ESMA_QA_1503

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25/03/2022

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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
How should operators of trading venue(s) and systematic internaliser(s) populate field 5 (issuer or operator of the trading venue identifier) of Table 3 of the Annex to RTS 23 and related MAR RTS and ITS in case of depository receipts?

ESMA Answer

25-03-2022

Original language

[ESMA 70-1861941480-56 MiFIR data reporting Q&A, Q&A 2.7]

Field 5 should be populated with the LEI of the issuer of the financial instrument represented by the depository receipt in line with MAR Article 3 (1) (21)[1].

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[1] For example, in case of a depository receipt on share A field 5 should be populated with the LEI of the issuer of share A and not of the depository receipt itself.