



ARTEMIS

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Dealing Fax: 0845 076 2290

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artemis.co.uk

Pension Practitioner.com
Dawn House
33-35 Daws Lane
London
NW7 4SD

Date: 26 April 2016

Our ref: ART/05263571/AR

Dear Sir/Madam

Artemis Income Fund

Client's Name: Mr Anthony John Carson, Mrs Edna Carson and Standard Life Trustees Co Ltd

Client Reference: 3168131

Thank you for your correspondence.

We cannot process your request as:

- Transferor has not met the requirements that enable us to comply with Anti-money laundering regulations, which state that we must verify clients' identities by obtaining evidence of their name and permanent address. Please refer to the enclosed list and send us one item from each section

We therefore return the original documentation. Please re-submit it together with the correct documentation.

For further assistance, please contact our Client Services team on 0800 092 2051.

Yours faithfully

Michelle Costanzo
Head of Retail Operations

Enclosure(s): Original Documentation
ML Documents Required
MLDocsCorpGuide

Artemis Fund Managers Limited

Correspondence address:

PO Box 9688

Chelmsford CM99 2AE

DOCUMENTATION GUIDELINES

Copies certified by authorised signatories (such as a Solicitor or Lawyer, a Doctor, a Dentist, a Teacher, a Police Officer, a Bank or Building Society employee, a Financial Adviser, a Mortgage Broker, a Stockbroker or an Accountant) are acceptable. Please note – this is not a full list so please contact Client Services for further acceptable certifiers if you are unable to obtain certified documents from someone in one of these professions. The authorised signatory must not be retired and must sign and date the front of the document stating original seen. They must also include their name, profession and contact details. Certifications that are on the back of documents will be rejected. The person undertaking the certification must be easy to contact and not a family member. The certification must be dated within the last six month period and documents must be no older than six months, unless they are annual notifications then they must be the most recent one issued. If you have any questions regarding the documents that you are about to submit please contact the Client Services team before sending them and they will be able to assist you.

Please supply one document from each section below. The same document cannot be used to cover both sections, and they must each come from a different source.

SECTION ONE: Evidence of personal identity

Original or Certified copy of a current and signed passport
Original or Certified copy of current signed UK / EEA Photocard or Paper Driving Licence (Full/Provisional) *
Benefits book or original notification letter from the Benefits Agency or DWP confirming the right to benefits or state pension
HMRC notifications/letters (including Tax assessment, Notice of Coding, Statement of Account dated within the last tax year) NOT P45 or P60
Shotgun or Firearm certificate (UK no longer than 5 years, European until expiry date listed)
Biometric residence permit issued by the UK Border Agency Home Office to EU Nationals
Current non-EEA foreign national Identity Card
Northern Ireland Electoral Identity Card

SECTION TWO: Evidence of address

Local authority tax bill (no older than 12 months)
Original or Certified copy of current signed UK / EEA Photocard or Paper Driving Licence (Full/Provisional)
Recent system generated or signed documentation from a regulated financial sector firm indicating that an account/investment/insurance relationship exists and which includes the account holder address (no older than 12 months)
Solicitor/Lawyer letter confirming a house purchase or land registry confirmation (no older than 12 months)
Local council tenancy agreement
Benefits book or original notification letter from the Benefits Agency or DWP confirming the right to benefits or state pension
Recent utility bill (not mobile phone bill) or certification from a supplier of utilities confirming the arrangement to pay for the services on pre-payment terms (no older than 3 months)
HMRC notifications/letters (including Tax assessment, Notice of Coding, Statement of Account dated within the last tax year) NOT P45 or P60
Instrument of Court Appointment (Liquidator/Grant of Probate no older than 12 months) -
Must have address stated

All documents will be returned as soon as possible.

* UK paper driving licence consists of old style paper licence which can only be held if no photocard has ever been issued. A paper counterpart driving licence, previously issued by DVLA with a photocard, is not acceptable.

