



Application Forms

Probate Service
(Stocks and Shares
Certificated)

Standard Terms and Application



Contact Details

TO SPEAK WITH OUR ADMINISTRATION DEPARTMENT

Please call 0116 204 5500

Our office hours are: 9am - 5.30pm

Bank Details

Bank of Scotland

Sort Code: 12-22-76

Account number: 10210865

GHC CM LTD Client Money Pool Deposit Account

You can ask us for help at any time

Here at GHC, we value our clients and their piece of mind. If you experience challenges or have concerns during your relationship with us or have anything you wish to discuss, you are able to speak to us at any time during our office hours, in a safe and confidential environment. Where appropriate, we will make a note on our records so that we can be aware of what you disclose, and so that you don't have to mention it again. Equally, if you are thinking of becoming a client we can cater for your needs from the get go.

Let us know if...

- You require any adjustments or additional support
- There is a better way in which we can communicate with you
- There is a change in your personal circumstances
- There is something we should be aware of
- You have been subject to events which affect your finances and/or your investments
- You have a temporary need



Stocks and Shares Certificated Probate Service

GHC Capital Markets (GHC) has been working in partnership with solicitors, delivering an efficient and cost effective probate services for many years. We understand that when dealing with a deceased estate, timeliness, accuracy, and confidentiality are of the utmost importance. Not only do we provide a prompt valuation service, we also offer a range of additional services enabling you to provide a fully tailored service to your clients.

VALUATIONS PROVIDED

- Stocks and Shares listed on any recognised investment exchange
- Unit Trusts and OEICs
- Gilts and Bonds
- We aim to provide the probate valuation of stocks and shares within 10 working days

A COMPREHENSIVE SERVICE

GHC's comprehensive probate valuation service is both practical and supportive. We can also offer a range of additional services. These include:

- Verifying investments with registrars. We will scope the project for you and then provide a timeframe for completion*
- Identifying investments that have had a corporate event - please note we do not provide a dividend collection service
- Replacing lost share certificates**
- Re-registration of investments to the beneficiaries
- Disposal of the investments, as necessary, this will require the establishment of an Execution Only account

Please let us know about your additional requirements when you request your valuations.

* Note that any timeframe is subject to change in the event of unforeseen delays in the verification process

** We will require a registrars indemnity. Where the registrar will not sign the indemnity, a third party counter signature will be required.

ONGOING COMMITMENT

Our commitment does not end with the Grant of Probate. There are occasions where the beneficiaries or trustees may wish to invest the inheritance. GHC has a wide variety of products and services to suit the differing needs of investors and savers. These include financial planning of the inheritance, through our sister company GHC Wealth Management, with access to our Discretionary and Advisory Managed investment services. Please let us know how we can help.

FEES AND CHARGES

Valuation Fee

UK Investment (per item)	£15
Non UK Investment (per item)	£25
Minimum charge per valuation	£100

Verification Fee

UK Investment (per item)	£50
Minimum fee	£50
Non UK Investment (per item)	£100
Minimum fee	£100

Stock Transfers

Per UK item	£50
Per non UK item	£100

Replacement of Lost Share Certificates

If the asset is CREST eligible	£50 + indemnity & additional charges (if applicable)
If the asset is non-CREST eligible	£250 minimum + indemnity & additional charges (if applicable)

Re-Registration of Investments

If the asset is CREST eligible	£50 per certificate
If the asset is non-CREST eligible	£250 minimum per certificate (please note other charges may apply)

Disposal of Investments

Standard Execution Only Certificated Dealing Service charges will apply

Other

Other requests will be considered on a case by case basis. Fees and charges will be agreed prior to the commencement of any work.



Probate Service (Stocks and Shares Certified) Probate Valuation Application Form

To apply for a probate valuation please complete the form below and return it to us by

Email: **probate@ghcl.co.uk**

Post: **GHC Capital Markets Limited, 22-30 Horsefair Street, Leicester LE1 5BD**

Name of deceased:

Date of death:

CONTACT DETAILS

Applicant 1

Name:

Company/Capacity: (e.g. Executor)

Address:

Town/city:

County:

Postcode:

Telephone:

Email:

	Name of Stock	Classification	Verification Required* (Y/N)	Quantity
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				

* We will provide a valuation on the basis of the information provided. Without verification we cannot confirm that any securities valued are held by the estate



Probate Service Share Selling Application Form for an Execution Account Only

Fees and Charges

SECURITIES COMMISSION ON CONSIDERATION

(Stocks, shares, OEICs, unit trusts and investment trusts)

First £10,000	1.65%
Balance over £10,000	0.50%
Minimum commission per transaction	£20

DEALING COMMISSION ON CONSIDERATION

(Gifts and Fixed Interest)

First £10,000	1.00%
Balance between £10,000 and £20,000	0.30%
Balance over £20,000	0.10%
Minimum commission per transaction	£20

BARGAIN CHARGE

Each transaction	£12.50
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LATE PAYMENTS

At Settlement Date send chasing letter informing that a charge of £25 will be made if payment not received within 5 business days. Thereafter a charge of £50 will be made for every 5 business days

LATE DELIVERIES

Settlement Date a charge of £25 will be made if complete documentation not received. Thereafter a charge of £25 will be made for every 5 business days

OTHER CHARGES

Recorded deliveries	Cost + £5
Re-issue of cheques	£10
Report & accounts	Not available

Note:

Stock and/or cash must be held by GHC Capital Markets Ltd prior to trading.

These fees and charges are correct as of 1st March 2023 and may be subject to change at any time in accordance with our terms of business.

