



# Novia GIA Corporate or Trust Equity Transfer Authority

## Notes for the completion of this 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.

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 two 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.

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 shown on the Contract Note(s).
Number of shares:	The number of shares you are transferring to your Stockbroker Account.
<b>Additional documents required:</b>	
Certified:	If the shareholding being transferred is certificated, we will require the original certificate(s) and completed attached CREST transfer form.
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 your full account and contact details.

## New Stockbroker Account

If a Stockbroker Account is required, please fill out and submit a Stocktrade Registration form.

## Equity Transfer Authority

(please complete one authority for each broker)

### Registered address

House 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"/>

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

**Previous address one**

House 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"/>

**Previous address two**

House 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"/>

**Equity Transfer Authority (continued)**

(please complete one authority for each broker)

**Name and address of each broker**

Manager name:	<input type="text"/>
House 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:

**Shares to be transferred**

Please use this section to supply the details of the shareholding that you wish to transfer into your 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)

Please complete the attached CREST Transfer Form where appropriate

Please transfer outstanding cash to Wealthtime as part of this equity transfer.

Account number registered with the broker:

- I/We 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/We authorise Wealthtime to submit this transfer authority to the broker detailed in this Authority and for the broker to execute the transfer with immediate effect.
- I/We 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/we sign this declaration by electronic signature I/we confirm that this method of signature is my/ our agreement to be bound as if signed by my/our manuscript signature.

Signatory one  
Signature:  Date (dd/mm/yyyy):

Name:

Signatory two  
Signature:  Date (dd/mm/yyyy):

Name:

Signatory three

Signature:

Date (dd/mm/yyyy):

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Name:

Signatory four

Signature:

Date (dd/mm/yyyy):

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Name:

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.

# CREST Transfer

Above this line for the registrar's use

	Counter location stamp	Barcode or reference
		SDRN
Above this line for completion by the depositing system-user only		
	Consideration money	Certificate(s) lodged with registrar (To be completed by registrar)
Name of undertaking		
Description of security		
Please complete form in BLOCK CAPITALS	Amount of shares or other security in words	Figures
Name of registered holder(s) should be given in full: the address should be given where there is only holder.	In the name(s) of	Description (if any)
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		Balance certificate(s) required
Please sign here	<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
Reference to the registrar in this form means the registrar of registration agent of the undertaking, not the registrar of Companies at Companies House.	<p>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.</p> <p>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.</p> <p>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.</p>	