DOCUMENTATION GUIDELINES

Please supply **one** of the documents shown below. All documents will be returned as soon as possible. Please note we only accept original or certified copies. Copies should be certified by authorised signatories (Solicitor or lawyer (registered in the UK), bank or building society official, financial adviser, mortgage broker, stock broker or accountant) are acceptable. The authorised signatory must date and sign the document stating "original seen". The person undertaking the certification must be easy to contact and not a family member. The certification must be dated within the last 6 month period.

- If you are a Corporation, we can accept:
 - Certificate of Incorporation
 - Articles of Association
 - Together with details of beneficial owner, see below
- If you are a Trust, we can accept:
 - Trust Deed and details of beneficial owner, see below
- If you are a Charity, we can accept:
 - Charity Registration document
 - Trust Deed and details of beneficial owner, see below
- If you are a Partnership or unincorporated business, we can accept:
 - Partnership Agreement

If you are a sole trader, we can accept the following documents relating to the Director or Controller we can accept:

(Please note that we need one document for proof of identity and one for proof of address, plus evidence of the nature of the business).

- Evidence of personal identity (current signed passport, current signed photo-card driving licence, HMRC tax notification etc.)
- Evidence of address (local authority tax bill – valid for current year, solicitor's letter confirming house purchase, original utility bill no older than 3 months – not including mobile phone bill, HMRC correspondence addressed to the applicant at the stated address or recent system-generated or signed documentation (not printed from the internet) from a regulated financial sector firm indicating that an account / investment / insurance relationship exists and which includes the address)
- Evidence of the nature of the business

In addition to the above information we also need details of beneficial owners or controllers who own or control more than 25% of the voting rights or are entitled to more than 25% of the company's profits. Please provide details of the names.

Under UK legislation to prevent money laundering, the manager/authorised corporate director of the Unit Trust / OEIC is required to verify the identities of investors. In the case of bodies corporate, trusts and other legal arrangements, it is also required to establish the identity of any trustees or other controllers (who have greater than 25% control of the body corporate or property of the trust) that are not named on the application.

For companies, the beneficial owner that must be listed are any shareholders or other individuals that ultimately own or control more than 25% of the voting rights or are entitled to more than 25% of the company's profits. Note that they may not necessarily be the actual shareholders in the company. Directors of a company do not need to be listed unless they fall within this definition. For trusts and other similar arrangements, the beneficial owners are individuals nominated to benefit from more than 25% of the trust property, as well as any trustees that exercise control.

Artemis Fund Managers Limited
PO Box 9688
Chelmsford
CM99 2AE

30 March 2016

Dear Sirs,

TAIPAN RETIREMENT BENEFITS SCHEME

Client reference: 0003168131

Client name: Mr Anthony John Carson

Joint holders: Mrs Edna Carson and Standard Life Trustee Co Ltd

We write to advise you that we have been appointed to provide administration services for the above scheme in place of Standard Life Trustee Company Limited, who are party to the above investment.

I have enclosed a Stock Transfer Form for the removal of Standard Life Trustee Company Limited together with the Individual Self-Certification Form as requested.

I also attach a certified copy of the Deed of Removal of Trustee for your records.

Pension Practitioner.Com Limited will not be replacing Standard Life as an Independent Trustee or a signatory to the pension scheme investments and will only provide administration services to the Trustees as a Registered Scheme Administrator as evidenced by the enclosed Deed.

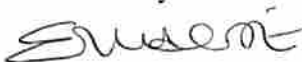
I would appreciate if you could please arrange for all future correspondence that was previously sent Standard Life Trustee Company Limited to be sent to the client and a copy to ourselves to the below address.


I also attach an authority letter signed by the Trustees authorising Pension Practitioner.Com Limited to request information relating to this investment.

If you require any further documentation to be completed in order that the previous Trustees can be removed from these policies, please advise me accordingly.

Thank you for your assistance.

Yours faithfully

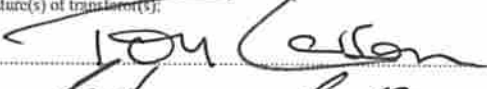
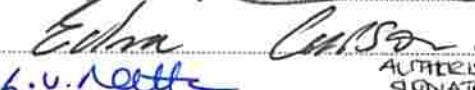


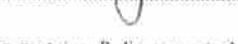


 Georgina Stuliglowa
For Pension Practitioner .Com
georginas@pensionpractitioner.com

Enc

STOCK TRANSFER FORM UK COLLECTIVE INVESTMENT SCHEMES

This form should be completed and signed, as necessary, and should be lodged with the Fund's Registrar.

