

Small Estate Declaration and Indemnity

This form is to allow the Executor(s)/Next of Kin to legally transfer shares from a person who has passed away into their name(s) and provides information in regards to how the shares can be sold. Please note that completion of this form alone does not automatically sell the shares (see Step 8).

Please complete this form using block capitals and black ink. If you are not completing any of the boxes, please leave them blank. **If you make a mistake cross it through and initial it. Please do not use correction fluid. Please read the Guidance Notes to ensure that the form is completed correctly which will avoid any delay in processing this request.**

Step 1 Please give the details of the deceased shareholder (see note 1)

<p>Shareholder's name</p> <input style="width: 95%; height: 20px;" type="text"/> <p>Company</p> <input style="width: 95%; height: 20px;" type="text"/> <p>Shareholder Reference</p> <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td> </tr> </table>												<p>Last residing address and any previous known addresses*</p> <div style="border: 1px solid black; height: 100px; width: 95%;"></div> <p style="font-size: small; text-align: right;">*If more space is needed, an accompanying letter is acceptable</p>

Step 2 Please give the details of all additional shareholdings (if applicable)

Please use the enclosed additional holdings form to list all shareholdings administered by Equiniti. This is to ensure that this Small Estate Declaration and Indemnity covers them all.

Step 3 Declaration & Countersignature

To: Equiniti; and the company named above.

I/We do solemnly and sincerely declare the following:

- I am/We are the Executor(s) or Next of Kin of the deceased as shown in the Last Will and Testament or foreign Grant of Representation and are entitled to administer the estate.
- I/We do not intend to apply for a UK Grant of Representation and as far as we are aware, no one else intends to apply for one.
- I/We can confirm that the total value of the estate of the deceased in the United Kingdom does not exceed the Inheritance Tax limit.
- I/We can confirm that the total value of each holding, as of the date of death, does not exceed £20,000 and understand that the total value of each holding is made up of ordinary shares, preference shares, employee schemes, and any payments that are outstanding.

In respect of the above declaration, I/we request that the holding(s) currently in the name of the deceased is registered in my/our names without me/us providing a UK Grant of Representation and on the same basis/conditions as the original shareholding.

I/We (jointly and severally) agree:

- To indemnify you from and against all claims, demands, losses, damages, costs and expenses, which you may suffer, incur or be liable for as a result of acting on my/our instructions. I/We undertake to produce a Grant of Representation if required in the future.
- In the event of a claim against you, I/we, upon request, will provide you with the sufficient funds required to defend such proceedings and agree that if I/we fail to do so you shall be entitled to admit or settle as you consider fit with the legal right to demand compensation or payment from me/us.

Countersignature

The Small Estates Declaration and Indemnity form must be countersigned by a UK bank or an insurance company that is a member of the Association of British Insurers. The countersignature protects the company if you are unable to meet the requirements of the Indemnity. The countersignature takes on a possible liability, and this is why a fee is charged.

You have two options regarding the countersignature.

Please tell us whether you want to obtain your own countersignature or use our Countersignature Waived service.

<input type="checkbox"/> Option 1 - Obtain your own countersignature (Please complete below)	<input type="checkbox"/> Option 2 - Use the Equiniti Countersignature Waived Fee Service (Please refer to the covering letter and Guidance Notes for the fees to be paid)
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Investment services (such as the abrdn Share Account, Dividend Reinvestment Plan and Share Dealing) are provided through Equiniti Financial Services Limited, which is registered in England & Wales with Company No. 6208699 and is authorised and regulated by the UK Financial Conduct Authority. To read the latest Privacy Notice for Equiniti Financial Services Limited and understand more about how they safeguard your data, please visit their Privacy Centre at privacy.equiniti.com
Company share registration (including on behalf of abrdn plc) and employee services are provided through Equiniti Limited, which is registered in England & Wales with Company No. 6226088. Equiniti Limited and Equiniti Financial Services Limited are part of the Equiniti Group. Their registered offices are Highdown House, Yeoman Way, Worthing, West Sussex, BN99 3HH, United Kingdom. This document has not been issued by abrdn plc or any of its subsidiary or associated companies. The abrdn name and logo are reproduced with permission.

