

**LEGAL ENTITY IDENTIFIER
EXISTING AND PROPOSED RULEMAKING**

JURISDICTION	RULE	EFFECTIVE DATE	LEI REQUIRED vs. REQUESTED	LINK
Australia	ASIC OTC Derivatives Trade Reporting	October 2013 – April 2015	Requested	http://www.comlaw.gov.au/Details/F2013L01345
Australia	Guidance on ASIC Market Integrity Rules for Competition in Exchange Markets (Australia)	March 2014	Requested	http://download.asic.gov.au/media/1241420/rg223-published-12-august-2013.pdf
Canada	Ontario Securities Commission (OSC); Manitoba Securities Commission (MSC); Autorité des marchés financiers (AMF) [Quebec]	October 2014	Required	http://www.osc.gov.on.ca/en/SecuritiesLaw_rule_20140626_91-507_derivatives-data-reporting.htm
Canada	Canada Debt Securities Transaction Reporting (IIROC)	November 2015	Requested (To be revisited within two years)	http://www.iiroc.ca/Documents/2014/1e5d1c52-fd61-4e93-b16f-abc26e72234c_en.pdf
EU	ESMA Market Trading Data Reports	October 2014	Required	http://www.esma.europa.eu/page/Trade-reporting
EU	ESMA Consultation Paper on Technical Standards under the CSD Regulation	Estimated 2017	Required for various reporting by CSDs	http://www.esma.europa.eu/system/files/2014-1563_csd_r_ts.pdf
EU	Implementation of the Regulation (EU) No 648/2012 on OTC derivatives, central counterparties and trade repositories (EMIR)	February 2014	Required	http://www.esma.europa.eu/system/files/2014-815.pdf http://www.esma.europa.eu/system/files/2014-815.pdf
EU	European Banking Authority (EBA) – Required for EU FIs Technical Standards (ITS) reporters	March 2014	Required for reporters	https://www.eba.europa.eu/documents/10180/561173/EBA-REC-2014-01+%28Recommendation+on+the+use+of+the+Legal+Entity+Identifier%29.pdf
EU	XBRL Filing Rules	March 2014	Required	https://www.eba.europa.eu/documents/10180/502670/EBA+XBRL+Filing+Rules+for+v2.0.0.pdf

EU	AIFMD((EU) No 61 /2011): LEI as per art. 24 AIFMD (Commission Delegated Regulation)	January 2016	Required	http://www.esma.europa.eu/system/files/2013-1339_final_report_on_esma_guidelines_on_aifmd_reporting_for_publication_revised.pdf
EU	Solvency II Directive 2009/138/EC	January 2016	Required	https://eiopa.europa.eu/en/activities/insurance/solvency-ii/index.html)
Hong Kong	OTC Trade Repository (HKMA)	November 2013	Primary identifier required	http://www.mas.gov.sg/~/media/MAS/Regulations%20and%20Financial%20Stability/Regulations%20Guidance%20and%20Licensing/Securities%20Futures%20and%20Fund%20Management/Regulations%20Guidance%20and%20Licensing/Regulations/SecuritiesandFuturesReportingofDerivativesContractsAmendment.pdf
Singapore	OTC Derivatives Trade Reporting - Securities and Futures (Amendment) Act (MAS) Singapore	April 2014	Required	http://www.mas.gov.sg/~/media/MAS/Regulations%20and%20Financial%20Stability/Regulations%20Guidance%20and%20Licensing/Securities%20Futures%20and%20Fund%20Management/Regulations%20Guidance%20and%20Licensing/Regulations/Reporting%20Regs.pdf
Russia	Proxy Voting Processing – Disclosure of LEIs for custodians authorized to vote on behalf of certain eligible shareholders	2014-2015	Required	
Russia	OTC Derivatives Reporting – market participants must indicate their LEIs when reporting on master agreements and trades with OTC instruments	2014-2015	Required	
UK	PRA Recommendation to Obtain Legal Entity Identifier	December 31, 2014	Required	http://www.bankofengland.co.uk/pradocuments/crdiv/leletter.pdf
US	CFTC Form TO	June 2012	Requested	http://www.cftc.gov/ucm/groups/public/@newsroom/documents/file/cftcformto.pdf
US	CFTC Form 102 for FCMs, clearing members and advisors	February 2014	Required	http://www.cftc.gov/ucm/groups/public/@forms/documents/file/cftcform102.pdf
US	CFTC Swap Record	August 2012	Required	http://www.cftc.gov/ucm/groups/public/@newsroom/documents/file/cftcswaprecord.pdf

