

Premier Miton funds

Transferring ownership of your investment

This pack will enable you to transfer some or all your shares/units in a Premier Miton fund to another individual or individuals.

If however you are looking to transfer an investment in respect of a deceased investor's account or to transfer your investment to a company please contact us on 0333 456 6363 to discuss further as there may be additional requirements.

This pack contains:

- Stock transfer form
- Guidance notes for the completion of the stock transfer form
- Stock transfer supplemental registration form

Stock transfer form

The stock transfer form should be completed in accordance with the guidance notes and signed where appropriate by the existing and new owners.

Stock transfer supplemental registration form

Please submit a separate supplemental registration form for EACH new shareholder/unitholder.

Returning the documentation

Please complete both forms in BLOCK CAPITALS, using blue or black ink and return them to your financial adviser, or to us directly at:

Premier Portfolio Managers Limited
Sunderland
SR43 4AW

Important

This pack should only be used for direct holdings in a Premier Miton fund. This pack should **NOT** be used for holdings through Connect, Premier Miton's online portal, or for the Premier Portfolio Management Service.

Please ensure that all sections of both the stock transfer form and supplemental registration form are completed and that a supplemental registration form is provided for each new investor (transferee). Failure to do so may result in the transfer being delayed or rejected.



**STOCK TRANSFER FORM
UK COLLECTIVE INVESTMENT SCHEMES**

This form should be completed and signed, as necessary, and should be lodged with the Fund's Registrar.

Name of Fund and Share Class			
ISIN (if known)			
Number of units or shares to be transferred. If the entire holding is to be transferred, insert "ALL".	Words:	Figures:	
Full name(s) of registered unit/share holder(s), address of 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 (eg. Executor(s)), of the person(s) making the transfer.	1 st holder name and address:	2 nd holder name:	
		3 rd holder name:	
		4 th holder name:	
		Account designation:	
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.		Stamp of the institution lodging this form (if any), for queries etc. concerning the transfer:	
Signature(s) of transferor(s):			
1.			
2.			
3.			
4.			
Date:		All transferors must sign. Bodies corporate should execute under their common seal, or otherwise as determined by their Memorandum and Articles of Association	
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.). Note that only the 1 st holder's address will appear on the register of title. *Please see "Customer Due Diligence For Anti-Money Laundering Purposes" overleaf.	1 st holder name and address:	2 nd holder name and address:	
	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:		

IMPORTANT NOTE

In addition to this Form, the Registrar may also require tax residency self-certification(s) in respect of each transferee before accepting the Form as a valid instrument of transfer.

Please confirm by ticking this box if the relevant self-certification(s) is/are attached:

CUSTOMER DUE DILIGENCE FOR ANTI-MONEY LAUNDERING PURPOSES

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. In such cases, the Manager or Registrar may seek confirmation of the transferee's status and eligibility for these purposes.

BENEFICIAL OWNERSHIP AND CONTROL

(a) If the transferee(s) is/are the individual beneficial owner(s), please state "TRANSFEREE" or "TRANSFEREES", as appropriate, in the first name space in the table below.

(b) If the transferee is a body corporate or a partnership, it must enter in the table below the names of any persons that own or control more than 25% of the voting rights in the body or partnership, or are entitled to more than 25% of its capital or profits, or otherwise exercise control over the management of the body or partnership*.

(c) If the transferee(s) is/are acting as trustee(s) (or similar), they must enter in the table below the names of any further trustees or others that have control over the management of the trust or arrangement and any individuals that have an entitlement to at least 25% of the property of the trust or otherwise have control over the trust*.

* If no individual has a specified interest that exceeds the above limits, please state "NONE" in the first name space below and strike through the remainder of the table. In the case of entities and arrangements that are not established for the benefit of any specified individual(s), the table should be used to provide a description of the nature of those who will benefit from the entity or arrangement ("the class of beneficiary").

Name		Address:
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.

Signature(s): 1

2

3

4

In the event of doubt as to how to complete the table, please contact the Registrar. If the table and declaration above are not completed, the Manager or Registrar may need to contact the transferee(s) prior to registering the transfer in order to fulfil their obligations under UK money laundering and data protection legislation.

