

Equiniti (EQ) Small Estates Form

Criteria to use the Small Estate Service

You can use the Equiniti (EQ) Small Estates Service if **all** the following criteria are met:

- The value of the holding(s) (shares and any outstanding payments) in each company was £20,000 or less at the date of death. (The value is the shares as well as any outstanding payments.)
 - You can find share prices online or you can use our Share Valuation Service. Visit www.Shareview.co.uk, navigate to 'Manage My Shares' and click on 'Get a share valuation'.
- No inheritance tax is payable on the deceased's UK estate. Visit www.gov.uk/inheritance-tax for further guidance.
- You are the Next of Kin(s) or Executor(s) named in the will. There is a precedence in the UK for Next of Kin(s). Please visit <https://www.gov.uk/inherits-someone-dies-without-will> for more information
- No Grant of Probate has been issued and there is no intention to obtain one.

Instructions

Ensure to:

- Read the guidance to reduce the risk of mistakes and related processing delays.
- Complete the form using BLOCK capitals
- Avoid correction fluid or sticky labels when completing the form. Just cross out the error and initial the amendment
- Return the form and any supporting documentation detailed in the Checklist on page 5 to **Equiniti, Aspect House, Spencer Road, Lancing, West Sussex, BN99 6DA, UK**

Small Estates Declaration

By completing and signing this form, I/We do solemnly and sincerely declare, to Equiniti (EQ) and the company/companies listed, the following:

- I/We are entitled to administer the Estate of the deceased in the United Kingdom
- There is no intention to apply for an UK Grant of Probate and as far as we are aware, no one else intends to apply for one
- That the total value of the estate of the deceased in the United Kingdom does not exceed the Inheritance Tax limit
- 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 shares held in the company, employee schemes and any payments that are outstanding

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 1: Deceased shareholder and holdings details

The full name and address of the deceased shareholder should be quoted as held on the share register. Please include the Shareholder Reference(s)/Account Number(s) if known. You can locate this on any paper share certificates, statements for electronically held shares, or on any previous correspondence. Please include a covering letter if there are more than 5 companies in which shares are held.

Full name of deceased shareholder:

Full address of deceased shareholder:

Companies in which shares are held	Shareholder Reference/Account Number (Shown as 8 or 11 digits on shareholder documentation)

Step 2: Next of Kin(s) / Executor(s) details

If there are more than four Next of Kin(s) or Executors, send us a covering letter with the additional names and signatures. We only record the address of the first named Next of Kin/Executor.

1	Title and full name of the first named or sole Next of Kin or Executor:	
	Address & postcode:	
	Signature:*	Date:
	<i>*If signing on behalf of a corporate body, please state capacity of the signatory and enclose a copy of your authorised signatory list</i>	

Title, full names & surname of any other Next of Kins or Executors		
2		Signature:
3		Signature:
4		Signature:

Step 3: Outstanding Payments Instruction

We will use these bank details to release any outstanding or held payments in the name of the deceased. We can accept overseas bank details. Please visit www.shareview.co.uk/info/ops to download the relevant overseas payment form to complete and return together with this Small Estate form.

A reissue fee may apply. This would be deducted from the payment before it is reissued to you. Our fees can be found at www.shareview.co.uk/clients/paymentreissue

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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Corporate Bodies only: Please provide an accompanying letter from your bank confirming a) full name of the bank account holder; b) bank account name; and c) the account details as provided on the form.

Step 4: Countersignature and Fees Payable**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 use our Countersignature waived service or if you will obtain your own countersignature.

☐

Option 1 - Obtain your own countersignature

☐

Option 2 - Use the Equiniti (EQ) Countersignature Waived Fee Service

Option 1 - Obtaining your own countersignature

If you 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 (ABI). It is likely they will 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.

