

Small Estate Declaration and Indemnity

This form is used 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 sharehold	der (see note 1)					
Shareholder's name	Last residing addresses*	address	and	any	previous	known
Company						
Shareholder Reference	*If more space	ce is needed,	an acc	ompany	ring letter is a	cceptable
Step 2 Please give the details of all additional sharehold	lings (if applicabl	e)				
Please use the enclosed additional holdings form to list a	all shareholdings	administe	red by	Equin	iti. This is t	:0

ensure that this Small Estate Declaration and Indemnity covers them all.

Step 3 Declaration & CountersignatureTo: 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 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, 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 use our Countersignature waived service or obtain you own countersignature.

Χ	Option 1 - Obtain your own countersignature (Please complete below)	Χ	Option 2 - Use the Equiniti Countersignature Waiv Fee Service			
			(Please refer to the covering letter and Guidance Notes for the fees to be paid)			

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

Executor/Next of Kin

Executor/Next of Kin

3rd Executor/Next of Kin Address & Post Code

4th Executor/Next of Kin

Address & Post Code

Executor/Next of Kin

Address & Post Code

Name

Name

payment of a Countersignature		,												Inde	mn	ity fo	orm	by	
If obtaining your own countersi	gnature	e, ple	ease	com	nplet	te be	elow.												
Name of bank/insurance comp	any																		_
DATE D D M M Y Y																			
Capacity of Signatory		Aut	thoris	sed :	Sign	atory	y: W	e joir	n in 1	the a	above	ind	emnity						
To be officially countersigned of the Association of British In																	mer	mbe	r
The stamp of the bank or insuon behalf of the countersignate		com	pany	/ will	l war	rant	that	the	sign	ator	/ is au	utho	rised to s	ign	this	doc	um	ent	
Step 4 Please give the details	of the E	Exec	cutor((s)/N	Vext	of K	in of	the	dece	ease	d (see	e no	ote 2)						
All equal claiming Executor(s)/daughter of the deceased, all c																		or	
Executor/Next of Kin details																			
1st Executor/Next of Kin Name													Date of oirth						
1st Executor/Next of Kin Address & Post Code																			
2 nd Executor/Next of Kin													Date of						

Equiniti Limited and Equiniti Financial Services Limited are part of the Equiniti Group. Registered offices are Aspect House, Spencer Road, Lancing, West Sussex BN99 6DA. Company share registration, employee scheme and pension administration services are provided through Equiniti Limited, which is registered in England & Wales with No. 6226088. Investment and general insurance services are provided through Equiniti Financial Services Limited, which is registered in England & Wales with No. 6208699 and is authorised and regulated by the UK Financial Conduct Authority no 468631.

Date of

Date of

birth

birth



Step 5 Transferring or selling the sha	res							
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)								
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)								
give their names below. The first nam first named holder and we will use the	the names of some of the Executor(s), ed Executor/Next of Kin must be included address for future correspondence. The named as Executor(s) or Next of Kin	led in this list, as they will become the This form can only be used to transfer						
Names of the person(s) that the sh	ares 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. Any instruction to pay to a nominated account will NOT override any instruction to reinvest cash dividend(s) into a Dividend Investment Plan or Scrip Dividend Scheme for an existing shareholding. Cheque payments for dividends paid on shares are not available for some companies.								
	uilding Society Account - Recomme	nded						
Sort Code	Account Number							
Building society reference or roll numb	per (maximum 18 characters) - if applica	able						
	d forms should be returned with an ded: a) full name of the account holder							
Step 7 Please complete this section i	f the shares are held in an electronic fo	rmat, otherwise, proceed to Step 9						
	any, shareholders have the option to ho an electronic format, known as a Corpo							
To find out which Companies operate a CSN and if you are eligible, please visit www.shareview.co.uk/info/CSN for more information.								
Please indicate how you would like to	hold the shares by placing a cross in t	he relevant box below.						
Continue to hold electronic sha	ares or move into the Corporate Spo	nsored Nominee.						
I/We hereby request Equiniti Financial Services Limited to transfer within the Corporate Nominee Register 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 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).								
Move out of the Corporate Spo	nsored Nominee service and hold co	ertificated 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 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 a CSN, 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 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 or telephone us on +44 0371 384 2793. 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 - Recommended

Sort Code

Account Number

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

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.

Please make payment by BACS using the details provided above

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

Please give the name of the preferred payee here:

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

If no choice is made, or if more than one box is crossed, cheques will be made payable to the person(s) completing this form.

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: www.shareview.co.uk/clients/paymentreissue



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.

