



Asset Match Certificated Selling Pack

The following forms should be used to enter a certificated holding for sale into an Asset Match auction.

This will allow you to establish a free of ongoing charge broker account with our partner shareDeal active, who will convert your paper certificate into an electronic (CREST) holding which can then be entered for sale to the Asset Match auction platform.

Instructions

Application Form – Nominee Account:

Please complete this form in full. If your certificate is in a joint name e.g. Husband and Wife, then you must enter both sets of details to create a joint account.

CREST Transfer form:

A CREST Transfer Form is used to deposit certificated stock into a Nominee Account. Please make sure that you fill in the following details:

- "Name of Undertaking" - The Company Name (i.e. Barclays or Vodafone)
- "Description of Security" - Security Description (i.e. ORD GBP1 or ORD USD0.10. This is usually stated on your certificate)
- "Words" - Number of Shares in Words.
- "Figures" - Number of Shares in Figures.
- "In the name(s) of" - Please enter your FULL name and address, exactly as it appears on your certificate.
- "Please Sign Here" - All of the registered holders of the certificate need to Sign the Form.

You can leave the rest of the form blank as shareDeal active will complete any additional details. If you are still unsure, please refer to the example provided at the end of this pack.

Once you have completed all the above please attach your original share certificate and post along with your completed forms to;

shareDeal active
Jarvis Investment Management Ltd
78 Mount Ephraim
Royal Tunbridge Wells
Kent
TN4 8BS

What does it cost?

Certificate dealing charges

Asset Match Commission	Successful orders are charged a commission rate of 3% (minimum £20)
shareDeal active Commission	£9.50

Other dealing charges

PTM Levy	£1.00 on all applicable transactions over £10,000
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Other fees

Cash Withdrawal Fee	£15.00 (plus VAT)
Certificate Withdrawal Fee	£10.00 (plus VAT)

How do I place an order?

Placing an order is very easy. You can either call the dealing desk on 01892 510515 or deal online. If you wish to deal online, log-in to your account using the 'login' link at the top right hand side of the shareDeal active home page. Full details of how to use the online platform are available in the 'Help & Administration' section which you will find once you have logged in.

When will I receive payment for my sale?

Funds may be withdrawn upon settlement of the transaction. You can call shareDeal active on 01892 510515 or you can email payments@jarvisim.co.uk, and they will BACs the money to the bank account details they have on file. Please allow three working days for the money to reach your bank account.

What if the details on my certificate are out of date?

If you have changed your name, or recently moved to a new home you will need to advise the Company registrar before we can sell your shares. The Registrars contact details are commonly found printed on your share certificate.

What if I am selling on behalf of someone else named on the certificate?

If you are acting on behalf of someone else, you will need to provide evidence of what authority you are acting on. Typically, this is when you have a legal Power of Attorney or are an Executor of an estate. In these cases, you will need to notify the company registrar before being able to proceed with a share sale.

What happens if I only sell some of my shares in the auction?

The balance of your order will be carried over to the next auction until your original order has been fulfilled in full or you place new instructions.

Do I need to provide ID?

As part of the EC Money Laundering Directive shareDeal active are required to verify your identity. By submitting your application, you agree that they may undertake a search with Experian for the purposes of verifying your identity. To do so Experian may check the details you supply against any particulars on any database (public or otherwise) to which they have access. They may also use your details in the future to assist other companies for verification purposes. A record of the search will be retained.

I. Applicant Details

1st Applicant

Title (eg. Mr/Mrs/Dr etc)

Surname

Forename(s) in full

Permanent residential address

Postcode

Date of birth

Place of birth (Town)

Country of birth

Country of residence

Country of taxation

Nationality

National Insurance Number/
National Identifier

If you have more than one nationality please list on a separate sheet together with the relevant national identifier for that nationality – further details regarding national identifiers can be found on our website or call us.

