

In accordance with
Section 728 of the
Companies Act 2006.

SH04

Notice of sale or transfer of treasury shares



Companies House

☒ **What this form is for**
You may use this form to give
notice of a sale or transfer of
treasury shares.

☒ **What this form is NOT for**
You cannot use this form to give
notice of a cancellation of treasury
shares. To do this, please use SH05.

For further information, please
refer to our guidance at
www.companieshouse.gov.uk

1 Company details

Company number	7	1	9	8	8	5		
Company name in full	Rio Tinto plc							

→ **Filling in this form**
Please complete in typescript or in
bold black capitals

All fields are mandatory unless
specified or indicated by *

2 Treasury shares sold or transferred ①

Class of shares (E.g. Ordinary/Preference etc.)	Number of shares sold or transferred	Nominal value of each share	Date(s) shares were sold or transferred
Ordinary	3135	10p	02 / 12 / 2020
Ordinary	91	10p	07 / 12 / 2020
Ordinary	556	10p	07 / 12 / 2020
Ordinary	1357	10p	29 / 12 / 2020
			/ /
			/ /
			/ /
			/ /
			/ /
			/ /

① **Treasury shares sold or transferred**
Shares may only be transferred (as opposed to sold) from treasury for the purposes of, or in accordance with, an employees' share scheme.

3 Signature

Signature	I am signing this form on behalf of the company.	
	Signature	☒ <i>Andy Hodges</i> ☒
	This form may be signed by: Director ②, Secretary, Person authorised ③, Administrator, Administrative receiver, Receiver, Receiver manager, CIC manager.	

② **Societas Europaea**
If the form is being filed on behalf
of a Societas Europaea (SE), please
delete 'director' and insert details
of which organ of the SE the person
signing has membership.

③ **Person authorised**
Under either section 270 or 274 of
the Companies Act 2006.

SH04

Notice of sale or transfer of treasury shares

**Presenter information**

You do not have to give any contact information, but if you do it will help Companies House if there is a query on the form. The contact information you give will be visible to searchers of the public record.

Contact name **Company Secretariat**

Company name **Rio Tinto plc**

Address **6 St James's Square**

Post town **London**

County/Region

Postcode **S W 1 Y 4 A D**

Country

DX

Telephone **020 7781 1969**

**Checklist**

We may return forms completed incorrectly or with information missing.

Please make sure you have remembered the following:

- ☐ The company name and number match the information held on the public Register.
- ☐ You have entered the correct information in section 2.
- ☐ You have signed the form.

**Important information**

Please note that all information on this form will appear on the public record.

**Where to send**

You may return this form to any Companies House address, however for expediency we advise you to return it to the appropriate address below:

For companies registered in England and Wales:

The Registrar of Companies, Companies House,
Crown Way, Cardiff, Wales, CF14 3UZ.
DX 33050 Cardiff.

For companies registered in Scotland:

The Registrar of Companies, Companies House,
Fourth floor, Edinburgh Quay 2,
139 Fountainbridge, Edinburgh, Scotland, EH3 9FF.
DX ED235 Edinburgh 1
or LP - 4 Edinburgh 2 (Legal Post).

For companies registered in Northern Ireland:

The Registrar of Companies, Companies House,
Second Floor, The Linenhall, 32-38 Linenhall Street,
Belfast, Northern Ireland, BT2 8BG.
DX 481 N.R. Belfast 1.

**Further information**

For further information, please see the guidance notes on the website at www.companieshouse.gov.uk or email enquiries@companieshouse.gov.uk

This form is available in an alternative format. Please visit the forms page on the website at www.companieshouse.gov.uk