

Application - Transaction Reporting

1. Firm Details

Firm Name

Network Name (where applicable)

Firm Type

☐

Discretionary Investment Manager

☐

Adviser Firm

FCA Firm Reference Number

Firm Transact Number

Legal Entity Identifier (LEI)

You need an LEI to trade, or transfer, reportable assets after 3 January 2018. Reportable assets include company shares, bonds, exchange traded funds, structured products and venture capital trusts.

Do you wish Transact to undertake Transaction Reporting for reportable transactions executed by your Firm?

If yes, please move on to Section 2, otherwise please move on to Section 3.

☐

Yes

☐

No

2. Investment Decision Maker Details

Please enter:

- all names in full and without any abbreviations. If there are more Investment Decision Makers than this form allows please submit additional copies;
- the **Natural Person Identifier** of Investment Decision Maker(s);
 - for a UK national this is the National Insurance Number
 - for a foreign national this is the national identifier (e.g. passport number, personal identity card number, CONCAT, etc.)
 - for those with multiple nationalities it should be based on alphabetical country code. EEA states have priority over countries outside the EEA.
 Please note: instructions cannot be accepted from the United States of America
- the **Country of the Branch** the Investment Decision Maker(s) will be operating out of when making investment decisions.

More detail is available in Commission Delegated Regulation (EU) 2017/590 including Annex II.

Individual 1

Title

Surname

Given Names

Natural Person Identifier (if UK National)

National Insurance Number

Natural Person Identifier (if Foreign National)

Identifier Type

☐

Passport Number

☐

CONCAT

☐

Other National Identifier

National Identifier Number

Country of Identifier

Country of Branch

Individual 2

Title

Surname

Given Names

Natural Person Identifier (if UK National)

National Insurance Number

Natural Person Identifier (if Foreign National)

Identifier Type

☐

Passport Number

☐

CONCAT

☐

Other National Identifier

National Identifier Number

Country of Identifier

Country of Branch



2. Investment Decision Maker Details (continued)

Individual 3

Title **Surname**

Given Names

Natural Person Identifier (if UK National)

National Insurance Number

Natural Person Identifier (if Foreign National)

Identifier Type

☐ Passport Number ☐ CONCAT ☐ Other National Identifier

National Identifier Number

Country of Identifier

Country of Branch

Individual 4

Title **Surname**

Given Names

Natural Person Identifier (if UK National)

National Insurance Number

Natural Person Identifier (if Foreign National)

Identifier Type

☐ Passport Number ☐ CONCAT ☐ Other National Identifier

National Identifier Number

Country of Identifier

Country of Branch

3. Firm Authorised Signature

This form should be signed by a person authorised to sign on behalf of the firm.

We certify that the information we have supplied here is true and correct to the best of our knowledge and belief.

If we have selected Transact to undertake Transaction Reporting in Section 1, we confirm that we have read and understood the Transmission Agreement found at www.transact-online.co.uk/mifidii-transaction-reporting and we agree to be bound by it.

Authorised Signatory

X

Print Name

Position

Date (dd/mm/yyyy)

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