

Aviva Investors

Stock transfer form guide



Summary

To transfer ownership of shares or units into another name, the current registered holder(s) must complete a stock transfer form. We've put this guide together to help you complete this form.

Here is a brief summary of the steps you need to take.

- Establish the holding(s) to be transferred. You will need to know the full fund name and the number of shares or units to transfer.
- Each transfer, for example if you are transferring more than one fund / share class or splitting the holding between more than one person, will require a separate stock transfer form to be completed.
- If income shares are being transferred, the new holder(s) will need to complete a direct credit mandate for income to be paid out. Any existing arrangement will not transfer across to the new account.

If we do not have payment instructions, we will reinvest income to purchase additional shares or units.

- Send the forms to us at: Aviva Investors Administration Office, PO Box 10410, Chelmsford, CM99 2AY.

Money laundering regulations require financial institutions to obtain evidence of clients' identities.

Therefore, before we are able to process the transfer, we may require additional documentation from the current registered holder(s), or other third parties registered to the investment (such as a Power of Attorney).

If this is the case, we will write to each impacted individual directly. We may also require evidence for the new holder(s), but if so we will write to them after the transfer has been completed.

If transferring shares or units held by a deceased client, we will also need our Bereavement Form completed by the executor(s) / personal representative.

For further details, please refer to our guide entitled **What to do after a bereavement**.

Once we have everything we need, the transfer will be processed within 5 business days.

We will send confirmation to both the person transferring the investment and the person receiving the shares or units.

If there are multiple holders, we will write to the first named holder only. If the stock transfer form has been lodged by an agent, they too will receive confirmation of the transfer.

Frequently asked questions

What can I transfer?

You can transfer shares / units held directly (non-ISA) or within an ISA.

Please note that transferring shares or units from an ISA by means of a stock transfer form will remove the ISA status, meaning the recipient will hold the shares / units as a direct investment (non-ISA).

You can transfer your holding in shares or units in whole or in part. If you transfer in part, the value of any remaining or new holdings as a result of the transfer must meet the minimum holding for the fund.

How many shares / units do I hold?

To complete the stock transfer form, you will need to know the full fund name and the number of shares or units to transfer.

The number of shares or units may have changed from your previous statement if you are reinvesting income or making regular contributions by direct debit. Please contact us using the details found on the back on this guide for an up-to-date valuation.

If the holding is being transferred in full, you do not need to quote the number of shares / units and can instead just state ALL.

Who can I transfer to?

Shares can be transferred to individuals or to corporate bodies, either in the name of a single holder or in joint names of up to four holders. Further details can be found below.

– Individuals

Individuals must be 18 or older to hold shares. For children under 18, shares can be held in the name(s) of parents or guardians instead with a designation.

A designation is a code that will be displayed on contract notes and statements, and is commonly used to identify an investment held on behalf of another.

Whilst a designation holds no legal significance, it can help the registered holder(s) distinguish between their holdings.

– Organisations

We can register investments in the name of corporate bodies, such as a trustee company or nominee company.

We cannot register an investment into the name of a Trust, a title (such as “The Trustees of ...”), or unincorporated organisation, club or society.

For investments on behalf of such entities, the investment would need to be held in the name(s) of (up to four of) the trustee(s) or other authorised individual(s).

For other types of organisation or entities, please contact us using the details found on the back on this guide to establish whether they are eligible to hold shares on the register.

Frequently asked questions (continued)

How many stock transfer forms will I need to complete?

You can list up to six funds to transfer from one account on a single stock transfer form.

If you wish to transfer more than six funds, if you wish to transfer from more than one account, and/or if you are splitting the holding(s) between more than one transferee (such as transferring 50% of the shares to one individual and the other 50% to a different individual), then you will need to complete multiple stock transfer forms.

Blank stock transfer forms can be found on our website www.avivainvestors.com or provided upon request.

When are income payment instructions required?

When transferring income shares, the payment details will not carry across. If we do not have payment instructions, we will reinvest income to purchase additional shares or units.

As such, a new direct credit mandate will need to be completed by the new holder(s) if a new account is being created by the transfer, or where the transfer is going into an existing account that does not already hold Income shares.

If the transfer is going into an existing account and the new holder(s) already hold other Income shares and have an existing payment instruction on file, the income will be paid in accordance with this mandate.

