



# UBS MTF Market Notice

## Transaction Reporting

6 March 2019

### Changes required for non-UK Members and non-EEA Members only

Dear Member,

In preparation for a potential hard Brexit and the inclusion of non-EEA members, we would like to advise you of changes we will make in order to meet our transaction reporting obligations as an FCA Regulated MTF.

These changes will apply primarily to the MiFID II Identifier file that Members already use to identify the source of their orders sent to UBS MTF (short/long code EOD file). UBS MTF will add five additional columns to the existing MiFID Identifier file that is transferred between UBS MTF and its Members via SFTP.

Impacted Members will be required to complete the following fields when completing the long code short code mapping: **Country of Branch, First Name, Last Name, Date of Birth, and National Identifier Subtype**

These changes will apply from 1 April 2019 and will impact Members as follows:

- **UK members:** no impact;
- **EEA members:** these changes will only apply in the event of a "Hard Brexit" as at that date with the UK leaving the EU with no deal and/or implementation period that preserves the status quo;
- **Non-EEA members:** these changes will apply in full in all cases.

An example of a MiFID Identifier File is provided with this Market Notice, where the first five fields remain unchanged. The MiFID Identifier Management Guide published on our website at <https://www.ubs.com/global/en/investment-bank/ib/multilateral-trading-facility/member-information.html> will be updated accordingly. The UBS MTF test environment will be updated to accept this extended format from Monday, 11 March.

Further information on this Transaction Reporting functionality and the implementation dates for Test and Production will be communicated via Market Notice.

If you have any queries regarding this notice please contact the UBS MTF Supervisors at +44 207 568 2052 or [ubs\\_mtf@ubs.com](mailto:ubs_mtf@ubs.com).

UBS MTF Management

#### Notice N6 2019

UBS MTF Notices and documentation are available at <https://www.ubs.com/mtf>. If you have any queries regarding this notice, or comments on the above, please contact the UBS MTF Supervisors at +44 20 7568 2052 or [ubs\\_mtf@ubs.com](mailto:ubs_mtf@ubs.com).

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Short Code	Long Code	Identifier Type	Start Date	End Date	Country of Branch	First Name	Last Name	Date of Birth	National Identifier Subtype	
1991	US19800326	AARONROGER	ExecutionDecisionMaker-Person	2019-03-01						
400336605	BFM8T61CT2L1QCEMIK50	Client-Entity	2019-01-03	2019-01-03						
1183	SC856873	InvestorDecisionMaker-Person	2019-03-01							
9028	US123456789ZZ	Client-Person	2019-03-01			PAUL	O'CONNOR	1941-03-04	CCPT	
9588	FR19631203	ANNEMBERG#	Client-Person	2019-03-01		FR	ANNE-MARIE	BERG	1963-12-03	CONCAT
2880	RO1234567890123	Client-Person	2019-03-01			DAVID	ȘTEFAN	1952-05-08	NIDN	