



If you have any questions, please call your Client Services Team on

08000 326 323

First Steps Account

Request to transfer in investments

This form is for use when you wish to transfer investments into a First Steps Account

If you do not already have a First Steps Account you must complete an application form. If you require an application form please contact your Client Services Team on 08000 326 323 or download one from the Literature Centre at www.alliancetrust.co.uk

1 Holder details

Account Number	<input type="text"/>	Permanent residential address	<input type="text"/>
Title	<input type="text"/>		<input type="text"/>
Surname	<input type="text"/>		<input type="text"/>
Forenames	<input type="text"/>	Postcode	<input type="text"/>
Daytime phone number	<input type="text"/>	Mobile phone number	<input type="text"/>
Account designation (if applicable)	<input type="text"/>		

2 Investments to be transferred in

Investment ¹		Number of shares			How held ⁵	Income options ⁶	
Name (inc.class)	TIDM code	On cert ²	To transfer in ³	Balance ⁴		Name (inc.class)	TIDM code

Notes

- Enter the full name and class of each investment. This is important as there may be different classes available.
Please also quote the TIDM code which you can find in the Investment Choice Booklet available within the Literature Centre at www.alliancetrust.co.uk.
- State the number of shares on the share certificate(s) you are enclosing with this form or, if the shares are held with another provider and you do not have share certificates write 'Nominee' and complete section 3 overleaf.
- State the number of shares to be transferred into your First Steps Account. Government Bonds (Gilts) will only be transferred in multiples of £100 nominal value. If transferring funds you may only transfer up to a maximum of four decimal places.
- If you are not transferring in the entire holding, please state the balance certificate required. This is inapplicable if shares are held with another provider.
- Please write the certificate number and enclose a CREST transfer form for each investment or, if your investments are held with another provider enter 'nominee'.
- Any income received from each investment will automatically be used to purchase more of the same investment when your Minimum Purchase Level is reached, unless you wish to:
 - use it to purchase another investment - enter name and TIDM code
 - direct it to the Deposit Account - enter 'deposit'
 - direct it to your Online Dealing Account - enter 'online'
 - have income paid to your bank account - enter 'cash', and we will send you the relevant form to complete

3 Transfer of investments from another nominee



Please complete this section if you are transferring from another provider/fund manager rather than enclosing share certificates.

Before you return this form to us, you (or the donor) must tell the other provider/fund manager that you are intending to transfer investments into your First Steps Account with us. Please check the terms on which the investments will be released, particularly any charges involved.

We will contact the other provider/fund manager to arrange the transfer. Please provide the following information.

Name of other provider/fund manager	<input type="text"/>	Phone number	<input type="text"/>
Your account number with the other provider/fund manager	<input type="text"/>		
Contact name	<input type="text"/>		
Address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>		
Postcode	<input type="text"/>		

4 Ownership of investments



Are you the beneficial owner of the investments which are being transferred in? (Please tick)

Yes

No

If you have answered no, the investments must be a gift into the Account and you must provide the following information about the donor and documentation relevant to them. The donor must also sign the declaration.

Donor name	<input type="text"/>	Phone number	<input type="text"/>
Donor address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>		
Postcode	<input type="text"/>		

5 Donor declaration



I declare the investments detailed on this form are my own personal property and I own them free of any lien, charge or other encumbrance. I wish to transfer them into the First Steps Account as an outright gift to the Account holder(s) whose Account Number appears on this form and I certify that no stamp duty is payable on this transfer as it falls within category L in the Schedule to the Stamp Duty (Exempt Instruments) Regulations 1987.

Signature	<input type="text" value="X"/>	Date	<input type="text" value="DD"/>	<input type="text" value="MM"/>	<input type="text" value="YYYY"/>
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6 Account holder declaration and signature



Please read carefully before you sign. It is a serious offence to make a false declaration.

- Please accept the transfer of the investments listed on this form. I/we agree to pay the relevant charges
- One of the following apply:
 - I/we declare that the investments are my own personal property free of lien, charge or other encumbrance
 - or
 - I/we declare that the investments are an outright gift to me/us for no consideration in money or money's worth

- I/we hereby authorise you in any event to make such arrangements as are required to transfer the investments into the First Steps Account
- I/we have been given the opportunity to review the Governing Documents and any relevant Key Features and I/we agree to be bound by these
- I/we understand that you do not have responsibility should the transfer result in loss of incentives
- I/ we take to ensure that sufficient cash is available in my First Steps Account to pay any instalment which may be due on investments transferred in as and when you require payment to be made

Signature

Date

DD	MM	YYYY
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Any joint holders must insert their full names in section 7 below.

7 Joint holders sign and date



Joint holder 1		Joint holder 2							
Signature	<input type="text"/>	Signature	<input type="text"/>						
Name	<input type="text"/>	Name	<input type="text"/>						
Date	<table border="1"><tr><td>DD</td><td>MM</td><td>YYYY</td></tr></table>	DD	MM	YYYY	Date	<table border="1"><tr><td>DD</td><td>MM</td><td>YYYY</td></tr></table>	DD	MM	YYYY
DD	MM	YYYY							
DD	MM	YYYY							
Joint holder 3		Joint holder 4							
Signature	<input type="text"/>	Signature	<input type="text"/>						
Name	<input type="text"/>	Name	<input type="text"/>						
Date	<table border="1"><tr><td>DD</td><td>MM</td><td>YYYY</td></tr></table>	DD	MM	YYYY	Date	<table border="1"><tr><td>DD</td><td>MM</td><td>YYYY</td></tr></table>	DD	MM	YYYY
DD	MM	YYYY							
DD	MM	YYYY							

8 Checklist



Have you enclosed the following:

Share certificate(s)	<input type="checkbox"/>	CREST transfer form(s) (transfers in paper only)	<input type="checkbox"/>	First Steps Account application form (if you are not already an Account holder)	<input type="checkbox"/>
Nationality declaration (if applicable)	<input type="checkbox"/>				



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**CREST
TRANSFER**

Above this line for Registrar's use

Counter Location Stamp	Barcode or reference SDRN IG01A
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Above this line for completion by the depositing system-user only

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 one 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 or 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)
Name of Undertaking	
Description of Security	

Amount of shares or other security in words	Figures
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In the name(s) of	Designation (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> <ol style="list-style-type: none"> 1. 2. 3. 4. <p>A body corporate should execute this transfer under its common seal or otherwise in accordance with applicable statutory requirements.</p>	<p>Stamp of depositing system-user</p> <p>ALLIANCE TRUST SAVINGS NOMINEES LIMITED PO BOX 164 8 WEST MARKETGAIT DUNDEE DD1 9YP</p> <p>Tel: 01382 321000</p> <p>Date</p>
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ALLIANCE TRUST SAVINGS NOMINEES LIMITED	Participant ID
	IG01A
	Member Account ID

CRESTCo 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 CRESTCo Limited authorises CRESTCo Limited to deliver this transfer for 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.