Privacy Notice

Personal Information

We collect and use personal information about you so that we can provide you with your investment. This notice explains the most important aspects of how we use your information but you can get more information about the terms we use and view our full privacy policy at www.avivainvestors.com or request a copy by writing to us at the address stated in the “Contacting us” section below.

The data controller(s) responsible for this personal information is Aviva Investors UK Fund Services Limited.

Personal information we collect and how we use it

We will use your personal information:

- To provide you with your investment: we need this to set up and administer your investment,
- To support legitimate interests that we have as a business: we need this to detect and prevent fraud and to help us better understand our customers and improve our customer engagement (this includes marketing),
- To meet any applicable legal or regulatory obligations: we need this to meet compliance requirements with our regulators (e.g. Financial Conduct Authority), to comply with law enforcement and to manage legal claims; and
- To carry out other activities that are in the public interest: for example we may need to use personal information to carry out anti-money laundering checks.

Privacy Notice (continued)

We may also use personal information about other people. This may include individuals who are authorised to act on your behalf, for example, an attorney or (in the case of a corporate investor) individuals who work for or otherwise represent you. **If you are providing information about another person we expect you to ensure that they know you are doing so and are content with their information being provided to us. You might find it helpful to show them this privacy notice and if they have any concerns please contact us in one of the ways described below.**

The personal information we collect and use will include name, address, date of birth and Contact and investment details.

Of course, you don't have to provide us with any personal information, but if you don't provide the information we may not be able to proceed with setting up your investment.

Some of the information we collect as part of this application will be provided to us by third parties and this can include information already held about you within the Aviva Group, information we obtain from publicly available records, our trusted third parties and from industry databases, including fraud prevention agencies and databases.

We do not currently make any decisions based on automatic decision making using your personal information to decide whether we can provide an investment. If in the future we need to make decisions based on automatic decision making, we will inform you about this.

How we share your personal information with others

We may share your personal information:

- With the Aviva Group, our agents and third parties who provide services to us to help us administer our products and services;
- With regulatory bodies and law enforcement bodies, including the police, e.g. if we are required to do so to comply with a relevant legal or regulatory obligation;
- With other organisations including public bodies and the police (either directly or using shared databases) for fraud prevention and detection purposes;

Some of the organisations we share information with directly or indirectly may be located outside of the European Economic Area (“EEA”). We'll always take steps to ensure that any transfer of information outside of Europe is carefully managed to protect your privacy rights. For more information on this please see our privacy policy or contact us.

How long we keep your personal information for

We maintain a retention policy to ensure we only keep personal information for as long as we reasonably need it for the purposes explained in this notice. We need to keep information for the period necessary to administer your investment and deal with any queries on your investment. We may also need to keep information after our relationship with you has ended, for example to ensure we have an accurate record in the event of any complaints or challenges, carry out relevant fraud checks, or where we are required to do so for legal, regulatory or tax purposes.

Privacy Notice (continued)

Your rights

You have various rights in relation to your personal information, including the right to request access to your personal information, correct any mistakes on our records, erase or restrict records where they are no longer required, object to use of personal information where this use is based on our legitimate business interests. For more details in relation to your rights, including how to exercise them, please see our full privacy policy or contact us.

Contacting us

If you have any questions about how we use personal information, or if you want to exercise your rights stated above, please contact our Data Protection Officer by writing to them at The Data Privacy Office, Aviva Investors, 80 Fenchurch Street, London EC3M 4AE or email dpoffice@avivainvestors.com

If you have a complaint or concern about how we use your personal information, please contact us in the first instance and we will attempt to resolve the issue as soon as possible. You also have the right to lodge a complaint with the Information Commissioner's Office at any time.

Marketing – How we keep you informed

The Aviva Group and its agents may use personal information we hold about you across the Aviva Group to help us identify and tailor products and services that may be of interest to you and would like to contact you from time to time to provide you with updates and offers for Aviva's products and services tailored to you by direct marketing by post, phone, email or text. We may continue to do this after your investment has ended.

To tell us if you would prefer not to hear about Aviva products and services please contact us at Aviva, Freepost, Mailing Exclusion Team, Unit 5, Wanlip Road Ind Est, Syston, Leicester, LE7 1PD.

