

Markets in Financial Instruments Directive (MiFID) II

An EU Directive and Regulation – Markets in Financial Instruments Directive II (MiFID II) requires us to collect information that we may not currently hold in order to complete certain transactions.

In order to comply with the Markets in Financial Instruments Directive (MiFID II), you will need to provide the following information where an underlying positive share balance is held (as shown on the front page of the Claim Form):

- First Name(s)
- Surname
- Date of Birth
- Nationalities
- National identifier based on the primary nationality (i.e National Insurance No. for UK)

The attached form needs to be completed for the deceased shareholder and all the next of kin/executor(s) or legal representatives acting on behalf of the next of kin/executor(s) (Power of Attorney, etc.) as listed on the Small Estates Declaration and Indemnity Form.

Guidance Notes to providing identity details

Below are some examples to help you complete the MiFID II Form - Small Estates.

Single nationality

If you have only one nationality, write it in the **Country 1** box and write your Primary or Secondary National Client Identifier in the **National Client Identifier** box. The identifiers we accept for your country are listed on the National Client Identifier Guide table enclosed.

Please then tick to confirm if you have given your **Primary** or **Secondary** Identifier, or if you do not hold either.

Example: United Kingdom nationality

- Put 'United Kingdom' in the **Country 1** box
- If you have your UK National Insurance Number, write it in the **National Client Identifier** box then tick the **Primary Identifier** box
- If you do not have the Primary Identifier, tick the **I do not hold any National Client Identifiers** box

Multiple nationalities

If you have more than one nationality, write them in the **Country 1**, **Country 2** and **Country 3** boxes in the order in which they are listed in the table overleaf. We then need the Primary or, if allowed for the country, Secondary National Client Identifier for Country 1.

If you do not hold either the Primary or Secondary National Client Identifier for Country 1, **please do not provide an Identifier for Country 2 or Country 3.**

Example: United Kingdom and Czech Republic dual nationality

- Put 'Czech Republic' in the **Country 1** box and 'United Kingdom' in the **Country 2** box
- Write your National Identification Number (*Rodné číslo*) in the **National Client Identifier** box then tick the Primary Identifier box
- If you do not have the Primary Identifier, write your Czech Republic National Passport Number instead and tick the **Secondary Identifier** box
- If you do not have either of the Identifiers for Czech Republic, tick the **I do not hold any National Client Identifiers** box

Countries not listed on the National Client Identifier Guide table are in the 'All other countries' category, and should be entered last when you complete the form.

Example: United Kingdom and China dual nationality

- Put 'United Kingdom' in the **Country 1** box and 'China' in the **Country 2** box
- If you have your UK National Insurance Number, write it in the National Client Identifier box then tick the **Primary Identifier** box
- If you do not have the Primary Identifier for United Kingdom, tick the **I do not hold any National Client Identifiers** box

If you are a national of two or more countries in the 'All other countries' category, you need to list them on the form in order of their Country Code. You can also go to our website: prosearchassets.com/mifid and enter your nationalities there. It will tell you the order in which to list them on the form and which National Client Identifier you need to provide.

Corporate bodies

Please provide your Legal Entity Identifier (LEI). The LEI is a 20-digit, alpha-numeric code that enables clear and unique identification of legal entities or structures including companies, charities and trusts.

To find out more information about LEIs, please visit The Global Legal Entity Identifier Foundation website. To search for your LEI on their index database, visit their website search tool at: www.gleif.org/lei/search

National Client Identifier Guide

When completing the MiFID II Form, please use the Primary National Client Identifier from the table below.

Only if you are unable to provide the Primary Identifier should you provide the Secondary Identifier. If you have any queries about completing this form, please call our freephone helpline shown on the Claim Form.

Please Note: Failure to provide a National Identifier for the following nationalities will result in your transaction being rejected:

Estonia Spain Iceland Italy Malta Poland

If you are a national of two or more countries not in the list below (i.e. two or more countries from 'All Other Countries') you need to list them in **alphabetical order according to their Country Code**. If you need help with this, please go to our website: prosearchassets.com/mifid or call our helpline shown on the Claim Form.

Country name	Primary National Client Identifier	Secondary National Client Identifier
Austria (AT)	Write 'N/A'	–
Belgium (BE)	Belgium National Number (Numéro de registre national – Rijksregisternummer)	–
Bulgaria (BG)	Bulgarian Personal Number	–
Cyprus (CY)	National Passport Number	–
Czech Republic (CZ)	National Identification Number (Rodné číslo)	National Passport Number
Germany (DE)	Write 'N/A'	–
Denmark (DK)	Personal identity code	–
Estonia (EE)	Estonian Personal Identification Code (Isikukood)	–
Spain (ES)	Tax Identification Number (Número de identificación fiscal)	–
Finland (FI)	Personal Identity Code	–
France (FR)	Write 'N/A'	–
United Kingdom (GB)	UK National Insurance Number	–
Greece (GR)	10 DSS Digit Investor Share	–
Croatia (HR)	Personal Identification Number (OIB – Osobni identifikacijski broj)	–
Hungary (HU)	Write 'N/A'	–
Ireland (IE)	Write 'N/A'	–
Iceland (IS)	Personal Identity Code (Kennitala)	–
Italy (IT)	Fiscal Code (Codice Fiscale)	–
Liechtenstein (LI)	National Passport Number	National Identity Card Number
Lithuania (LT)	Personal Code (Asmens Kodas)	National Passport Number
Luxembourg (LU)	Write 'N/A'	–
Latvia (LV)	Personal Code (Personas Kods)	–
Malta (MT)	National Identification Number	National Passport Number
Netherlands (NL)	National Passport Number	National Identity Card Number
Norway (NO)	Personal ID (Foedselsnummer)	–
Poland (PL)	National Identification Number (PESEL)	Tax Number (Numer Identyfikacji podatkowej)
Portugal (PT)	Tax Number (Número de Identificação Fiscal)	National Passport Number
Romania (RO)	National Identification Number (Cod Numeric Personal)	National Passport Number
Sweden (SE)	Personal Identity Number	–
Slovenia (SI)	Personal Identification Number (EMŠO: Enotna Maticna Številka Občana)	–
Slovakia (SK)	Personal Number (Rodné číslo)	National Passport Number
All other countries (Including Crown Dependencies and British Overseas Territories)	National Passport Number	–

