

Small Estate Declaration and Indemnity

Name of deceased investor: _____

Investor account number: _____

1. Next of Kin/Executor(s) Declaration

To: Aegon Asset Management UK Plc ("AAM UK")

I/We do solemnly and sincerely declare that:

- I am/We are the Next of Kin or Executor(s) of the deceased investor as shown in the Last Will and Testament or foreign Grant of Representation and I am/We are entitled to administer the estate of the deceased investor;
- 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 investor;
- No Inheritance Tax is payable on the estate of the deceased investor; and
- The value of the holding in the deceased investor's sole name at the date of death, which comprise of shares and/or outstanding payments, does not exceed £15,000.00.

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

I/We (jointly and severally) agree to indemnify and hold harmless AAM UK and its appointed agents against all actions, proceedings, claims and demands, costs, charges and expenses, loss and damage which may be brought or made against AAM UK and/or its appointed agents or which may be incurred or sustained by AAM UK or its appointed agents as a result of AAM or its appointed agents acting on my/our above instructions and request.

I/We further undertake to obtain and provide as soon as possible a Grant of Probate or Letter of Administration or Confirmation if required at any time in the future.

2. Details

Please note all equal claiming next of kin/executors must sign below.

Sole or first named Next of Kin/Executor

Title and full name of first named Next of Kin/Executor _____

Full postal address _____

Nationality _____

Date of Birth _____ / _____ / _____

Relationship to deceased

Next of Kin ☐

Executor ☐

If Next of Kin:

Relationship to the deceased _____

Signature _____

Other named Next of Kin/Executor(s) (if applicable)

Title and full name of first named Next of Kin/Executor

Full postal address

Nationality

Date of Birth

Relationship to
deceased

Next of Kin

☐

Executor

☐

If Next of Kin:
Relationship to the
deceased

Signature

Title and full name of first named Next of Kin/Executor

Full postal address

Nationality

Date of Birth

Relationship to
deceased

Next of Kin

☐

Executor

☐

If Next of Kin:
Relationship to the
deceased

Signature

Title and full name of first named Next of Kin/Executor

Full postal address

Nationality

Date of Birth

Relationship to
deceased

Next of Kin

☐

Executor

☐

If Next of Kin:
Relationship to the
deceased

Signature

Checklist

Please return this form to Aegon Asset Management UK Plc with all of the following documents:

Mandatory Documents:

- Certified copy Death Certificate (if not already provided)
- Certified copy Last Will & Testament or Foreign Grant of Representation (where applicable)
- Anti Money Laundering documentation for all Personal Representatives (please see enclosed list of acceptable documents)

And either one of the following:

1. Signed Stock Transfer Form, Application form* & AML documentation for all transferees (if transferring ownership);

*Application form only necessary if seeking non-digital service, otherwise, please refer to the Bereavement Guide (which is available for download at www.aegonam.com/client-portal-individual) for instructions, regarding how to complete the online application process

or

2. Signed Redemption instruction, including one item of evidence from the list below, in relation to the bank account to which proceeds should be released (please note: payment by cheque is not an option), which should either be held in the name of one of the executors, or in the name of "Executors of (the deceased)":
 - Pre-printed paying in slip
 - Bank statement (dated within last 3 months)
 - Void cheque

Anti Money Laundering documentation

Important: Individual acceptable documents list

Documents we accept as Evidence of Identity (only one item is required) See Note 1

- Valid Passport
- Valid Photo Card Driving License - Full or Provisional **See note 2**
- Valid National Identity Card (Non-UK Residents)
- Social welfare/revenue card or any identity document with photographic identity issued by a government department

Documents we accept as Evidence of Residential Address (only one item is required) See Notes 3, 4 & 5

Note: The same document cannot be used for both identity and address evidence

- Bank Account, Credit Card Statement or Investment Statement issued by a regulated financial sector firm in the UK, EU or an equivalent jurisdiction
- Utility Bill dated within previous 3 months
- Household/motor insurance certificate and renewal notices dated within previous 12 months
- Pay slip or salary advice dated within the previous 3 months
- Valid Photo Card Driving license – Full or Provisional **See Note 2** (provided it has not also been used to satisfy the photographic identity requirement above)
- Correspondence from local authorities
- Correspondence from the revenue commissioners or equivalent
- Correspondence from any government body
- Confirmation of address from a lawyer or financial institution

Notes:

1. The photograph on the proof of identity should be visible.
2. If the driving license is UK registered, please ensure the photo card is still valid by referring to the expiry date, under Section 4b on the license.
3. The documentation evidencing your address must state your full name or all initials (if applicable).
4. All documentation must reflect the current residential address and must be dated within the previous 3 months other than in the case of an official document known to be issued only or typically at fixed intervals of more than 3 months, in which case such document may be accepted during that period, to a maximum of 12 months (e.g. council tax, correspondence from local authorities).
5. In the case of an individual investor residing in a care home, then written confirmation signed by the care home manager confirming that the individual resides there will be deemed sufficient.
6. Documents submitted that are not in English must be translated and certified by an appropriately qualified person.

Aegon Asset Management UK plc (Company No. SC113505) is registered in Scotland at 3 Lochside Crescent, Edinburgh EH12 9SA and is authorised and regulated by the Financial Conduct Authority. It is the authorised corporate director of Aegon Asset Management UK ICVC ("AAMUK ICVC"), registered in Scotland, registered no. SC1000009 at 3 Lochside Crescent, Edinburgh EH12 9SA), Aegon Asset Management UK Investment Portfolios ICVC ("AAMUKIP ICVC"), registered in England, registered no. IC000988 at The Leadenhall Building, 122 Leadenhall Street, London, EC3V 4AB), and authorised fund manager for Aegon Asset Management UK Unit Trust, an authorised unit trust. AAMUK ICVC and AAMUKIP ICVC are investment companies with variable capital.