ESMA_QA_1502

Submission Date
19/07/2021

Status: Answer Published

Additional Information

Level 1 Regulation
Markets in Financial Instruments Regulation (MiFIR) Regulation (EU) No 600/2014- MDP

Topic
* LEI (Legal Entity Identifier)

Subject Matter
MiFIR data reporting - LEI of the issuer

Question
[ESMA 70-1861941480-56 MiFIR data reporting Q&A, Q&A 2.6]

(a) In case of a financial instrument issued by an Alternative Investment Fund (AIF) or; an undertakings for collective investment in transferable securities (UCITS) , which LEI code should be reported in the field 5 (Issuer or operator of the trading venue identifier) of RTS 23

and related RTS and ITS under MAR Article 4?

(b) In case of a financial instrument issued by an umbrella fund that is an AIF or an UCITS, which LEI code should be reported in the field 5 (Issuer or operator of the trading venue identifier) of RTS 23 and related RTS and ITS under MAR Article 4?

ESMA Answer

19-07-2021

Original language

[ESMA 70-1861941480-56 MiFIR data reporting Q&A, Q&A 2.6]

(a) The LEI of the fund (AIF***[1]*** or UCITS***[2]***) should be reported in field 5 of RTS 23 and related RTS and ITS under MAR Article 4.

(b) If sub-funds are part of the umbrella fund structure, then the LEI of the sub-fund should be reported in field 5 of RTS 23.

---

[1] As defined in Article 4(1)(a) of the AIFMD.

[2] As defined in Article 1(2) of the UCITS Directive.