



REGULATORY INTELLIGENCE · AUGUST 2026

GLOBAL LEI REGULATIONS REGISTER

Every regulation, rule and multilateral recommendation worldwide that requires, requests or recommends the Legal Entity Identifier, compiled for compliance teams by LEI Worldwide.

357

REGULATIONS & GUIDANCE

27

JURISDICTIONS & BODIES

174

ENTRIES WHERE THE LEI IS REQUIRED

Source: Global Legal Entity Identifier Foundation (GLEIF), Regulatory Use of the LEI. Compiled and verified by LEI Worldwide, August 2026. This register is provided for information only and does not constitute legal advice.

How to read this register

Required · the rule mandates use of the LEI.

Recommended · endorsed at national or regional level.

Approved · the instrument is in force or adopted.

Requested · the LEI is asked for where available.

Optional · the LEI is one accepted identifier among others.

Proposed · still at draft or consultation stage.

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European Union

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Commission Implementing Regulation (EU) 2025/1338 laying down implementing technical standards for the application of Regulation (EU) 2023/2859 with regard to the functionalities of the European single access point	European Single Access Point	2025	Required	Approved
EU	Commission Implementing Regulation (EU) 2025/1339 laying down implementing technical standards for the application of Regulation (EU) 2023/2859 with regard to certain tasks of the collection bodies	European Single Access Point	2025	Required	Approved
EU	Commission Delegated Regulation (EU) 2025/416 supplementing Regulation (EU) 2023/1114 with regard to regulatory technical standards specifying the content and format of order book records for crypto-asset service providers operating a trading platform for crypto-assets	MiCA	2025	Requested	Approved
EU	Council Directive (EU) 2025/50 of 10 December 2024 on faster and safer relief of excess withholding taxes	–	2025	Requested	Approved
EU	European Banking Authority (EBA) Final Report: Two sets of Guidelines on internal policies, procedures and controls to ensure the implementation of Union and national restrictive measures	Financial Institutions	2024	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Commission Implementing Regulation (EU) 2024/2977 laying down rules for the application of Regulation (EU) No 910/2014 as regards person identification data and electronic attestations of attributes issued to European Digital Identity Wallets	EU-ID / European Digital Identity Wallets (EDIW)	2024	Requested	Approved
EU	Commission Implementing Regulation (EU) 2024/2902 laying down implementing technical standards for the application of Regulation (EU) 2023/1114 with regard to reporting related to asset-referenced tokens and to e-money tokens denominated in a currency that is not an official currency of a Member State	MiCA	2024	Required	Approved
EU	Commission Implementing Regulation (EU) 2024/2956 laying down implementing technical standards for the application of Regulation (EU) 2022/2554 with regard to standard templates for the register of information	DORA	2024	Required	Approved
EU	Commission Delegated Regulation (EU) 2024/1700 supplementing Regulation (EU) 2017/2402 with regard to regulatory technical standards specifying, for STS securitisation, the content, methodologies and presentation of information related to the principal adverse impacts of the assets financed by the underlying exposures on sustainability factors	Solvency II, OGAW, AIFMD	2024	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Commission Delegated Regulation (EU) 2024/911 supplementing Directive 2009/65/EC with regard to regulatory technical standards specifying the information to be notified in relation to the cross-border activities of management companies and UCITS	UCITS	2024	Requested	Approved
EU	Regulation amending Regulations (EU) No 260/2012 and (EU) 2021/1230 and Directives 98/26/EC and (EU) 2015/2366 as regards instant credit transfers in euro	Single Euro Payments Area (SEPA)	2024	Requested	Approved
EU	Directive (EU) 2023/2864 amending certain Directives as regards the establishment and functioning of the European single access point	European Single Access Point (ESAP)	2024	Requested	Approved
EU	Regulation (EU) 2023/2869 amending certain Regulations as regards the establishment and functioning of the European single access point	European Single Access Point (ESAP)	2024	Requested	Approved
EU	Regulation (EU) 2023/2859 establishing a European single access point providing centralised access to publicly available information of relevance to financial services, capital markets and sustainability	European Single Access Point (ESAP)	2024	Requested	Approved
EU	Proposal for a Regulation on the prevention of the use of the financial system for the purposes of money laundering or terrorist financing	AML/CTF	2024	Required	Proposed

