

REGISTRATION FORM: EXECUTION-ONLY ESTATE SALES or TRANSFERS

IDENTITY REQUIREMENTS

Under FCA rules and to enable us to comply with the relevant Money Laundering Regulations, we require proof of identity and proof of residential address, **one from each of the following lists**, for all of the named persons to this agreement, as well as for any agents who may give us instructions on their behalf. Postal and email applications should be accompanied by two proofs of identity and one proof of address. We may also undertake supplementary electronic identification checks.

Proof of identity

- Current passport
- Current UK driving licence
- DWP benefit/pension statement
- HMRC tax notification
- Court sealed Grant of Probate

Proof of address

- Proof of identity document with address (If not already used as a proof of identity)
- Recent utility bill (not mobile telephone)
- Recent Council Tax bill
- Recent bank or mortgage statement

Additional documentary requirements (as applicable)

Death Certificate

Letters of administration

Grant of Probate

Important information –

- This form should only be used for the disposal of certificated holdings or shares held in a Registrar's corporate nominee on an execution-only basis.
- Farley & Thompson will not provide any advice or assess your financial circumstances or the merits or suitability of any transaction.
- This application is valid for the disposal of the holdings listed in section 3 of this form. Certified stocks will be dematerialised prior to sale.
- Following settlement this account will be closed. Future trades would require a new form to be completed along with renewed proof of identity and address.

ALL SECTIONS OF THIS FORM MUST BE COMPLETED

Section 1: Personal details

Name of deceased estate	Exors of													
National Insurance Number														
Nationality/Dual Nationality														
Date of Birth			-			-	Date of Death			-			-	
Is this Estate being dealt with formally by a solicitor?	Yes		No		If Yes, Solicitor firm details:									
Solicitor firm name														
Primary contact name														
Address and postcode														
LEI (Legal Entity Identifier)														

Section 2: Executor details

	Executor 1			Executor 2		
Surname	Title			Title		
Forename(s)						
Address and postcode						
Telephone	Home			Home		
	Mobile			Mobile		
Email address						
Date of Birth						
National Insurance Number						
Nationality/Dual Nationality						

Section 3: Assets to be sold *(For transfer of ownership the relevant service form will need to be completed)*

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Section 4: Payment details

Name of bank											
Address and postcode											
Sort code			-			-		Account number			
Account name											

CLIENT DECLARATION

I/We acknowledge this is an execution-only trade and if named, the firm of solicitors in section 1 is authorised to act on my/our behalf. I/We understand that Farley & Thompson will not provide any advice or assess my/our financial circumstances or the merits or suitability of any transaction. I/We acknowledge that Farley & Thompson will close this account following settlement.

Signed:		Print Name:		Date:	
Capacity of signatory:					
Signed:		Print Name:		Date:	
Capacity of signatory:					

FOR INTERNAL USE ONLY								
Partner:	App	<input type="checkbox"/>	ID	<input type="checkbox"/>	T&C's	<input type="checkbox"/>	Segregated	<input type="checkbox"/>
Entered by:	Date:		Bank A/C & Diary	<input type="checkbox"/>	Iress	<input type="checkbox"/>		
Checked by:	Date:		Valuation & Fees	/	ACT!	<input type="checkbox"/>		

Registered address: Pine Grange, Bath Road, Bournemouth BH1 2NU