The Registrar may refuse to register the transfer or allow further disposal of the units/shares by the transferee(s) until such time as the above due diligence measures have been completed to the Manager's satisfaction.

GUIDANCE FOR THE COMPLETION OF THE STOCK TRANSFER FORM FOR UK COLLECTIVE INVESTMENT SCHEMES

INTRODUCTION

Historically, the common stock transfer form was used to effect a transfer of company shares or stock and has also been used for UK unit trusts and open-ended investment companies ("funds"). However on 15 December 2007, new legislation imposed a requirement on fund managers to verify the identity of all registered holders of their funds as well as any other beneficial owners and controllers. For this reason, it was necessary to introduce a bespoke form for UK investment funds. Further updates to this form were required in April 2014 to accommodate the abolition of the special Stamp Duty Reserve Tax regime for investment funds and new statutory requirements to obtain details of investors' tax residency.

These guidance notes relate solely to the *Stock Transfer Form for UK Collective Investment Schemes, as updated from April 2014*.

COMPLETION OF THE FORM

The top section deals relates to the current registration of the units/shares:

Name of Fund and Share Class	Note 1		
ISIN (if known)	Note 2		
Number of units or shares to be transferred. If the entire holding is to be transferred, insert "ALL".	Words: Note 3		Figures: Note 3
Full name(s) of registered unit/share holder(s), address of 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 (eg. Executor(s)), of the person(s) making the transfer.	1 st holder name and address:		2 nd holder name:
	Note 4		3 rd holder name:
			4 th holder name:
			Account designation:

Note 1: Enter the name of the fund in which the units/shares are held including the name of the class (if applicable), for example:

ABC European Fund, Income Shares; or
XYZ UK Equity Fund, Class "A" Shares

Note 2: Enter the ISIN code if it is known. "ISIN" stands for International Securities Identification Number and is a unique reference code which is given to each share class of a fund.

Note 3: Enter the number of unit/shares to be transferred in both words and figures. If the entire holding is to be transferred, "All" may be entered in both boxes, instead of an actual number.

Note 4: These boxes should be used to enter the full name(s) and address (including postcode) in which the units/shares are registered currently. If the holding is designated (for example, "ABC Account"), the designation should be entered in the box provided.

The middle section is where the current holders (the transferor(s)) execute the transfer and authorise the units/shares to be registered:

<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 style="text-align: center;">Signature(s) of transferor(s):</p> <p>1.</p> <p>2.</p> <p style="text-align: center;">Note 5</p> <p>3.</p> <p>4.</p> <p>Date:</p> <p style="text-align: right; font-size: small;">All transferors must sign. Bodies corporate should execute under their common seal, or otherwise as determined by their Memorandum and Articles of Association</p>	<p>Stamp of the institution lodging this form (if any), for queries etc. concerning the transfer:</p> <p style="text-align: center; color: red; font-weight: bold; font-size: 1.2em;">Note 6</p>
---	--

Note 5: All current registered holders must sign here, and the date entered below. If someone is signing on behalf of a holder, with power of attorney for example, the document appointing them (or a properly certified copy) must be attached if it has not already been lodged with the Registrar.

Note 6: This box is for the stamp of any firm that is lodging the form with the Registrar on behalf of either the current or new holder(s) and with whom the Registrar or Manager should correspond in the event of a query.

The bottom section provides spaces for the details of the transferee(s) in whose names the units/shares are to be registered going forward:

<p>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.</p> <p>In each case please state title or salutation (eg. Mr., Mrs., Miss, etc.).</p> <p>Note that only the 1st holder's address will appear on the register of title.</p> <p>*Please see "Customer Due Diligence For Anti-Money Laundering Purposes" overleaf.</p>	<p>1st holder name and address:</p> <p style="text-align: center; color: red; font-weight: bold; font-size: 1.2em;">Note 7</p> <p>Date of Birth:</p>	<p>2nd holder name and address:</p> <p>Date of Birth:</p>
	<p>3rd holder name and address:</p> <p>Date of Birth:</p>	<p>4th holder name and address:</p> <p>Date of Birth:</p>
	<p>Account designation: Note 8</p>	

Note 7: These boxes must contain the full name(s), address(es) (including postcode) and date(s) of birth of the person(s) to whom the units/shares are being transferred. They must be completed in BLOCK CAPITALS.