Our fees are set out in Step 10. If you obtain your own countersignature only the administration fee is payable.

Option 1 - Obtaining your own countersignature

If you would prefer to arrange the countersignature yourself, you will need to ensure that it is countersigned and officially stamped by an authorised UK bank or an insurance company that is a member of the Association of British Insurers. It is likely that they will require a charge for this service. Please note that building societies, e.g. Nationwide, are unable to provide this countersignature.

Unfortunately, there is no definitive list of banks and insurance companies that are authorised to provide this countersignature. Ultimately, it is at the discretion of the individual bank or insurance company, subject to certain regulatory controls, as to whether they are prepared to accept this liability.

Option 2 - Equiniti Countersignature Waived service

Equiniti can arrange for the countersignature to be waived on the Small Estates Declaration and Indemnity form by payment of a Countersignature Waived Fee. The fees for this service are listed in Step 10.

If obtaining your own countersignature, please complete below.

Name of bank/insurance company

DATE

D D M M Y Y

Capacity of Signatory

Authorised Signatory: We join in the above indemnity

To be officially countersigned and stamped by an authorised UK bank, or insurance company which is a member of the Association of British Insurers. Please note that most building societies do not offer this facility.

The stamp of the bank or insurance company will warrant that the signatory is authorised to sign this document on behalf of the countersignatory.

Step 4 Please give the details of the Executor(s)/Next of Kin of the deceased (see note 2)

All equal claiming Executor(s)/Next of Kin must sign below. For example, if there is more than one son or daughter of the deceased, all of their details must be included as they have equal entitlement to the estate.

Executor/Next of Kin details

Capacity (please cross one)

Executor

Next of Kin

1st Executor/Next of Kin Name

Date of birth

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1st Executor/Next of Kin Address & Post Code

2nd Executor/Next of Kin Name

Date of birth

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2nd Executor/Next of Kin Address & Post Code

3rd Executor/Next of Kin Name

Date of birth

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3rd Executor/Next of Kin Address & Post Code

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4th Executor/Next of Kin
Name

Date of
birth

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4th Executor/Next of Kin
Address & Post Code

Step 5 Transferring or selling the shares

Please tell us what you want to do with the shares by putting a cross in the relevant box.

<input type="checkbox"/>	Transfer the shares into the name(s) on the form (go to Step 6)	<input type="checkbox"/>	Sell the shares (go to Step 8)
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Step 6 Transfer the shares into a different name

<input type="checkbox"/>	Put a cross in this box if you want to transfer the shares into all of the names given in Step 4 (go to Step 7)
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If you want to transfer the shares into the names of **some** of the Executor(s)/Next of Kin given in Step 4, please give their names below. The first named Executor/Next of Kin must be included in this list, as they will become the first named holder and we will use their address for future correspondence. This form can only be used to transfer shares into the names of those who are named as Executor(s) or Next of Kin.

Names of the person(s) that the shares are being transferred to

Name 1 (first-named holder)

Name 2

Name 3

If you want your Dividends paid directly you must provide valid bank account details. Cash dividends will not be issued to you unless you provide valid bank/building society account details, and you may be charged a fee for their release. Any instruction to pay to a nominated account will NOT override any instruction to reinvest cash dividend(s) into the abrdn Dividend Investment Plan (DRIP) for an existing shareholding.

GBP payments to a UK Bank or Building Society Account - No cheques are available

Sort Code

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Account Number

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Building society reference or roll number (maximum 18 characters) - if applicable

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Corporates (if applicable): Completed forms should be returned with an accompanying letter from your bank confirming for the bank account provided: a) full name of the account holder; b) account name; and c) the account details as provided on the form.

