



ARIA | CAPITAL

STRICTLY PRIVATE & CONFIDENTIAL

**PROBATE VALUATION AND
ESTATE ACCOUNT APPLICATION FORM**

*Aria Capital Limited is regulated by the Central Bank of Ireland
(Regulated Business only)*

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For Office Use Only

<i>Estate name:</i>	<i>Account type:</i> A <input type="checkbox"/> D <input type="checkbox"/> E <input type="checkbox"/> Other _____ <input type="checkbox"/>
<i>Client reference:</i>	
<i>Portfolio manager:</i>	

**INSTRUCTIONS**

If you require a **Valuation of Securities only**, please complete **Sections 1 and 2 only** and provide the following documentation:

- 1) If you are a solicitor, a copy of your letter of appointment/instruction from the executor(s)
- 2) Copy of Will
- 3) Copy of Death Certificate
- 4) Copies of any available share certificates

If you require any of the following **Estate Administration services**, either separately or in addition to a Valuation of Securities, please complete **all sections** and provide the following documentation:

- 1) If you are a solicitor, a copy of your letter of appointment/instruction from the executor(s)
- 2) Copy of Will
- 3) Copy of Death Certificate
- 4) Anti-money laundering documentation detailed in Section 3
- 5) Certified copy of Grant of Probate
- 6) Any available **original** share certificates (including any scrip dividends) ¹
- 7) Any unclaimed or uncashed dividend cheques
- 8) CREST/Stock Power transfer forms signed by Executors – one form per shareholding ²
- 9) W8BEN-E forms signed by Executors – one form per US shareholding ²

¹ If you are sending original share certificates, we recommend that they are sent by registered post or courier.

² These forms can be downloaded from www.aria-capital.ie/usefulforms.

CHARGES

Aria Probate Valuation and Estate Administration Services (“the Services”) are subject to the following charges.

Probate valuation	0.15% of the valuation + VAT (<i>Minimum fee €75 + VAT</i>)
Research fees	€50 + VAT per hour
Noting of death & transfer of certificated shareholding	€100 + VAT per line of stock
3 party fees (e.g. registrar charges)	Variable and dependent on relevant 3 rd party charging schedule
Transaction charges	Detailed on our <i>Schedule of Charges for Probate & Estate accounts</i>



SECTION 1: SERVICES

To: ARIA CAPITAL

Date: / /

We require the services indicated below in relation to the following estate:

Name of Deceased

Date of Death

Address of Deceased

(and any known variations thereof)

Solicitor's contact details

(Name, address, telephone, email)

In relation to the securities detailed on the *Schedule of Securities* in Section 2 we require the following Services:

Valuation (Complete Sections 1 and 2)

Tick all required Services

- A valuation as at the Date of Death;

Estate administration (Complete all sections)

- If not already notified, notification of the deceased's death to the Registrar;
- Re-issuance of any uncashed dividend cheques;
- Replacement of any incomplete or lost certificates;
- Disposal of any securities for which "Disposal required" is ticked.

Please sign below to confirm this instruction and to acknowledge that you are aware of Aria Capital's charges for *Probate Valuation and Estate Administration Services* and consent to these charges and that you have received and accept Aria Capital's Terms of Business ("Terms"). **This section may be signed by either the executor(s) or a duly authorised solicitor.**

SIGNATURE

NAME (PRINTED)

CAPACITY (SOLICITOR / EXECUTOR)



SECTION 2: SCHEDULE OF SECURITIES

	Name of security	Number of shares/units	Tick <u>one or more</u> of these three boxes for each row			Tick <u>only one</u> of these boxes for each row	
			Copy/Original cert attached	Held electronically	Cert lost	Disposal required	Re-register only
All							
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
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17							
18							
19							
20							

**IMPORTANT NOTICE**

The remaining sections of this application constitute an application to open an Estate Account with Aria Capital. It is important that you complete all sections of the application carefully. If you require any assistance, please contact Aria Capital at estateservices@aria-capital.ie or (01) 6854 100.

Aria Capital Ltd. ("Aria Capital") is authorised as a Multi-Agency Intermediary and Deposit Broker by the Central Bank of Ireland ("Central Bank") under Section 10 of the Investment Intermediaries Act, 1995 (as amended) and as an Insurance Intermediary under the European Communities (Insurance Mediation) Regulations, 2005 (as amended). Conexim Advisors Ltd. ("Conexim") is regulated by the Central Bank of Ireland under Regulation 11(1) of the European Communities (Markets in Financial Instruments) Regulations 2007, and as an insurance intermediary under the European Communities (Insurance Mediation) Regulations, 2005 (as amended).

