

# STOCK TRANSFER FORM

RD330  
1.97

(above this line for Registrars only)

Consideration Money £	Certificate lodged with the Registrar  (For completion by the Registrar/Stock Exchange)	
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
<p>Name(s) of registered holder(s) should be given in full; the address should be given where there is only one holder.</p> <p>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>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. ....</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 style="text-align: right; margin-top: 100px;"><i>Date</i></p>
<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.</p> <p>Please state title, if any, or whether Mr., Mrs. or Miss.</p> <p>Please complete in typewriting or in 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)	

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	.....	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 1<sup>st</sup> 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 transferees 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) hereby certify that the transaction in respect of which this transfer is made is one which falls within the category (2) above. (1) 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)

(2) Insert appropriate category. *Signature(s)* *Description ("Transferor", "Solicitor", etc.)*

(3) "My" or "Our".

(4) Delete second sentence if the certificate is given by the transferor or his solicitor.

Date: 20

- 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 50p 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: (1) 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 the facts explaining the transaction. Adjudication may be required. (3)

Date 2  
0

*Signature*  
*Description*

Transfers 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.

**Guidance notes for the completion of a Stock Transfer Form by Shareholders**

**These guidance notes should be read in conjunction with the enclosed Stock Transfer Form.**

**NOTE 1** If no payment is being received write 'NIL'

If payments involved you should enter the amount received in this box. Stamp Duty will need to be paid on the amount received and you should telephone your local Stamping Office who will advise you of the amount of duty payable.

A cheque or postal order, made payable to "Inland Revenue Only - Stamp Duties", should be sent with the completed transfer form to one of the Stamping Offices shown on the enclosed list. The form will be returned to you after stamping.

**NOTE 2** Name of Company in which these shares/stock are held.

**NOTE 3** Type of shares/stock, for example, Ordinary/Preference. Please refer to the certificate(s).

**NOTE 4** Amount of shares/stock, in words and figures, which are being transferred. In cases where the number of shares/stock on the certificate exceeds the number being transferred, a balance certificate will be issued.

**NOTE 5 PLEASE COMPLETE THIS SECTION IN BLOCK CAPITALS.**

Full name(s) of person(s) transferring these shares/stock. Please include any designation, for example, A A/C. The information should be written exactly as that shown on the certificate. If there is only one shareholder then the present address should also be written on the form.

**NOTE 6** Signature(s) of person(s) transferring these shares/stock (transferor).

**NOTE 7** Insert the date on which the transfer form is completed.

**NOTE 8 PLEASE COMPLETE THIS SECTION IN BLOCK CAPITALS.**

Full names of person(s) to whom these share/stocks are being transferred (transferee). Please include title, for example, Mr, Miss, Mrs, Ms. If there is more than one shareholder then only the address of the first shareholder needs to be shown. If any of the new shareholders are under the age of 18 please contact us for further guidance.

**NOTE 9** If the new certificate is not to be sent to the address shown in note 8, then please write the name and address details here.

**PLEASE INITIAL ANY ALTERATIONS OR CORRECTIONS MADE TO THE STOCK TRANSFER FORM**

**STOCK TRANSFER FORM**

(above this line for Registrars only)	
	Certificate lodged with the Registrar
Consideration Money £..... <b>NOTE 1</b> ..	
<small>(For completion by the Registrar/Stock Exchange)</small>	
Name of Undertaking.	<b>NOTE 2</b>
Description of Security.	<b>NOTE 3</b>
Number or amount of Shares, Stock or other security and, in figures column only, number and denominations of units, if any.	Words
	<b>NOTE 4</b>
	Figures  ( units of )
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.	In the name(s) of
	<b>NOTE 5</b>
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: Delete words in italics except for stock exchange transactions. Signature(s) of transferor(s)	
1. .... <b>NOTE 6</b> .....	
2. ....	
3. ....	
4. ....	
Bodies corporate should execute under their common seal.	
Date..... <b>NOTE 7</b> .....	
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.	<b>NOTE 8</b>
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)
<b>NOTE 9</b>	
<b>PLEASE TURN OVER</b>	

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

PART A Shares/Stock Shares/Stock Shares/Stock Shares/Stock 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 Broker(s)

PART A Please leave blank

PART B NOTE 1 Certain types of share transfer, including gifts, are exempt from stamp duty.

NOTE 2 This shows the types of share transfer that are exempt from stamp duty provided the declaration in this section is completed.

NOTE 3 Insert "I" or "We". This refers to the person(s) transferring these shares

NOTE 4 Insert the appropriate category: for example, if the shares are being transferred as a gift you should insert category 'L'. If you are unsure which category applies please contact one of the Stamping Offices shown on the enclosed list.

NOTE 5 This should be signed by the person(s) transferring these shares.

NOTE 6 Write 'Transferor'.

NOTE 7 Insert the date on which the transfer form is completed.

PART B FORM OF CERTIFICATE REQUIRED WHERE TRANSFER IS EXEMPT FROM STAMP DUTY

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... B. The conveyance or transfer of property the subject of a specific devise or legacy... C. The conveyance or transfer of property which forms part of an intestate's estate... D. The conveyance or transfer of property out of a settlement... E. The conveyance or transfer of property within section 84(4) of the Finance Act 1985... F. The conveyance or transfer of property within section 83(1) of the Finance Act 1985... G. The conveyance or transfer of property on and in consideration only of marriage... H. The conveyance of a transfer or property within section 83(1) of the Finance Act 1985... I. The conveyance or transfer by the liquidator of property which formed part of the assets of the company... J. The grant is fee simple of an easement in or over land... 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... M. The conveyance or transfer of property by an instrument within section 84(1) of the Finance Act 1985...

NOTE 1

NOTE 3

NOTE 4

NOTE 3

(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) above. (1) 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)

(2) Insert appropriate category.

(3) "My" or "Our". Signature(s)

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

(4) Delete second sentence if the certificate is given by the transferor or his solicitor.

NOTE 5

NOTE 6

NOTE 7 Date.....20.....

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).

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

transfer, other than those of respect of which the above certificate has been completed, are liable to a fixed duty of 50p 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: (1) 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.)

NOTE 1

(1) "I" or (1) hereby certify that the transaction in respect of which this transfer is made is one which falls within the category (2) above. (2) Insert (3) Here (3) Here

NOTE 4

NOTE 5

NOTE 6

set out concisely the facts explaining the transaction. Adjudication may be required.

Date.....20.....

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.

OR

PART C

NOTE 1 Some transfers that are not liable to full Stamp Duty will still be liable to duty of 50p, provided that one of the listed categories applies.

NOTE 2 Insert "I" or "We". This refers to the person(s) transferring the shares.

NOTE 3 Insert the appropriate category: for example, b(ii) where the shares/ stock were held on behalf of a minor in the form of a designated account and subsequently transferred into the name of the beneficial owner.

NOTE 4 Describe the reason(s) for this transaction.

NOTE 5 Insert the date on which the transfer is completed.

NOTE 6 Signature of person(s) transferring the shares/stock.

A cheque or postal order for 50p made payable to "Inland Revenue Only - Stamp Duties" should be sent with the transfer to one of the Stamping Offices shown on the enclosed list.

WHEN THE STOCK TRANSFER FORM HAS BEEN STAMPED BY THE INLAND REVENUE, PLEASE SEND IT, TOGETHER WITH THE CERTIFICATE(S), TO THE