

Reporting transactions to EU and EEA trading venues

What information do we need **from our clients?**

Under the Markets in Financial Instruments Regulation Art. 26 (5), EU/EEA trading venues report securities transactions executed by their direct participants from outside EEA countries to the respective competent authorities. As a consequence, these trading venues oblige their participants to provide the necessary client information.

To trade directly on EU and EEA venues, UBS Switzerland AG must have this client information on record. Without it UBS Switzerland AG will be unable to directly (without involving brokers) execute orders at EU/EEA trading venues. So we may not be able to offer to our clients the same quality service – including price, certainty, speed and costs – that we could have achieved if we had directly executed orders at EU/EEA trading venues.

What do we need from individuals (natural persons)?

We require an NCI (national client identifier). The following list provides examples of NCIs:

Nationality	Identification number
Estonia	Estonian Personal Identification Code (Isikukood)
Spain	Tax identification number (Código de identificación fiscal)
Iceland	Personal Identity Code (Kennitala)
Italy	Fiscal code (Codice fiscale)
Malta	National Identification Number (or National Passport Number – seven digits)
Poland	National Identification Number (PESEL)
Switzerland	Passport number
Austria, France, Germany, Hungary, Ireland, Luxembourg	No country specific identifier is necessary



What do we need from legal entities, other entities and structures?

We need an LEI (Legal Entity Identifier), which is a 20-character code comprising letters and numbers. You can find out more about LEIs at <http://www.gleif.org/> and also obtain an LEI from any organization listed at: www.gleif.org/en/about-lei/get-an-lei-find-lei-issuing-organizations.

For any questions or further information, please contact your client advisor.

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