

Small Estate Declaration and Indemnity

This form must be completed in block capitals and in black ink. If you are not entering information in any of the fields, please leave them blank and do not cross them through. If you make any mistakes whilst completing this form, please do not use correction fluid. Instead, please cross out the mistake and initial the amendment. Please read the Small Estate Declaration and Indemnity Guidance Notes in conjunction with completing this form.

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

Shareholder's name <input type="text"/>	Last residing address and any previous known addresses* <input type="text"/>																			
Company <input type="text"/>																				
Shareholder Reference <table border="1"><tr><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td></tr></table>		<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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*If more space is needed, an accompanying letter is acceptable

This form is only applicable to the Company stated above. If the estate is made up of more than one holding, a Small Estate Declaration and Indemnity Additional Holding form is enclosed and must also be signed, dated and returned with this form.

Step 2 All next of kin/executors should read the below Declaration

To: Equiniti, Royal & Sun Alliance Insurance plc and the company named above.
I/We do solemnly and sincerely declare that:

- 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 I am/we are entitled to administer the estate
- I/We do not intend nor, to the best of my/our knowledge, does any other person intend to apply for a UK Grant of Representation for the estate of the deceased
- No Inheritance Tax is payable on the estate of the deceased
- The value of the holding in the deceased's sole name at the date of death, which comprise shares and/or outstanding payments, does not exceed £10,000 in each company

In consideration of the above declaration I/we request that the holding registered in the name of the deceased holder be registered in my/our names, subject to the several conditions upon which the deceased held the same, without production of a UK Grant of Representation.

I/We (jointly and severally) agree:

- To indemnify you and each of you against all claims, demands, liabilities, costs, charges and expenses that may be brought against or incurred by you, or any of you, arising out of or in connection with your so doing including, in particular, payments of entitlements and costs and expenses to another applicant if any of the above statements are incorrect.
- In the event of legal proceedings being instituted against you in connection with any such claim, from time to time upon demand to provide you with such funds as you may require to defend such proceedings and in default of my/our so doing you shall be entitled to admit or settle such proceedings on such terms as you may think fit with recourse to me/us.

Step 3 Please give the details of the next of kin/executor(s) of the deceased (see note 2).

All equal claiming next of kin must sign below. For example, if there is more than one son or daughter of the deceased, all must sign as they have equal entitlement to the estate.

Sole or first-named legal representative

Title and full name (no initials) <input type="text"/>	Full postal address <input type="text"/>										
1. <input type="text"/>											
Capacity in which you are signing (please cross one) <input checked="" type="checkbox"/> Next of kin <input checked="" type="checkbox"/> Executor											
If next of kin, please confirm relationship to the deceased <input type="text"/>											
Signature <input type="text"/>											
	Today's date <table border="1"><tr><td><input type="text"/></td><td><input type="text"/></td><td>/</td><td><input type="text"/></td><td><input type="text"/></td><td>/</td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td></tr></table>	<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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Other named legal representative(s)

Title(s) and full name(s) (no initials) <input type="text"/>	Signature <input type="text"/>
2. <input type="text"/>	<input type="text"/>
3. <input type="text"/>	<input type="text"/>
4. <input type="text"/>	<input type="text"/>

Step 4 Corporate Sponsored Nominee shares

If the shares are held electronically (i.e. within a Nominee Service sponsored by the Company) you may, if individuals can hold shares on the share register, be able to choose to transfer the shares to a certificated holding. Please confirm how you wish to hold these shares.

Continue to hold electronic shares

I/We hereby request Equiniti Financial Services Limited to transfer within the Corporate Nominee Register (as defined in the terms and conditions) 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 the Corporate Nominee 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).

Hold certificated shares

I/We hereby request Equiniti Financial Services Limited to transfer the above shares held within the Corporate Nominee Register (as defined in the terms and conditions of the Corporate Nominee) 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, or if both boxes are crossed, the shares will continue to be held as electronic shares in the Corporate Nominee Register. When required, if you do not provide a MiFID II Form the shares cannot be transferred.

Step 5 Please confirm how you want any outstanding payments to be released (see note 4)

Please make the cheque(s) payable to the person(s) completing this form

Please make the cheque(s) payable to "The personal representatives of..."

Please make the cheque(s) payable to the notifying solicitors

If no choice is made, or if all boxes are crossed, cheques will be made payable to the person(s) completing this form.

Step 6 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:

MiFID II Form, if you choose to continue to hold electronic shares in Step 4 (see note 3).

Small Estate Declaration and Indemnity Additional Holding Form

Cheque made payable to 'Equiniti' – see website for the fee required. Please ensure that the cheque is signed, dated and the words and figures match.

The Last Will & Testament or foreign Grant of Representation

The death certificate

Any unpaid cheques relating to this holding

Any original share certificate(s) in the deceased shareholder's name

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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 2 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 Corporate Nominee account, and you choose on Step 4 of the Small Estate Declaration and Indemnity Form to continue to hold them in the Corporate Nominee, 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 Corporate Nominee.

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 – 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 **0371 384 2030** (+44 121 415 7047 if you are outside the UK).

Note 4 There may be outstanding holding payments to be released. The options provided in Step 5 of the form are the only way in which outstanding payments can be issued. If the selection is not clear the cheque(s) will be sent payable to the person(s) completing the form.

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:
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 4 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)

Last residing address and any previous known addresses

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

Date of birth

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)

Country 1

National Client Identifier

Country 2

Primary Identifier Secondary Identifier

I do not hold any National Client Identifiers

Date of birth

Country 3

Legal Entity Identifier (if a corporate body)

Second next of kin/executor (if applicable)

Full name (no initials)

Country 1

National Client Identifier

Country 2

Primary Identifier Secondary Identifier

I do not hold any National Client Identifiers

Date of birth

Country 3

Legal Entity Identifier (if a corporate body)

Third next of kin/executor (if applicable)

Full name (no initials)

Country 1

National Client Identifier

Country 2

Primary Identifier Secondary Identifier

I do not hold any National Client Identifiers

Date of birth

Country 3

Legal Entity Identifier (if a corporate body)

Fourth next of kin/executor (if applicable)

Full name (no initials)

Country 1

National Client Identifier

Country 2

Primary Identifier Secondary Identifier

I do not hold any National Client Identifiers

Date of birth

Country 3

Legal Entity Identifier (if a corporate body)

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	-

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Small Estate Declaration and Indemnity Additional Holding form

IMPORTANT: If the estate is made up of more than one holding, this Additional Holding form must also be completed so that all holdings are covered by the signed Small Estate Declaration and Indemnity.

Please review, sign and date this form and return it with the completed Small Estate Declaration and Indemnity form.

Shareholder's name:

Company

Shareholder Reference

Company	Shareholder Reference

To be completed by the Next of Kin or Executor(s) as stated on the Small Estate Declaration and Indemnity form.

Sole or first-named legal representative

Title and full name (we do not accept initials)

Signature

1.

Other named legal representative(s)

Title(s) and full name(s) (we do not accept initials)

Signature(s)

2.

3.

4.

Date

D	D	/	M	M	/	Y	Y	Y	Y
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