Note that only the address of the first named holder will usually be entered on the register. The remaining details are required by the Manager in connection with its customer due diligence obligations (see below).

Note 8: Any designation (for example, "ABC Account") that the new holder(s) wish to be included on the register for identification purposes may be added here.

The box at the bottom of page 1 must be ticked, where applicable, to ensure the Registrar is aware of what additional "Tax Residency Self-Certification" forms they should be receiving with the Stock Transfer Form. Note that where there is more than one transferee, a "Tax Residency Self-Certification" form must be completed for each transferee.

IMPORTANT NOTE

In addition to this Form, the Registrar may also require tax residency self-certification(s) in respect of each transferee before accepting the Form as a valid instrument of transfer.

Please confirm by ticking this box if the relevant self-certification(s) is/are attached:

GUIDANCE FOR THE COMPLETION OF "CUSTOMER DUE DILIGENCE FOR ANTI- MONEY LAUNDERING PURPOSES" FORM

This form deals entirely with the Manager's legal obligations to undertake "customer due diligence" measures in relation to the transferee(s) (to whom the shares are being transferred).

The explanation at the top concerns mainly the Manager's obligation to verify the identities of both the transferees and any other beneficial owners or controllers, for which they may require documentary evidence or may undertake searches of electronically-held records. In connection with this, the table below must be completed as necessary and the declaration signed. The table is used to list the names of any beneficial owners or controllers that may exist other than the transferee(s).

What constitutes a beneficial owner for these purposes depends upon whether the units/shares are being transferred to a company or to one or more individuals who may be acting as trustees.

For companies and partnerships, the beneficial owners that must be listed are any shareholders or other individuals that ultimately own or control more than 25% of the voting rights or are entitled to more than 25% of its capital profits or otherwise have control over the management of the company or partnership. Note that they may not necessarily be the actual shareholders in the company. Directors of a company do not need to be listed unless they fall within this definition. For trusts and other similar arrangements, the beneficial owners are individuals that are nominated to benefit from at least 25% of the trust property, as well as any trustees that may exist in addition to the transferee(s) or others that may exercise control over them.

Name		Address:
Date of Birth		
Capacity**		
Note 9		
Name		Address:
Date of Birth		
Capacity**		
Name		Address:
Date of Birth		
Capacity**		
Name		Address:
Date of Birth		
Capacity**		

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

Note 9: The names, addresses and dates of birth of any beneficial owners or controllers should be entered in the boxes provided, together with brief descriptions of their capacities. This box should be completed in BLOCK CAPITALS

If the transferee(s) are the only beneficial owner(s) of the units/shares, simply enter "TRANSFEE" or "TRANSFEEES" as appropriate on the first name space.

If there are beneficial owners, but none has an interest that exceeds 25% or otherwise is in a position of control (see above), "NONE" should be entered in the first name space and a line drawn through the rest of the table.

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 beneficiary. In these cases, a description of the class of beneficiary should be entered in the table (this may extend across both columns). Note that all additional trustees or controllers must be listed individually.

The table can be used to provide the names of up to four beneficial owners or controllers. If there are more than four, a tick should be placed in the small box immediately below the table and details of the others provided on a separate sheet.

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.

Signature(s): 1
2 **Note 10**
3
4

In the event of doubt as to how to complete the table, please contact the Registrar. If the table and declaration above are not completed, the Manager or Registrar may need to contact the transferee(s) prior to registering the transfer in order to fulfil their obligations under UK money laundering and data protection legislation.

The Registrar may refuse to register the transfer or allow further disposal of the units/shares by the transferee(s) until such time as the above due diligence measures have been completed to the Manager's satisfaction.