To understand more about how ProSearch uses and safeguards your data, please visit our Privacy Centre <https://privacy.equiniti.com/prosearch>



You can call us free on **0800 389 6471** (or +44 (0)121 415 0057 from outside the UK)
info@prosearchassets.com | prosearchassets.com/mifid



MiFID II Form - Small Estates

Please enter your 7-digit ProSearch reference no:

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The following information is required for identification and anti-money laundering purposes. Different information is required depending on your nationality so please read the Guidance Notes and National Client Identifier Guide attached carefully before you complete this form.

- i** - Complete the details of the deceased shareholder (Section 1) and ALL next of kin/executor(s) (Section 2).
- Legal Representatives acting on behalf of a next of kin/executor(s) (Power of Attorney, Receiver etc.): please provide the deceased shareholder details (Section 1), next of kin/executor(s) details (Section 2) and supply your own details in the boxes provided overleaf (Section 3).

1 Details of the deceased shareholder

If details of the deceased holder are not completed fully and correctly the claim will be returned without being actioned.

The deceased shareholder (as listed on the Small Estates Declaration and Indemnity Form)

Title and full name (no initials)

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Date of birth

D	D	/	M	M	/	Y	Y	Y	Y
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Country details

Please state the person's nationality. If there is more than one nationality, you must list the countries (up to three) in the order they appear in the National Client Identifier Guide table opposite.

Country 1:

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 Country 2:

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 Country 3:

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National Client Identifier

Based on the country you have listed first above, please provide either the person's Primary or Secondary National Client Identifier, as shown in the National Client Identifier Guide table opposite.

National Client Identifier:

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 I do not hold any National Client Identifiers

National Client Identifier type

If you have provided a National Client Identifier, please tell us if it is the Primary or Secondary Identifier.

Primary Identifier OR Secondary Identifier

2 Next of kin/executor(s)

If ALL next of kin/executor(s) do not complete this form fully and correctly the claim will be returned without being actioned.

Next of kin/executor 1 (as listed on the Small Estate Declaration and Indemnity Form)

Title and full name (no initials)

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Country 1:

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National Client Identifier:

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Country 2:

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Primary Identifier OR Secondary Identifier

Date of birth

D	D	/	M	M	/	Y	Y	Y	Y
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Country 3:

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I do not hold any National Client Identifiers

Legal Entity Identifier

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Next of kin/executor 2 (If applicable)

Title and full name (no initials)

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Country 1:

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National Client Identifier:

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Country 2:

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Primary Identifier OR Secondary Identifier

Date of birth

D	D	/	M	M	/	Y	Y	Y	Y
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Country 3:

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I do not hold any National Client Identifiers

Legal Entity Identifier

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Please turn over 

Next of kin/executor 3 (If applicable)

Title and full name (no initials)	Country 1:	National Client Identifier:
<input type="text"/>	<input type="text"/>	<input type="text"/>
	Country 2:	Primary Identifier <input type="checkbox"/> OR Secondary Identifier <input type="checkbox"/>
	<input type="text"/>	
Date of birth	Country 3:	I do not hold any National Client Identifiers <input type="checkbox"/>
<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>	
Legal Entity Identifier	<input type="text"/>	

Next of kin/executor 4 (If applicable)

Title and full name (no initials)	Country 1:	National Client Identifier:
<input type="text"/>	<input type="text"/>	<input type="text"/>
	Country 2:	Primary Identifier <input type="checkbox"/> OR Secondary Identifier <input type="checkbox"/>
	<input type="text"/>	
Date of birth	Country 3:	I do not hold any National Client Identifiers <input type="checkbox"/>
<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>	
Legal Entity Identifier	<input type="text"/>	

3 Legal Representatives

Legal Representatives acting on behalf of the next of kin/executor(s) (Power of Attorney, Receiver etc.) must provide the deceased shareholder and next of kin/executor(s) details overleaf/above and supply your own details in the box(es) provided below.

Legal Representative 1 (If applicable)

Title and full name (no initials)	Country 1:	National Client Identifier:
<input type="text"/>	<input type="text"/>	<input type="text"/>
	Country 2:	Primary Identifier <input type="checkbox"/> OR Secondary Identifier <input type="checkbox"/>
	<input type="text"/>	
Date of birth	Country 3:	I do not hold any National Client Identifiers <input type="checkbox"/>
<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>	
Legal Entity Identifier	<input type="text"/>	

Legal Representative 2 (If applicable)

Title and full name (no initials)	Country 1:	National Client Identifier:
<input type="text"/>	<input type="text"/>	<input type="text"/>
	Country 2:	Primary Identifier <input type="checkbox"/> OR Secondary Identifier <input type="checkbox"/>
	<input type="text"/>	
Date of birth	Country 3:	I do not hold any National Client Identifiers <input type="checkbox"/>
<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>	
Legal Entity Identifier	<input type="text"/>	