Completing the stock transfer form

The notes below refer to each of the sections of the stock transfer form in the same order they appear on the form. **The sections in this guide are provided for illustrative purposes only.**

A blank stock transfer form can be downloaded from our website www.avivainvestors.com or provided upon request. If you need to make any amendments when completing the form, please ensure each alteration is initialled. Failure to do so may result in the form being rejected.

1. Transferor(s) details

This section of the stock transfer form covers the details of who currently holds the shares and who is instructing the transfer.

Account number / Reference

Account number:		Reference (if required):	
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Please insert the account number the transfer should take place from. This is in the format 0000xxxxxx where x represents numbers.

The reference field is entirely optional and can be left blank.

Name(s) of registered holder(s)

Full name(s) of registered unit/share holder(s), address of the 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 (e.g. Executor(s), of the person(s) making the transfer.

1st holder full name: Residential or registered address:	2nd holder name:
	3rd holder name:
	4th holder name:
	Account designation:

Please insert the current holder's full name(s) (including middle names), address and any designation. For joint holders, please provide these details for the first named holder, along with each joint holder's full name.

The details must match our records, so please ensure the correct first named holder is listed and the designation if there is one. If any holders have changed name or address, please contact us before sending us the form.

Completing the stock transfer form (continued)

Signature(s) of registered holder(s)

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 to give effect to this transfer.

Signature(s):	Signatory name (if different from holder name):	Date:
1.....
2.....
3.....
4.....

All transferors, or those acting for them, must sign. Bodies corporate should execute under their common seal, or otherwise as determined by their Memorandum and Articles Association.

Each registered holder must sign the stock transfer form, and the form must be dated.

For registered holders who are corporate bodies, we must have two authorised signatures of the firm.

Where a third-party is signing in place of the registered holder, for example an executor or attorney, the capacity must be stated alongside their signature.

Stamp

Stamp or agent code (if known) of the institution lodging this form (if any), for queries etc. concerning the transfer:

This section of the form provides a space for the stamp of a broker or agent acting for the current registered holder(s).

A copy of the transfer confirmation will be sent to this firm if this section is completed, but it is entirely optional and can be left blank.

Completing the stock transfer form (continued)

2. Transferee(s) details

This section of the stock transfer form covers the details of who the shares are to be transferred to.

Full name(s) and address(es) of the new holders

Full name(s) and full postal address(es) (including postcode) and date(s) of birth 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. etc.).

Note that only the 1st holder's address will appear on the register of title.

*Please see "Customer Due Diligence For Anti-Money Laundering Purposes" overleaf.

1st holder full name:	2nd holder full name:
Residential or registered address:	Residential or registered address:
Capacity (if relevant):	Capacity (if relevant):
Date of Birth:	Date of Birth:
3rd holder full name:	4th holder full name:
Residential or registered address:	Residential or registered address:
Capacity (if relevant):	Capacity (if relevant):
Date of Birth:	Date of Birth:

Please enter the full names and addresses for each of the new registered holders. Further details of acceptable holders can be found in the Frequently asked questions section of this guide.

For individuals, please include titles (e.g. Mr, Mrs, Dr, etc.) and any middle names. A date of birth must also be provided. If transferring to an existing account, the details provided here must match our records.

Account designation

Account designation:

If transferring to a new account and a designation is required, please provide the details in this section. A designation can be a maximum of 35 characters.

If transferring to an existing account, the designation of the account must be quoted and must match our records.

Completing the stock transfer form (continued)

Account number / Additional comments

Existing account number (if applicable) additional comments (if required):

If transferring to a new account and a designation is required, please provide the details in this section. A designation can be a maximum of 35 characters.

If transferring to an existing account, the designation of the account must be quoted and must match our records.

3. Funds to be transferred

This section of the stock transfer form covers the details of which funds and how many shares are to be transferred to the transferee(s) listed in section 2.

Space is provided for up to six funds to be transferred from the account number quoted in section 1 of the form. For any further funds or accounts, please complete additional stock transfer forms as appropriate.

Name of Fund and Share Class

Name of Fund and Share Class:

Please enter the name of the fund into this section, together with the share / unit class (e.g. Share Class 1, Share Class 6, etc.) and type (Income or Accumulation).

For example: Aviva Investors Higher Income Plus Fund Share Class 1 Income.

