

Nucleus platform user guide

# Guide to completing the Stock Transfer Form

Edition 5

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## Introduction

We've prepared this short guide to help you complete the Stock Transfer Form which should be used for in specie transfers. The form is issued by the Investment Management Association and needs to be lodged with the transferring fund's registrar. Please complete the sections of the form as explained below and send it to your regional client relations manager, who'll arrange to complete the Nucleus sections and submit it to the relevant registrar.

## First page

### Name of fund and share class

Enter the full name of the fund you wish to transfer together with the share class (i.e. accumulation or income).

If you wish to transfer more than one fund, you'll need to complete a separate Stock Transfer Form for each one.

### ISIN

We recommend you enter the ISIN for the share class of the fund to be transferred. The ISIN can be found on the share class specific Key Investor Information Document (KIID), the Key Information Document (KID) or by downloading our funds report from the platform.

### Number of units or shares to be transferred

In the first box, enter the number of shares to be transferred in words and in the second box input the numeric version.

If all of the holding is to be transferred, you can enter 'ALL' in both boxes instead.

### Full name(s) of all registered unit/shareholder(s), address of the first registered holder and account designation (if any)

In the first box, enter the full name and address (including the postcode) of the person who's currently the first registered named account holder of the shares to be transferred.

If there's more than one registered account holder, enter their full names in the additional boxes provided. Their addresses are not required.

### Account designation

If the account has a designation (for example 'Savings'), enter this in the box provided. An account will only have a designation if you requested one so if you don't have one, you can leave this box blank.

All of the above details must match the information we currently hold on our records. The details need to match the record held by the ceding party otherwise the request may be rejected. If the transfer is not being instructed by the registered account holder (for example it's being instructed by a Power of Attorney), please also include in the first box the name(s) and capacity of the person(s) making the transfer.

## Signature(s) of transferor(s)

All current registered account holders must sign here and the date must be entered, where indicated.

If someone is signing on behalf of the registered account holder (for example a Power of Attorney), the document appointing them (or a certified copy) must be enclosed with the Stock Transfer Form if it has not already been accepted by us.

## Stamp of the institution lodging the form

If a firm is lodging the Stock Transfer Form with us on behalf of either the current or new account holder(s) the firm's stamp should be added here.

## 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.

This section will be completed by Nucleus. The client(s) shares will be transferred to our NFS nominee account held with our custodian Winterflood.

## Account designation

This section will be completed by Nucleus. The client(s) shares will be transferred to our NFS nominee account held with our custodian Winterflood.

## Second page

### Beneficial ownership and control

- If the transferee(s) is / are the only beneficial owner(s) of the shares, simply enter 'TRANSFEE' or 'TRANSFEEES' in the first name space of the table. No other details are required as explained under option (a) on the Stock Transfer Form (this is the example we have used).
- If the transferee is a body corporate or a partnership, please follow the instructions provided under option (b) to complete the table on the Stock Transfer Form.
- If the transferee(s) is / are acting as a trustee(s) or similar, please follow the instructions provided under option (c) to complete the table on the Stock Transfer Form.

### Tick box

If there is insufficient space in the table to list all the relevant individuals, please tick the box and provide the additional details on a separate sheet of paper. This should be stapled to the Stock Transfer Form.

### Signatures of the transferee(s)

This section should only be signed if there is a change to beneficial owner (i.e. a different transferee to transferor). The stock will be transferred to Nucleus nominee account (NFS nominees) which is held with our custodian but the client will remain the underlying beneficial owner therefore this should be left blank.

For literature in alternative formats, such as Braille, large print, audio or E-text, please call us on 0131 226 9535, or via the Typetalk service on 18001 0131 226 9535.



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