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Additional Information

Level 1 Regulation
Regulation (EU) 2022/858 - DLT Pilot Regime Regulation (DLTR)

Topic
DLT financial instruments

Additional Legal Reference
RTS 23

Subject Matter
Financial Instruments Reference Data

Question
How should Field 5 of RTS 23 “Issuer or operator of the trading venue identifier” be populated for DLT financial instruments within Article 3(1)(a) and (b) DLTR that are

exclusively created on the DLT and do not represent a previously issued financial instrument?

ESMA Answer

03-02-2023

Original language

As for the case of non-DLT shares, bonds and other forms of securitised debt, including depositary receipts, Field 5 should be populated with the LEI of the legal entity which issues or proposes to issue the financial instrument within the meaning of the Prospectus Regulation [1] and, in case of depositary receipts, the entity which issues the debt instrument represented in line with MAR Article 3(1)(21).

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[1] Article 2(h) of Regulation (EU) 2017/1129 of the European Parliament and of the Council of 14 June 2017 on the prospectus to be published when securities are offered to the public or admitted to trading on a regulated market, and repealing Directive 2003/71/EC. Text with EEA relevance.