Note 10: One or more (if there are any) of the 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.

Premier Miton funds

Stock transfer supplemental registration form

To be completed by each new shareholder/unitholder

Important

PLEASE SUBMIT SEPARATE FORMS FOR ALL NEW SHAREHOLDERS THAT ARE INDIVIDUAL PERSONS

Please complete both this form and the stock transfer form in BLOCK CAPITALS, using blue or black ink and return it to your financial adviser, or to: **Premier Portfolio Managers Limited, Sunderland SR43 4AW**

If this transfer is in respect of a deceased investor's account, please contact us on 0333 456 6363 as there are different requirements.

Please ensure that all relevant sections are completed. Please complete in full; section 1 'New shareholder/unitholder details' and section 4 'Bank details' - if this information is not provided, your stock transfer could be delayed or rejected.

(Photocopy as required, additional copies of the form can also be requested by calling us on 0333 456 6363)

Section 1. New shareholder/unitholder details

Name of the new shareholder/unitholder to whom this form relates: _____

Telephone - Home: _____ Mobile: _____

Email address: _____

Please provide your own personal security question and answer which will be required each time you telephone for information on your account (for example "what was the name of my first school", "what is my mother's first name", "what was the name of my first pet" or "what was the name of my favourite childhood friend?")

Security question: _____

Security answer: _____

Section 2. Identity verification

For anti-money laundering purposes, we need to verify the details provided. If the bank account details provided fail our electronic verification check, we will ask you to provide one of the following items. The documents can be uploaded to the account document library online:

- An original voided cheque
- An original paying in slip (usually found at the back of your cheque book)
- Either an original or copy of a bank statement, not older than six months
- Internet based bank statements are not acceptable



Section 7. Declaration and authority

This form, along with the relevant Prospectus, Key Investor Information Document and Supplementary Information Document each as amended from time to time, forms the agreement upon which Premier Portfolio Managers Limited intends to rely and will govern all sums now and in future invested unless the parties agree otherwise in writing. The current version of each document will be available on our website premiermiton.com For your own benefit and protection, you should read these terms carefully before signing them. If you do not understand any point, please ask for further information.

To Premier Portfolio Managers Limited:

I authorise Premier Portfolio Managers Limited to make any income payments, as instructed, and/or redemption payments to the bank or building society shown in [section 4](#). Premier Portfolio Managers Limited does not accept any responsibility for the quotation of building society account numbers and the quotation of any such number(s) is entirely at the risk of the investor.

I understand that Premier Portfolio Managers Limited is utilising the delivery versus payment exemption for the purpose of settling a transaction in relation to units in a regulated collective investment scheme and therefore my money may not be treated as client money for the period up to the close of business on the business day following the date of receipt of the money.

I declare that the information provided on this form is to the best of my knowledge and belief, accurate and complete. I agree to notify Premier Portfolio Managers Limited immediately in the event the information in relation to tax residency changes.

I understand that this information will be processed by you in the setting up and administration of my investment(s) and that where a financial adviser acts on my behalf, Premier Portfolio Managers Limited will disclose information concerning my investment to that financial adviser.

I have read and understand the Data Protection Notice set out in this application form.

I declare that I am aged 18 years old or older.

On signing this declaration, I confirm that I have read the latest Key Investor Information Document and Supplementary Information Document for the relevant share class of the fund/s being transferred to me.

Additional declaration for Trustees:

I appoint Premier Portfolio Managers Limited under the power and authority given to me by the Trust Deed and I delegate to Premier Portfolio Managers Limited (and authorise them to sub-delegate) the investment of the Trust property delivered to Premier Portfolio Managers Limited from time to time on the terms described in the relevant fund Key Investor Information Document and Supplementary Information Document. I hereby represent and warrant that I am empowered by the said Trust Deed to delegate our function in the manner described above.

Signature of new shareholder/unitholder: _____

Date:



Section 8. Data protection notice

This notice sets out how Premier Portfolio Managers Limited ("PPM", "we" or "us") will process personal information (as a Data Controller).

