

NCI – mandatory for your securities and OTC derivatives transactions from 2018

WHAT IS THE NCI?

The national client identifier (NCI) is an internationally standardized identifier for financial market participants (for securities and OTC derivatives transactions) and is recognized worldwide. It enables unambiguous identification of **natural persons** and **unregistered sole proprietorships/freelancers**, as well as compliance with certain regulatory reporting obligations. This is aimed at enhancing transparency and security on financial markets.

FROM WHEN AND FOR WHAT REASON IS THE NCI REQUIRED?

From 3 January 2018 (pursuant to Regulation (EU) No 600/2014 on markets in financial instruments [MIFIR]), natural persons and unregistered sole proprietorships/freelancers may **only perform securities and OTC derivatives transactions** if they notify the bank carrying out the transactions of their standardized NCI. Please note that this applies to both purchases and sales of securities.

WHAT DO WE REQUIRE FROM YOU?

The NCI is generated on the basis of **various, pre-defined personal data that differ according to your citizenship**.

For customers who are citizens of **Austria, Germany, France, Hungary, Ireland or Luxembourg**, the NCI is generated as standard using an identifier created on the basis of the individual's name, date of birth and a country code. Such customers are not required to take any further action. **For most other countries**, MIFIR specifies this identifier as a second priority identifier. Nevertheless, we request that you provide us with the personal data required for your country, as listed in the table overleaf. If we do not receive these data, the second priority identifier will be reported so that you can continue to perform securities and OTC derivatives transactions.

We request that customers who are citizens of Estonia, Spain, Iceland, Italy, Malta or Poland provide us with the data specified in the table overleaf as soon as possible, as only these data can be accepted under the provisions of the Regulation.

Nationality	Please provide us with the following data as soon as possible for securities and OTC derivatives transactions to be performed on or after 3 January 2018
Estonia	Estnischer persönlicher Identifikationscode (Isikukood)
Iceland	National Passport Number (Kennitala)
Italy	Fiscal code (Codice fiscale)
Malta	National Identification Number, alternatively National Passport Number
Poland	National Identification Number (PESEL), alternatively Tax Number (Numer identyfikacji podatkowej)
Spain	Tax identification number (Código de identificación fiscal)

Nationality	Please provide us with the data specified below for securities and OTC derivatives transactions to be performed on or after 3 January 2018 Customers who are citizens of Austria, Germany, France, Hungary, Ireland or Luxembourg are not required to take any further action
Non-EEA countries	National Passport Number
Austria	Identifier created on the basis of the individual's name, date of birth and a country code
Belgium	Belgian National Number
Bulgaria	Bulgarian Personal Number
Croatia	Personal Identification Number (OIB – Osobni identifikacijski broj)
Cyprus	National Passport Number
Czech Republic	National identification number (Rodné číslo), alternatively Passport Number
Denmark	Personal identity code 10 digits alphanumeric: DDMMYYXXXX
Finland	Personal identity code
France	Identifier created on the basis of the individual's name, date of birth and a country code
Germany	Identifier created on the basis of the individual's name, date of birth and a country code
Greece	10 DSS digit investor share
Hungary	Identifier created on the basis of the individual's name, date of birth and a country code
Ireland	Identifier created on the basis of the individual's name, date of birth and a country code
Latvia	Personal code (Personas kods)
Liechtenstein	National Passport Number, alternatively National Identity Card Number
Lithuania	Personal code (Asmens kodas), alternatively National Passport Number
Luxembourg	Identifier created on the basis of the individual's name, date of birth and a country code
Netherlands	National Passport Number, alternatively National identity card number
Norway	11 digit personal id (Foedselsnummer)
Portugal	Tax number (Número de Identificação Fiscal), alternatively National Passport Number
Romania	National Identification Number (Cod Numeric Personal), alternatively National Passport Number
Slovakia	Personal number (Rodné číslo), alternatively National Passport Number
Slovenia	Personal Identification Number (EMŠO: Enotna Maticna Številka Občana)
Sweden	Personal identity number
United Kingdom	UK National Insurance number

WHERE CAN YOU OBTAIN ADDITIONAL INFORMATION?

If you have any questions, please contact your relationship manager.

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This leaflet was produced by UniCredit Bank Austria AG, Schottengasse 6-8, 1010 Vienna (new address from the first half of 2018: Rothschildplatz 1, 1020 Vienna).