

STOCK TRANSFER FORM

UK UNIT TRUSTS AND OPEN-ENDED INVESTMENT COMPANIES

This form should be completed and signed, as necessary, and should be lodged with the Fund's Registrar.

Name of Fund and Share Class			
ISIN (if known)			
Number of units or shares to be transferred. If the entire holding is to be transferred, insert "ALL".	Words:	Figures:	
Full name(s) of registered unit/share holder(s), address of first registered holder and account designation (if any). If the transfer is not being made by the registered holder(s), insert also the name(s) and capacity (eg. Executor(s)), of the person(s) making the transfer.	1 st holder name and address:	2 nd holder name:	
		3 rd holder name:	
		4 th holder name:	
		Account designation:	
I/We hereby transfer the above units/shares out of the name(s) aforesaid to the person(s) named below and request that such entries be made in the register as are necessary give to effect to this transfer.		Stamp of the institution lodging this form (if any):	
<input type="checkbox"/> I/We hereby certify, <u>if the box to the left is ticked</u> , that this transfer is not for consideration in money or money's worth and is exempt from SDRT by virtue of paragraph 6(2) of Schedule 19 to the Finance Act 1999.			
<input type="checkbox"/> I/We hereby certify, <u>if the box to the left is ticked</u> , that this transfer is exempt from SDRT by virtue of paragraphs 6(3) – 6(5) of Schedule 19 to the Finance Act 1999 (charities, intra-group transfers etc.) and attach evidence as to facts of the transfer, which give rise to such exemption. (important: see "Stamp Duty Reserve Tax" below).			
Signature(s) of transferor(s):			
1 2 3 4			
All transferors must sign. Bodies corporate should execute under their common seal, or otherwise as determined by their Memorandum and Articles of Association.		Date:	
Full name(s), date(s) of birth and full postal address(es) (including postcode) of the person(s) to whom the security is transferred*, and any account designation. In each case please state title or salutation (eg. Mr., Mrs., Miss. etc.). Note that only the 1 st holder's address will appear on the register of title. *Please see "Customer Due Diligence For Anti-Money Laundering Purposes" overleaf.	1 st holder name and address:	2 nd holder name and address:	
	Date of Birth:	Date of Birth:	
	3 rd holder name and address:	4 th holder name and address:	
	Date of Birth:	Date of Birth:	
	Account designation:		

STAMP DUTY RESERVE TAX

The declaration above will be used by the manager/authorised corporate director ("the Manager") of the unit trust/open-ended investment company ("the Fund") to determine that the transfer is exempt from stamp duty reserve tax ("SDRT") in accordance with Schedule 19 to the Finance Act 1999 ("the Act"). Tick one box and do so only if the corresponding statement is true and the transfer is exempt from SDRT for that reason. Leaving both boxes blank will indicate that the Fund is liable to SDRT on the transfer calculated in accordance with the Act, which the Manager has a right to recover from the parties to the transfer, before registering the change of title.

CUSTOMER DUE DILIGENCE FOR ANTI-MONEY LAUNDERING PURPOSES

This section does not apply where the transferee is a regulated financial institution or other entity that satisfies the criteria necessary to permit the Manager to apply "simplified" customer due diligence. In such cases, the Manager or Registrar may seek confirmation of the transferee's status and eligibility for these purposes.

Under UK legislation to prevent money laundering, the manager/authorised corporate director ("the Manager") of the unit trust/open-ended investment company is required to verify the identities of any transferees named overleaf. In the case of bodies corporate, trusts and other legal arrangements, it is also required to establish the identity of any trustees or other controllers that are not named as well as individuals that have a specified beneficial interest in the units/shares being transferred. It may also need to enquire as to the purpose of the transfer. For these purposes, the Manager, or Registrar acting on its behalf, may need to obtain independent documentary evidence of identity in respect of the transferee(s) and may undertake electronic searches of the electoral register and of other personal data, although not credit information, which may be held by credit reference agencies and others.

BENEFICIAL OWNERSHIP AND CONTROL

(a) If the transferee(s) is/are the individual beneficial owner(s), please state "TRANSFEREE" or "TRANSFEREES", as appropriate, in the name column on the first line of the table below.

(b) If the transferee is a body corporate, it must enter in the table below the names of any persons that own or control more than 25% of the voting rights in the body or partnership, or are entitled to more than 25% of its capital or profits*.

(c) If the transferee(s) is/are acting as trustee(s) (or similar), they must enter in the table below the names of any further trustees or others that have control over the management of the trust or arrangement and any individuals that have an entitlement to more than 25% of the property of the trust*.

* If no individual has a specified interest that exceeds the above limits, please state "NONE" in the name column and an appropriate description (eg. shareholder, beneficiary etc.) on the right. In the case of entities and arrangements that are not established for the benefit of any specified individual(s), the table should be used to provide a description of the nature of those who will benefit from the entity or arrangement ("the class of beneficiary").

Name	Capacity (eg. trustee, partner, shareholder, beneficiary etc.)

Please complete the table in BLOCK CAPITALS. If there is insufficient space above to list all the relevant individuals, please tick here and continue onto a separate sheet of paper, which should be stapled to this form.

I/We hereby certify that the above is a complete list of the beneficial owners and controllers as described above and that they are known to me/one or more of us or, in the case of a class of beneficiary, that the description is appropriate and accurate.

To be signed by one or more of the transferees named overleaf, in whose names the units/shares will be registered.

Signature(s):
 1
 2
 3
 4

In the event of doubt as to how to complete the table, please contact the Registrar. If the table and declaration above are not completed, the Manager or Registrar may need to contact the transferee(s) prior to registering the transfer in order to fulfil their obligations under UK money laundering and data protection legislation.

The Registrar may refuse to register the transfer or allow further disposal of the units/shares by the transferee(s) until such time as the above due diligence measures have been completed to the Manager's satisfaction.