Alliance Trust Savings

If you have any questions, please call our Client Services Team on

01382 573737

Investment Dealing Account

Transfer In request form

Section A – Instructions to Alliance Trust Savings

Please use this form to transfer investments into an Investment Dealing Account

If you do not already have an Investment Dealing Account you must complete an application form. If you require an application form, please contact our Client Services Team on 01382 573737 or contact@alliancetrust.co.uk and ask for an application pack, or download one from www.alliancetrustsavings.co.uk

This form should be read in conjunction with our Table of Charges. Please note that you will incur higher charges for postal dealing than online. If you have any questions, please call our Client Services Team on 01382 573737.

Please complete both sections A and B and return to Alliance Trust Savings Limited. Please complete in block capitals and black ink.

1 Transfer details

If you are already an Alliance Trust Investment Dealing Account client please provide your Account Reference Number

Please accept the transfer of the following Investment Dealing Account to be held in an Alliance Trust Investment Dealing Account.

Name of the Investment Dealing Account manager of the IDA you are transferring to Alliance Trust Savings

2 Investment instructions

If you have not decided which investments you would like to make, you may leave this section blank. We will place your cash on deposit when it is received from the other manager and until we receive instructions from you.

Please note that any instructions given in this section will be charged at our postal dealing rate (see your Table of Charges).

You will find information on available investments at www.alliancetrustsavings.co.uk or you can call our Client Services team on 01382 573737 to request a list of available investments.

Investment [1]		Amount or percentage of cash	**Income options** [2]	
Name (inc.class)	MEX code		Name (inc.class)	MEX code
	Total	£ %		

I wish to have income paid to me from some or all of the above investments.
Please send me the appropriate form to set this up if not already in place. (Please tick)

Continued overleaf

2 Investment instructions (continued)

1 Investment

Enter the full name and class of each investment you wish to make. This is important as there may be different classes available.

Please also quote the MEX code which you can find in the Investment Choice booklet, which is available within the Forms & Documents section at www.alliancetrustsavings.co.uk.

To allocate your cash to your Deposit Account or Online Dealing Account, enter 'deposit' or 'online'.

2 Income options

Any income received from each investment will automatically be used to purchase more of the same investment when your Minimum Purchase Level (see below) is reached, or you may, if you wish to:

- use it to purchase another investment – enter name and MEX code
- direct it to your Deposit Account – enter 'deposit'
- direct it to your Online Dealing Account – enter 'online'
- have income paid to your bank account – enter 'cash'.

3 How we will place your order

We will carry out your investment instructions once your Account is opened.

We may buy your investments for you, along with other client instructions, as part of the same deal. We will take all reasonable steps to ensure that the purchase is dealt on the best terms generally available in the market for transactions of a similar size and nature at the time of execution, as described in our Order Handling Policy. This may work to your advantage or disadvantage.

Minimum Purchase Levels

When cash in your Security Account reaches the Minimum Purchase Level, we will automatically purchase more of the same investments for you. The default level is £100 but if you wish to select a different amount please tick below. The level you select will apply to all investments in your Investment Dealing Account. You can change the levels at any time by completing a Investment Dealing Account Instruction form.

£150 ☐ £300 ☐ £500 ☐

Purchasing Funds

If you wish to invest in a fund (an OEIC, ETF or unit trust) you must confirm that you have read an up-to-date version of the Key Investor Information Document (KIID) for each fund in which you want to invest, as well as the Supplementary Information Document (SID) and in addition, confirm that you are not a US Person or applying on behalf of a US Person. Please tick both boxes below.

Copies of the fund KIIDs and SIDs can be found in the Investment Selector/Investment Information section of our website at www.alliancetrustsavings.co.uk or are available from the fund provider directly.

I confirm that I have read the relevant KIID(s) and SID(s) for the fund(s) in which I wish to invest. ☐ **and** **I confirm that I am not a US Person or applying on behalf of a US Person.** ☐

3 Fund Conversion - applicable to holders of retail share class funds only

Alliance Trust Savings will automatically convert retail share classes to new clean share class equivalents where the net Annual Management Charge (AMC) is equal or lower. If the net AMC is higher, we will proceed with the conversion to the clean share class equivalent unless you indicate below that you do not wish this to happen. A small proportion of funds do not have a clean share class equivalent. In this instance you will remain within the retail share class and receive 100% of any rebate payment that might be received from the fund manager.

