

# STOCK TRANSFER FORM

|   |  |   |
|---|--|---|
| (Above this line for Registrars only)   |  |   |
| Consideration Money £   | Certificate lodged with the Registrar<br><br>(For completion by the Registrar)           |   |
| Name of Undertaking   |  |   |
| Description of Security   |  |   |
| Number or amount of Shares, Stock or other security and, in figures column only, number and denominations of units, if any.   | Words  | Figures<br><br>( units of )   |
| Names(s) of registered holders(s) should be given in full; the address should be given where there is only one holder.<br><br>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.  | In the name(s) of  |   |
| <p>I/We hereby transfer the above security out of the name(s) aforesaid to the person(s) named <i>below or to the several persons named in Parts 2 of Broker Transfer forms relating to the above security:</i></p> <p style="text-align: center;">Delete words in italics except for stock exchange transactions.<br/>Signature(s) of transferor(s)</p> <p>1. ....</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 Agents(s), if any, acting for the Transferor(s).</p> <p style="text-align: right;">Date.....</p> |
| <p>Full name(s) and full postal address(es) (including County or, if applicable, post code) of the person(s) to whom the security is transferred.</p> <p>Please state title, if any, or whether Mr, Mrs or Miss</p> <p>Please complete in typewriting or block capitals.</p>  |  |   |
| I/We request that such entries be made in the register 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 the Buying Broker(s) |   |
|   |  |   |

**FORM OF CERTIFICATE REQUIRED – TRANSFERS NOT CHARGEABLE WITH  
AD VALOREM STAMP DUTY**

**Complete Certificate 1 if:**

- the consideration you give for the shares is £1,000 or less and the transfer is not part of a larger transaction or series of transactions (as referred to in Certificate 1).

**Complete Certificate 2 if:**

- the transfer is otherwise exempt from Stamp Duty and you are not claiming a relief, or
- the consideration given is not chargeable consideration.

**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. \*\*

| <i>Signature(s)</i> | <i>Description ("Transferor", "Solicitor", etc)</i> |
|---------------------|---|
| .....               | .....   |
| .....               | .....   |
| .....               | .....   |

Date \_\_\_\_\_

**Certificate 2**

\* Please delete as appropriate      I/We\* certify that 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. \*\*

| <i>Signature(s)</i> | <i>Description ("Transferor", "Solicitor", etc)</i> |
|---------------------|---|
| .....               | .....   |
| .....               | .....   |
| .....               | .....   |

Date \_\_\_\_\_

**NOTES**

- (1) You don't need to send this form to HM Revenue & Customs (HMRC) if you have completed either Certificate 1 or 2, or the consideration for the transfer is nil (in which case you must write 'nil' in the consideration box on the front of the form). In these situations send the form to the company or its registrar.
- (2) In all other cases - including where relief from Stamp Duty is claimed - send the transfer form to HMRC to be stamped.
- (3) Information on Stamp Duty reliefs and exemptions and how to claim them can be found on the HMRC website at [hmrc.gov.uk/sd](http://hmrc.gov.uk/sd).