SECTION 3: IDENTITY DOCUMENTATION

In order to comply with Anti-Money Laundering regulations, we are required to verify the name and address of each executor required to operate the account. Please provide the documentation as outlined below.

FOR EACH EXECUTOR REQUIRED TO OPERATE THE ACCOUNT

1. An original or a certified copy* of current valid passport or full Irish driver's licence.
2. Any two of the following forms of proof of address. All documents must be originals or certified copies* and must be less than 3 months old.
 - Utility bill (gas, electricity, local authority bill, landline telephone bill, etc). Mobile phone bills cannot be accepted.
 - Bank statement, Credit Union statement or credit card bill.
 - Current balancing statement from Revenue Commissioners
 - Social insurance documents
 - Current household/motor insurance certificate.
 - Notification of Determination of Tax Credits or Tax Clearance Certificate

FOR THE FIRM OF SOLICITORS ACTING ON BEHALF OF THE ESTATE

Certified copies* of the following:

- Partnership Agreement
- Details of the General Partners and Limited Partners
- Most recent audited accounts of the Partnership/General Partner (if a corporate)
- 2x Proof of Registered Address (and Mailing address if different) - e.g. Utility Bill or Bank statement

NAME VERIFICATION FOR 2 X PARTNERS / ALL AUTHORISED SIGNATORIES ON THIS ACCOUNT

An original or a certified copy* of current valid passport or full Irish driver's licence.

ADDRESS VERIFICATION FOR 2 X PARTNERS / ALL AUTHORISED SIGNATORIES ON THIS ACCOUNT

Any two of the following forms of proof of address. All documents must be originals or certified copies* and must be less than 3 months old.

- Utility bill (gas, electricity, local authority bill, landline telephone bill, etc). Mobile phone bills cannot be accepted.
- Bank statement, Credit Union statement or credit card bill.
- Current balancing statement from Revenue Commissioners
- Social insurance documents
- Current household/motor insurance certificate.
- Notification of Determination of Tax Credits or Tax Clearance Certificate

AUTHORISATION AND SIGNATURE MANDATE

A mandate of the Partnership, signed by a minimum of two Partners, as well as any individuals nominated to act on behalf of the Partnership, authorising Aria Capital and Conexim to set up the account and to accept instructions.

* A certified copy is one that has been signed and stamped as 'a true copy of the original' by a solicitor, commissioner for Oaths, Garda, chartered accountant, bank official or a regulated entity, or another designated person as understood under The Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 (as amended).



SECTION 4: SERVICE LEVEL

This is an Execution Only account. Instructions require the following authorisation (*Please tick one box*):

- One Executor
- Two Executors
- Solicitor listed in Section 5 of this application
- Special instructions detailed below

Special instructions

SECTION 5: ESTATE DETAILS

Name of Estate
Correspondence Address

Executor Name(s)
Executor E-mail address(es)
Executor Telephone(s)

SECTION 6: ESTATE BANK ACCOUNT DETAILS

Monies may only be transferred from the Estate’s portfolio to the bank account detailed below. Any amendment to these details must be notified to us in writing. Please note that we cannot transfer monies from the portfolio to a 3rd party account.

