



SIPP Equity Transfer Authority

We're currently rebranding from Novia to Wealthtime. You'll notice that some of our products and services still use the name Novia while we're transitioning over to the new name. So don't worry if you see both Wealthtime and Novia names in our documents. Wealthtime is a trading name of Novia Financial plc.

Complete this form to transfer equities into a SIPP.

You can sign this form digitally. Once completed, simply log in to Adviser Zone and send it to us via secure email. If you don't have access to our selected electronic signature providers, please sign the declaration on page four using a blue or black pen and scan the form before sending it to us by secure email. Alternatively, you can send the form by post to Wealthtime Client Services, PO Box 4328, Bath, BA1 0LR.

Notes for Completing this Equity Transfer Authority

Share/EPIC code

This is the standard share trading code as registered on the London Stock Exchange

Name of share

This is the full name of the share as registered on the London Stock Exchange. Please include security type and denomination.

Registered name of holding

The full name of the holder as listed at the Share Registry and as shown on the contract note(s).

Number of shares

The number of shares you are transferring to your Novia Stockbroker Account.

Additional Documents Required:

Certificated

If the shareholding being transferred is certificated, we will require the original certificate(s) and an attached CREST transfer form to be completed.

CREST

If the share being transferred is registered on CREST, please provide a recent statement showing all details of the shareholding you wish to transfer.

Broker

If the share being transferred is held with a broker, a nominee or direct with registrars, please ensure you also provide us with full account and contact details.

Please note, if a Novia Stocktrade Account account is required a separate stocktrade application will need to be completed.

Equity Transfer Authority (Please Complete One Authority for Each Broker)

Mr Mrs Miss Other: Male Female

Surname: Date of birth:
(dd/mm/yyyy)

Forename(s):

Investor number:

Wrapper number:

National Insurance number:

If you don't provide your National Insurance number, it may mean we can't transfer the shares into your SIPP.

Registered Address

House number/name:

Street name:

District:

Town/city:

County:

Country:

Postcode:

Please provide any previous addresses which are still registered against any investments you are transferring in this application.

Previous Address One

House number/name:

Street name:

District:

Town/city:

County:

Country:

Postcode:

Previous Address Two

House number/name:

Street name:

District:

Town/city:

County:

Country:

Postcode:

Name and Address of Existing Broker

| | |
|--|----------------------|
| Broker name: | <input type="text"/> |
| Building number/name: | <input type="text"/> |
| Street name: | <input type="text"/> |
| District: | <input type="text"/> |
| Town/city: | <input type="text"/> |
| County: | <input type="text"/> |
| Country: | <input type="text"/> |
| Postcode: | <input type="text"/> |
| Account number registered with the broker: | <input type="text"/> |

Shares to be transferred

Please use this section to supply the details of the shareholding that you wish to transfer into your Novia Stockbroker Account. You may transfer any shares listed on the London Stock Exchange. Please refer to the notes on page one for more details.

| Share/EPIC code | Name of share (full details including security type and denomination) | Name of registered holder | Number of shares | Certified (Please Tick) | CREST (Please Tick) |
|-----------------|---|---------------------------|------------------|-------------------------|---------------------|
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Please complete the attached CREST transfer form where appropriate.

Please transfer outstanding Cash to Wealthtime (a trading name of Novia Financial Plc) as part of this equity transfer.

Declaration

- I authorise the broker shown on this authority to provide Wealthtime with any information it may require, and to transfer the assets detailed above to the stockbroker with immediate effect.
- I authorise Wealthtime to submit this transfer authority to the broker detailed in this authority and for the manager to execute the transfer with immediate effect.
- I confirm that the transfer of the assets listed below will not affect any change of beneficial owners from or among the existing holders and is not for consideration in money or moneys worth.
- If I sign this declaration by electronic signature, I confirm that this method of signature is my agreement to be bound as if signed by my manuscript signature.

Applicant signature:

Date (dd/mm/yyyy):

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Applicant name (please print):

If you require this document in an alternative format please contact us.

Wealthtime is a trading name of Novia Financial plc. Novia Financial plc is a private limited company registered in England and Wales. No. 06467886. Registered office: Cambridge House, Henry St, Bath, BA1 1JS. Novia Financial plc is authorised and regulated by the Financial Conduct Authority. FCA Number 481600.

Above this line for registrar's use

| | |
|------------------------|---|
| Counter location stamp | Barcode or reference SDRN |
|------------------------|---|

Above this line for completion by the depositing system-user only

Name of Undertaking

Description of Security

Please complete form in
BLOCK CAPITALS

Name of registered
Holder(s) should be
given in full: the
address should be
given where there is
only holder.

If the transfer is not
made by the registered
holder(s) insert also
the name(s) and
capacity (e.g.
executor(s) of the
person(s) making
the transfer

Please sign here

Full name(s) of the
person(s) to whom the
security is transferred
Such person(s) must be
a system member.

Reference to the
Registrar in this form
means the registrar of
registration agent of
the undertaking, not
the Registrar of
Companies at
Companies House.

| | |
|---|--|
| Consideration money | Certificate(s) lodged with registrar (To be completed by registrar) |
| Amount of shares or other security in words | Figures |
| In the name(s) of | Description (if any) |
| | Balance certificate(s) required |
| <p>I/We hereby transfer the above security out of the name(s) aforesaid into the name(s) of the system-member set out below and request that the necessary entries be made in the undertaking's own register of members.</p> <p>Signature(s) of transferor(s)</p> <p>1.</p> <p>2.</p> <p>3.</p> <p>4.</p> <p>A body corporate should execute this transfer under its common seal or otherwise in accordance with applicable statutory requirements.</p> | Stamp of depositing system-user |
| | Date |
| Full name(s) of the person(s) to whom the security is transferred Such person(s) must be a system member. | Participant ID |
| | Member account ID |

RESTCo 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 this transfer to RESTCo Limited authorises RESTCo Limited to deliver this transfer to registration and agrees to be deemed for all purposes to be the person(s) actually so delivering this transfer for registration.

This form should be used only 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 requires that this form be used for the transfer of a unit of a certificated security to a CREST member to be held by that member in uncertificated form. Any such transfer on this form is exempt from stamp duty.