Name of Fund and Share Class	Artemis Income Fund Class 'R' Accumulation Units		
ISIN (if known)			
Number of units or shares to be transferred. <small>If the entire holding is to be transferred, insert "ALL".</small>	Words: ALL	Figures: ALL	
Full name(s) of registered unit/share holder(s), address of first registered holder and account designation (if any). <small>If the transfer is not being made by the registered holder(s), insert also the name(s) and capacity (eg. Executor(s)), of the person(s) making the transfer.</small>	1 st holder name and address: Mr Anthony John Carson URB Marbella Club Golf Resort 7.9 Corona Borealis Benahavis 29679 SPAIN		2 nd holder name: Mrs Edna Carson
			3 rd holder name: Standard Life Trustee Co Ltd
			4 th holder name:
			Account designation:
I/We hereby transfer the above units/shares out of the name(s) aforesaid to the person(s) named below and request that such entries be made in the register as are necessary to give effect to this transfer. Signature(s) of transferor(s): 1. Mr Anthony John Carson x  2. Mrs Edna Carson x  For and on behalf of Standard Life Trustee Co Ltd  3. For and on behalf of Standard Life Trustee Co Ltd  4.  Date: _____ <small>All transferors must sign. Bodies corporate should execute under their common seal, or otherwise as determined by their Memorandum and Articles of Association</small>			Stamp of the institution lodging this form (if any), for queries etc. concerning the transfer:
Full name(s), date(s) of birth and full postal address(es) (including postcode) of the person(s) to whom the security is transferred*, and any account designation. <small>In each case please state title or salutation (eg. Mr., Mrs., Miss. etc.).</small> <small>Note that only the 1st holder's address will appear on the register of title.</small> <small>*Please see "Customer Due Diligence For Anti-Money Laundering Purposes" overleaf.</small>	1 st holder name and address: Mr Anthony John Carson as Trustee of Taipan Retirement Benefits Scheme URB Marbella Club Golf Resort 7.9 Corona Boreal Benahavis SPAIN Date of Birth: 14-Jan-1956		2 nd holder name and address: Mrs Edna Carson as Trustee of Taipan Retirement Benefits Scheme URB Marbella Club Golf Resort 7.9 Corona Boreal Benahavis SPAIN Date of Birth: 16-Mar-1972
	3 rd holder name and address: Date of Birth:		4 th holder name and address: Date of Birth:
	Account designation:		

IMPORTANT NOTE

In addition to this Form, the Registrar may also require tax residency self-certification(s) in respect of each transferee before accepting the Form as a valid instrument of transfer.

Please confirm by ticking this box if the relevant self-certification(s) is/are attached:



CUSTOMER DUE DILIGENCE FOR ANTI-MONEY LAUNDERING PURPOSES

This section does not apply where the transferee is a regulated financial institution or other entity that satisfies the criteria necessary to permit the Manager to apply "simplified" customer due diligence. In such cases, the Manager or Registrar may seek confirmation of the transferee's status and eligibility for these purposes.

BENEFICIAL OWNERSHIP AND CONTROL

(a) If the transferee(s) is/are the individual beneficial owner(s), please state "TRANSFEREE" or "TRANSFEREES", as appropriate, in the first name space in the table below.

(b) If the transferee is a body corporate or a partnership, it must enter in the table below 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*.

(c) If the transferee(s) is/are acting as trustee(s) (or similar), they must enter in the table below 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*.

* If no individual has a specified interest that exceeds the above limits, please state "NONE" in the first name space below and strike through the remainder of the table. In the case of entities and arrangements that are not established for the benefit of any specified individual(s), the table should be used to provide a description of the nature of those who will benefit from the entity or arrangement ("the class of beneficiary").