1. **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

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. This needs 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 and/or payment receipt 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								
		D D	1	M	M	1	Υ	Υ	Υ	Y
		D D	1	M	M	1	Υ	Υ	Υ	Y
		D D	1	M	M	1	Υ	Υ	Υ	Y
		D D	1	M	M	1	Υ	Υ	Υ	Y
Step 12 Return address and checklis	st									
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 ori	ginal death certificate will be returned	via stand	lard	pos	st).					
Any unpaid cheques or original s	hare certificate(s) relating to the holding	g.								
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 www.shareview.co.uk

Or you can call us on +44 (0) 371 384 2030, 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.



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 more than one Executor is 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.





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.**

The deceased shareholder (as listed	on the Small Es	state Declaration and Indemnity form)					
Title and full name (no initials)		Last residing address and any previous known addresses					
Date of birth							
DD / MM / YYYY		*If more space is needed, an accompanying letter is acceptable					
Country details							
Please state the person's nationality. in the order they appear in the further		han one nationality, you must list the countries (up to three) e overleaf.					
Country	Country	Country					
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 Id	lentifier should y	ou provide the Secondary Identifier.					
National Client		I do not hold any National Client x					
National Client Identifier type							
If you have provided a National Client	Identifier, please	e tell us if it is the Primary or Secondary Identifier.					
Primary Identifier X OR Second	dary Identifier x						
First Next of Kin/Executor (as listed	on the Small Est	ate Declaration and Indemnity form)					
Full name (no initials)	Country 1	National Client Identifier					
	Country 2	Primary X Secondary X					
		I do not hold any National Client					
Date of birth	Country 3	Legal Entity Identifier (if a corporate body)					
$\begin{array}{ c c c c c c c c c c c c c c c c c c c$							
Address							



Second Next of Kin/Executor (if applicable)										
Full name (no initials)	Country 1	National Client Identifier								
	Country 2	Primary Secondary X								
Date of birth	Country 3	I do not hold any National Client Legal Entity Identifier (if a corporate body)								
DDIMMIYYYY										
Address										
Third Next of Kin/Executor (if applical	ble)									
Full name (no initials)	Country 1	National Client Identifier								
	Country 2	Primary Secondary								
		I do not hold on. Notional Client								
Date of birth	Country 3	I do not hold any National Client Legal Entity Identifier (if a corporate body)								
DDIMMIYYYY										
Address										
Fourth Next of Kin/Executor (if applic	able)									
Full name (no initials)	Country 1	National Client Identifier								
	Country 2	Primary Secondary x								
Date of birth	Country 3	I do not hold any National Client Legal Entity Identifier (if a corporate body)								
DDIMMJIYYYY										
Address										



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 2030 (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 (Numéro de register national – Rijksregisternummer)	-
Bulgaria (BG)	Bulgarian Personal Number	-
Cyprus (CY)	National Passport Number	-
Czech Republic (CZ)	National Identification Number (Rodné číslo)	National Passport Number
Germany (DE)	Write 'N/A'	-
Denmark (DK)	Personal identity code	-
Estonia (EE)	Estonian Personal Identification Code (Isikukood)	-
Spain (ES)	Tax Identification Number (Número de identificación fiscal)	-
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 (OIB – Osobni identifikacijski broj)	-
Hungary (HU)	Write 'N/A'	-
Ireland (IE)	Write 'N/A'	-
Iceland (IS)	Personal Identity Code (Kennitala)	-
Italy (IT)	Fiscal Code (Codice Fiscale)	-
Liechtenstein (LI)	National Passport Number	National Identity Card Number
Lithuania (LT)	Personal Code (Asmens Kodas)	National Passport Number
Luxembourg (LU)	Write 'N/A'	-
Latvia (LV)	Personal Code (Personas Kods)	-
Malta (MT)	National Identification Number	National Passport Number
Netherlands (NL)	National Passport Number	National Identity Card Number
Norway (NO)	Personal ID (Foedselsnummer)	-
Poland (PL)	National Identification Number (PESEL)	Tax Number (Number Identyfikacji podatkowej)

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

Send the completed form to Equiniti Financial Services Limited

- Any incomplete or incorrect forms will be returned without the instruction being processed.
 Cheque payments for dividends paid on shares held in the Nominee Service are not available for some
- companies. Please check the Nominee Service Terms and Conditions. If valid bank account details
 haven't been provided on Step 7 then the cash distributions due to you may be retained and you may
 be charged a fee for their release.
- Completed forms (including any appendices as required) must be sent to the address below.

Contacting Equiniti Financial Services Limited

ONLINE <u>www.shareview.co.uk/info/csn</u>

PHONE

+44 (0) 371 384 2030 (please use the country code when calling from outside the UK) Lines open 8.30am to 5.30pm (UK time), Monday to Friday (excluding public holidays in England and Wales)

POST Corporate Sponsored Nominee Team, Equiniti, Aspect House, Spencer Road, Lancing, West Sussex, BN99 6DA United Kingdom

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