



# Small Estate Declaration and Indemnity - Royal Dutch Shell plc shares

This form is to allow the Executor(s)/Next of Kin to 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).

Shareholder's name

Company

Shareholder Reference

Last residing address and any previous known addresses\*

\*If more space is needed, an accompanying letter is acceptable

### 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 All next of kin/executors should read the below Declaration

To: Equiniti, Royal & Sun Alliance Insurance plc and the company named above and on the additional holdings form.  
I/We do solemnly and sincerely declare the following:

- I am/We are the next of kin or executor(s) 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.

### Step 4 Please give the details of the next of kin/executor(s) of the deceased (see note 2).

All equal claiming Executors/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.

#### Sole or first-named Executor/Next of Kin

Title and full name (no initials)

Capacity in which you are signing (please cross one)  
 Next of Kin     Executor

If next of kin, please confirm relationship to the deceased

Signature

Full postal address

Today's date  
  /   /

#### Other named Executor(s)/Next of Kin

Title(s) and full name(s) (no initials)

## 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.

Transfer the shares into the name(s) on the form (go to Step 6)  Sell the shares (go to Step 8)

## Step 6 Transfer the shares into a different name

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)

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

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

Sometimes, shareholders have the option to hold their shares either in a certificated format (paper share certificate) or in an electronic format, in the Royal Dutch Shell Nominee Service (Nominee Service).

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

**Continue to hold shares in the Royal Dutch Shell Nominee Service (Nominee Service)**

I/We hereby request Equiniti Financial Services Limited to transfer within the Nominee Service Register the above shares in my/our own name(s). In signing this form as next of kin or executor(s) I/we agree that my/our shares will be held by in the name of Equiniti Corporate Nominees Limited as bare trustee on my/our behalf in accordance with the terms and conditions of the Nominee Service.

**If you choose this option, you also need to complete the attached Markets in Financial Instruments Directive (MiFID II) Form** (see note 3).

**Move out of the Nominee Service and hold certificated shares**

I/We hereby request Equiniti Financial Services Limited to transfer the above shares held within the Nominee Service Register (as defined in the terms and conditions of the Nominee Service) to the certificated Ordinary Share Register in my/our own name(s).

When a certificated holding is created, the new share certificate will be sent to the address of the first-named next of kin/executor. 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 or provide valid bank account details the shares cannot be transferred.**

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

## Step 8 Sell the shares **Important: Completing this form 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 [www.shareview.co.uk/info/postaldealing](http://www.shareview.co.uk/info/postaldealing)

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 [bereavement@equiniti.com](mailto:bereavement@equiniti.com) or telephone us on **0371 384 2793** (+44 121 415 0875 if you are 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).

**IMPORTANT: Since March 2020 payments on Royal Dutch Shell plc are no longer made by cheque. In order to receive outstanding payments and/or future payments if the shares are being transferred, you must provide valid bank details.**

- For payments to non UK bank accounts, please check with your bank to confirm what additional information we require to send your payment(s).
- Please use the Additional Information box for any other details you think we will require where they are not already provided - including details of any correspondence bank requirements.
- Outstanding payments may be made up of more than one payment. It is your responsibility to ensure the bank account(s) you provide is/are able to accept payments in the relevant currencies
- Your bank may levy charges or reject payments if it receives currencies your account cannot accept. Neither Equiniti Limited, Equiniti Financial Services Limited nor Royal Dutch Shell plc can be held liable for resulting losses if this occurs.
- In case of any questions please email us at **bereavement@equiniti.com** or telephone us on +44 (0) 371 384 2793 (please use the country code if 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

**Please complete in all cases where a non-UK bank account is provided**

Passport Number or ID Number (if required)	Tax Number (if required)	Telephone Number (if required)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Bank account in the name of	Name of bank	
<input type="text"/>	<input type="text"/>	
Branch address of bank	Additional information	
<input type="text"/>	<input type="text"/>	

**Please complete the relevant section(s)**

**GBP payments to a UK bank account**

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"/> <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

**EURO payments**

Bank SWIFT Code (8 or 11 character BIC code)

International Bank Account Number (IBAN) (up to 34 alphanumeric characters) or, if IBAN not available, Bank Account Number

**GBP payments to accounts OUTSIDE the UK**

Bank SWIFT Code (8 or 11 character BIC code)

International Bank Account Number (IBAN) (up to 34 alphanumeric characters) or, if IBAN not available, Bank Account Number

## Step 10 Paying the Small Estate fees

### How much do I have to pay?

If you notified us of the death of the shareholder in writing, or by phone, the exact fee will be stated in the letter.