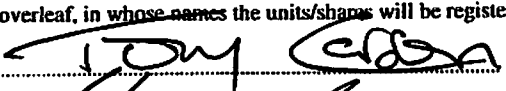
Name	Mr Anthony John Carson	Address: URB Marbella Club Golf Resort 7.9 Corona Boreal Benahavis SPAIN
Date of Birth	14 January 1956	
Capacity**	Trustee	
Name	Mrs Edna Carson	Address: URB Marbella Club Golf Resort 7.9 Corona Boreal Benahavis SPAIN
Date of Birth	16 March 1972	
Capacity**	Trustee	
Name		
Date of Birth		
Capacity**		
Name		
Date of Birth		
Capacity**		


** eg. trustee, partner, shareholder, beneficiary etc.

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

I/We hereby certify that the above is a complete list of the beneficial owners and controllers as described above and that they are known to me/one or more of us or, in the case of a class of beneficiary, that the description is appropriate and accurate.

To be signed by one or more of the transferees named overleaf, in whose names the units/shares will be registered.

Signature(s): 1 Mr Anthony John Carson x 

2 Mrs Edna Carson x 

3

4

In the event of doubt as to how to complete the table, please contact the Registrar. If the table and declaration above are not completed, the Manager or Registrar may need to contact the transferee(s) prior to registering the transfer in order to fulfil their obligations under UK money laundering and data protection legislation.

The Registrar may refuse to register the transfer or allow further disposal of the units/shares by the transferee(s) until such time as the above due diligence measures have been completed to the Manager's satisfaction.

Individual Self-Certification

Tax Regulations¹ require us to collect information about each investor's tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with HMRC. If you have any questions about your tax residency, please contact your tax advisor. Should any information provided change in the future, please ensure you advise us of the changes promptly.

Tax residency

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers in the table below. If you are a US citizen or resident, please include United States in this table along with your US Tax Identification Number.

Country/Countries of Tax Residency	Tax Reference Number
UKGB	YZ 594379A

If you are not resident in any country for tax purposes, please tick this box. ☐
Please provide evidence to support this classification.

Declaration

I declare that the information provided on this form is to the best of my knowledge and belief, accurate and complete.

I agree to notify Artemis Fund Managers Limited immediately in the event the information in the self-certification changes.

Signed by (please print name)

ANTHONY JOHN CARSON

Permanent Address:

Urb. Marbella Club Golf Resort
7.9 Corona Boreal
Benahavis 29679. SPAIN

Date of birth:

14.01.1956

Signature

Anthony Carson

Date

8/12/15

Notes

¹Tax Regulations

The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA², various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.

²FATCA

The term "FATCA" refers to The Foreign Account Tax Compliance provisions contained in the US Hire Act 2010.

Investment
Account

Account
Manager:

ARTEMIS FUND MANAGERS LIMITED

Address:

PO BOX 9688

CHELMSFORD

CM99 2AE

Policy

Number:

0003168131 ANTHONY JOHN CARSON

Investment
Account

Account
Manager:

Address:

Policy
Number:

Authority is given to:

Pension Practitioner .Com Limited
Daws House
33-35 Daws Lane
London
NW7 4SD

To be provided with information relating to the bank accounts and investments stated on this authority held
by the Trustees as may be reasonably requested from time to time.

ANTHONY JOHN CARSON

Trustee Signature:

Date:

7.2.2015

EDNA CARSON

Trustee Signature:

Date:

7.2.2015

AUTHORITY INSTRUCTION

From:
The Trustees of Taipan Retirement Benefits Scheme
Urb. Marbella Club Golf Resort, Benahavis, 29679, Malaga.

Trustee Bank **Name of**
Account **Bank:** _____

Address: _____

Account
Number: _____

Sort Code: _____

Trustee Bank **Name of**
Account **Bank:** _____

Address: _____

Account
Number: _____

Sort Code: _____

Please initial :

GUIDANCE FOR THE COMPLETION OF THE STOCK TRANSFER FORM FOR UK COLLECTIVE INVESTMENT SCHEMES

INTRODUCTION

Historically, the common stock transfer form was used to effect a transfer of company shares or stock and has also been used for UK unit trusts and open-ended investment companies ("funds"). However on 15 December 2007, new legislation imposed a requirement on fund managers to verify the identity of all registered holders of their funds as well as any other beneficial owners and controllers. For this reason, it was necessary to introduce a bespoke form for UK investment funds. Further updates to this form were required in April 2014 to accommodate the abolition of the special Stamp Duty Reserve Tax regime for investment funds and new statutory requirements to obtain details of investors' tax residency.