Step 7 Please complete this section if the shares are held in an electronic format, otherwise, proceed to Step 9

Shareholders have the option to hold their shares either in a certificated format (paper share certificate) or in an electronic format, known as the abrdn Share Account.

To find out if you are eligible, please visit abrdnshares.com for more information.

Please indicate how you would like to hold the shares by placing a cross in the relevant box below.

<input type="checkbox"/>	Continue to hold electronic shares (abrdn Share Account) I/We hereby request Equiniti Financial Services Limited to transfer within the abrdn Share Account the above shares in my/our own name(s). In signing this form as Executor(s) or Next of Kin, I/we agree that my/our shares will be held in the name of Equiniti Corporate Nominees Limited as bare trustee on my/our behalf in accordance with the terms and conditions of the abrdn Share Account. If you choose this option, you also need to complete the attached Markets in Financial Instruments Directive (MiFID II) form (see note 3).
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<input type="checkbox"/>	Move out of the abrdn Share Account and hold certificated shares I/We hereby request Equiniti Financial Services Limited to transfer the above shares held within the abrdn Share Account (as defined in the terms and conditions of the abrdn Share Account) to the certificated Ordinary Share Register in my/our own name(s).
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When a certificated holding is created, the new share certificate will be sent to the address of the first-named Executor/ Next of Kin. When a share certificate is posted, it is sent at the shareholder's own risk.

If no choice is made, if the Company does not offer certificated shares, or if both boxes are crossed, the shares will continue to be held in an electronic format. When required, if you do not provide a MiFID II form the shares cannot be transferred.

If the shares are to be held in the abrdn Share Account, by signing this form you are agreeing to the declaration for the first option above.

Step 8 Sell the shares IMPORTANT: Completing this form alone does not sell the shares

If you want to sell the shares in the deceased's name, you may be able to use our Postal Share Dealing Service. To find out more, or to download a form, please visit abrdnshares.com

Please note we do not offer this service for shareholders with a registered address outside of the UK/European Economic Area (EEA).

Once you have completed both the Postal Share Dealing and Small Estate forms, please return them to the address stated in Step 12.

Please note that commission fees are applicable for each stock that is sold.

If you would prefer us to send you a Postal Share Dealing form or would like further information about this service please email us at questions@abrdnshares.com or telephone us on **+44 (0)371 384 2464** (please use the country code when calling from outside the UK). Lines are open from 8.30am to 5.30pm (UK time) Monday to Friday, excluding public holidays in England and Wales.

There may be different options available to sell your shares. However, in order to use these services you must first transfer the shares out of the name of the shareholder who has passed away. If you wish to use another provider or one of Equiniti's other dealing services you must ensure Step 6 of this form is completed.

Step 9 Please confirm how you want any outstanding payments to be released (see note 4)

GBP payments to a UK Bank or Building Society Account - No cheques are available

Sort Code			Account Number													
<input type="text"/>	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Building society reference or roll number (maximum 18 characters) - if applicable

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Corporates (if applicable): Completed forms should be returned with an accompanying letter from your bank confirming for the bank account provided: a) full name of the account holder; b) account name; and c) the account details as provided on the form.

Outstanding payments will not be issued to you unless you provide valid bank/building society account details.

Please note, in some instances re-issue fees are applicable and may be deducted from the payment before it is re-issued to you. Our fees can be found here: abrdnshares.com

Step 10 The Small Estate Declaration and fees

How much do I have to pay?

Two types of fees apply when using the Small Estate Service.

- The administration Fee.** This is a one-off fee, that is calculated based on the total value* of the holding(s).