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Proposal for a Regulation on information accompanying transfers of funds and certain crypto-assets	AML/CFT	2024	Required	<i>Proposed</i>
EU	Regulation (EU) 2023/2631 on European Green Bonds and optional disclosures for bonds marketed as environmentally sustainable and for sustainability-linked bonds	Paris Agreement	2023	Requested	Approved
EU	Council Directive amending Directive 2011/16/EU on administrative cooperation in the field of taxation	–	2023	Requested	Approved
EU	Regulation (EU) 2023/1113 on information accompanying transfers of funds and certain crypto-assets and amending Directive (EU) 2015/849	Crypto-Assets	2023	Requested	Approved
EU	Regulation (EU) 2023/1114 on markets in crypto-assets, and amending Regulations (EU) No 1093/2010 and (EU) No 1095/2010 and Directives 2013/36/EU and (EU) 2019/1937	Crypto-Assets	2023	Requested	Approved
EU	Proposal for a Regulation on European green bonds COM/2021/391 final	European Green Bonds	2023	Requested	<i>Proposed</i>
EU	Opinion of the European Central Bank of 7 June 2022 on the establishment and functioning of the European Single Access Point (CON/2022/20)	–	2022	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	European Banking Authority (EBA) Guidelines on cooperation and information exchange between prudential supervisors, AML/CFT supervisors and financial intelligence units under Directive 2013/36/EU	AML/CFT	2022	Requested	Approved
EU	European Banking Authority (EBA) Draft Regulatory Technical Standards on disclosure of investment policy by investment firms under Article 52 of Regulation (EU) 2019/2033	IFD (Investment Firms Directive)	2022	Required	Approved
EU	Commission Delegated Regulation (EU) 2021/1456 specifying the conditions under which the commercial terms for clearing services for OTC derivatives are to be considered to be fair, reasonable, non-discriminatory and transparent	EMIR	2022	Requested	Approved
EU	European Systemic Risk Board (ESRB) Occasional Paper Series No 18: The benefits of the Legal Entity Identifier for monitoring systemic risk	–	2021	Recommended	Approved
EU	European Court of Auditors Special Report: Investment funds. EU actions have not yet created a true single market benefiting investors	–	2021	Requested	Approved
EU	European Insurance and Occupational Pensions Authority (EIOPA) Guidelines on Legal Entity Identifier	Insurance and Reinsurance	2021	Recommended	Approved
EU	Directive on credit servicers and credit purchasers and amending Directives 2008/48/EC and 2014/17/EU	–	2021	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Commission Delegated Regulation (EU) 2021/1722 supplementing Directive (EU) 2015/2366 with regard to regulatory technical standards specifying the framework for cooperation and the exchange of information between competent authorities in the context of supervision of payment institutions and electronic money institutions exercising cross-border provision of payment services	PSD II (Payment Services)	2021	Required	Approved
EU	Commission Implementing Regulation (EU) 2021/453 laying down implementing technical standards for the application of Regulation (EU) No 575/2013 with regard to the specific reporting requirements for market risk	CRR (Capital Requirements Regulation)	2021	Required	Approved
EU	Commission Implementing Regulation laying down rules for the application of Directive (EU) 2017/1132 as regards technical specifications and procedures for the system of interconnection of registers	Company Law Directive	2021	Required	Proposed
EU	Commission Implementing Regulation (EU) 2021/637 laying down implementing technical standards with regard to public disclosures by institutions of the information referred to in Titles II and III of Part Eight of Regulation (EU) No 575/2013	Basel III	2021	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Commission Implementing Regulation (EU) 2020/1225 laying down implementing technical standards with regard to the format and standardised templates for making available the information and details of a securitisation by the originator, sponsor and SSPE	Securitisation Regulation	2021	Required	Approved
EU	Eurosystem reply to the European Commission's public consultations on the Renewed Sustainable Finance Strategy and the revision of the Non-Financial Reporting Directive	–	2020	Requested	Approved
EU	European Systemic Risk Board (ESRB) Recommendation on identifying legal entities (ESRB/2020/12)	–	2020	Requested	Approved
EU	European Banking Authority (EBA) Report on the Future AML/CFT Framework in the EU	–	2020	Requested	Approved
EU	ESCB/European banking supervision response to the European Commission's public consultation on a new digital finance strategy for Europe/FinTech action plan	–	2020	Requested	Approved
EU	European Securities and Markets Authority (ESMA) response to the European Commission's Consultation on a New Digital Finance Strategy for Europe	–	2020	Requested	Approved

