

FundZone

Stock Transfer Form guidance notes



Important – The transferring fund manager (not Standard Life) will not accept incomplete or inaccurate forms. Please read these guidance notes carefully before completing this form to avoid unnecessary delays.

STOCK TRANSFER FORM

Item **A**: As this is a re-registration, please complete this box with 'nil'.

Item **B**: Should be the full legal name of the company.

Item **C**: This must be exact fund name and whether it is Inc or Acc Units.

Item **D/E**: The number of units must be exact to the full number of decimal places used by each fund manager. Please consult your client's statement for this information. The figures in **D & E** must match.

Item **F**: If a joint holding, then all parties must be named in full and any designations stated.

Item **G**: The client(s) re-registering their holdings must sign here. In the case of a joint account, joint holdings to be re-registered will require the signature of all joint account holders.

<p>Please send confirmation of registration to Standard Life Savings Limited, FundZone Customer Centre, Dundas House, 20 Brandon Street, Edinburgh EH3 5PP.</p> <p>Note this transfer involves no change in beneficial owner.</p> <p>(above this line for Registrars only)</p>					
<p>A</p> <p>Consideration Money £ <i>nil</i></p>	<p>Certificate lodged with the Registrar</p> <p><i>You do not need to fill this section in.</i></p> <p>(For completion by the Registrar/Stock Exchange)</p>				
Name of Undertaking.	B For example <i>Aberdeen Unit Trust Managers Limited</i>				
Description of Security.	C For example <i>Aberdeen European A Acc</i>				
Number or amount of Shares, Stock or other security and, in figures column only, number and denominations of units, if any.	<table border="1" style="width: 100%;"> <tr> <td style="width: 70%;"> D <i>Two Hundred And Twelve Units point one four units</i> </td> <td style="width: 30%;"> E <i>212.14</i> </td> </tr> <tr> <td colspan="2" style="text-align: right; font-size: small;"> (Figures must be accurate to relevant decimal places) </td> </tr> </table>	D <i>Two Hundred And Twelve Units point one four units</i>	E <i>212.14</i>	(Figures must be accurate to relevant decimal places)	
D <i>Two Hundred And Twelve Units point one four units</i>	E <i>212.14</i>				
(Figures must be accurate to relevant decimal places)					
Name(s) of registered holder(s) should be given in full; the address should be given where there is only one holder. If the transfer is not made by the registered holder(s) insert also the name(s) and capacity (e.g., Executor(s)), of the person(s) making the transfer.	<p>In the name(s) of</p> <p><i>Alexander Carpallo</i> <i>85/3 Hanover Street</i> <i>Edinburgh</i></p> <p><i>EHS 6EH</i></p> <p>F</p>				
<p>I/We hereby transfer the above security out of the name(s) aforesaid to the person(s) named below or to the several persons named in Parts 2 of Brokers Transfer forms relating to the above security:</p> <p style="text-align: center;">Delete words in italics except for stock exchange transactions. Signature(s) of transferor(s)</p> <p>1. G</p> <p>2.</p> <p>3.</p> <p>4.</p> <p style="text-align: center;">Bodies corporate should execute under their common seal.</p>					
<p>Stamp of Selling Broker(s) or, for transactions which are not stock exchange transactions, of Agent(s), if any, acting for the Transferor(s).</p> <p><i>A stamp is not required in this box but you MUST date it.</i></p> <p>Date</p>					
Full name(s) and full postal address(es) (including County or, if applicable, Postal District number) of the person(s) to whom the security is transferred. Please state title, if any, or whether Mr., Mrs. or Miss. Please complete in typewriting or in Block Capitals.	<p>First NZ Wrap (UK) Nominees Limited a/c Standard Life 20-22 Bedford Row London WC1R 4JS</p>				
<p>I/We request that such entries be made in the register as are necessary to give effect to this transfer.</p>					
<p>Stamp of Buying Broker(s) if any</p>	<p>Stamp or name and address of person lodging this form if other than the Buying Broker(s)</p>				
<p><i>You do not need to fill this section in.</i></p>	<p><i>You do not need to fill this section in.</i></p>				

