates with the transfer form for sufficient number of shares to cover the transfer.**

FORMS NEED TO BE RETURNED TO: EQUINITI, HIGHDOWN HOUSE, YEOMAN WAY, WORTHING, WEST SUSSEX, BN99 6DA, UK.
Please be aware that any time a share certificate is posted, it is sent at the shareholder's own risk.

TRANSFERS WITHIN A CORPORATE SPONSORED NOMINEE (UN-CERTIFICATED HOLDINGS) REQUIRE A DIFFERENT FORM – PLEASE CALL +44 (0)371 384 2030* AND WE WILL SEND YOU THE APPROPRIATE FORM.

*Lines are open from 8.30am to 5.30pm (UK time) Monday to Friday, excluding public holidays in England and Wales. Please use the country code when calling from outside the UK. For deaf and speech impaired customers Equiniti welcome calls via Relay UK. Please see

Payments Direct to your Bank/Building Society Account

See note 15 for further details.

This form must be completed in BLOCK CAPITALS and in black ink.
Fields marked * **must** be completed. If you are not entering information in any of the fields, please leave them blank and **do not cross them through.**

Step 1

Transferee's full name *

Step 2

Bank account in the name of *

In line with UK banking payment policy, if the account holder's name does not match the details you have provided, payments may be rejected.

* Please indicate the bank account type (*please mark the box with an "X"*)

Personal account ☐ Business account ☐

Step 3

Details of your bank or building society account

Sort code * *(UK bank branches only)*

☐☐ - ☐☐ - ☐☐

Account number * *(£ sterling accounts only)*

☐☐☐☐☐☐☐☐

Building society reference or roll number *(Maximum of 18 characters)*

(Please enter only your building society reference or roll number, or leave blank if not applicable. Check with your building society if unsure). This field can also be used by legal representatives to provide a payment identifier reference for any payments sent to the bank account provided.

Step 4

Please read then sign and date below.

All transferees must sign to confirm this instruction.

Please forward until further notice, all dividends or interest that may from time to time become payable to me/us in respect of any shares or stock held, to the above nominated bank or building society, or to such other branch of the organisation as the bank or building society may from time to time request. Compliance with this request will discharge the Company's liability in respect of such dividends or other monies.

Your signature(s) *

Signature 1 | Signature 2 (if applicable)

Signature 3 (if applicable) | Signature 4 (if applicable)

Today's date *

D D / M M / Y Y Y Y

Step 5

If signing as a Power of Attorney or other authority please print name(s).
(See note 6)

V41 03/26

Stock Transfer form Guidance Notes for shareholders.

The Stock Transfer form must be completed in BLOCK CAPITALS and in black ink
If you make any mistake, just cross out the error and initial the amendments.
If you are not providing information in any of the boxes, please leave them blank and **do not cross through.**

Transferor(s) = the registered shareholder(s) transferring the shares/stock	**Transferee(s) =** person(s) to whom the shares/stock are being transferred

Note 1 "Consideration Money" refers to the amount paid for the shares.

- You must write "nil" if there is no consideration for the shares (e.g. for gifts)
- You must enter the exact amount if a monetary payment is involved in transferring the shares.

If the payment is greater than £1,000, Stamp Duty might be payable. The transferee(s) should refer to the Government guidelines available at **www.gov.uk/guidance/stamp-duty-on-shares.**

Note 2 Name of company in which the shares/stock are held.

Note 3 Type of shares/stock, for example 'Ordinary' or 'Preference' and, in the case of shares, its nominal value which can be found on the certificate(s).

Note 4 The number of shares in words and in figures, which are to be transferred. Both boxes must be completed and must match in value.
If shares/stock are packaged, please also specify the number of units in the box to the right.
If the number of shares or stock units on the certificate exceeds the amount being transferred, a balance certificate will be issued.

Note 5 Please include the following details exactly as shown on the certificate:

- the full name(s) of the registered shareholder(s) transferring the shares/stock
- any Designation (a specific reference), if applicable.
- If there is only one shareholder, please also include their present address which must match the register.
- If the transfer is completed by someone other than the shareholder, please also write the capacity in which they are signing.

Deceased Shareholders
Please write the full name of 1) the registered holder(s) and 2) their legal representative(s). **Transfers by legal representative(s) will be rejected if the Grant of Representation has not been registered.** If shares are held within a joint holding and one of the holders has died, we only require sight of the death certificate to register the death. The shares will then be automatically held in the name(s) of the surviving shareholder(s).

Note 6 **Signatories**
Signature(s) of the registered shareholder(s) transferring the shares/stock.

Personal Representative	Where applicable, all the designated personal representative(s) must sign
Power of Attorney	The POA can sign if a POA has already been registered with us. If you have not registered the POA document with us yet, send us either the original document or a photocopy alongside the form. If sending a photocopy, please make sure every page is signed with an original signature, either by the person granting the Power or by a solicitor or stockbroker, to confirm that it is a true and complete copy of the original. Further documents may be required to confirm your identity. There are additional requirements for Power of Attorneys obtained outside of the UK. Please check **www.shareview.info/shareview/powerofattorney** or contact Equiniti Financial Services Limited for further details.
Court of Protection Orders	The deputy must sign on behalf of the registered shareholder(s).