Total value of the holding	
Less than £200	£0.00
£200 or over	£50.00

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2. **The Countersignature Waived Fee.** This fee is due for the ongoing risk associated with accepting the Small Estates declaration. The fee is payable per holding and depends on the value* of each holding.
- | | |
|-------------------------------|--------|
| Each holding value under £100 | £0.00 |
| Each Holding value of £100 | £35.00 |

If you obtain your own countersignature only the administration fee is payable

**The 'value' of a holding is the market value of the shares plus any uncashed dividends*

Please see below a table to help you calculate the fees payable

Number of Companies	Administration Fee	Countersignature Waived fee	Total Fee Payable inc VAT
1	£50	£35.00	£85.00
2	£50	£70.00	£120.00
3	£50	£105.00	£155.00
4	£50	£140.00	£190.00
5	£50	£175.00	£225.00
6	£50	£210.00	£260.00
7	£50	£245.00	£295.00
8	£50	£280.00	£330.00
9	£50	£315.00	£365.00
10	£50	£350.00	£400.00

How can I pay?

You can pay us by bank transfer by using our bank details below:

Account Name Equiniti Limited (Re Small Estate Fees)
 Account Number 10950560
 Sort Code 30-12-99

If you are paying the fee from an overseas bank account, you will also need the BIC / SWIFT Code:
 LOYDGB21642,
 IBAN: GB06LOYD30129910950560

We also accept payment via cheque. These need to be made payable to Equiniti.

IMPORTANT

In order for us to identify your payment please enter the Shareholder Reference as stated in Step 1 to the reference field on your online banking. Failure to do so may result in the process being delayed. **Please ensure this reference number is pre-fixed with SE. For example SE11122233345**

If you have chosen to pay the fee via bank transfer, we will need to see proof of payment. Please enclose a copy of your bank statement along with this form which clearly displays the payment when returning this form. Please ensure the proof of payment includes the date and amount paid, as well as the bank details you have paid the funds to and the bank details you have made the payment from.

Please do not send cash.

Step 11 Declaration

IMPORTANT: This form needs to be signed by all Executor(s)/Next of Kin. Failure to do so will result in this request not being processed.

I/We are signing this form to confirm that I/we are the named Executor(s)/Next of Kin as detailed in Step 4. By signing this form we are also giving our permission for the shares to be transferred to the people named in Step 6.

Name	Signature	Date
<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
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Step 12 Return address and checklist

All forms and supporting documents should be returned to **abrdrn Shareholder Services, Aspect House, Spencer Road, Lancing, West Sussex, BN99 6DA, UK.**

Please also ensure that the following are returned with the form, where applicable:

- Completed MiFID II form, if you have chosen to continue to hold the shares electronically, in Step 7 (see note 3).
- The Last Will & Testament or foreign Grant of Representation, if applicable (only original documents will be returned via standard post).
- The death certificate (only the original death certificate will be returned via standard post).
- Any unpaid cheques or original share certificate(s) relating to this holding.
- A copy of your bank statement if payment has been made by bank transfer, or; a cheque made payable to 'Equiniti'. Please ensure that the cheque is signed, dated and the words and figures match.

Contacting us.

You can find the answer to most questions and also send us your query securely by completing the online form at [abrdnshares.com](https://www.abrdnshares.com)

Or you can call us on **+44 (0)371 384 2464**, please use the country code when calling from outside the UK. If you call, please quote your 11-digit Shareholder Reference number. Lines are open from 8.30am to 5.30pm (UK time) Monday to Friday, excluding public holidays in England and Wales.

For deaf and speech impaired customers, we welcome calls via Relay UK. Please see www.relayuk.bt.com for more information. Alternatively you can write to us at the address above or by emailing us at questions@abrdnshares.com

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Small Estate Declaration and Indemnity Guidance Notes

To be read in conjunction with the enclosed Small Estate Declaration and Indemnity form

You should complete the form if the conditions set out in Step 3 of the form have been met. The Small Estate Declaration and Indemnity form also acts as a transfer form.

Note 1 In order to accurately identify the stated holding we require the details on the form to match our records. We therefore ask for a history of previous addresses. If the addresses exceed the space provided on the form, we will accept an accompanying letter.

Note 2 As Next of Kin (where there is no Will):

The form must be completed by the Next of Kin and returned with a copy of the shareholder's death certificate and any fee payable. Next of Kin is defined as being married to, or a blood relative of, the deceased.