FundZone
Stock Transfer guidance notes

The security represented by the transfer overleaf has been sold as follows: —

Shares/Stock		Shares/Stock
Shares/Stock		Shares/Stock
Shares/Stock		Shares/Stock
Shares/Stock	<i>You do not need to fill this section in.</i>	Shares/Stock

Balance (if any) due to Selling Broker(s)

Amount of Certificate(s)

Brokers Transfer Forms for above amount certified

Stamp of certifying Stock Exchange

Stamp of Selling Brokers(s)

FORM OF CERTIFICATE REQUIRED WHERE TRANSFER IS EXEMPT FROM STAMP DUTY

Instruments executed on or after 1st May 1987 effecting any transactions within the following categories are exempt from stamp duty: -

- A. The vesting of property subject to trust in the trustees of the trust on the appointment of a new trustee, or in the continuing trustees on the retirement of a trustee.
- B. The conveyance or transfer of property the subject of a specific devise or legacy to the beneficiary named in the will (or his nominee). Transfers in satisfaction of a general legacy of money should not be included in this category (see category D below).
- C. The conveyance or transfer of property which forms part of an intestate's estate to the person entitled on intestacy (or his nominee). Transfers in satisfaction of the transferee's entitlement to cash in the estate of an intestate, where the total value of the residuary estate exceeds that sum, should not be included in this category (see category D below).
- D. The appropriation of property within section 84(4) of the finance Act 1985 (death: appropriation in satisfaction of a general legacy of money) or section 84(5) or (7) of that Act (death: appropriation in satisfaction of any interest of surviving spouse and in Scotland also of any interest of issue).
- E. The conveyance or transfer of property which forms part of the residuary estate of a beneficiary (or his nominee) entitled solely by virtue of his entitlement under the will.
- F. The conveyance or transfer of property out of a settlement in or towards satisfaction of a beneficiary's interest acquired for money or money's worth, being conveyance or transfer constituting a distribution of property in accordance with the provisions of the settlement.
- G. The conveyance or transfer of property on and in consideration only of marriage to a party to the marriage (or his nominee) or to trustees to be held on the terms of a settlement made in consideration only of the marriage. A transfer to a spouse after the date of marriage is not within this category, unless made pursuant to an ante-nuptial contract.
- H. The conveyance of a transfer or property within section 83(1) of the Finance Act 1985 (transfers in connection with divorce etc.).
- I. The conveyance or transfer by the liquidator of property which formed part of the assets of the company in liquidation to a shareholder of that company (or his nominee) in or towards satisfaction of the shareholder's right's on a winding-up.
- J. The grant is fee simple of an easement in or over land for no consideration in money or money's worth.
- K. The grant of a servitude for no consideration in money or money's worth.
- L. The conveyance or transfer of property operating as a voluntary disposition inter vivos for no consideration in money or money's worth nor any consideration referred to in section 57 of the Stamp Act 1891 (conveyance in consideration of a debt etc.).
- M. The conveyance or transfer of property by an instrument within section 84(1) of the Finance Act 1985 (death: varying disposition).

- (1) "I" or "We". (1) **H** hereby certify that the transaction in respect of which this transfer is made is one which falls within the category (2) **I** above. (1) **J** confirm that (1) have been duly authorised by the transferor to sign this certificate and that the facts of the transaction are within (3) knowledge (4) **J**
- (2) Insert appropriate category. *Signature(s)* **K** *Description ("Transferor", "Solicitor", etc.)* **L**
- (3) "My" or "Our".
- (4) Delete second sentence if the certificate is given by the transferor or his solicitor.

Date: **M**

NOTES

- (1) If the above certificate has been completed, this transfer does not need to be submitted to the Controller of Stamps but should be sent directly to the Company or its Registrars.
- (2) If the above certificate is not completed, this transfer must be submitted to the Controller of Stamps and duly stamped (See below).

