

Shareholder Account

Share transfer form

This form is used for transferring your shares in the MUFG nominee to another person as a gift, or if you are distributing an estate.

Please write in block capitals and do not use correction fluid on this form. If you make a mistake, please put a line through it and initial beside the change.

Your Investor Code is an 11 digit number which can be found on any recent communication such as a letter or statement.

In part 1, please complete the names of all shareholders in full as they appear on the share register. Please also ensure that the registered address for the holding is completed.

Please complete part 2 for each shareholder.

If you are completing the form as a representative of an estate (e.g. executor) please complete the additional details in part 2 for the shareholder only.

The National Client Identifier (NCI) is based on the country of nationality. For example, for UK this will be National Insurance number, or for ROI, the NCI box should be left blank. The included guidance notes explain the requirements for other countries.

Corporate bodies should complete their name and Legal Entity Identifier (LEI) only in part 2.

Part 1 – Details of your shareholding

Investor Code (IVC)

Name of Company

Number of shares in words and figures

Words

Figures

Alternatively, to transfer your total shareholding, please tick this box

☐

Name of shareholder(s)

Holder 1

Registered address

Holder 2

Holder 3

Holder 4

If you are not the shareholder, please include the names and roles of those making the transfer (e.g. executor)

Part 2 – The transferor - the person/people transferring the shares

Shareholder 1

Full name

Address

Date of birth

DD / MM / YYYY

Nationality

NCI or LEI

Shareholder 2

Full name

Address

Date of birth

DD / MM / YYYY

Nationality

NCI or LEI

Shareholder 3

Full name

Address

Date of birth

DD / MM / YYYY

Nationality

NCI or LEI

Shareholder 4

Full name

Address

Date of birth

DD / MM / YYYY

Nationality

NCI or LEI

Share transfer form

If there are more than two representatives, please complete their details on an additional sheet of paper and securely attach to this form.

The National Client Identifier (NCI) is based on the country of nationality. For example, for UK this will be National Insurance number, or for ROI, the NCI box should be left blank. The included guidance notes explain the requirements for other countries.

All shareholders and representatives need to sign the form. If you are a representative (e.g. attorney or executor), please state your role next to your signature and ensure the relevant legal documents have already been registered. Alternatively, please send them with the form.

Powers of representation			
If you are completing this form as an attorney or other representative (excluding representatives of an estate), please complete your details here. Corporate bodies should complete their name, and Legal Entity Identifier (LEI) only.			
Representative 1 signing on behalf of		Representative 1 signing on behalf of	
Role (e.g. attorney)		Role (e.g. attorney)	
Full name		Full name	
Address		Address	
Date of birth	D D / M M / Y Y Y Y	Date of birth	D D / M M / Y Y Y Y
Nationality		Nationality	
NCI or LEI		NCI or LEI	

Part 2 – The transferor - the person/people transferring the shares	
I/We request a transfer within the nominee (as defined in the terms and conditions) of the above shares out of my/our name(s) to the person(s) named overleaf. I/We request MUFG Corporate Markets (UK) Limited to make entries in the nominee register as are necessary to give effect to this transfer of beneficial ownership. I/We confirm that no consideration is being exchanged.	
Signature 1	
Signature 2	
Signature 3	
Signature 4	

Share transfer form

In part 3, please complete the full name of up to four people the shares are being transferred to and the additional details for each.

The National Client Identifier (NCI) is based on the country of nationality. For example, for UK this will be National Insurance number, or for ROI, the NCI box should be left blank. The included guidance notes explain the requirements for other countries.

Part 3 – Details of the transferee – the person/people the shares are being transferred to			
Shareholder 1		Shareholder 2	
Full name		Full name	
Address		Address	
This address will be the registered address for the shareholding.			
Date of birth	D D / M M / Y Y Y Y	Date of birth	D D / M M / Y Y Y Y
Nationality		Nationality	
NCI or LEI		NCI or LEI	
Shareholder 3		Shareholder 4	
Full name		Full name	
Address		Address	
Date of birth	D D / M M / Y Y Y Y	Date of birth	D D / M M / Y Y Y Y
Nationality		Nationality	
NCI or LEI		NCI or LEI	

All of the transferees must sign below			
In signing this form as transferee(s), I/we agree that my/our shares will be held in the name of MUFG Corporate Markets (UK) Limited as bare trustee on my/our behalf in accordance with the nominee terms and conditions. I/we have read and accept the nominee terms and conditions.			
Signature 1		Signature 2	
Signature 3		Signature 4	

When transferring shares, a new shareholding is created. Any instructions about communications or dividend payments are not carried forward. The new shareholder will receive a welcome letter explaining how they can choose their own preferences.

Transfer form guidance notes

Following regulatory changes implemented in May 2018, we are required to collect additional data where a change in beneficial ownership of shares is requested e.g. a transfer to another person or when removing someone from a joint shareholding.