Please note our administration fee may still apply - check page 5 for further details and instructions how to pay

Name of bank/insurance company
(Must be a member of the ABI)

Date

Official stamp of bank/insurance company*

Capacity of Signatory

Authorised Signatory: We join in the above indemnity

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

Option 2 - Equiniti (EQ) Countersignature Waived service

EQ can arrange for the countersignature to be waived by payment of a Countersignature Waived Fee. Check page 5 for further details and instructions how to pay

Paying the Fees (Bank Transfer only)

If you have elected to pay our fees via Bank Transfer, please enter below the date the fee was paid.

Step 5: Automatic closure of Shareholding(s)/scheme(s)

Shares held in the form of a paper share certificate or electronically:

Please check page 5 to see whether you can close the holding(s) through Equiniti. If you can, please tell us below how you wish to close the holding(s).

☐

Transfer of Shares (see step 6)

☐

Sale of Shares (page 5 details where to download the form for the shares to be sold)

Employee Shares

If the deceased worked for the company/companies listed under step 1, they may have also been issued with employee shares by Equiniti. The schemes which can be dealt with through this Small Estates Form are:

- **Save As You Earn Scheme (SAYE) and Sharesave Schemes:** With these schemes you can either Exercise the Option(s) or have the savings repaid.
- **Share Incentive Plan (SIP):** With this scheme you can either sell all the shares, transfer all the shares, or sell some and transfer the remainder.

If these schemes apply to the deceased shareholder, when the company advised us of the death a form would have been sent outlining the schemes held and how they can be closed. This form should be completed and sent with the Small Estates form for the scheme(s) to be closed. If you are not in possession of it, please let us know and we will arrange for a duplicate to be sent

Please indicate below which schemes you are enclosing forms for:

☐

Save As You Earn Scheme (SAYE) and Sharesave Schemes

☐

Share Incentive Plan (SIP)

Keeping the shares? If you have selected to keep the shares these will be issued in the deceased shareholder's name. We will then encourage you to arrange either the sale, transfer or donation of shares. Further information on this and the forms to complete, can be found by visiting our 'Bereavement Support' section at www.shareview.co.uk

Step 6: Transfer of shares

When selecting this option, shares are transferred to the named Next of Kin(s) or Executor(s) detailed in step 2. If you want to transfer to someone else:

- If shares are certificated, please complete a Stock Transfer Form downloadable at: https://www.shareview.co.uk/4/info/portfolio/default/en/home/Shareholders/Documents/STF_Combined.pdf
- If shares are held electronically, you can transfer to someone else by completing a CSN Form A downloadable at: <https://www.shareview.co.uk/4/Info/Portfolio/default/en/home/help/Pages/Useful-Documents.aspx>

Transferring Electronically held shares to the named Next of Kin(s) or Executor(s)?

To complete a transfer of these, we will also need a 'Small Estates: Regulatory Data for Electronically held shares' form, found on our Bereavement Support Page on our website, to be completed.

All information is required for identification and anti-money laundering purposes. The full Terms and Conditions of the service can be found at www.shareview.co.uk/info/csn.

Payment Instruction for the new shareholding(s) - Mandatory Requirement

Please provide account details for the release of any future payments relating to the new shareholding(s). If you intend to use an **Overseas Bank Account**, do not complete this section. Please visit www.shareview.co.uk/info/ops to download the relevant overseas payment form to complete and return together with this Small Estate form. The Shareholder Ref Boxes should be left blank

Sort Code

Account Number

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

Corporate Bodies only: Please provide an accompanying letter from your bank confirming a) full name of the bank account holder; b) bank account name; and c) the account details as provided on the form.

Manage and monitor your shares with Shareview

After the transfer, the first named shareholder can use our online services through our website www.shareview.co.uk. This will allow them to access and manage detailed information about their holdings, including balance movements, indicative values, and dividend payments. It also enables shareholder communications to be received by email.