The recognised order of precedence is:

- Husband, Wife or Civil Partner of the deceased
- Son or daughter of the deceased (including formal adoption)
- Father or Mother of the deceased
- Brother or Sister of the deceased
- Grandparent or Grandchild of the deceased

Not recognised are any further relations by marriage, e.g. son/daughter-in-law, step-son/daughter.

Where the form is completed by more than one Next of Kin, shares will be transferred and future payments made to their joint names. For shares held in joint names the address given for the first named Next of Kin will be recorded as the registered address for all future communications.

As Executor(s) named in a Will:

The form must be completed and returned with a copy of the death certificate, the Will or foreign Grant of Representation and any fee payable.

Where there is only one Executor named in the Will the shares will be transferred and payments made to the sole Executor.

Where there is more than one Executor named in the Will and all persons wish to act, the details and signatures of all named Executors must be entered on the form. The shares will be transferred to and all payments made in their joint names (N.B. a bank account in the joint names will be necessary). For shares held in joint names the address given for the first named Executor will be recorded as the registered address for all future communications.

Where there is more than one executor named in the Will and the shares are to be transferred to only one, we will require Step 6 of the form to be completed.

Note 3 A new EU Directive and Regulation – Markets in Financial Instruments Directive II (MiFID II) – requires us to collect information that we may not currently hold in order to complete certain transactions.

If the shares covered by this Small Estate transfer are held in the abrdn Share Account, and you choose on Step 7 of the Small Estate Declaration and Indemnity form to continue to hold them in the abrdn Share Account, the attached MiFID II form needs to be completed. **We need the details of all Next of Kin/Executors as well as the deceased shareholder.**

The MiFID II form does not need to be completed if you choose to withdraw the shares from the abrdn Share Account.

Turn this page over for more information and some examples to help you complete the form.



Note Below are some examples to help you complete the MiFID II form.

3,
cont. You can also go to our website – www.nationalitycalculator.co.uk – and enter your nationalities there. It will tell you the order in which to list them on the form and which National Client Identifier you need to provide.

If you are signing on behalf of a corporate body, we only need your 20-digit Legal Entity Identifier.

Single nationality

If you have only one nationality, write it in the **Country 1** box and write your Primary or Secondary National Client Identifier in the **National Client Identifier** box. The identifiers we accept for your country are listed on the back of the MiFID II form.

Please then tick to confirm if you have given your **Primary** or **Secondary Identifier**, or if you do not hold either.

Example: United Kingdom nationality

- Put 'United Kingdom' in the **Country 1** box
- If you have your UK National Insurance Number, write it in the **National Client Identifier** box then tick the **Primary Identifier** box
- If you do not have the Primary Identifier, tick the **I do not hold any National Client Identifiers** box

Multiple nationalities

If you have more than one nationality, write them in the **Country 1**, **Country 2** and **Country 3** boxes in the order in which they are listed on the back of the MiFID II form. We then need the Primary or, if allowed for the country, Secondary National Client Identifier for **Country 1**.

If you do not hold either the Primary or Secondary National Client Identifier for Country 1, **please do not provide an Identifier for Country 2 or Country 3**.

Example: United Kingdom and Czech Republic dual nationality

- Put 'Czech Republic' in the **Country 1** box and 'United Kingdom' in the **Country 2** box
- Write your National Identification Number (*Rodné číslo*) in the **National Client Identifier** box then tick the **Primary Identifier** box
- If you do not have the Primary Identifier, write your Czech Republic National Passport Number instead and tick the **Secondary Identifier** box
- If you do not have either of the Identifiers for Czech Republic, tick the **I do not hold any National Client Identifiers** box

Countries not listed on the back of the MiFID II form are in the 'All other countries' category, and should be entered last when you complete the form.

