

Small Estates & Indemnity Instruction Form

Share Dealing

Please complete this form for account valuations up to £50,000.00

1. Details of the customer who has died

Share Dealing Account

Full Name of Deceased

Nationality(ies) of Deceased

National Insurance Number of Deceased: (If nationality = GB only)

2. Details of the Executor/Next of Kin

Full name

Date of birth

Address

Telephone

Nationality(ies)

3. Your Instructions

Where stock is held in the account, please provide your instruction in this section. For further information about each option please see the Bereavement Guide.

3.1 Sell the shares as detailed below 'At Best' (This means we will obtain the best price available at the time the deal is executed).

Stock(s) name	Number of Shares
Please state "ALL" if you want to sell all the shares held	
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

3.2 Transfer all stock and cash to the following Share Dealing Account:

All **stock** and **cash** will be transferred unless additional instructions are provided in Section 5. If you don't already have an account please open one prior to sending this form.

Account number

Full Name of Account Holder

3.2.1 Additional Permitted Subscription – Only Applicable where ISA is to be transferred to surviving spouse.

If you wish to transfer the Stocks and Shares ISA using the Additional ISA Subscription please tick.

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Please complete and return APS Forms in addition to this instruction form.

If you don't have an ISA already, please open prior to sending these forms.

3. Your Instructions (continued)

3.2.1 Additional Permitted Subscription – Only Applicable where ISA is to be transferred to surviving spouse.

If you wish to transfer the Stocks and Shares ISA using the Additional ISA Subscription please tick.

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Please complete and return APS Forms in addition to this instruction form.

If you don't have an ISA already, please open prior to sending these forms.

3.2 Withdraw the stock onto share certificates registered to the following Executor/Beneficiary

Please note there is a charge for each certificate. You can find all the details of our charges in our letter.

Full name

Nationality(ies)

National Insurance Number (if nationality = GB)

Address

Postcode

4. Cash Withdrawal Instructions

Details of the person or firm receiving the funds (To be completed in all cases)

UK Bank

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Name of Account Holder

Sort Code

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Account number

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By Cheque

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Name of payee

In certain circumstances, we will need to verify bank details provided to help us make sure your payment goes to the right place. In these instances where we are unable to fully match the account details provided we will default to a cheque payment.

Where the payment is going to someone other than the Executor/Next of Kin named in Section 2 please provide their full name, DOB and address in Section 5 to allow us to verify the bank details.

5. Additional Instructions/Information

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6. Small Estates & Indemnity Declaration (Executor/Next of Kin must sign)

I declare that I am the Next of Kin, there has been no Will or the Executor of the latest Will of the deceased.

I undertake to indemnify you against all demands, claims, losses, liabilities, costs and expenses you may incur by registering me as holder of the above shares and acting on my instructions.

I make this solemn declaration conscientiously believing the same to be true by virtue of the statutory declarations and I authorise Scottish Widows Share Dealing to carry out the instructions selected above.

Signature

Date

7. How we process your personal information

Who looks after your personal information

Your personal information will be held by Halifax Share Dealing Limited which trades as Scottish Widows Share Dealing, part of the Lloyds Banking Group. More information on the Group can be found at [lloydsbankinggroup.com](https://www.lloydsbankinggroup.com)

How we use your personal information

We will use your personal information:

- to provide products and services, manage your relationship with us and comply with any laws or regulations we are subject to (for example the laws that prevent financial crime or the regulatory requirements governing the products we offer).
- for other purposes including improving our services, exercising our rights in relation to agreements and contracts and identifying products and services that may be of interest.

To support us with the above we analyse information we know about you and how you use our products and services, including some automated decision making. You can find out more about how we do this, and in what circumstances you can ask us to stop, in our full privacy notice.

