

# Executor Authority Form – Small Estates Declaration & Indemnity

## 1. Details of the customer who has died

Share Dealing Account Code

Full Name of Deceased

Nationality(ies) of Deceased

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

## 2. Details of the Primary Executor

If more than one executor is named in the will or Grant of Representation, we require you to nominate a single executor to deal with the share dealing account(s).

Full name:

DOB:

Address:

Telephone:

Postcode:



## 3. Your Instructions

1. Sell the shares as detailed below "at best":

Stock(s) name	Number of Shares
Please state "ALL" if you want to sell all the shares held	

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

Full Name of Account Holder

2.1 I wish to transfer stock and/or cash as an Additional Permitted Subscription (APS).

Please provide an instruction for any residual stock/cash remaining after APS in the additional information/instructions section. Please return the APS forms along with this authority form.

3. Transfer all stock and cash to the following account. Please supply a letter from your broker initiating this transfer

Broker name:

Account Code/Name:

4. Withdraw the stock as share certificates registered to the executor/administrator at the following name and address:

Full Name	Address

Please note that charges will apply to some of the above instructions. Further information in accompanying letter.

## 4. Cash Withdrawal Instructions

Withdraw the sale proceeds/full cash balance held in the above account to the executor (named in Section 2) and issue a cheque made payable to:

### Additional Information/Instructions:

## Declaration - Please sign Section 5 or 6

### 5. Small Estates & Indemnity Declaration (Primary Executor must sign)

I declare that I am \_\_\_\_\_ (\* delete as appropriate)

(a) \* the next of kin of the deceased, there being no will

(b) \* executor(s) of the latest will of the deceased

I confirm the following:-

- ▶ No inheritance tax is payable on the total value of the deceased's estate in the United Kingdom.
- ▶ The total value of any shares held in a Bank of Scotland Share Dealing Account or Share Dealing ISA did not exceed £50,000 (£36,000 in Scotland);
- ▶ I do not intend to apply for a Grant of Representation/Confirmation and one has not been obtained.

I undertake to indemnify you against all demands, claims, liabilities, losses, costs and expenses you may incur by registering me as holder of the above shares and acting on my instructions and undertake to produce a Grant of Representation/Confirmation if required in the future.

If the total value of the Share Dealing Account(s) is more than £5,000.00 this document must be signed and sworn in the presence of a Solicitor/Commissioner of Oaths/Justice of the Peace/Notary Public (Scotland).

I make this solemn declaration conscientiously believing the same to be true by virtue of the Statutory Declarations and I authorise Bank of Scotland Share Dealing to carry out the instructions selected above.

**Executor's Signature:**

**Declared at (stamp or name and address of person witnessing the form i.e. solicitor)**

**Before me:**

**Date:**

### 6. Named Executor(s) on the Grant of Representation (Primary Executor must sign)

This section is to be completed and signed by one executor or administrator named on the Grant of Representation (i.e. Grant of Probate, Letters of Administration or Certificate of Confirmation). We will only be able to act on your instructions if we have had sight of an original or certified copy. If Grant of Representation is not being applied for, and the value of the holdings as at date of death is less than £50,000 (£36,000 in Scotland), then complete Section 5.

I authorise Bank of Scotland Share Dealing to carry out the instructions selected above

**Executor's Signature:**

## 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 Bank of Scotland Share Dealing, part of the Lloyds Banking Group. More information on the Group can be found at [lloydsbankinggroup.com](http://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 more information about where we collect personal information about you 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.
- ▶ 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 [bankofscotland.co.uk/sharedealing/important-information/](http://bankofscotland.co.uk/sharedealing/important-information/) 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 606 11 88**.

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

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