These guidance notes relate solely to the *Stock Transfer Form for UK Collective Investment Schemes, as updated from April 2014*.

COMPLETION OF THE FORM

The top section deals relates to the current registration of the units/shares:

Name of Fund and Share Class	Note 1	
ISIN (if known)	Note 2	
Number of units or shares to be transferred. If the entire holding is to be transferred, insert "ALL".	Words: Note 3	Figures: Note 3
Full name(s) of registered unit/share holder(s), address of first registered holder and account designation (if any). If the transfer is not being made by the registered holder(s), insert also the name(s) and capacity (eg. Executives), of the person(s) making the transfer.	1 st holder name and address:	2 nd holder name:
	Note 4	3 rd holder name:
		4 th holder name:
		Account designation:

Note 1: Enter the name of the fund in which the units/shares are held including the name of the class (if applicable), for example:

ABC European Fund, Income Shares; or
XYZ UK Equity Fund, Class "A" Shares

Note 2: Enter the ISIN code if it is known. "ISIN" stands for International Securities Identification Number and is a unique reference code which is given to each share class of a fund.

Note 3: Enter the number of unit/shares to be transferred in both words and figures. If the entire holding is to be transferred, "All" may be entered in both boxes, instead of an actual number.

Note 4: These boxes should be used to enter the full name(s) and address (including postcode) in which the units/shares are registered currently. If the holding is designated (for example, "ABC Account"), the designation should be entered in the box provided.

The middle section is where the current holders (the transferor(s)) execute the transfer and authorise the units/shares to be registered:

<p>I/We hereby transfer the above units/shares out of the name(s) aforesaid to the person(s) named below and request that such entries be made in the register as are necessary to give effect to this transfer.</p> <p>Signature(s) of transferor(s):</p> <p>1.</p> <p>2.</p> <p>3.</p> <p>4.</p> <p>Note 5</p> <p>Date: All transferors must sign. Bodies corporate should execute under their common seal or otherwise as determined by their Memorandum and Articles of Association</p>	<p>Stamp of the institution lodging this form (if any), for queries etc. concerning the transfer.</p> <p>Note 6</p>
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Note 5: All current registered holders must sign here, and the date entered below. If someone is signing on behalf of a holder, with power of attorney for example, the document appointing them (or a properly certified copy) must be attached if it has not already been lodged with the Registrar.

Note 6: This box is for the stamp of any firm that is lodging the form with the Registrar on behalf of either the current or new holder(s) and with whom the Registrar or Manager should correspond in the event of a query.

The bottom section provides spaces for the details of the transferee(s) in whose names the units/shares are to be registered going forward:

<p>Full name(s), date(s) of birth and full postal address(es) (including postcode) of the person(s) to whom the security is transferred*, and any account designation.</p> <p>In each case please state title or salutation (eg. Mr., Mrs., Miss, etc.).</p> <p>Note that only the 1st holder's address will appear on the register of title.</p> <p>*Please see "Customer Due Diligence For Anti-Money Laundering Purposes" overleaf.</p>	<p>1st holder name and address:</p> <p>Note 7</p> <p>Date of Birth:</p>	<p>2nd holder name and address:</p> <p>Date of Birth:</p>
	<p>3rd holder name and address:</p> <p>Date of Birth:</p>	<p>4th holder name and address:</p> <p>Date of Birth:</p>
	<p>Account designation: Note 8</p>	

Note 7: These boxes must contain the full name(s), address(es) (including postcode) and date(s) of birth of the person(s) to whom the units/shares are being transferred. They must be completed in BLOCK CAPITALS.

Note that only the address of the first named holder will usually be entered on the register. The remaining details are required by the Manager in connection with its customer due diligence obligations (see below).

Note 8: Any designation (for example, "ABC Account") that the new holder(s) wish to be included on the register for identification purposes may be added here.