CHECKLIST

When returning the Small Estates Form, please ensure you have:

<input checked="" type="checkbox"/>	Enclosed a copy of the death certificate, as evidence of the death, if not previously supplied (This will not be returned)
<input checked="" type="checkbox"/>	Paid the fee if required
<input checked="" type="checkbox"/>	Enclosed the following forms, where applicable:
<input checked="" type="checkbox"/>	<i>Steps 3 & 6:</i> The Relevant Overseas Payment Form(s) if you want to provide an Overseas bank account
<input checked="" type="checkbox"/>	<i>Step 5:</i> Postal Share Dealing form if you are selling the shares
<input checked="" type="checkbox"/>	<i>Step 5:</i> Forms for Employee Schemes Save as You Earn (SAYE) and Sharesave Schemes and/or Share Incentive Plan (SIP) if you are closing these
<input checked="" type="checkbox"/>	<i>Step 6:</i> 'Small Estates: Regulatory Data for Electronically held shares' form if transferring electronically held shares to the Next of Kin(s) or Executor(s)
<input checked="" type="checkbox"/>	<i>Step 6:</i> Stock Transfer form(s) and/or CSN Form A(s) for electronically held shares, if transferring to someone who is not the Next of Kin or Executor. Please note for the Stock Transfer form you will need to enclose all share certificates. If you do not hold all the share certificates, duplicates can be obtained by completing a Letter of Indemnity. Please contact us if you require this. Further information can be found at: https://www.shareview.co.uk/4/Info/Portfolio/default/en/home/shareholders/Pages/LostCerts.aspx

Equiniti (EQ) Small Estates Service Guidance

Fees Payable (step 4)

Please note a fee may be payable to use our Small Estate Service. This covers Equiniti (EQ) for the risks associated with accepting the Small Estates declaration and re-registering the holding without formal legal documentation.

Depending on the value of the shares, EQ may charge:

- an Administration Fee (To cover the work to process the Small Estates)
- a Countersignature Waived Fee (The **countersignature** protects the company if you are unable to meet the requirements of the indemnity, outlined in the declaration and takes on a possible liability.)

Type of charge	When applies	Amount to Pay
Administration Fee	Where any company is more than £200 in value	£50.00 (The fee is a one-off payment)
Countersignature Waived Fee	To each company where the value in that company is over £100	£35.00 per company E.g. If you have two companies over this value, the Countersignature Waived Fee would be £70.00

Paying the fees

There are two options to pay the fees with the easiest way by bank transfer.

Bank Transfer	Reference to use: 'SE' followed by the only/first shareholder reference number details in step 1. Ex. SE123456789		
	Account Name	Equiniti (EQ) Limited (Re Small Estate Fees)	For Overseas Bank Accounts only: BIC/SWIFT Code: LOYDGB21642 IBAN: GB06LOYD30129910950560
	Sort Code and Account Number	30-12-99 10950560	
	Following payment, to enable us to locate this in the above account, please enter the date on page 3		
Cheque	Sterling cheques should be made payable to 'Equiniti Limited', signed, dated, with the fee given in both words and figures. NOTE: We can only accept cheques from chequebooks issued since 2000 and without any alterations.		

Exceptions to Automatic Closure (step 5)

In most cases we can close the shareholding in the name of the deceased and support with the re-registration of shares at the same time as registering the death. Exceptions requiring additional information/instructions are:

Transfer of shares

For electronically held shares only: we cannot transfer shares to anyone residing outside of the European Economic Area (EEA) except for the United Kingdom, Isle of Man, Channel Islands, Switzerland and Gibraltar. If you wish to keep the shares you will need to arrange the transfer to your own country, through a local bank or stockbroker.

Sale of shares

You can sell through our Postal Share Dealing if **all** criteria below are met.

- The shares are tradable:
 - You can check whether shares are tradable by visiting the company's website or the London Stock Exchange's website.
 - Untradable shares can only be transferred, or, in some cases, you might be able to redeem them for their face value. Check the back of the certificate or previous correspondence.
- The company offers this service.
- The deceased resided in the United Kingdom, EEA, Channel Islands, Isle of Man, Switzerland, or Gibraltar.

For more information on the Postal Share Dealing service and the form to complete, please visit:

<https://www.shareview.co.uk/4/Info/Portfolio/default/en/Home/Shareholders/Pages/PostalDealing.aspx>

If we can't sell, or if you choose not to use our service, you can use a local bank or stockbroker.