

## Small Estate Markets in Financial Instruments Directive (MiFID) II

**Equiniti Financial Services Limited is required by The Markets in Financial Instruments Directive II (MiFID II) to collect information that they may not currently hold in order to complete certain transactions.**

In order to comply with 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 Verification Form):

- First name(s) and surname
- Date of birth (DD/MM/YYYY)
- Nationality(ies)
- National identifier based on the primary nationality (e.g. National Insurance No. for UK)

The attached form needs to be completed for the deceased shareholder and all the next of kin/executor(s) as listed on the Small Estate Declaration and Indemnity Form.

### Guidance Notes to providing identity details

Below are some examples to help you complete the MiFID II Form - Small Estate (FORM 2). **Please read carefully as any incorrect forms will be returned without being actioned.** If you need any help to complete this form please call our helpline.

#### 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 place an 'X' to confirm if you have given your **Primary** or **Secondary** Identifier, or if you do not hold either.

#### Example: United Kingdom nationality

- Write 'United Kingdom' in the **Country 1** box
- If you have your UK National Insurance Number, write it in the **National Client Identifier** box then 'X' the **Primary Identifier** box
- If you do not hold this, place an 'X' in 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

- Write '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 'X' the **Primary Identifier** box
- If you do not have the Primary Identifier, write your Czech Republic National Passport Number instead and 'X' the **Secondary Identifier** box
- If you do not have either of the Identifiers for Czech Republic, place an 'X' in 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

- Write '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 'X' the **Primary Identifier** box
- If you do not have the Primary Identifier for United Kingdom, place an 'X' in 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: [www.prosearchassets.com/mifid](http://www.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](http://www.gleif.org)

## Further Information - 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 helpline shown below.

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

- Estonia - Iceland - Italy - Malta - Poland - Spain

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 visit to our website: [www.prosearchassets.com/mifid](http://www.prosearchassets.com/mifid) or call our helpline shown below.

Country name	Primary National Client Identifier	Secondary National Client Identifier
Austria (AT)	Write 'N/A'	–
Belgium (BE)	Belgium National Number ( <i>Numéro de register national – Rijksregisternummer</i> )	–
Bulgaria (BG)	Bulgarian Personal Number	–
Cyprus (CY)	National Passport Number	–
Czech Republic (CZ)	National Identification Number ( <i>Rodné číslo</i> )	National Passport Number
Germany (DE)	Write 'N/A'	–
Denmark (DK)	Personal identity code	–
Estonia (EE)	Estonian Personal Identification Code ( <i>Isikukood</i> )	–
Spain (ES)	Tax Identification Number ( <i>Número de identificación fiscal</i> )	–
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 ( <i>OIB – Osobni identifikacijski broj</i> )	–
Hungary (HU)	Write 'N/A'	–
Ireland (IE)	Write 'N/A'	–
Iceland (IS)	Personal Identity Code ( <i>Kennitala</i> )	–
Italy (IT)	Fiscal Code ( <i>Codice Fiscale</i> )	–
Liechtenstein (LI)	National Passport Number	National Identity Card Number
Lithuania (LT)	Personal Code ( <i>Asmens Kodas</i> )	National Passport Number
Luxembourg (LU)	Write 'N/A'	–
Latvia (LV)	Personal Code ( <i>Personas Kods</i> )	–
Malta (MT)	National Identification Number	National Passport Number
Netherlands (NL)	National Passport Number	National Identity Card Number
Norway (NO)	Personal ID ( <i>Foedselsnummer</i> )	–
Poland (PL)	National Identification Number ( <i>PESEL</i> )	Tax Number ( <i>Number Identyfikacji podatkowej</i> )
Portugal (PT)	Tax Number ( <i>Número de Identificação Fiscal</i> )	National Passport Number
Romania (RO)	National Identification Number ( <i>Cod Numeric Personal</i> )	National Passport Number
Sweden (SE)	Personal Identity Number	–
Slovenia (SI)	Personal Identification Number ( <i>EMŠO: Enotna Matična Številka Občana</i> )	–
Slovakia (SK)	Personal Number ( <i>Rodné číslo</i> )	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>



**Call our helpline on 0371 384 2735** (or +44 371 384 2735 from outside the UK)  
[info@prosearchassets.com](mailto:info@prosearchassets.com) | [www.prosearchassets.com/mifid](http://www.prosearchassets.com/mifid)



# FORM 2

## MiFID II Form - Small Estate

Please enter your 7-digit ProSearch Reference no:

**i** The following information is required for identification and anti-money laundering purposes. If you have any queries about completing this form, please call our helpline.

### 1 Details of the deceased shareholder

If details of the deceased holder are not completed fully and correctly, your Verification Form will be returned without being actioned.

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

Title and full name (no initials)

Date of birth (DD/MM/YYYY)

#### COUNTRY DETAILS

Please state the person's nationality. If there is more than one nationality, you must list the countries (up to 3) in the order they appear in the National Client Identifier Guide table opposite.

Country 1:

Nationality

Country 2:

Nationality

Country 3:

Nationality

#### NATIONAL CLIENT IDENTIFIER (NCI)

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:

NCI

I do not hold any National Client Identifiers (place an 'X' in the box)

#### 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 details of ALL next kin/executor(s) are not completed fully and correctly, your Verification Form 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)

Country 1:

Nationality

National Client Identifier:

NCI

Country 2:

Nationality

Primary

OR

Secondary

Date of birth (DD/MM/YYYY)

Country 3:

Nationality

I do not hold any National Client Identifiers (place an 'X' in the box)

Legal Entity Identifier

Next of kin/executor 2 (If applicable)

Title and full name (no initials)

Country 1:

Nationality

National Client Identifier:

NCI

Country 2:

Nationality

Primary

OR

Secondary

Date of birth (DD/MM/YYYY)

Country 3:

Nationality

I do not hold any National Client Identifiers (place an 'X' in the box)

Legal Entity Identifier



**Next of kin/executor 3 (If applicable)**

Title and full name (no initials)	Country 1:	National Client Identifier:
<input type="text"/>	<input type="text" value="Nationality"/>	<input type="text" value="NCI"/>
	Country 2:	Primary <input type="checkbox"/> OR Secondary <input type="checkbox"/>
	<input type="text" value="Nationality"/>	
Date of birth (DD/MM/YYYY)	Country 3:	I do not hold any National Client Identifiers (place an 'X' in the box) <input type="checkbox"/>
<input type="text" value="DD"/> / <input type="text" value="MM"/> / <input type="text" value="YYYY"/>	<input type="text" value="Nationality"/>	
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" value="Nationality"/>	<input type="text" value="NCI"/>
	Country 2:	Primary <input type="checkbox"/> OR Secondary <input type="checkbox"/>
	<input type="text" value="Nationality"/>	
Date of birth (DD/MM/YYYY)	Country 3:	I do not hold any National Client Identifiers (place an 'X' in the box) <input type="checkbox"/>
<input type="text" value="DD"/> / <input type="text" value="MM"/> / <input type="text" value="YYYY"/>	<input type="text" value="Nationality"/>	
Legal Entity Identifier	<input type="text"/>	



**Please return all forms and supporting documentation before the response date to:**  
ProSearch, Sutherland House, Russell Way, Crawley, West Sussex, RH10 1UH