If you wish to transfer the same fund from both an ISA and non-ISA on the same form, please list the fund twice with the product type in brackets after the fund name. If the product type is not listed, we will assume only the unwrapped (non-ISA) shares are to be transferred, unless otherwise indicated.

ISIN

ISIN (if known):

An ISIN (which stands for International Securities Identification Number) is a unique reference code that is assigned to each share class of a fund.

This field is not mandatory, so you can leave it blank if you do not know the ISIN for the holding being transferred.

Number of units or shares to be transferred

Number of units or shares to be transferred. If the entire holding, insert "ALL"

Please write the number in words below:

Figures:

Please enter the number of units or shares being transferred. If the entire holding is to be transferred, **ALL** may be entered into both boxes, instead of an actual number.

Reverse of the stock transfer form

The reverse of the stock transfer form relates to our obligations to carry out customer due diligence in relation to the new holder(s) and any controllers or beneficial owners that may exist, for which we may require documentary evidence, or we may carry out an electronic search using a third-party verification company.

A beneficial owner is someone who may benefit from an investment even if the investment is not in their name.

Simplified Due Diligence

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. If you believe this is the case, tick this box: The Manager or administrator may seek confirmation of the transferee’s status and eligibility for these purposes.

Please note this section is not applicable when transferring shares to individual(s) and should be ignored.

For regulated financial institutions or other corporate entities eligible for simplified due diligence, they may tick this box instead of completing the remainder of the reverse of the stock transfer form.

Beneficial owners and controllers

Full name:	Residential or registered address:
Capacity:	

The names and addresses of any beneficial owners or controllers should be entered in the appropriate field with a brief description of their capacity. This should be completed in BLOCK CAPITALS.

For companies or partnerships, the beneficial owners that must be listed are any individuals that ultimately own or control more than 25% of the voting rights or are entitled to more than 25% of the company’s or partnership’s capital or profits. They may not necessarily be the actual shareholders in the company. We also require details of any directors. Should the firm not be directly owned by a natural person, please provide details of the ownership structure.

For investments held on behalf of trusts and other similar arrangements, the beneficial owners are individuals that are nominated to benefit from more than 25% of the trust property, as well as any trustees or settlors (even if deceased) that may exist in addition to the new holder(s) or others that may exercise control over them.

Any trustee(s) that is not a registered holder must also be listed.

Where a trust or arrangement is established for unspecified individual beneficiaries, the trustees may, for example, have discretionary powers to identify who should receive payments out of the trust property on an ad-hoc basis, or an arrangement such as a charity may have been established for the general benefit of a section of the community.

These are referred to as ‘classes’ of the beneficiary. In these cases, a description of the class of beneficiary should be entered in the table (this may extend across both columns).

If space for more than four beneficial owners is needed, please tick the box below the table and provide the details on a separate sheet.

If the transferee(s) is/are the only beneficial owner(s) of the shares/units, simply enter TRANSFEREE or TRANSFEREES as appropriate on the first line of the left hand column.

If there are other beneficial owners, but none has an interest that exceeds 25% (see above), NONE should be entered in the appropriate field and strike through the remainder of the table.

Reverse of the stock transfer form (continued)

Declaration

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.

I/We accept the terms and conditions of the investment as outlined in the application form. To be signed by one or more of the transferees named overleaf, in whose names the units/shares will be registered.

Signature(s):	Date:
1.....
2.....
3.....
4.....

Transferees should sign here to certify both that the table above has been completed properly and that any beneficial owners or controllers that may be listed are known to at least one of those who sign.

Contact us

If you have any questions about anything in this guide, you can get in touch with us by phone or in writing.



If you wish to call us:

From the UK:

0800 051 2003*

From overseas:

+44 1268 44 8219**

8:30am – 5:30pm Monday to Friday.

Calls may be recorded for training and monitoring purposes, and to comply with applicable law and regulations.

Choose option 1 from the first menu and listen to the further menu options.

* Calls are free from UK landlines and mobiles.

** Call charges to this number will depend on the call package you have arranged with your landline or mobile provider.



If you wish to write to us:

By post:

Aviva Investors Administration Office

PO Box 10410

Chelmsford

CM99 2AY

By fax:

0844 931 0004***

*** Faxes to this number cost five pence per minute plus your phone company's access charge.

By email:

enquiries.uk@avivainvestors.com

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