I do not wish to convert to the clean share class equivalent if the net AMC is higher (Please tick) ☐

4 Account holder declaration and signature

- Please read carefully before you sign. It is a serious offence to make a false declaration.
- Please accept the transfer of the investments listed on this form. I/we agree to pay the relevant charges
- One of the following applies:
  - I/we declare that the investments are my own personal property free of lien, charge or other encumbrance

  OR

  - I/we declare that the investments are an outright gift to me/us for no consideration in money or money's worth
- I/we hereby authorise you in any event to make such arrangements as are required to transfer the investments into the Investment Dealing Account
- I/we have been given the opportunity to review the Governing Documents and relevant Key Features and I/we agree to be bound by these
- I/we understand that you do not have responsibility should the transfer result in loss of incentives
- I/we take to ensure that sufficient cash is available in my/our Investment Dealing Account to pay any instalment which may be due on investments transferred in as and when you require payment to be made

Signature ✗

Date DD MM YYYY

5 Investment Dealing Account Statement

Please ensure you enclose a recent statement for the Investment Dealing Account you are transferring. Please tick to confirm you have enclosed a statement. ☐

Please now complete Section B.

Investment Dealing Account

Transfer In request form

Section B – Instructions to the manager of the IDA you are transferring

Section A has been retained by Alliance Trust Savings.

1 Personal details

Account Number		**Permanent residential address**	
Title			
Surname			
Forename(s)		**Postcode**	
Daytime phone number		**Mobile phone number**	
Account designation (if applicable)			
Email address			

2 Ownership of investments

Are you the beneficial owner of the investments which are being transferred in? (Please tick) Yes ☐ No ☐

If you answered no, the investments must be a gift into the Account and you must provide the following information about the donor and documentation relevant to them. The donor must also sign the declaration below.

Donor/Joint holder name		**Phone number**	
Donor/Joint holder address			
Postcode			

I declare the investments detailed on this form are my own personal property and I own them free of any lien, charge or other encumbrance. I wish to transfer them into the Investment Dealing Account as an outright gift to the Account holder(s) whose Account Number appears on this form and I certify that no stamp duty is payable on this transfer as it falls within category L in the Schedule to the Stamp Duty (Exempt Instruments) Regulations 1987.

Signature	✗	**Date**	DD MM YYYY

3 Investments to be transferred in certificate

Investment [1]		Number of shares			How held [5]	Income options [6]	
Name (inc.class)	MEX code	On certificate [2]	To transfer in [3]	Balance [4]		Name (inc.class)	MEX code

Notes

1 Enter the full name and class of each investment. This is important as there may be different classes available.

Please also quote the MEX code which you can find in the relevant investment choice list available at www.alliancetrustsavings.co.uk

2 State the number of shares on the share certificate(s) you are enclosing with this form.

3 State the number of shares to be transferred into your Investment Dealing Account. Government Bonds (Gilts) will only be transferred in multiples of £100 nominal value. If transferring funds, you may only transfer up to a maximum of four decimal places.

4 If you are not transferring in the entire holding, please state the balance certificate required.

5 Please write the certificate number and enclose a CREST transfer form for each investment.

6 Any income received from each investment will automatically be used to purchase more of the same investment when your Minimum Purchase Level is reached, unless you wish to:

- use it to purchase another investment - enter name and MEX code
- direct it to the Deposit Account - enter 'deposit'
- direct it to your Online Dealing Account - enter 'online'
- have income paid to your bank account - enter 'cash' and we will allocate your dividends to your income account. If this is not already in place please complete an Income Withdrawal form from www.alliancetrustsavings.co.uk/literature

4 Transfer of investments from another manager

Please complete this section if you are transferring from another provider/fund manager instead of enclosing share certificates.

Before you return this form to us, you (or the donor) must tell the other provider/fund manager that you are intending to transfer investments into your Investment Dealing Account with us. Please check the terms on which the investments will be released, particularly any charges involved.

We will contact the other provider/fund manager to arrange the transfer. Please provide the following information:

Name of other provider/fund manager		**Phone number**	
Your account number with the other provider/fund manager		**Address**	
Contact name		**Postcode**	

5 Transferring an Investment Dealing Account

Please complete this section if you are transferring an Investment Dealing Account to Alliance Trust Savings.

I wish to transfer my Investment Dealing Account in (Please tick) Full ☐ **(Go to section 5a)** **OR** Part ☐ **(Go to section 5b)**

Please complete the appropriate section below.

5(a) Transfer my Investment Dealing Account in full

Please indicate how you wish to transfer your Investment Dealing Account to Alliance Trust Savings.

Cash only (Please tick) ☐

Please sell all investments and transfer in cash. (Please tick) ☐

Please sign and date section 6

You are not required to complete the rest of this section.

Investments and Cash (Please tick) ☐

Please complete the table below.

Please ensure you enclose a recent statement for this Investment Dealing Account (Please tick) ☐

Please transfer the following investments to Alliance Trust Savings. Any cheque representing net sale proceeds should be made payable to Alliance Trust Savings Limited.

Investments to be transferred			
Investment Name	**ISIN/SEDOL (if known)**	**Transfer in-specie**	**Sell and transfer as cash**
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO
		YES/NO	YES/NO

If you are unable to carry out my instructions as detailed above:

Transfer in cash (Please tick) ☐ **OR** Return this instruction to Alliance Trust Savings (Please tick) ☐

5 Transferring an Investment Dealing Account

5(b) Transfer only part of my Investment Dealing Account

Investments and Cash (Please tick) ☐ **Amount of cash to be transferred** (if any) £

Please now complete the table below.

