

# M&G OEIC Stock Transfer Form



## This form:

- should be completed, signed and dated, as necessary, and returned to M&G Securities Limited, PO Box 9039, Chelmsford CM99 2XG
- is to be used for transferring M&G OEIC shares from the current holder(s) (transferor) to another person(s) (transferee).

Please complete this form in blue or black ink, using CAPITAL letters and ticking the appropriate boxes.

## ! Important Information

- If the shares are being transferred to a person who does not currently invest with M&G, they will need to complete an M&G OEIC application form or an M&G Savings Plan application form. Our application forms are available to download from our website [www.mandg.co.uk](http://www.mandg.co.uk)
- Please ensure you send an original copy of the form.
- In order to comply with the US law, we are unable to accept a transfer of holdings to a person resident in the USA.
- Please note, if you hold more than one share type in an M&G OEIC, you will need to complete a separate form for each one.

## 1 Fund and share class details

Details of the fund name, share class and share type can be found in the M&G Statement booklet.





**Number of shares to be transferred.** If the entire holding is to be transferred, insert "ALL".



## 2 Current holder(s) transferring the shares (transferor details)

If you are completing this form in your capacity as Executor/attorney, please note that the details below should be of the current holder, not your own. If the transfer is not being made by the registered holder(s), please insert the name(s) and capacity (eg Executor(s) or attorney), of the person(s) making the transfer in the 'Representative name and capacity' section below.

Full name(s) of registered share holder(s), address of first registered holder and account designation (if any).

### First holder name and address





**Account designation** (if applicable)

### Second holder full name (if applicable)

### Third holder full name (if applicable)

### Fourth holder full name (if applicable)

## 2 Current holder(s) transferring the shares (transferor details) continued

If the transfer is not being made by the registered holder(s), insert also the name(s) and capacity (eg Executor(s) or attorney), of the person(s) making the transfer.

### Representative name and capacity

Mr  Mrs  Miss  Ms  Other

Forename(s)
Surname
Capacity

### Second representative name and capacity (if applicable)

Mr  Mrs  Miss  Ms  Other

Forename(s)
Surname
Capacity

Note: Please use another sheet of paper if you need more space to list the representative name and capacity.

## 3 Current holder (transferor) declaration and authorisation

I/We hereby transfer the above shares out of the name(s) detailed in section 2 to the person(s) named in Section 4 and request that such entries be made in the register as are necessary to give effect to this transfer.

All transferors, or their representatives, must sign and date here. Bodies corporate should execute under their common seal, or otherwise as determined by their Memorandum and Articles of Association.

### Signature(s) of transferor(s)

**Holder 1** Signature

Name (please print)

Date

Capacity (if applicable)

**Holder 2** Signature (if applicable)

Name (please print)

Date

Capacity (if applicable)

**Holder 3** Signature (if applicable)

Name (please print)

Date

Capacity (if applicable)

**Holder 4** Signature (if applicable)

Name (please print)

Date

Capacity (if applicable)

### Stamp of the institution lodging this form (if any), for queries etc concerning the transfer

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## 4 Details of new holder(s) receiving the transfer (transferee details)

Full name(s), date(s) of birth and full postal address(es) (including postcode) of the holder(s) to whom the shares are transferred\*, and any account designation.

Note that only the first holder's address will appear on the register of title.

\*Please see Section 5 "Customer due diligence for anti-money laundering purposes".

### New holder 1

New holder 1 full name

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Registered address

Postcode

Country

### New holder 2 (if applicable)

New holder 2 full name

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Registered address

Postcode

Country

### New holder 3 (if applicable)

New holder 3 full name

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Registered address

Postcode

Country

### New holder 4 (if applicable)

New holder 4 full name

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Registered address

Postcode

Country

### Account designation (if applicable)

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## ! Important Note

If you are new to M&G, you will need to complete either an M&G OEIC application form or an M&G Savings Plan application form. For more information, please contact the **Customer Relations** team on **0800 390 390**.

Please note, we are required to verify the identity of investors and executors to comply with UK anti-money laundering legislation. This involves obtaining independent documentary evidence confirming identity and permanent residential address. The transfer might be delayed or rejected if we haven't successfully verified all the transferors.

## 5 Customer due diligence for anti-money laundering purposes

This section does not apply where the new account holder is a regulated financial institution or other entity that satisfies the criteria necessary to permit M&G Securities Limited to apply "simplified" customer due diligence.

### Beneficial Ownership and Control

- If the new account holder(s) is/are the individual beneficial owner(s), please state "NEW ACCOUNT HOLDER", as appropriate, in the first name space on page 4.
- If the new account holder is a body corporate or a partnership, please state on page 4 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.
- If the new account holder(s) is/are acting as trustee(s) (or similar), please state on page 4 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.

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

New holder full name	Registered address								
Date of birth	Postcode								
<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	Country
D	D	M	M	Y	Y	Y	Y		
New holder full name	Registered address								
Date of birth	Postcode								
<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	Country
D	D	M	M	Y	Y	Y	Y		
New holder full name	Registered address								
Date of birth	Postcode								
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D	D	M	M	Y	Y	Y	Y		

## 5 Customer due diligence for anti-money laundering purposes (continued)

I/We hereby certify that the above is a complete list of the beneficial owners and controllers as described above.

To be signed by one or more of the new holders named in section 4, in whose names the shares will be registered.

New Holder 1 Signature	Date	<table border="1" style="border-collapse: collapse; width: 100%; text-align: center;"> <tr> <td style="width: 25%;">D</td> <td style="width: 25%;">D</td> <td style="width: 25%;">M</td> <td style="width: 25%;">M</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			
New Holder 2 Signature (if applicable)	Date	<table border="1" style="border-collapse: collapse; width: 100%; text-align: center;"> <tr> <td style="width: 25%;">D</td> <td style="width: 25%;">D</td> <td style="width: 25%;">M</td> <td style="width: 25%;">M</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			
New Holder 3 Signature (if applicable)	Date	<table border="1" style="border-collapse: collapse; width: 100%; text-align: center;"> <tr> <td style="width: 25%;">D</td> <td style="width: 25%;">D</td> <td style="width: 25%;">M</td> <td style="width: 25%;">M</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			
New Holder 4 Signature (if applicable)	Date	<table border="1" style="border-collapse: collapse; width: 100%; text-align: center;"> <tr> <td style="width: 25%;">D</td> <td style="width: 25%;">D</td> <td style="width: 25%;">M</td> <td style="width: 25%;">M</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> <td style="width: 25%;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			

**In the event of doubt as to how to complete section 5, please contact the M&G Customer Relations team on 0800 390 390. If the contact details and declaration above are not completed, or additional information/documentation is required, M&G Securities Limited may need to contact the current holder(s) or their representative(s) prior to registering the transfer in order to fulfil their obligations under UK money laundering and data protection legislation.**

M&G Securities Limited may refuse to register the transfer or allow further disposal of the shares by the new holder(s) until such time as the above due diligence measures have been completed to M&G Securities Limited's satisfaction.



### How to contact us

Call us



**0800 390 390**

We are open Monday to Friday from 08:00 to 18:00 and on Saturday from 09:00 to 13:00. For your security and to improve the quality of our service, we may record and monitor telephone calls.

Visit our website



**[www.mandg.co.uk](http://www.mandg.co.uk)**

Email us



**[info@mandg.co.uk](mailto:info@mandg.co.uk)**

Please note that information in an email cannot be guaranteed as secure. Do not include sensitive information in emails to M&G.

Write to us



**M&G Customer Relations  
PO Box 9039  
Chelmsford  
CM99 2XG**