FORM OF CERTIFICATE REQUIRED WHERE TRANSFER IS NOT EXEMPT BUT IS NOT LIABLE TO AD VALOREM STAMP DUTY

Instruments of transfer, other than those of respect of which the above certificate has been completed, are liable to a fixed duty of £5.00 when the transactions falls within one of the following categories: -

- (a) Transfer by way of security for a loan or re-transfer to the original transferor on repayment of a loan.
- (b) Transfer, not on sale and not arising under any contract of sale and where no beneficial interest in the property passes: (i) to a person who is a mere nominee of, and is nominated only by, the transferor; (ii) from a mere nominee who has at all times held the property on behalf of the transferee; (iii) from one nominee of the same beneficial owner where the first nominee has at all times held the property on behalf of that beneficial owner. (NOTE - This category does not include a transfer made in any of the following circumstances: (i) by a holder of stock, etc., following the grant of an option to purchase the stock, to the person entitled to the option or his nominee; (ii) to a nominee in contemplation of a contract for the sale of the stock, etc., then about to be entered into; (iii) from the nominee of a vendor, who has instructed the nominee orally or by some unstamped writing to hold stock, etc. in trust for a purchaser, to such purchaser.)

- (1) "I" or "We" (1) hereby certify that the transaction in respect of which this transfer is made is one which falls within the category
- (2) Insert "(a)" or b)" (2) above.
- (3) Here set out concisely (3) the facts explaining the transaction. Adjudication may be required.
- You do not need to fill this section in.*

Date

Signature
Description

Transferors Transferees

NOTE — The above certificate should be signed either by all the transferors and transferees, or a member of a Stock Exchange or a Solicitor acting for one or other of the parties, or an accredited representative of a bank. In other cases the certificate should be signed by a Solicitor or other person (e.g. a bank acting as a trustee or executor) having full knowledge of the facts.

© Crown copyright 1996 reproduced by permission

Section 'Form of certificate required where transfer is exempt from stamp duty'

Item H: The client(s) re-registering their holdings must insert "I" or "We".

Item I: Insert the appropriate category of exemption. Most commonly used categories are K and L.

Item J: The client(s) re-registering their holdings must insert "I" or "We".

Item K: The client(s) re-registering their holdings must sign here. Joint holdings to be re-registered require the signature of all joint account holders.

Item L: Insert the description "Transferor".

Item M: Insert the date on which the transfer form is completed.

When will this form be used?

To re-register investment fund holdings from an individual to a nominee with no change in beneficial owner.

What does the client have to do?

Complete the following sections as detailed below:

Section 'Consideration/Money £'

Item **A**: As this is a re-registration, please complete this box with 'nil'.

Section 'I/We hereby transfer the above security out of.'

Item **B**: The client(s) re-registering their holdings must sign here. In the case of a joint account, joint holdings to be re-registered will require the signature of both joint account holders.

Item **C**: This must be the exact fund name and whether it is Income or Accumulation units.

Item **D/E**: The number of units must be exact to the full number of decimal places used by each fund manager. Please consult your client's statement for this information.

Item **F**: If a joint holding, then all parties must be named in full.

Item **G**: The client(s) re-registering their holdings must sign here. In the case of a joint account, joint holdings to be re-registered will require the signature of all joint account holders.

Section 'Form of certificate required where transfer is exempt from stamp duty'

Item **H**: The client(s) re-registering their holdings must insert "I" or "We".

Item **I**: Insert the appropriate category of exemption. Most commonly used categories are K and L.

Item **J**: The client(s) re-registering their holdings must insert "I" or "We".

Item **K**: The client(s) re-registering their holdings must sign here.

Item **L**: Insert the description "Transferor".

Item **M**: Insert the date on which the transfer form is completed.

Where do I have to send the form?

Once the form is completed as instructed above, it should be sent to the following address:

FundZone Customer Centre
Dundas House
20 Brandon Street
Edinburgh
EH3 5PP