Please transfer the following investments and refer to the letter from Alliance Trust Savings for registration details for the investments to be transferred.

Investments to be transferred	Number of shares/Cash	ISIN/SEDOL	Please write number of shares or 'all' if you wish to transfer your total holding

If you are unable to carry out my instructions as detailed above:

Transfer in cash (Please tick) ☐ **OR** Return this instruction to Alliance Trust Savings (Please tick) ☐

6 Account holder declaration and signature

Please read carefully before you sign. It is a serious offence to make a false declaration.

- Please accept the transfer of the investments listed on this form. I/we agree to pay the relevant charges
- One of the following applies:
  - I/we declare that the investments are my own personal property free of lien, charge or other encumbrance

    OR
  - I/we declare that the investments are an outright gift to me/us for no consideration in money or money's worth
- I/we hereby authorise you in any event to make such arrangements as are required to transfer the investments into the Investment Dealing Account
- I/we have been given the opportunity to review the Governing Documents and relevant Key Features and I/we agree to be bound by these
- I/we understand that you do not have responsibility should the transfer result in loss of incentives
- I/we take to ensure that sufficient cash is available in my/our Investment Dealing Account to pay any instalment which may be due on investments transferred in as and when you require payment to be made

Signature ✗

Date DD MM YYYY

Any joint holders must insert their full names in section 7.

7 Joint holders sign and date

Joint holder 1

Signature	✗		
Name			
Date	DD	MM	YYYY

Joint holder 2

Signature	✗		
Name			
Date	DD	MM	YYYY

Joint holder 3

Signature	✗		
Name			
Date	DD	MM	YYYY

Joint holder 4

Signature	✗		
Name			
Date	DD	MM	YYYY

8 Checklist

Please enclose the following:

- [ ] Share certificate(s) and relevant CREST transfer form(s) (for each holding)
- [ ] Investment Dealing Account application form (if you are not already an Account holder)

Alliance Trust Savings
PO Box 164, 8 West Marketgait, Dundee DD1 9YP **T** +44 (0)1382 321000 **F** +44 (0)1382 321183
E contact@alliancetrust.co.uk **www.alliancetrustsavings.co.uk**

Above this line for Registrar's use

CREST TRANSFER	Counter Location Stamp Barcode or reference SDRN IG01A	
Consideration Money	Above this line for completion by the depositing system-user only	Certificate(s) lodged with Registrar (To be completed by Registrar)
Full name of undertaking		
Full description of security		
Please complete form in block capitals or type	Amount of shares or other security in words	Figures
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), please insert the name(s) and capacity (e.g. Executor(s)) of the person(s) making the transfer.	In the name(s) of	Account Designation (if any) Balance certificate(s) required
Please sign here	I/we hereby transfer the above security out of the name(s) listed into the names of the system-members set out below and request that the necessary entries be made in the undertaking's own register of members. Signature(s) of members. .... Signatory .... Signatory A corporate should execute this transfer under its common seal or otherwise in accordance with applicable statutory requirements.	Stamp of depositing system-user Alliance Trust Savings Nominees Limited PO Box 164 8 West Marketgait Dundee DD1 9YP Date................................
Full name(s) to whom the security is transferred. Such person(s) must be system-members	ALLIANCE TRUST SAVINGS NOMINEES LIMITED	Participant ID IG01A Member Account ID
Reference to the registrar in this form means the registrar or registration agent of the undertaking, not the Registrar of Companies, Companies House	CRESTCo Limited is delivering this transfer at the direction and on behalf of the depositing system-user whose stamp appears herein and does not in any manner or to any extent warrant or represent the validity, genuineness or correctness of the transfer instructions contained herein or the genuineness of the signature(s) of the transferor(s). The depositing system-user, by delivering the transfer to CRESTCo Limited, authorises CRESTCo Limited to deliver this transfer for registration and agrees to be deemed for all purposes to be the person(s) delivering this transfer for registration. This form should only be used for a transfer of a certificated unit of a security to a CREST member to be held by a CREST member in uncertificated form. It should not be used for conversion of a unit held by a CREST member into uncertificated form. The CREST rules require that this form be used for the transfer of a unit of certificated security to a CREST member to be held by that member in uncertificated form. Any such transfer in this form is exempt from stamp duty.	

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 relief,

or

- the consideration given is not a 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.**

Signature

Signatures	✗	**Description** ('Transferor', 'Solicitor' etc)	
	✗		
	✗		
Date	DD / MM / YYYY		

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.**

Signature

Signatures	✗	**Description** ('Transferor', 'Solicitor' etc)	
	✗		
	✗		
Date	DD / MM / YYYY		

Notes

1 You do not need to send this form to HM Revenue & Customs (HMRC) if you have completed 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.

Please quote the MEX code which you can find in the relevant investment choice list available at www.alliancetrustsavings.co.uk.

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.

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