# NASDAQ DUBAI
# Transfer Process for Computershare Canada

May 2021

**Computershare Investors Services Inc. - Canada**

The process facilitates the dual listing of securities on Nasdaq Dubai of any Canadian company that uses Computershare Canada ("Computershare") as their agent to maintain the Register of Legal Title (RoLT). The arrangement will enable a Nasdaq Dubai account holder to deliver the dual listed Canadian security from their account in the Nasdaq Dubai CSD to a registered investor or an agent on the Register of Legal Title (RoLT) held by CHESS the registrar & transfer agents. Similarly an investor or his agent registered on the RoLT of the company can also transfer securities to his account at the Nasdaq Dubai CSD.

**Transfer of securities from Canada to Nasdaq Dubai**

**For Canadian Brokers and Custodians**

1. CSD Participants will access Computershare's market participant's xSettle site or will obtain a Nasdaq Dubai Issuance form (**Annexure A E04b**) from Computershare's web site, www.computershare.com <Shareholder Services> <download a form>. CSD Participants will complete all details online required for the lodgment of securities into Nasdaq Dubai. The details, in addition to the initiating CSD Participants details, will include Nasdaq Dubai CSD account holder identifications i.e. NIN, account holder name, a/c number and the security details i.e. ISIN/symbol, security name, quantity of securities for transfer and any reference details (especially helpful for mentioning underlying client/beneficiary details for the receiving Nasdaq Dubai account holder).

2. At the same time the CSD Participants will initiate a CSD withdrawal, by entering the withdrawal information into the CSDx system.

3. Once the CSD withdrawal and Nasdaq Dubai issuance instructions are received by Computershare, Computershare will screen the information received from the CSD Participant. If all is in good order, Computershare will transfer the shares from CSD to the Nasdaq Dubai account, on the issuer's register.

4. Any information that is not in good form will be rejected by Computershare, but note that all reasonable efforts will be made by staff to contact the broker and have the problem rectified.

5. On the same day, Computershare will advise Nasdaq Dubai via e-mail of the full details of the Nasdaq Dubai deposit, by forwarding a copy of the information received from the Canadian CSD Participant. If the information is received after 4:00pm. Toronto time, Computershare will advise Nasdaq Dubai the next business day (in Canada).

6. Upon receipt of the instruction, Nasdaq Dubai will verify the same, and subject to approval from shareholders Member via a designated FORM B **(Annexure C)**, credit the Nasdaq Dubai CSD account holder's trading account with the securities.

7. Should any of the details provided by Computershare not match Nasdaq Dubai records, Nasdaq Dubai will reject the transfer within two Dubai business days and will request Computershare to reverse the transaction.

8. For all successful credits, Nasdaq Dubai will then inform the member participant of the credit to their clients account.

**Canadian Retail Holders**

1. Certificated or DRS shareholders (depending on the issuer's register structure, collectively "Retail Holder") will be asked to complete a Nasdaq Dubai issuance form (**Annexure A E04b**). This is a printed copy of the web form as retail holders will not have access to deliver securities to Computershare via CSDx.

2. The completed Nasdaq Dubai Issuance form, from the investor, will mention the following details: registered name and address that currently appears on the certificate, certificate number, name of security, ISIN, quantity of securities to be issued, Nasdaq Dubai CSD account holder NIN, a/c no, reference details (any additional detail the investor may want to reference in relation to the transfer needed for underlying beneficiary/client information).

3. Share certificate and Nasdaq Dubai issuance form will be mailed / couriered or hand delivered to Computershare's Toronto office.

4. Any deliveries that do not agree to the information supplied on the Nasdaq Dubai Issuance form will be rejected by Computershare, but note that all efforts will be made by staff to contact the holder and have the problem rectified.

5. Upon successful validation of the form and share certificates, Computershare will transfer the securities from the holder's account to the Nasdaq Dubai account, on the issuers register.

6. Nasdaq Dubai will be notified on the same day if the share certificate and Nasdaq Dubai Issuance form was received prior to 12:00 p.m. Toronto time, or next day if the share certificate and Nasdaq Dubai Issuance form was received after 12:00 p.m. Toronto time, via e-mail the full details of the Nasdaq Dubai deposit, by forwarding a copy of the Nasdaq Dubai Issuance form, received from the shareholder.

7. Upon receipt of the instruction, Nasdaq Dubai will verify the same, and subject to approval from shareholders Member via a designated FORM B **(Annexure C)**, credit the Nasdaq Dubai CSD account holder's trading account with the securities.

8. Should any of the details provided by Computershare not match Nasdaq Dubai records, Nasdaq Dubai will reject the transfer within two Dubai business days and will request Computershare to reverse the transaction.

9. For all successful credits, Nasdaq Dubai will then inform the member participant of the credit to their clients account.


**Transfer of securities from Nasdaq Dubai to Canada**

1. A Nasdaq Dubai Member on behalf of its client will instruct Nasdaq Dubai CSD to debit their account at the CSD and transfer the securities to a name on the RoLT of the company held by Computershare.

2. The Nasdaq Dubai Member will use a pre-specified printed form (**Annexure B E05b**) to instruct this request to Nasdaq Dubai CSD. The instruction will contain the following minimum details: Nasdaq Dubai CSD account holder NIN, Nasdaq Dubai CSD account holder name, Nasdaq Dubai CSD account holder's a/c number, security name, security ISIN/symbol, and quantity of securities to be transferred. If the shares are to be dematerialized into CSD, the CSD deposit reference ID, CSD Participant firm name, CSD Participant contact name and telephone number is required. (Please note: The form should not be rejected if the CSD deposit reference ID is not mentioned, as long as the CSD Participant firm name and the CSD Participant contact details are present, Computershare will reach out to the CSD participant advising them of the delivery). If the securities are not to be dematerialized into a Canadian Participants account at CSD, then the name and address to appear on the Canadian register and delivery instructions, if they differ from the registered address must be supplied.

3. The Nasdaq Dubai CSD will on receipt of this request check for completeness of the request and validate the Nasdaq Dubai details, as well as the requested Canadian register details. Subsequent to the validations, Nasdaq Dubai will debit the Nasdaq Dubai account holder's account with the securities.

4. On the same day, the Nasdaq Dubai CSD will advise Computershare, via e-mail the full details of the Canadian register issuance, by forwarding a copy of the Nasdaq Dubai cancellation form received from the Nasdaq Dubai Member participant.

5. Computershare will verify Nasdaq Dubai's request and after due validation of the instructions, Computershare will transfer the securities to the Canadian broker's account at CSD, using the CSD deposit reference number supplied or would reach out to the CSD Participant, requesting they initiate a CSD Deposit and to supply Computershare with the CSD deposit reference ID. If the request was to issue and release a share certificate, Computershare would transfer the securities to the requested shareholder's account, on the issuer's register and issue a share certificate in the shareholder's name.

6. Should any of the details provided by Nasdaq Dubai CSD not be sufficient Computershare will, within two business days, reject the transfer and will request Nasdaq Dubai CSD to reverse the transaction.

**Contact Details CSD:**

+971 4 305 5133
+971 4 305 5135
csdregistry@nasdaqdubai.com

# APPENDIX 1:

## Annexure A

**PDF**

Annexure E04b
Canada to Nasdaq D

## Annexure B

**PDF**

Annexure E05b
Nasdaq Dubai to Ca

## Annexure C

**PDF**

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