

# Bereavement Form



Please answer all questions in CAPITAL LETTERS and tick boxes where appropriate.

Please return completed forms to: Aviva Investors Administration Office, PO Box 10410, Chelmsford, CM99 2AY.

If you require help to complete the form, please refer to our guide entitled **What to do after a bereavement** or contact us on 0800 051 2003. Choose option 1 from the first menu and listen to the further menu options. Choose option 4 from the second menu for our dedicated Bereavement line.

Calls may be recorded for training and monitoring purposes, and to comply with applicable law and regulations. Calls are free from UK landlines and mobiles.

**This form is for use with investments held directly with Aviva Investors only. It is not valid for policies held with other parts of the Aviva group.**

## 1. Details of late customer

Please provide the details of the deceased customer, along with his/her client reference number(s) (in the format 0000xxxxxx, where x represents numbers).

<b>Title</b>	<input type="text" value="Mr / Mrs / Miss / Ms"/>																
<b>Forename(s)</b>	<input type="text"/>																
<b>Surname</b>	<input type="text"/>																
<b>Residential address at time of death</b>	<input type="text"/>																
														Postcode			
<b>Previous address</b>	<input type="text"/>																
														Postcode			
<b>Date of Birth</b>	<input type="text" value="D"/>	<input type="text" value="D"/>	<input type="text" value="M"/>	<input type="text" value="M"/>	<input type="text" value="C"/>	<input type="text" value="C"/>	<input type="text" value="Y"/>	<input type="text" value="Y"/>	<b>Date of Death</b>	<input type="text" value="D"/>	<input type="text" value="D"/>	<input type="text" value="M"/>	<input type="text" value="M"/>	<input type="text" value="C"/>	<input type="text" value="C"/>	<input type="text" value="Y"/>	<input type="text" value="Y"/>
<b>Client reference number(s)</b>	<input type="text"/>																
	<input type="text"/>																

The details provided must match our records. If the deceased had moved prior to their death but we had not been notified – for example, if they had moved into a nursing home but correspondence was still being sent to their family home – please confirm both their final and previous addresses above.

## 2. Action required

Please select the appropriate options below. Some guidance notes are provided below, but more details can be found in our guide **What to do after a bereavement**, including a glossary of terms.

If more than one option is required, please select accordingly. Space is provided overleaf to provide more detail. If you are unsure of which option(s) are appropriate, please seek advice from a financial advisor.

### **In specie transfer of an ISA holding to a surviving spouse or civil partner**

Shares / units held within an ISA may be transferred to the deceased customer's spouse or civil partner as an Additional Permitted Subscription (APS), if the client died after 3 December 2014.

This is known as an in specie transfer. The spouse or civil partner will need to have inherited the investment and complete an APS application form, which can be found on our website along with a guide to APS.

By selecting this option you are consenting to the in specie transfer taking place.

### **Cash transfer of an ISA holding to a surviving spouse or civil partner**

You may surrender the ISA and use the proceeds to invest into an ISA as an APS investment – for example, if the spouse or civil partner wishes to choose a different fund selection than originally held by the deceased.

The spouse or civil partner will need to complete an APS application form, which can be found on our website along with a guide to APS.

By selecting this option you are instructing the ISA to be surrendered for this purpose.

### **Stock transfer the holding to one or more beneficiaries**

Shares / units may be transferred to one or more of the beneficiaries of the estate. A stock transfer form will need to be completed, for each person you are transferring to, unless it is a joint holding, and for each fund and product being transferred, in addition to this form.

A blank stock transfer form, along with a guide to help you complete it, can be found on our website or provided upon request.

Please note that transferring an ISA by means of a stock transfer form will remove the shares / units from the ISA, meaning the recipient will not hold the shares / units in an ISA.

### **Cash transfer the holding into an investment in the name of one or more beneficiaries**

You may surrender the holding and use the proceeds to invest into a current tax year ISA in the name of a beneficiary, or a direct investment in the name(s) of (up to four) beneficiaries. In either case, each beneficiary who will hold the investment must be a UK resident.

An application form will need to be completed by the investors, which can be found on our website or provided upon request.

By selecting this you are instructing the holdings to be surrendered for this purpose. If the value of the holding is greater than the amount to be invested, this transfer will be placed as a partial surrender.

## 2. Action required (continued)

**Sell the (remaining) holding**

You can sell the holding and proceeds can be made payable in the name of either the estate, the personal representative, the executor(s) / administrator(s), or to the solicitors / accountants firm dealing with the estate.

If you have selected for holdings to be transferred above, and provided the necessary forms, only the remaining shares / units will be surrendered after those transactions have been completed.

**We are able to make payment directly into a bank account, but will require bank verification evidence before we are able to do so. More details can be found in our guide – What to do after a bereavement.**

For payment by cheque, please leave the account number and sort code fields blank.