	Keeping and Reporting Rule (Parts 45 46)			s/public/@newsroom/documents/file/federalregister051812.pdf http://www.cftc.gov/ucm/groups/public/@lrfederalregister/documents/file/2012-12531a.pdf
US	Federal Reserve Annual Report of Holding Companies - FR Y-6	Nov-14	Requested	http://www.federalreserve.gov/reportforms/forms/FR_Y-620141031_f.pdf
US	Federal Reserve Annual Report of Foreign Banking Organizations - FR Y-7	Dec-14	Required	http://www.federalreserve.gov/reportforms/forms/FR_Y-720141031_f.pdf
US	MSRB Registration Form A-12	October 2014	Required	http://www.msrb.org/msrb1/pdfs/MSRB-Registration-Checklist-Form-A-12.pdf
US	NAIC Quarterly Statement Instructions and 2013 NAIC Annual Statement Instructions (Blanks (E))	2013 Filings	Requested	http://www.naic.org/documents/committees_e_app_blanks_related_filing_issues_lei_guidance.pdf
US	SEC Form ADV	September 2011	Requested	http://www.sec.gov/about/forms/formadv.pdf
US	SEC Form N-MFP	October 2014	Requested	http://www.sec.gov/about/forms/formadv-part1a.pdf
US	SEC Form PF – Investment Advisor Registration	2013 Filings	Requested	http://www.sec.gov/about/forms/formpf.pdf
US	SEC Statistical Rating Organization (NRSRO)	2014 Filings	Requested	https://www.sec.gov/rules/final/2014/34-72936.pdf
US	SEC Money Market Fund Reform Rules (Rule 2a-7 Amendments Form N-MFP)	July 2015 and April 2016	Requested	http://www.sec.gov/rules/final/2014/33-9616.pdf
US	SEC Regulation SBSR – Reporting and Disclosure of Security-Based Swap Information	April 2015	Required	http://www.sec.gov/rules/final/2015/34-74244.pdf
Global	BIS G-SIB Reporting on Funding Dependencies	pilot beginning December 2014	Requested for reporting firms and counterparties	http://www.financialstabilityboard.org/publications/r_111006.pdf

JURISDICTION	PROPOSED RULE	EXPECTED EFFECTIVE	LEI REQUIRED vs. REQUESTED	LINK
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		DATE		
EU	EU's Markets in Financial Investments Regulation (MiFIR) Article 23 Transaction Reporting	January 2017	Required	http://www.esma.europa.eu/system/files/2014-548_discussion_paper_mifir.pdf
EU	EIOPA consultation requiring the use of LEIs as the unique identification code for supervisory purposes for every credit and financial institution in the EU	January 2016	Required	https://eiopa.europa.eu/en/consultations/consultation-papers/2014-closed-consultations/june-2014/consultation-paper-on-the-proposal-for-guidelines-on-the-use-of-the-legal-entity-identifier/index.html
EU	EU Market Abuse Regulation (MAR) Consultation Paper (closing date for comment 15th October 2014)	Comments due 10/15/14	Requested	http://www.esma.europa.eu/system/files/esma_2014-809_consultation_paper_on_mar_draft_technical_standards.pdf
EU	ESMA Draft Regulatory Technical Standards for CRA 3 Regulation No 462/2013 reporting for structured finance instruments	January 2017	Required	http://www.esma.europa.eu/content/Draft-Regulatory-Technical-Standards-under-CRA3-Regulation
EU	Financial Conglomerates Directive Article 21a (1a) Consultation Paper on Draft Technical Standards for risk concentration and intra-group transactions - Joint Committee of the EU Supervisors- (ESMA/EBA/EIOPA)	Comments due 10/24/14	Required	http://www.esma.europa.eu/consultation/Draft-Regulatory-Technical-Standards-risk-concentration-and-intra-group-transactions-un
US	CFPB Home Mortgage Disclosure Act (CFPB) consultation recommending use of LEIs as the unique identifier for mortgage servicers and originators in revised HMDA reporting	Fall 2016	Required	http://files.consumerfinance.gov/f/201407_cfpb_proposed-rule_home-mortgage-disclosure_regulation-c.pdf
US	Federal Reserve Proposal to Require LEIs in Certain Regulatory Reporting Forms (FR Y-10, Y-6, Y-7)	Comments due May 2015	Required	http://www.federalreserve.gov/newsevents/press/bcreg/bcreg20150316a1.pdf
US	FERC Notice of Proposed Rulemaking on Collection of Connected Entity Data	Comments due November	Required	https://www.ferc.gov/whats-new/comm-meet/2015/091715/E-2.pdf

	from Regional Transmission Organizations and Independent System Operators	2015		
US	SEC Swaps Transaction Reporting under Regulation SBSR	Comments were due August 2013	The Commission is re-proposing Rule 901(d)(1)(ii) to require reporting of the broker ID, desk ID, and trader ID, as applicable, only of the direct counterparty on the reporting side.	http://www.sec.gov/rules/proposed/2013/34-69490.pdf
US	SEC Proposed Rule: Recordkeeping and Reporting Requirements for Security-Based (Equity) Swap Dealers, Security Based Swap Participants, and Broker-Dealers	Fall 2014	Required	http://www.sec.gov/rules/proposed/2014/34-71958.pdf
US	SEC Proposed Rules on Investment Company Reporting Modernization	Comments due July 2015	Required	http://www.sec.gov/rules/proposed/2015/33-9776.pdf
US	Consolidated Audit Trail (SEC) proposed to leverage LEI (among others) for Customer and Reporter ID	2017	Requested	http://www.sec.gov/rules/final/2012/34-67457.pdf
US	Treasury Dept. Proposed Rule for Qualified Financial Contracts Recordkeeping related to Orderly Liquidation Authority	330 days after publication of final rule	Required	https://www.federalregister.gov/articles/2015/01/07/2014-30734/qualified-financial-contracts-recordkeeping-related-to-orderly-liquidation-authority
Global	FSB Standards and Processes for Global Securities Financing Data Collection and Aggregation	Comments Due February 12, 2015	Recommended at national/regional level	http://www.financialstabilityboard.org/wp-content/uploads/Global-SFT-Data-Standards-Consultative-Documents.pdf

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