Telephone (Home)

Telephone (Mobile)

Email

If you have been living at the above address for less than 12 months please provide your previous address

Postcode

2nd Applicant – joint accounts only

Title (eg. Mr/Mrs/Dr etc)

Surname

Forename(s) in full

Permanent residential address

Postcode

Date of birth

Place of birth (Town)

Country of birth

Country of residence

Country of taxation

Nationality

National Insurance Number/
National Identifier

If you have more than one nationality please list on a separate sheet together with the relevant national identifier for that nationality – further details regarding national identifiers can be found on our website or call us.

Telephone (Home)

Telephone (Mobile)

Email

If you have been living at the above address for less than 12 months please provide your previous address

Postcode

2. Bank Account Details

Name of Bank

Sort code – –

Account number

I confirm that this is a UK bank account held in the name of

Quarterly income facility ☐ (✓ if required)

3. Account Declaration

Money Laundering

You may undertake a search with Experian for the purpose of verifying my/our identity. To do so Experian may check the details I/we supply against any particulars on any database (public or otherwise) to which they have access. They may also use my/our details in the future to assist other companies for verification purposes. A record of the search will be retained.

Authorisation

I/We confirm that the information is true and complete and authorise Jarvis Investment Management Ltd (Jarvis) to make any credit reference and enquiries in connection with this application. I/We have read, understood, and agree to be bound by the Terms and Conditions of the service and acknowledge the risk warnings contained within them.

I/We confirm that I/we am/are not acting for, or on behalf of, a US person. I/We accept that should information come to the attention of Jarvis which gives reasonable cause for them to believe I/we am/are a US person, Jarvis will give me/us notice and close my/our Account.

I/We confirm that I/we am/are a UK resident and that I/we am/are liable to UK tax.

Marketing

Please tick here ☐ (✓ if required) if you would like us to contact you from time to time with information about our financial services, promotions or forthcoming share offers eg. Initial Public Offerings (IPOs).

Signed
1st Applicant Date

Signed
2nd Applicant Date

Please return the signed application form to: Jarvis Investment Management Ltd, 78 Mount Ephraim, Tunbridge Wells, Kent TN4 8BS

CREST
TRANSFER

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.			
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		Designation (if any)	
		Balance certificate(s) required	
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. Signature(s) of transferor(s) 1. 2. 3. 4. A body corporate should execute this transfer under its common seal or otherwise in accordance with applicable statutory requirements.		Stamp of depositing system-user Jarvis Investment Management Ltd 78 Mount Ephraim Tunbridge Wells Kent TN4 8BS 842 Date	
JIM Nominees Limited 78 Mount Ephraim Tunbridge Wells Kent TN4 8BS		Participant ID	
		842	
		Member Account ID	
Euroclear UK & Ireland Limited ('EUI') 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 EUI authorises EUI 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.			

Name of Undertaking.

Description of Security

Please complete form in type or in block capitals.

Name(s) 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.

CREST TRANSFER

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.

Consideration Money

Certificate(s) lodged with Registrar
(To be completed by Registrar)

Name of
Undertaking.

BRITISH AMERICAN TOBACCO

Description of
Security

ORD 25P

Please complete form
in type or in block
capitals.

Amount of shares or other security in words

Figures

Two HUNDRED

200-00

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

In the name(s) of

Designation (if any)

MR P. PARKER
42 SUNNYSIDE ROAD
TUNBRIDGE WELLS
KENT
TN1 1WX

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

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.

Signature(s) of transferor(s)

1. *P. Parker*
2.
3.
4.

Stamp of depositing system-user

Jarvis Investment Management Ltd
78 Mount Ephraim
Tunbridge Wells
Kent
TN4 8BS

842

Date

A body corporate should execute this transfer under its common seal or otherwise in accordance with applicable statutory requirements.

Full name(s) of the
person(s) to whom the
security is transferred

JIM Nominees Limited
78 Mount Ephraim
Tunbridge Wells
Kent
TN4 8BS

Such person(s) must be
a system member.

Participant ID

842

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.

Euroclear UK & Ireland Limited ('EUI') 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 EUI authorises EUI 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.

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Please Sign
Here →