Payee Name

Account Number

Sort Code

If we hold client money for the deceased customer, we will arrange for this to be paid to the above details as well. Client money refers to any uninvested monies we may hold on behalf of the deceased, protected in a non-interest bearing client money account.

If you wish to know if we hold any such monies on behalf of the deceased, please contact us on 0800 051 2003. Choose option 1 from the first menu and listen to the further menu options. Choose option 4 from the second menu for our dedicated Bereavement line.

**Additional comments**

### 3. Privacy Notice

#### Personal Information

We collect and use personal information about you so that we can provide you with your investment. This notice explains the most important aspects of how we use your information but you can get more information about the terms we use and view our full privacy policy at [www.avivainvestors.com](http://www.avivainvestors.com) or request a copy by writing to us at the address stated in the “Contacting us” section below.

The data controller(s) responsible for this personal information is Aviva Investors UK Fund Services Limited.

#### Personal information we collect and how we use it

We will use your personal information:

- To provide you with your investment: we need this to set up and administer your investment,
- To support legitimate interests that we have as a business: we need this to detect and prevent fraud and to help us better understand our customers and improve our customer engagement (this includes marketing),
- To meet any applicable legal or regulatory obligations: we need this to meet compliance requirements with our regulators (e.g. Financial Conduct Authority), to comply with law enforcement and to manage legal claims; and
- To carry out other activities that are in the public interest: for example we may need to use personal information to carry out anti-money laundering checks.

We may also use personal information about other people. This may include individuals who are authorised to act on your behalf, for example, an attorney or (in the case of a corporate investor) individuals who work for or otherwise represent you. If you are providing information about another person we expect you to ensure that they know you are doing so and are content with their information being provided to us. You might find it helpful to show them this privacy notice and if they have any concerns please contact us in one of the ways described below.

The personal information we collect and use will include name, address, date of birth and contact and investment details.

Of course, you don't have to provide us with any personal information, but if you don't we may not be able to set up your investment or process your instructions.

Some of the information we collect as part of this application will be provided to us by third parties and this can include information already held about you within the Aviva Group, information we obtain from publicly available records, our trusted third parties and from industry databases, including fraud prevention agencies and databases.

We do not currently make any decisions based on automatic decision making using your personal information to decide whether we can provide an investment. If in the future we need to make decisions based on automatic decision making, we will inform you about this.

### 3. Privacy Notice (continued)

#### How we share your personal information with others

We may share your personal information:

- With the Aviva Group, our agents and third parties who provide services to us to help us administer our products and services;
- With regulatory bodies and law enforcement bodies, including the police, e.g. if we are required to do so to comply with a relevant legal or regulatory obligation;
- With other organisations including public bodies and the police (either directly or using shared databases) for fraud prevention and detection purposes;

Some of the organisations we share information with directly or indirectly may be located outside of the European Economic Area (“EEA”). We’ll always take steps to ensure that any transfer of information outside of Europe is carefully managed to protect your privacy rights. For more information on this please see our privacy policy or contact us.

#### How long we keep your personal information for

We maintain a retention policy to ensure we only keep personal information for as long as we reasonably need it for the purposes explained in this notice. We need to keep information for the period necessary to administer your investment and deal with any queries on your investment.

We may also need to keep information after our relationship with you has ended, for example to ensure we have an accurate record in the event of any complaints or challenges, carry out relevant fraud checks, or where we are required to do so for legal, regulatory or tax purposes.

#### Your rights

You have various rights in relation to your personal information, including the right to request access to your personal information, correct any mistakes on our records, erase or restrict records where they are no longer required, object to use of personal information where this use is based on our legitimate business interests. For more details in relation to your rights, including how to exercise them, please see our full privacy policy or contact us.

#### Contacting us

If you have any questions about how we use personal information, or if you want to exercise your rights stated above, please contact our Data Protection Officer by writing to them at The Data Privacy Office, Aviva Investors (Floor 6), St Helen’s, 1 Undershaft, London EC3P 3DQ or email [dpoffice@avivainvestors.com](mailto:dpoffice@avivainvestors.com).

If you have a complaint or concern about how we use your personal information, please contact us in the first instance and we will attempt to resolve the issue as soon as possible. You also have the right to lodge a complaint with the Information Commissioner’s Office at any time.

### 3. Privacy Notice (continued)

#### Marketing – How we keep you informed

The Aviva Group and its agents may use personal information we hold about you across the Aviva Group to help us identify and tailor products and services that may be of interest to you and would like to contact you from time to time to provide you with updates and offers for Aviva’s products and services tailored to you by direct marketing by post, phone, email or text. We may continue to do this after your investment has ended.

To tell us if you would prefer not to hear about Aviva products and services please contact us at Aviva, Freepost, Mailing Exclusion Team, Unit 5, Wanlip Road Ind Est, Syston, Leicester, LE7 1PD.