The additional data is required for the current shareholder(s), and if applicable, those whom the shares are being transferred to, including any legally appointed representative acting on behalf of a living shareholder, such as an attorney. However, this additional data is not needed for those acting on behalf of the estate of a shareholder who has passed away (e.g. executors).

Transfers cannot be processed without this additional data, so please ensure the details are completed in full, for all involved with the transfer. The data provided will only be used as appropriate to fulfil our regulatory obligations to report details of transactions to the Financial Conduct Authority (FCA).

What are the additional data requirements?

The following details need to be completed on the transfer form for each new and existing shareholder, and if relevant, their legally appointed representative.

- Full name – the full name as it appears on formal identification such as a passport.
- Address – the personal, residential address of each individual.
- Date of birth – the date of birth for the individual in the format DD MM YYYY.
- Nationality – the country relating to the individual's nationality – please see further information on nationality below.
- National Client Identifier (NCI) – the NCI is dependent on the individual's country of nationality, and for some countries this is not required. Please see further information on the NCI below.

What are the additional data requirements for a corporate shareholder or representative?

The requirements for corporate entities are different. Corporate entities need to provide their Legal Entity Identifier (LEI) only.

What is an NCI?

An NCI is a unique identifier based on an individual's country of nationality. Individuals should provide the relevant NCI requested under the 'National Client Identifier' column applicable to their country of nationality as detailed on page 5 of this form. Those who are a national of more than one country should follow the instructions for the first of the countries to appear on the list.

Which nationality should be provided on the transfer form?

We are required to record the country of nationality for each individual involved in the transfer in line with the list provided overleaf by the European Commission. The list is arranged in alphabetical order based on the recognised two character country code.

Where an individual is a national of more than one European Economic Area (EEA) country, the NCI for the country that appears first on the list should be used. Those who have both an EEA and non-EEA nationality should follow the instructions for the first of the EEA countries appearing on the list. Individuals who are not a national of any EEA country follow the instructions for 'Rest of world'.

Code	Country	National Client Identifier
AT	Austria	Not required – leave blank
BE	Belgium	Belgian National Number (Numéro de registre National – Rijksregisternummer) or, if unavailable, leave blank
BG	Bulgaria	Bulgarian Personal Number or, if unavailable, leave blank
CY	Cyprus	National Passport Number or, if unavailable, leave blank
CZ	Czech Republic	National Identification Number (Rodné číslo) or, if unavailable, use Passport Number. Alternatively, leave blank
DE	Germany	Not required – leave blank
DK	Denmark	Personal Identity Code 10 digits alphanumeric
EE	Estonia	Estonian Personal Identification Code (Isikukood)
ES	Spain	Tax Identification Number (Código de Identificación Fiscal)
FI	Finland	Personal Identity Code or, if unavailable, leave blank
FR	France	Not required – leave blank
GB	United Kingdom	UK National Insurance Number
GR	Greece	10 DSS digit Investor Share or, if unavailable, leave blank
HR	Croatia	Personal Identification Number (OIB – Osobni identifikacijski broj) or, if unavailable, leave blank
HU	Hungary	Not required – leave blank
IE	Ireland	Not required – leave blank
IS	Iceland	Personal Identity Code (Kennitala)
IT	Italy	Fiscal Code (Codice fiscale)
LI	Liechtenstein	National Passport Number or, if unavailable, use National Identity Card Number. Alternatively, leave blank
LT	Lithuania	Personal code (Asmens kodas) or, if unavailable, use National Passport Number. Alternatively, leave blank
LU	Luxembourg	Not required – leave blank
LV	Latvia	Personal Code (Personas kods) or, if unavailable, leave blank
MT	Malta	National Identification Number or, if unavailable, National Passport Number
NL	Netherlands	National Passport Number or, if unavailable, National Identity card Number. Alternatively, leave blank
NO	Norway	11 digit Personal ID (Foedselsnummer) or, if unavailable, leave blank
PL	Poland	National Identification Number (PESEL) or, if unavailable, Tax Number (Numer identyfikacji podatkowej)
PT	Portugal	Tax Number (Número de identificação fiscal) or, if unavailable, National Passport Number. Alternatively, leave blank
RO	Romania	National Identification Number (Cod numeric personal) or, if unavailable, National Passport Number. Alternatively, leave blank
SE	Sweden	Personal Identity Number or, if unavailable, leave blank
SI	Slovenia	Personal Identification Number (EMŠO: Enotna Matična Številka Občana) or, if unavailable, leave blank
SK	Slovakia	Personal Number (Rodné číslo) or, if unavailable, National Passport Number. Alternatively, leave blank
–	Rest of world	National Passport Number or, if unavailable, leave blank