

Stock Transfer

Summary guide

The purpose of a stock transfer form is to allow stock (shares held within an OEIC) to be transferred from one account to another without the need for selling and buying back. The form ensures that the client holding is never out of market and allows the process to be efficient for clients.

The form acts as a formal legal agreement between the transferor and transferee. Therefore, it needs to be completed correctly in order for us to process the request.

Please see the below guidance notes to assist you when completing the form

Name of Fund and Share Class - State either "J.P. Morgan Asset Management" or the full name of the fund you wish to transfer

Number of units or shares to be transferred - Words and figures must be quoted in full.

Date - This must be the date the form is signed. Future dates are not accepted.

Stamp or name and address of persons lodging the form box - Details must be shown in the appropriate box if applicable.

Reverse of the form - This part of the form is for the transferee to fill out and sign.

Please see the next page for an example form.

If you require any additional assistance, please contact us on 0800 20 40 20 or 44 1268 44 44 70.

Alternatively, you may wish to seek assistance from an Independent Financial Adviser.

You can find financial advisers in your local area by visiting one of the below sites:

www.vouchedfor.co.uk

www.unbiased.co.uk

The Chartered Institute for Securities & Investment -
www.financialplanning.org.uk

Points to remember

- Unless the transferee is an existing client, an OEIC application form must be completed and sent in along with the Stock Transfer form. These are available on our website.
- We will endeavour to verify the transferor and transferee's identity electronically before we can proceed with the transfer. However, if for any reason we are unable to do this, we will write to you
- If you would like to provide identity documents at the time of sending the Stock Transfer Form, please provide one of the documents listed on the Documentation Guidelines below.
- If you require additional information regarding Stamp Duty, please visit <https://www.gov.uk/guidance/stamp-duty-on-shares> for more information, or alternatively please contact your Tax Advisor. Please visit <https://www.gov.uk/appoint-tax-agent> for more information.

Name of Fund and Share Class		JPMorgan Example Fund A Acc	
ISIN (if known)			
Number of units or shares to be transferred		Words: All	Figures: All
Full name(s) of registered unit/share holder(s), address of first registered holder and account designation (if any).	1 st holder name and address: Current holder (transferor) name and address		2 nd holder name: Joint Account Holder name if applicable
			3 rd holder name:
			4 th holder name:
			Account designation:
<p>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.</p> <p><input type="checkbox"/> I/We hereby certify, if the box to the left is ticked, that this transfer is not for consideration in money or money's worth and is exempt from SDRT by virtue of paragraph 6(2) of Schedule 19 to the Finance Act 1999.</p> <p><input type="checkbox"/> I/We hereby certify, if the box to the left is ticked, that this transfer is exempt from SDRT by virtue of paragraphs 6(3) - 6(5) of Schedule 19 to the Finance Act 1999 (charities, intra-group transfers etc.) and attach evidence as to facts of the transfer, which give rise to such exemption.</p> <p>(Important: see "Stamp Duty Reserve Tax" below).</p> <p>Signature(s) of transferor(s): Transferor's Signature(s)</p> <p>1. _____</p> <p>2. _____</p> <p>3. _____</p> <p>4. _____</p> <p>Date: _____</p> <p>All transferors must sign. Bodies corporate should execute under their common seal, or otherwise as determined by their Memorandum and Articles of Association</p>		Stamp of the institution lodging this form (if any), for queries etc. concerning the transfer:	
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. In each case please state title or salutation (eg. Mr., Mrs., Miss. etc.).	1 st holder name and address: New holder (Transferee) name and address		2 nd holder name and address: Joint Holder name and address if applicable
	Date of Birth:		Date of Birth:
	3 rd holder name and address:		4 th holder name and address:
	Date of Birth:		Date of Birth:
		Account designation:	

Reverse Page of Form

Name	Transferee Name	Address: Transferee Address
Date of Birth	Transferee Date of Birth	
Capacity**		
Name		Address:
Date of Birth		
Capacity**		
Name		Address:
Date of Birth		
Capacity**		
Name		Address:
Date of Birth		
Capacity**		

** eg. trustee, partner, shareholder, beneficiary etc.

Please complete the table in BLOCK CAPITALS. If there is insufficient space above to list all the relevant individuals, please tick here and continue onto a separate sheet of paper, which should be stapled to this form.

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.

To be signed by one or more of the transferees named overleaf, in whose names the units/shares will be registered. **Transferee signature(s)**

Signature(s):

1. _____
2. _____
3. _____
4. _____

DOCUMENTATION GUIDELINES UK

Copies of the documents need to be originally signed and certified for a UK resident by a UK solicitor or barrister (registered at the bar), banker, Post Office Representative, authorised financial professional, registered chartered accountant, Councillor or local government official, Justice of the Peace, Police Officer, Member of Parliament or an Embassy, High Commission or Consulate. Certification by retired professionals will not be accepted.

The wording on the certification should include “This is a true copy of the original [document] I have seen” and, where applicable, “The photograph is a true likeness of the holder”. Each certified document should be stamped by the certifying body and should state the name, address and telephone number of the certifier as well as their profession, signature and date. The date on the certification must be within the past 12 months.

Please supply one document from each section below. This means that the same document cannot be used to cover both sections, as each document must come from a different source. At least one document provided must include your date of birth.

SECTION ONE: Evidence of personal identity

- Current signed passport
- Current signed UK / EEA photo-card driving licence (Full or Provisional), or blue disabled driver’s pass
- Current full UK driving licence (old version), provisional licences are not acceptable
- Recent evidence of entitlement to a state or local authority funded benefit, including housing benefit and council tax benefit or state pension (dated within the last year)
- HMRC tax notification (dated within the last year). Please note that P45 and P60 documents are not acceptable
- Shotgun licence or Firearms Certificate
- Residence permit issued by the Home Office to EU nationals
- EEA member state identity card
- Northern Ireland voter’s card

SECTION TWO: Evidence of address

- Local authority tax bill (valid for current year)
- Current signed UK / EEA photo-card driving licence (Full or Provisional), or blue disabled driver’s pass
- Current full UK driving licence (old version), provisional licences are not acceptable
- Solicitor’s letter confirming house purchase or land registry confirmation
- Local council rent card or tenancy agreement
- Recent evidence of entitlement to a state or local authority funded benefit, including housing benefit and council tax benefit or state pension (dated within the last year)
- Original utility bill no older than 3 months (not including mobile phone bill) or a certificate from a supplier of utilities confirming the arrangement to pay for the services on pre-payment terms
- HMRC correspondence addressed to the applicant at the stated address (dated within the last year)
- EEA member state identity card
- Northern Ireland voter’s card
- Recent system-generated or signed documentation (not printed from the internet) from a regulated financial sector firm indicating that an account / investment relationship exists and which includes the account holder’s address

Please blank out or obscure any information that is not relevant. For example, if you send a utility bill, we do not need to know how much your bill was. We only need to be able to see what the document is, your name, address and account or reference number.

All documents will be returned as soon as possible.

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