If you downloaded this form from our website, the fees can be found in the same location.

### 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

### 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 prefixed 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.

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

**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 I/we are also giving our permission for the shares to be transferred to the people named in Step 6. By signing this form I/we are also giving our permission for all outstanding payments, and any future payments, payable in respect of the shares in Royal Dutch Shell plc, to be forwarded, for the currency indicated to the nominated bank account(s) detailed in Step 9, or to such other branch of the organisation as the bank may request. Compliance with this request will discharge Royal Dutch Shell plc or Equiniti Financial Services Limited's liability in respect of such monies.

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"/>
<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"/>

## Step 12 Return address and checklist

All forms and supporting documents should be returned to **Equiniti, 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 or postal order made payable to 'Equiniti'. Please ensure that the cheque is signed, dated and the words and figures match.



## 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 only his/her details and signature on the form. This must be supported by a signed letter of authority from the remaining executors giving their agreement that the named executor can act on their behalf. The shares will be transferred and payments made to that named executor.

**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 a Nominee Service account, and you choose on Step 7 of the Small Estate Declaration and Indemnity Form to continue to hold them in the Nominee service, 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 Nominee Service.

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

**Note 3,** Below are some examples to help you complete the MiFID II Form.  
**cont.**

You can also go to our website – [www.nationalitycalculator.co.uk](http://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](http://www.nationalitycalculator.co.uk), or call our helpline on **0371 384 2030** (+44 121 415 7047 if you are outside the UK).

**Note 4** There may be outstanding payments to be released and/or you may receive future payments on the shares if the shares are being transferred. The options provided in Step 9 of the form are the only way in which these can be issued. If your chosen bank account details are not clear, or it cannot receive payment(s) in the currency shown, payment(s) will not be released and your instruction may be rejected.

**Important:** Payments **cannot** be made by cheque

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



# 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 and Indemnity Form. **We need the details of all the next of kin/executors and the deceased shareholder.**

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

Title and full name (no initials) <input type="text"/>	Last residing address and any previous known addresses <input style="height: 40px;" type="text"/>
Date of birth <input type="text"/> / <input type="text"/> / <input type="text"/>	*If more space is needed, an accompanying letter is acceptable

### 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) <input style="height: 40px;" type="text"/>	Country 1 <input type="text"/>	National Client Identifier <input type="text"/>
	Country 2 <input type="text"/>	Primary Identifier <input type="checkbox"/> Secondary Identifier <input type="checkbox"/>
Date of birth <input type="text"/> / <input type="text"/> / <input type="text"/>	Country 3 <input type="text"/>	I do not hold any National Client Identifiers <input type="checkbox"/>
		Legal Entity Identifier (if a corporate body) <input type="text"/>

## Second next of kin/executor (if applicable)

Full name (no initials) <input style="height: 40px;" type="text"/>	Country 1 <input type="text"/>	National Client Identifier <input type="text"/>
	Country 2 <input type="text"/>	Primary Identifier <input type="checkbox"/> Secondary Identifier <input type="checkbox"/>
Date of birth <input type="text"/> / <input type="text"/> / <input type="text"/>	Country 3 <input type="text"/>	I do not hold any National Client Identifiers <input type="checkbox"/>
		Legal Entity Identifier (if a corporate body) <input type="text"/>

## Third next of kin/executor (if applicable)

Full name (no initials) <input style="height: 40px;" type="text"/>	Country 1 <input type="text"/>	National Client Identifier <input type="text"/>
	Country 2 <input type="text"/>	Primary Identifier <input type="checkbox"/> Secondary Identifier <input type="checkbox"/>
Date of birth <input type="text"/> / <input type="text"/> / <input type="text"/>	Country 3 <input type="text"/>	I do not hold any National Client Identifiers <input type="checkbox"/>
		Legal Entity Identifier (if a corporate body) <input type="text"/>

## Fourth next of kin/executor (if applicable)

Full name (no initials) <input style="height: 40px;" type="text"/>	Country 1 <input type="text"/>	National Client Identifier <input type="text"/>
	Country 2 <input type="text"/>	Primary Identifier <input type="checkbox"/> Secondary Identifier <input type="checkbox"/>
Date of birth <input type="text"/> / <input type="text"/> / <input type="text"/>	Country 3 <input type="text"/>	I do not hold any National Client Identifiers <input type="checkbox"/>
		Legal Entity Identifier (if a corporate body) <input type="text"/>

## 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 **0371 384 2030** (+44 121 415 7047 if you are 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 register 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> )
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	-