Example: United Kingdom and China dual nationality

- Put 'United Kingdom' in the **Country 1** box and 'China' in the **Country 2** box
- If you have your UK National Insurance Number, write it in the **National Client Identifier** box then tick the **Primary Identifier** box
- If you do not have the Primary Identifier for United Kingdom, tick the **I do not hold any National Client Identifiers** box

If you are a national of two or more countries in the 'All other countries' category, you need to list them on the form in order of their Country Code. If you need help with this, please use our website, www.nationalitycalculator.co.uk, or call our helpline on **+44 (0)371 384 2030** (please use the country code when calling from outside the UK).

Or you can call us on **+44 (0)371 384 2464**, please use the country code when calling from outside the UK. If you call, please quote your 11-digit Shareholder Reference number. Lines are open from 8.30am to 5.30pm (UK time) Monday to Friday, excluding public holidays in England and Wales.

Alternatively you can email us at questions@abrdnshares.com. For deaf and speech impaired customers, we welcome calls via Relay UK. Please see www.relayuk.bt.com for more information.

Note 4 There may be outstanding holding payments to be released. The options provided in Step 9 of the form are the only way in which outstanding payments can be issued.

This only applies to outstanding payments, not future payments, e.g. sale proceeds, dividends.

Important: where there is more than one legal representative and you elect to have payments released in their names (the first option), the cheque(s) will be made payable to them jointly and you will need a corresponding joint bank account in order to cash them.

**All forms and supporting documents need to be returned to:
Abrdn Shareholder Services, Aspect House, Spencer Road, Lancing,
West Sussex, BN99 6DA UK**

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Markets in Financial Instruments Directive (MiFID) II form

This form needs to be completed if you choose to **continue to hold electronic shares** in Step 7 of the Small Estate Declaration. **We need the details of all the Next of Kin/Executors and the deceased shareholder.**

ALL information is required for identification and anti-money laundering purposes (Please see Page 11)

The deceased shareholder (as listed on the Small Estate Declaration and Indemnity form)

Title and full name (no initials) <input style="width: 95%;" type="text"/> Date of birth <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> / <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> / <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/>	Last residing address and any previous known addresses <div style="border: 1px solid #ccc; height: 150px; margin-top: 5px;"></div> <p style="font-size: small; text-align: right;">*If more space is needed, an accompanying letter is acceptable</p>
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Country details

Please state the person's nationality. If there is more than one nationality, you must list the countries (up to three) in the order they appear in the further information table overleaf.

Country 1: Country 2: Country 3:

National Client Identifier

Based on the country you have listed **first** above, please provide either the person's Primary or Secondary National Client Identifier, as shown in the table overleaf.

Only if you do not have the Primary Identifier should you provide the Secondary Identifier.

National Client Identifier: I do not hold any National Client Identifiers

National Client Identifier type

If you have provided a National Client Identifier, please tell us if it is the Primary or Secondary Identifier.

Primary Identifier **OR** Secondary Identifier

First Next of Kin/Executor (as listed on the Small Estate Declaration and Indemnity form)

Full name (no initials) <div style="border: 1px solid #ccc; height: 70px; margin-top: 5px;"></div>	Country 1 <input style="width: 95%;" type="text"/> Country 2 <input style="width: 95%;" type="text"/> Country 3 <input style="width: 95%;" type="text"/>	National Client Identifier <input style="width: 95%;" type="text"/> Primary <input type="checkbox"/> Secondary <input type="checkbox"/> I do not hold any National Client Identifiers <input type="checkbox"/> Legal Entity Identifier (if a corporate body) <input style="width: 95%;" type="text"/>
Date of birth <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> / <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> / <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/>	Address <input style="width: 95%;" type="text"/>	

Second Next of Kin/Executor (if applicable)

Full name (no initials)

Country 1

National Client Identifier

Country 2

Primary

Secondary

I do not hold any National Client Identifiers

Date of birth

Country 3

Legal Entity Identifier (if a corporate body)

Address

Third Next of Kin/Executor (if applicable)

Full name (no initials)

Country 1

National Client Identifier

Country 2

Primary

Secondary

I do not hold any National Client Identifiers

Date of birth

Country 3

Legal Entity Identifier (if a corporate body)

Address

Fourth Next of Kin/Executor (if applicable)

Full name (no initials)

Country 1

National Client Identifier

Country 2

Primary

Secondary

I do not hold any National Client Identifiers

Date of birth

Country 3

Legal Entity Identifier (if a corporate body)

Address

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Further information

When completing the MiFID II form overleaf, please use the Primary National Client Identifier from the table below.