Corporate Bodies - Required signatures vary depending on the location of incorporation:

In England, Wales or Northern Ireland	In Scotland	Outside of the UK
The transfer must be signed by one of the following combinations of signatories: **Option 1** - under seal by one authorised signatory - under seal by one director - under seal by one director and the company secretary. Each signatory to state the capacity	The transfer needs to be signed in accordance with the Requirements of Writing (Scotland) Act 1995. Acceptable combinations are: - two directors - one director and the secretary - two authorised persons	The Foreign Companies (Execution of Documents) Regulations 1994 regulates transfers of shares out of the name of a corporate body not incorporated in the UK. To adhere to this Act, you must confirm in writing, next to the signatures or on an accompanying letter, that all enclosed documents have been executed in a manner permitted by

in which they are signing. **Option 2** - without seal by two directors - without seal by the company secretary and one company director - without seal by two authorised signatories - without seal by one company director and one witness who must state that they are signing as a witness and clearly print their name and address. Each signatory to state the capacity in which they are signing.	- under seal by one director - under seal by one authorised signatory - one director, plus one witness who must state that they are signing as a witness. The witness will need to clearly print their name and address Each signatory must state the capacity in which they are signing	the laws of the territory (in which the company is incorporated) for the execution of documents by such a company.

Note 7 **7a)** The date on which the transfer form is completed; if missing, the transfer will be rejected.

7b) If a selling broker or agent is acting on behalf of the transferor(s), we require the broker/agent's stamp or their name and address.

Note 8 Full names of transferee(s) including title and the address to be registered on the shareholding.
If there is more than one transferee, please only add the address of the first named transferee. The first named transferee listed on the Stock Transfer form will become the primary holder in the newly created shareholding.

- **Transferring Shares to a Minor**

Option 1	**Option 2**
You can choose to transfer shares directly to a Minor. Restrictions in dealing are in place when: - the shareholder is under 18 and lives in either England or Wales - the shareholder is under 16 and lives in Scotland. To complete the transfer to a minor, you need to provide: - the minor's birth certificate - a completed and signed Stock Transfer form - the relevant share certificates Additional share transfers while the shareholder remains underage will incur further restrictions with both parents, or guardians, having to: - sign the Sale or Transfer form on their behalf - (England and Wales only) – obtain a Court order confirming that the sale or transfer is for the minor's own benefit. - If only one parent or guardian is able to sign, we require a letter to explain the circumstances	You can choose to register the holding in the name of an adult (such as a parent or guardian) using the minor's initials as a Designation (a reference as defined by you) to label the holding. (see note 9) The holding would then be controlled by the parents or guardians and could be transferred to the minor when they reach the age of majority.

- **Transferring Shares to entities:**

Charity	Must be incorporated under the Charities Act 2011. Required docs: The Articles of Association of the Charity, or any other relevant documentary evidence, that provides confirmation as to who can sign on behalf of the Charity.	If none of these apply, the shares should be registered in the names of the underlying trustees as individuals.
Corporate Body **Trust** **Pension Fund, Association or Club** **Partnership ***	Must be incorporated via one the following: - Under the Companies Act (i.e. PLC or Limited) - Under royal charter - By special act or parliament - Under foreign company law. Required docs: Certificate of Incorporation (except for limited companies or Plc).	

* We can also accept Limited Liability Partnerships (LLPs) as Scottish partnerships.

Note 9 If applicable, add the reference you want to assign to the asset. This:
- Must be max 8 characters long
- Cannot be a name or a word
- Cannot contain special characters (! £ $ % & or ?)

Note 10 Details of person to receive the new certificate if different from details added against Note 8.

Note 11 **Stamp duty is not chargeable or exempt (and Certificate 2 applies) in some cases.**
The extensive list of exemptions is available at **www.gov.uk/guidance/stamp-duty-reliefs-and-exemptions-on-paper-shares.**
(!) If an exemption applies and the Consideration is nil, neither certificate should be completed and the Stock Transfer form does not need to be stamped by HMRC.

Note 12 Some transfers qualify for stamp duty relief. In these cases, neither Certificate 1 nor Certificate 2 should be completed **but you'll still need to get the Stock Transfer form stamped by HMRC.**
The extensive list of reliefs is available at **www.gov.uk/guidance/stamp-duty-reliefs-and-exemptions-on-paper-shares.**

Note 13 The certificate should be signed by either the person(s) signing the transfer, their solicitor or their duly authorised agent. Those signing should state their capacity of signatory.

Note 14 The date on which the certificate is signed. If no date is written on the front of the Stock Transfer form, the date at which the Exemption Certificate is signed will be treated as the date of the transfer.

Note 15 We have included a payment instruction form which the new transferee(s) can complete to receive all future payments directly into a nominated bank or building society account rather than by cheque.

In the cases below please follow the relevant guidance:

Transferees who do not have a UK bank or building society account	Please follow these instructions to locate the appropriate mandate form: - Access **Shareview.co.uk** - Navigate to **Manage my Shares** on the top ribbon and **select Paper share certificates** under **Transfer ownership of shares** - Download the **Overseas Payment service form** available under **Arrange direct overseas payments**
Entities and corporate bodies *(refer to note 8 for definitions)*	Please follow these instructions to locate the appropriate mandate form: - Access **Shareview.co.uk** - Navigate to **Manage my Shares** on the top ribbon and select **Add or change my bank details** under **My Details** - Download the **Corporate Mandate form** available under **Your holding is a corporate holding**