

## Important information for listed companies and other issuers of financial instruments on the LuxSE markets

### Your action required: communicating your Legal Entity Identifier (LEI) code

In 2012 the G20 approved a unique identifier scheme for financial markets, the 'Global Legal Entity Identifier System' or 'GLEIS', to facilitate the management and control of risks, both by the private sector and by public authorities. This unique identifier of financial markets participants, made up of listed companies and other issuers of financial instruments, is referred to as a 'Legal Entity Identifier' or 'LEI' and is based on the ISO 17442 international standard.

The LEI, a 20-digit unique and universal identifier, is designed to meet the requirement to ensure absolute certainty in the identification of legal entities involved in financial transactions, and serves as a basis for establishing counterparty risk monitoring rules, as well as measuring systemic risk.

The implementation of GLEIS was undertaken by the Financial Stability Board (FSB), which established a framework composed of local entities known as 'Local Operating Units' or 'LOUs', for assigning LEIs, and a central entity known as the 'Central Operating Unit' or 'COU', to ensure consistency. All of the aforementioned fall under the scope of a body representing the public authorities known as the 'Regulatory Oversight Committee' or 'ROC', that ensures compliance with the principles approved by the G20.

Due to this new framework, echoed in MiFID II<sup>[1]</sup> / MiFIR<sup>[2]</sup> and MAR<sup>[3]</sup>, the Luxembourg Stock Exchange (LuxSE) is obliged to collect a LEI code from any issuer operating on its regulated market (Bourse de Luxembourg) and on its Multilateral Trading Facility (Euro MTF) and communicate it to the relevant supervisory authorities.

As per above, **we kindly ask you to provide us with your LEI code before 15 September 2017**. Below we enlist a number of scenarios that should determine the steps you need to take:

#### **A. You have a valid LEI code.**

Please send us the LEI code to: [bolide@bourse.lu](mailto:bolide@bourse.lu).

#### **B. You do not have a LEI code.**

LEI codes can be obtained from your LOU. You should make your initial request for a LEI code to the LOU of the country that your organization is registered in.

A full list of LOUs by country:

[http://www.leiroc.org/publications/gls/lou\\_20131003\\_2.pdf](http://www.leiroc.org/publications/gls/lou_20131003_2.pdf)

Alternatively, please contact us at [bolide@bourse.lu](mailto:bolide@bourse.lu), as we offer a dedicated service so that you can obtain a LEI code.

### **C. You have a LEI code and it has expired.**

A LEI code must be renewed annually by your LOU. You should consider renewing your LEI code six weeks before their expiry date (one year from the original issue date of a LEI code). As such, you should contact your LOU to make sure your LEI code is still valid before sending it to us.

### **D. Your LEI code is still in the process of being renewed.**

Send the details of your current LEI code to: [bolide@bourse.lu](mailto:bolide@bourse.lu).

Should you have any question or need any additional information, please do not hesitate to contact us. We thank you in advance for your kind cooperation.

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[<sup>1</sup>] Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directives 2002/92/EC and 2011/61/EU (MiFID II).

[<sup>2</sup>] Regulation (EU) No 600/2014 of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Regulation (EU) No 648/2012 (MiFIR).

[<sup>3</sup>] Regulation (EU) No 596/2014 of the European Parliament and of the Council of 16 April 2014 on market abuse (MAR).