Only if you are unable to provide the Primary Identifier should you provide the Secondary Identifier. If you have any queries about completing this form, please call our Helpline on **+44 (0)371 384 2464** (please use the country code when calling from outside the UK).

Please Note

If you do not provide a National Client Identifier for **Estonia, Spain, Iceland, Italy, Malta** or **Poland** we will reject your transaction.

If you are a national of two or more countries not in the list below (i.e. two or more countries from 'All Other Countries') you need to list them overleaf in **alphabetical order according to their Country Code**. If you need help with this, please go to our website – **www.nationalitycalculator.co.uk** – or call our Helpline on the above number.

Country name	Primary National Client Identifier	Secondary National Client Identifier
Austria (AT)	Write 'N/A'	-
Belgium (BE)	Belgium National Number (<i>Numéro de registre national – Rijksregisternummer</i>)	-
Bulgaria (BG)	Bulgarian Personal Number	-
Cyprus (CY)	National Passport Number	-
Czech Republic (CZ)	National Identification Number (<i>Rodné číslo</i>)	National Passport Number
Germany (DE)	Write 'N/A'	-
Denmark (DK)	Personal identity code	-
Estonia (EE)	Estonian Personal Identification Code (<i>Isikukood</i>)	-
Spain (ES)	Tax Identification Number (<i>Número de identificación fiscal</i>)	-
Finland (FI)	Personal Identity Code	-
France (FR)	Write 'N/A'	-
United Kingdom (GB)	UK National Insurance Number	-
Greece (GR)	10 DSS Digit Investor Share	-
Croatia (HR)	Personal Identification Number (<i>OIB – Osobni identifikacijski broj</i>)	-
Hungary (HU)	Write 'N/A'	-
Ireland (IE)	Write 'N/A'	-
Iceland (IS)	Personal Identity Code (<i>Kennitala</i>)	-
Italy (IT)	Fiscal Code (<i>Codice Fiscale</i>)	-
Liechtenstein (LI)	National Passport Number	National Identity Card Number
Lithuania (LT)	Personal Code (<i>Asmens Kodas</i>)	National Passport Number
Luxembourg (LU)	Write 'N/A'	-
Latvia (LV)	Personal Code (<i>Personas Kods</i>)	-
Malta (MT)	National Identification Number	National Passport Number
Netherlands (NL)	National Passport Number	National Identity Card Number
Norway (NO)	Personal ID (<i>Foedselsnummer</i>)	-
Poland (PL)	National Identification Number (<i>PESEL</i>)	Tax Number (<i>Number Identyfikacji podatkowej</i>)

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Portugal (PT)	Tax Number (<i>Número de Identificação Fiscal</i>)	National Passport Number
Romania (RO)	National Identification Number (<i>Cod Numeric Personal</i>)	National Passport Number
Sweden (SE)	Personal Identity Number	-
Slovenia (SI)	Personal Identification Number (<i>EMŠO: Enotna Matična Številka Občana</i>)	-
Slovakia (SK)	Personal Number (<i>Rodné číslo</i>)	National Passport Number
All other countries (Including Crown Dependencies and British Overseas Territories)	National Passport Number	-

CONFIRMING YOUR IDENTITY

In order to comply with UK money laundering regulations, we may need to confirm your identity. To help us do this, we may:

- validate your identity using an external agency, which will keep a record of that search and may share that information with other businesses, and/or
- ask you to supply us with proof of identity.

This could lead to a delay in carrying out an instruction you've given us, or not being able to carry out an instruction at all. In any of these circumstances, we will not be responsible for any resulting loss.

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