### 4. Prevention of money laundering

In accordance with EU and UK legislation relating to the prevention of money laundering we are obliged to verify the identity and address of all parties to a contract, including personal representatives and executors.

We will verify your identity with a third party identity verification company. In certain circumstances you may be required to provide further evidence of your identity and confirmation of address, in which case Aviva Investors will contact you.

### 5. Signature(s) for holdings where a Grant has been obtained

This section must be completed if an application for a Grant of Probate, Letters of Administration or Letters of Confirmation has been made, regardless of the value of the investments. We require the signatures of **all** named executors / administrators, and must see the original copy of the documents, together with this completed form. **NB for holdings over £50,000 a Grant must be obtained.**

**Do not complete sections 6 or 7 if completing this section.**

#### 1st Executor / Administrator

Full Name	<input type="text"/>									
Current address	<input type="text"/>									
	<input type="text"/>									
Previous address	<input type="text"/>									
	<input type="text"/>									
Date of Birth	<input type="text" value="D"/>	<input type="text" value="D"/>	<input type="text" value="M"/>	<input type="text" value="M"/>	<input type="text" value="C"/>	<input type="text" value="C"/>	<input type="text" value="Y"/>	<input type="text" value="Y"/>	Telephone Number	<input type="text"/>
Signed	<input type="text"/>							Signature Date	<input type="text" value="/"/>	<input type="text" value="/"/>

## 5. Signature(s) for holdings where a Grant has been obtained (continued)

### 2nd Executor / Administrator

Full Name

Current address

Previous address

Date of Birth

D	D	M	M	C	C	Y	Y
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Telephone Number

Signed

Signature Date

### 3rd Executor / Administrator

Full Name

Current address

Previous address

Date of Birth

D	D	M	M	C	C	Y	Y
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Telephone Number

Signed

Signature Date

## 5. Signature(s) for holdings where a Grant has been obtained (continued)

**4th Executor / Administrator**

**Full Name**

**Current address**

**Previous address**

**Date of Birth**  **Telephone Number**

**Signed**  **Signature Date**  /  /

If any executor(s) have changed their name since the Grant was issued, please contact us for details of our requirements to update their name on our records.

If any executor(s) have moved since the Grant was issued, please ensure their old address (as stated on the Grant) and new addresses are provided on the Bereavement form above.

If any executor(s) have passed away since the Grant was issued, please provide their death certificate when sending us the Grant to ensure we do not register their appointment on our records.

Without this, we will need to add them to our systems when recording the Grant. This will generate various correspondence to them, which we appreciate this may cause some distress.



## 6. Declaration and signature for holdings below £50,000

This section is only applicable where an application for a Grant of Probate, Letters of Administration or Letters of Confirmation has not been made.

Where the value of the investment is £25,000 and above, but below £50,000, the declaration must be witnessed by a commissioner for oaths or solicitor, who will need to complete section 7. Where the investment is **below £25,000** you only need to complete this section.

**Do not complete section 5 if completing this section.**

<b>Personal Representative</b>	
<b>Full Name</b>	<input type="text"/>
<b>Current address</b>	<input type="text"/>
	<input type="text"/>
<b>Date of Birth</b>	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="C"/> <input type="text" value="C"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <b>Telephone Number</b> <input type="text"/>

I, the named Personal Representative, do solemnly and sincerely declare that

- I am legally entitled to administer the late customer's estate and, if there is anyone else entitled, I have their consent to do so;
- No Grant of Probate, Letters of Administration or Confirmation have been granted to the late customer's estate and I do not intend to apply nor, to the best of my knowledge, does any other person;
- No inheritance tax is payable in the United Kingdom in respect of the estate of the deceased;
- agree to indemnify Aviva plc and its subsidiaries against any losses, damages, charges, costs and expenses incurred by reason of it acting in accordance with my instructions;
- And, where the investment is £25,000 and above in value, I make this solemn declaration conscientiously believing the same to be true and by virtue of the provisions of the Statutory Declarations Act 1835.

<b>Signed</b>	<input type="text"/>	<b>Signature Date</b>	<input type="text" value=""/> / <input type="text" value=""/> / <input type="text" value=""/>
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## 7. To be completed by a commissioner for oaths / solicitor for holdings between £25,000 but below £50,000 and where a Grant has not been obtained.

This section is only applicable where section 6 has been completed and the value of the investment(s) held with Aviva Investors is between £25,000 and £50,000.

<b>Declared at</b>	<input type="text"/>	
<b>Before me</b>	<input type="text"/>	
<b>Signed</b>	<input type="text"/>	<b>Signature Date</b> <input type="text"/> / <input type="text"/> / <input type="text"/>
<b>Stamp / Seal</b>	<input type="text"/>	

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