The box at the bottom of page 1 must be ticked, where applicable, to ensure the Registrar is aware of what additional "Tax Residency Self-Certification" forms they should be receiving with the Stock Transfer Form. Note that where there is more than one transferee, a "Tax Residency Self-Certification" form must be completed for each transferee.

IMPORTANT NOTE

In addition to this Form, the Registrar may also require tax residency self-certification(s) in respect of each transferee before accepting the Form as a valid instrument of transfer.

Please confirm by ticking this box if the relevant self-certification(s) is/are attached:

☐

GUIDANCE FOR THE COMPLETION OF "CUSTOMER DUE DILIGENCE FOR ANTI- MONEY LAUNDERING PURPOSES" FORM

This form deals entirely with the Manager's legal obligations to undertake "customer due diligence" measures in relation to the transferee(s) (to whom the shares are being transferred).

The explanation at the top concerns mainly the Manager's obligation to verify the identities of both the transferees and any other beneficial owners or controllers, for which they may require documentary evidence or may undertake searches of electronically-held records. In connection with this, the table below must be completed as necessary and the declaration signed. The table is used to list the names of any beneficial owners or controllers that may exist other than the transferee(s).

What constitutes a beneficial owner for these purposes depends upon whether the units/shares are being transferred to a company or to one or more individuals who may be acting as trustees.

For companies and partnerships, the beneficial owners that must be listed are any shareholders or other individuals that ultimately own or control more than 25% of the voting rights or are entitled to more than 25% of its capital profits or otherwise have control over the management of the company or partnership. Note that they may not necessarily be the actual shareholders in the company. Directors of a company do not need to be listed unless they fall within this definition. For trusts and other similar arrangements, the beneficial owners are individuals that are nominated to benefit from at least 25% of the trust property, as well as any trustees that may exist in addition to the transferee(s) or others that may exercise control over them.

Name		Address: Note 9
Date of Birth		
Capacity**		
Name		Address:
Date of Birth		
Capacity**		
Name		Address:
Date of Birth		
Capacity**		
Name		Address:
Date of Birth		
Capacity**		

** eg. trustee, partner, shareholder, beneficiary etc.

Note 9: The names, addresses and dates of birth of any beneficial owners or controllers should be entered in the boxes provided, together with brief descriptions of their capacities. This box should be completed in BLOCK CAPITALS

If the transferee(s) are the only beneficial owner(s) of the units/shares, simply enter "TRANSFEREE" or "TRANSFEREES" as appropriate on the first name space.

If there are beneficial owners, but none has an interest that exceeds 25% or otherwise is in a position of control (see above), "NONE" should be entered in the first name space and a line drawn through the rest of the table.

Where a trust or arrangement is established for unspecified individual beneficiaries - the trustees may, for example, have discretionary powers to identify who should receive payments out of the trust property on an ad hoc basis, or an arrangement such as a charity may have been established for the general benefit of a section of the community - these are referred to as "classes" of beneficiary. In these cases, a description of the class of beneficiary should be entered in the table (this may extend across both columns). Note that all additional trustees or controllers must be listed individually.

The table can be used to provide the names of up to four beneficial owners or controllers. If there are more than four, a tick should be placed in the small box immediately below the table and details of the others provided on a separate sheet.

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

I/We hereby certify that the above is a complete list of the beneficial owners and controllers as described above and that they are known to me/one or more of us or, in the case of a class of beneficiary, that the description is appropriate and accurate.

To be signed by one or more of the transferees named overleaf, in whose names the units/shares will be registered.

Signatures): 1
2
3
4

Note 10

In the event of doubt as to how to complete the table, please contact the Registrar. If the table and declaration above are not completed, the Manager or Registrar may need to contact the transferee(s) prior to registering the transfer in order to fulfil their obligations under UK money laundering and data protection legislation.

The Registrar may refuse to register the transfer or allow further disposal of the units/shares by the transferee(s) until such time as the above due diligence measures have been completed to the Manager's satisfaction.

Note 10: One or more (if there are any) of the transferees should sign here to certify both that the table above has been completed properly and that any beneficial owners or controllers that may be listed are known to at least one of those who sign.