Bank/Building Society

Branch name and address

Account name
Account number
Bank Sort Code
SWIFT/BIC
IBAN number

**SECTION 7: CONSENT AND DECLARATION**

- 7.1 Declaration
I/We declare that the information provided by us in the Application Form and in this Declaration is correct and I/we undertake to inform Aria Capital without delay and in writing should any of the information change.
- 7.2 Receipt and understanding of Terms
I/We have received and read the Terms of Business (“Terms”) governing this application. I/We understand that Aria Capital, Conexim, Pershing Securities International Ltd (“PSIL”) and Pershing Securities Ltd (“PSL”) and I/us are bound by the Terms if my application is completed. I/We further note that the Terms may subsequently change as set out in the Terms.
- 7.3 Confirmation of Capacity of Investment
I/We confirm that I/we understand that where I/we have received investment advice from Aria Capital and/or I/we am/are acting in an execution-only capacity in relation to this account I/we are not requesting Conexim to provide an assessment of suitability or appropriateness in relation to investments on this account. I/We acknowledge that it is my/our responsibility to notify Aria Capital of any matters that may affect the assessment of the risk profile, and that there have been no such changes other than as noted on this application form.
- 7.4 Receipt of and Consent to Order Execution Policy
I/We have received information regarding both Conexim and PSL’s Order Execution Policy, and by signing this document I/we consent to having the orders executed as set out in those policies.
- 7.5 Express Consent to Execution of an Order outside of a Regulated Market or MTF
Where I/we have requested Aria Capital or Conexim to transmit an order for execution in an instrument admitted to trading on a Regulated market (“RM”) or Multilateral Trading Facility (“MTF”), then I/we acknowledge that PSL may execute such order outside an RM or MTF in accordance with PSL’s Execution Policy and I/we hereby give my/our consent for such execution.
- 7.6 Receipt and understanding of Summary Conflicts of Interest Policy
I/We have received and understand the summary Conflicts of Interest Policies from Aria Capital, Conexim and PSIL.
- 7.7 Fees, Commissions and Charges
I/We have received details of the fees, commissions and charges in relation to the account to be set up based on this application and I/we have agreed to these. In doing so I/we confirm that Conexim has explicit permission to deduct such amounts from the account(s) to satisfy any indebtedness to Aria Capital, Conexim or PSIL.
- 7.8 Taxation
I/We acknowledge and confirm I/we understand that there can be no guarantee that the tax treatment or any tax advantage promoted as part of any investment or scheme will remain in existence. I/We acknowledge and confirm that Aria Capital or Conexim will not be responsible for assessing the tax implications of investing in any particular instrument or any recommendations that they may make and that I/we should always take independent professional tax advice before making an investment decision. Aria Capital or Conexim will never act as a promoter or tax adviser in relation to transactions or schemes designed to enable a person to obtain a tax advantage, as defined in the Finance Act 2010. Should I/we knowingly receive a tax advantage from any particular investment or series of investments, I/we hereby confirm and acknowledge that it is I/us, my/our tax advisor, or the promoter of any such scheme who is responsible for disclosing any such tax advantage gained under the mandatory disclosure regime introduced by the Finance Act 2010, or any applicable regime in place at any particular time, and it is not the responsibility of Aria Capital or Conexim to identify or disclose any tax advantage gained from any such transactions.
- 7.9 W-8BEN-E
I/We have received a copy of the W-8BEN-E form and a document designed to assist in its completion. I/We understand that I/we will be unable to trade in US Securities until a correctly completed W-8BEN-E has been provided to Aria Capital and this has been lodged with the appointed withholding agent. I/we understand that it is beneficial for clients who may be selling US securities and possibly receiving income in the form of dividends from US securities to complete this form, as it reduces the tax rate that would ordinarily be charged on such income or sales. This is facilitated by the double taxation agreement in place between Ireland and the United States.
- 7.10 Sale of securities
This form authorises Aria Capital and Conexim to arrange the sale of securities as specified in Section 2: Schedule of Securities. Aria Capital Limited (“Aria Capital”), Pershing Securities International Ltd (“PSIL”) and Conexim Advisors Ltd (“Conexim”) do not charge for transfers into the account. However, the current provider/registrar may charge a fee to cover their administration costs. While the registered owner of the assets will change as a result of the transfer to the PSIL nominee account (“account”), there will be no change in beneficial ownership. Aria Capital and Conexim can only accept dealing instructions (for sales) in these securities when the transfers have been completed and the securities have been re-registered into the account. The time this will take will depend on the processing time of the current provider/registrar. It may not be possible to transfer all securities, for example, suspended or bankrupt securities. In some cases, some of the dividends on the holdings may arrive to the account with the current provider after the transfer has taken place. This occurs when the record date for the dividend payment is before the transfer to PSIL and the payment date is after the transfer date. If any securities held in certificate/paper format are to be transferred into the account we will require the certificates. We will review the certificates and then forward you the relevant forms to enable their transfer to the account at PSIL.





SECTION 8: CONSENT TO TERMS

Before completing and returning this form please ensure that you have read and understood the Terms and the Services you intend to avail of, including reading and understanding the Terms of Business, Risk Disclosure Notice, Summary Conflict of Interest Policy, Order Execution Policy and the Charges shown on Page 1 of this Application Form (including those charges detailed in the Schedule of Charges for Execution Only accounts).

I/We hereby declare that all information supplied on this form and in any accompanying documentation is current and accurate to the best of my/our knowledge and I/we undertake to inform Aria Capital without delay and in writing should any of the information change.

Please sign below to confirm your consent to these Terms and please return the original to us.

SIGNATURE	NAME (PRINTED)	DATE
<i>Executor</i> 		
<i>Executor</i> 		
<i>Solicitor</i> 