Where your details are provided to PPM as a consequence of your investment in the Premier Miton funds (the "funds"), then PPM, acting as a data controller may itself (or through a third party such as Northern Trust Global Services SE (the "Administrator") acting in its capacity as the funds' administrator) process your personal information or that of your directors, officers, employees and/or beneficial owners. In connection with this, please note the following:

Purposes of Processing and Legal basis for processing

Your personal data may be processed on behalf of the funds by PPM or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

- To facilitate the opening of your account with PPM, the management and administration of your holdings in the funds and any related account on an on-going basis (the "Services") which are necessary for the performance of your contract, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;
- In order to carry out anti-money laundering checks and related actions which PPM considers appropriate to meet any legal obligations imposed on PPM or the funds relating to, or the processing in the public interest or to pursue PPM or the funds' legitimate interests in relation to, the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an ongoing basis, in accordance with PPM's and the Administrator's anti-money laundering procedures;
- To report tax related information to tax authorities in order to comply with a legal obligation;
- To monitor and record calls and electronic communications for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend PPM or the funds and its affiliates, itself or through third parties to whom it delegates such responsibilities or rights in order to comply with any legal obligation imposed on PPM or the funds, (v) to pursue PPM's or the funds' legitimate interests in relation to such matters or (vi) where the processing is in the public interest;
- To disclose information to other third parties such as service providers of PPM or the funds, auditors, regulatory authorities and technology providers in order to comply with any legal obligation imposed on PPM or the funds or in order to pursue the legitimate interests of PPM or the funds;
- To monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of PPM or the funds to improve service delivery;
- To update and maintain records and fee calculation;
- To retain AML and other records of individuals to assist with the subsequent screening of them by the Administrator including in relation to other funds or clients of the Administrator in pursuance of the Administrator's and its clients' legitimate interests;

and which are necessary to comply with the funds', PPM's or the Administrator's legal obligations and/or which are necessary for the funds', PPM's or the Administrator's legitimate interests indicated above and/or the processing is in the public interest.

Recipients of Data and International Transfer of Data

We may disclose your personal information as follows:

- To the funds' service providers, including the Administrator, and their affiliates, and other third party service providers engaged in order to process the data for the above mentioned purposes; and
- To competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting;

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside the United Kingdom in accordance with the requirements of the General Data Protection Regulation. Such countries may not have the same data protection laws as your jurisdiction. We have authorised the Administrator as our agent to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred. Please contact us and we will contact the Administrator for copies of the Standard Contractual Clauses that have been entered into on behalf of the funds.



Retention period

We and the Administrator will retain your personal information for as long as required for the funds, us or the Administrator to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate the retention of your personal information.

Data Subject Rights

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information.
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).

Where we or the Administrator require your personal information to comply with AML or other legal requirements, failure to provide this information means we may not be able to accept you as an investor in the funds.

You have the right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by us or the Administrators or our service providers infringes the General Data Protection Regulation. In the UK this would be the Information Commissioner's Office.

The Administrator or the Depositary as a Data Controller

Northern Trust group's EMEA Data Privacy Notice sets out how Northern Trust Global Services SE (the "Administrator") or Northern Trust Investor Services Limited (the "Depositary") will process your personal information where they are acting as a data controller or a joint data controller. The EMEA Data Privacy Notice may be updated from time to time and is available at: www.northerntrust.com/united-kingdom/privacy/emea-privacy-notice.

Use of personal information

If you have any questions about our use of your personal information, please contact us at investorservices@premiermiton.com or in writing to the Data Protection Officer at Premier Portfolio Managers Limited at Eastgate Court, High Street, Guildford, Surrey, GU1 3DE.

For your protection, calls may be monitored and recorded for training and quality assurance purposes.

Account enquiries

For all other non-data queries please contact the administrator to avoid any delays, at premiermiton_enquiry@ntrs.com.

Any correspondence or instructions in relation to your account, please write to us at Premier Portfolio Managers Limited, Sunderland SR43 4AW.