All fees and charges are subject to VAT where applicable at the standard rate.

MONEY HELD ON YOUR BEHALF

We can deal with money we are holding on your behalf only in accordance with the rules of the FCA. These require us, among other things, to hold your money in an account at a deposit taking institution approved by the FCA, segregated from the Company's own money.

We do not pay interest on client money cash accounts.



Application Forms

SECTION 1 - CLIENT DETAILS

Name of account
Number of existing account (if applicable)

Full names and addresses of all applicants

<div>Applicant 1</div> <div><div>Name:</div><div>Email:</div><div>Address:</div><div></div><div></div><div>County:</div><div>Post code:</div><div>Tel No.</div><div>Date of birth:</div><div>Nationality*:</div><div>Occupation*:</div><div>National Insurance Number:</div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div></div>	<div>Applicant 2</div> <div><div>Name:</div><div>Email:</div><div>Address:</div><div></div><div></div><div>County:</div><div>Post code:</div><div>Tel No.</div><div>Date of birth:</div><div>Nationality*:</div><div>Occupation*:</div><div>National Insurance Number:</div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div></div>
<div>Applicant 3</div> <div><div>Name:</div><div>Email:</div><div>Address:</div><div></div><div></div><div>County:</div><div>Post code:</div><div>Tel No.</div><div>Date of birth:</div><div>Nationality*:</div><div>Occupation*:</div><div>National Insurance Number:</div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div></div>	<div>Applicant 4</div> <div><div>Name:</div><div>Email:</div><div>Address:</div><div></div><div></div><div>County:</div><div>Post code:</div><div>Tel No.</div><div>Date of birth:</div><div>Nationality*:</div><div>Occupation*:</div><div>National Insurance Number:</div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div></div>

* Note that these fields are compulsory for individuals to comply with international money laundering and tax regulations.



SECTION 2 - CAPACITY OF CLIENT

Do you consider yourself to be a: (Please tick one of the boxes) ☐ Retail Client ☐ Professional Client

If you wish to be categorised as a Professional Client then certain regulatory criteria need to be fulfilled. We reserve the right to categorise you as a Retail Client at our absolute discretion.

Please tick one of the following boxes:

☐ Individual ☐ Joint Names ☐ Trust† ☐ Bare Trust ☐ Pension (Non SIPP)† ☐ Pension (SIPP)
☐ Company ☐ Partnership ☐ Attorney ☐ Charity (please state registered charity number) _____

† Legal Entity Identifier (LEI) required (please state)

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Trustees

In the case of a Trust, if more than one Trustee is named in Section 1 of this form, GHC Capital Markets Ltd shall be entitled to act on the instructions of one such Trustee alone without the prior consent of the other named Trustees. Also GHC Capital Markets Ltd may provide any information or advice concerning the investments to the Trustee(s) indicated below, whereby any such information or advice shall be deemed to have been given to all the Trustees.

Name of the Trustee referred to above:

In the case of a Trust Account it is confirmed that the Trustees have the power and authority to enter into arrangements as set out in the accompanying GHC Capital Markets Ltd Terms & Conditions, and that there are no investment or other restrictions applicable to the Trust. It is also confirmed that all trustees are disclosed and are signatories to this form.

Unique Taxpayer Reference (UTR)

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SECTION 3 - YOUR BANK DETAILS

Bank/Building Society name

Address

Postcode

Account name

Account number

Sort code

You warrant that all initial funds deposited with GHC for investment, and any subsequent monies due to GHC (and not already held on deposit), will originate from your named bank account (evidence as provided). This applies to both cheque payment and electronic transfer of funds.

Please note if you change your bank account you must inform us immediately and you will be required to provide documentary evidence of the new bank account details.



SECTION 4 - ANTI MONEY LAUNDERING REQUIREMENTS

To satisfy our obligations under the Joint Money Laundering Regulations (JMLR) we may obtain verification and identification documents from your appointed financial adviser who are entitled to share this data with us. If we are unable to obtain such documentation from your appointed financial adviser we may at our discretion approach you directly.

A certified copy of a passport or driving licence will be sufficient for proof of identity; a certified copy may be obtained from a bank, building society or Solicitor. When confirming an address, a utility bill with a date during the last three months will be sufficient for these purposes. It is strongly recommended that you do not send original documentation through the post, as GHC Capital Markets Ltd would have to return these to your last stated address at your own risk.

SECTION 5 – DECLARATIONS AND SIGNATURES

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read our standard terms of business carefully. If you do not understand any point please ask for further information.

- ☐ I/we confirm having read, understood and agreed to the GHC Capital Markets Ltd Terms of Business.
- ☐ I/we hereby authorise GHC Capital Markets Ltd to accept investment instructions from our appointed financial adviser/Wealth Manager (if applicable) and to provide them with copy correspondence for this account.

All Applicants

All applicants must sign unless reason is given - e.g. one Trustee authorised to sign on the other's behalf, or a joint applicant.

Applicant 1

Signature:	Date:
Please print name:	Capacity:

Applicant 2

Signature:	Date:
Please print name:	Capacity:

Applicant 3

Signature:	Date:
Please print name:	Capacity:

Applicant 4

Signature:	Date:
Please print name:	Capacity:



GHC Capital Markets Limited
22-30 Horsefair Street
Leicester LE1 5BD

Dealer direct dial
Switchboard
Email
Website

8am - 4.30pm 0345 707 0425
9am - 5.30pm 0116 204 5500
customerservices@ghcl.co.uk
www.ghcl.co.uk

Registered in England number 3113332
Registered office: 22-30 Horsefair Street Leicester LE1 5BD
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