Who we share your personal information with

Your personal information will be shared within Lloyds Banking Group and other companies that provide services to you or us, so that we and any other companies in the Group can look after your relationship with us. By sharing this information it enables us to run accounts and policies, and provide products and services efficiently. This processing may include activities which take place outside of the European Economic Area. If this is the case we will ensure appropriate safeguards are in place to protect your personal information. You can find out more about how we share your information with credit reference and fraud agencies below and can access more information about how else we share your personal information in our full privacy notice.

Where we collect your personal information from

We will collect personal information about you from a number of sources including:

- information given to us on application forms, when you talk to us in branch, over the phone or through the device you use and when new services are requested.
- from analysis of how you operate our products and services, including the frequency, nature, location, origin and recipients of any payments.
- from, or through, other organisations (for example card associations, credit reference agencies, insurance companies, retailers, comparison websites, social media and fraud prevention agencies).
- in certain circumstances we may also use information about health or criminal convictions but we will only do this where allowed by law or if you give us your consent.

You can find out more about these rights and how you can exercise them in our full privacy notice.

Do you have to give us your personal information

We may be required by law, or as a consequence of any contractual relationship we have, to collect certain personal information. If you fail to provide this information to us it may prevent or delay us fulfilling these obligations or performing services which may prevent us operating accounts or policies.

What rights you have over your personal information

The law gives you a number of rights in relation to your personal information including:

- the right to access the personal information we have about you. This includes information from application forms, statements, correspondence and call recordings.
- the right to get us to correct personal information that is wrong or incomplete.
- in certain circumstances, the right to ask us to stop using or delete your personal information.

7. How we process your personal information (continued)

- from 25 May 2018 you will have the right to receive any personal information we have collected from you in an easily re-usable format when it's processed on certain grounds, such as consent or for contractual reasons. You can also ask us to pass this information on to another organisation.

You can find out more about these rights and how you can exercise them in our full privacy notice.

Other individuals you have financial links with

We may also collect personal information about other individuals who you have a financial link with. This may include people who you have joint accounts or policies with such as your partner/spouse, dependents, beneficiaries or people you have commercial links to, for example other directors or officers of your company.

We will collect this information to assess any applications, provide the services requested and to carry out credit reference and fraud prevention checks. You can find out more about how we process personal information about individuals with whom you have a financial link in our full privacy notice.

How we use credit reference agencies

In order to process your application we may supply your personal information to credit reference agencies (CRAs) including how you use our products and services and they will give us information about you, such as about your financial history. We do this to assess creditworthiness and product suitability, check your identity, manage your account, trace and recover debts and prevent criminal activity.

We may also continue to exchange information about you with CRAs on an ongoing basis, including about your settled accounts and any debts not fully repaid on time, information on funds going into the account, the balance on the account and, if you borrow, details of your repayments or whether you repay in full and on time. CRAs will share your information with other organisations, for example other organisations you ask to provide you with products and services. Your data will also be linked to the data of any joint applicants or other financial associates as explained above.

You can find out more about the identities of the CRAs, and the ways in which they use and share personal information, in our full privacy notice.

How we use fraud prevention agencies

The personal information we have collected from you and anyone you have a financial link with may be shared with fraud prevention agencies who will use it to prevent fraud and money laundering and to verify your identity. If fraud is detected, you could be refused certain services, finance or employment. Further details of how your information will be used by us and these fraud prevention agencies, and your data protection rights, can be found in our full privacy notice.

Our full privacy notice

It is important that you understand how the personal information you give us will be used. Therefore, we strongly advise that you read our Full Privacy Notice, which you can find at scottishwidows.co.uk/assets/literature/docs/data-privacy-notice.pdf or you can ask us for a copy.

How you can contact us

If you have any questions or require more information about how we use your personal information please contact us on **0345 720 3040**.

If you feel we have not answered your question Lloyds Banking Group has a Group Data Privacy Officer, who you can contact on **0345 602 1997** and tell us you want to speak to our Data Privacy Officer.

Version Control

Last updated September 2023.