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EU	Commission Delegated Regulation (EU) 2020/1226 and Commission Implementing Regulation (EU) 2020/1227 on the information and templates to be provided in accordance with the STS notification requirements	Regulation (EU) 2017/2402 (Securitisation)	2020	Not stated	Approved
EU	Regulation (EU) No 1333/2014 of the European Central Bank concerning statistics on the money markets (ECB/2014/48)	Money Market Statistical Reporting (MMSR)	2020	Requested	Approved
EU	Commission Delegated Regulation (EU) 2018/1229 supplementing Regulation (EU) No 909/2014 with regard to regulatory technical standards on settlement discipline	CSDR (Central Securities Depositories)	2020	Required	Approved
EU	Guideline (EU) 2020/497 of the European Central Bank on the recording of certain data by national competent authorities in the Register of Institutions and Affiliates Data (ECB/2020/16)	Prudential supervision of credit institutions	2020	Required	Approved
EU	Money Market Fund Reporting Technical Reporting Instructions	MMF (Money Market Fund Regulation)	2020	Required	Approved
EU	Commission Delegated Regulation (EU) 2020/1224 supplementing Regulation (EU) 2017/2402 with regard to regulatory technical standards specifying the information and the details of a securitisation to be made available by the originator, sponsor and SSPE	Securitisation Regulation	2020	Required	Approved

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EU	European Securities and Markets Authority (ESMA) Further technical details for the reporting of Securities Financing Transactions (SFTs) as required under the SFT Regulation	SFTR	2019	Required	Approved
EU	European Securities and Markets Authority (ESMA) Questions and Answers on the Securitisation Regulation	Securitisation Regulation	2019	Required	Approved
EU	European Securities and Markets Authority (ESMA) Questions and Answers on MiFID II and MiFIR commodity derivatives topics	MiFID II/MiFIR	2019	Required	Approved
EU	European Securities and Markets Authority (ESMA) Questions and Answers on the Application of the AIFMD	AIFMD	2019	Required	Approved
EU	Commission Implementing Regulation (EU) 2020/1406 laying down implementing technical standards with regard to procedures and forms for exchange of information and cooperation between competent authorities, ESMA, the Commission and other entities under Articles 24(2) and 25 of Regulation (EU) No 596/2014 on market abuse	MAR (Market Abuse Regulation)	2019	Optional	Approved
EU	Fitness Check of EU Supervisory Reporting Requirements Report	–	2019	Requested	Approved

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EU	Commission Delegated Regulation (EU) 2018/1645 supplementing Regulation (EU) 2016/1011 with regard to regulatory technical standards for the form and content of the application for recognition with the competent authority of the Member State of reference	Benchmark Regulation	2019	Required	Approved
EU	European Securities and Markets Authority (ESMA) Final Report: Securitisation Regulation technical standards on securitisation repository application requirements, operational standards, and access conditions	Securitisation Regulation	2019	Required	Proposed
EU	Commission Implementing Regulation (EU) 2018/1844 amending and correcting Implementing Regulation (EU) 2015/2450 laying down implementing technical standards with regard to the templates for the submission of information to the supervisory authorities	Solvency II	2019	Required	Approved
EU	Commission Implementing Regulation (EU) 2019/363 laying down implementing technical standards with regard to the format and frequency of reports on the details of securities financing transactions (SFTs) to trade repositories	SFTR	2019	Required	Approved

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EU	Regulation (EU) 2019/834 amending Regulation (EU) No 648/2012 as regards the clearing obligation, reporting requirements, risk-mitigation techniques and trade repositories (EMIR REFIT)	EMIR	2019	Required	Approved
EU	European Securities and Markets Authority (ESMA) Consultation Paper: Draft technical advice on minimum information content for prospectus exemption	Prospectus Regulation	2019	Required	Proposed
EU	European Securities and Markets Authority (ESMA) Questions and Answers on the implementation of Regulation (EU) No 909/2014 on improving securities settlement in the EU and on central securities depositories	CSDR (Central Securities Depositories)	2018	Required	Approved
EU	European Banking Authority (EBA) Final Report on Draft Regulatory Technical Standards under Article 8(2) and Draft Implementing Technical Standards under Article 8(3) of Directive 2013/36/EU	EMIR	2018	Required	Proposed
EU	European Banking Authority (EBA) XBRL Filing Rules	–	2018	Required	Approved
EU	European Securities and Markets Authority (ESMA) Final Report: MiFID II/MiFIR draft Technical Standards on authorisation, passporting, registration of third country firms and cooperation between competent authorities	MiFID II/MiFIR	2018	Requested	Approved

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EU	European Securities and Markets Authority (ESMA) Final Report: Draft regulatory technical standards on settlement discipline under Regulation (EU) No 909/2014 (CSDR)	CSDR (Central Securities Depositories)	2018	Required	Proposed
EU	European Securities and Markets Authority (ESMA) Draft Implementing Technical Standards on forms and procedures for cooperation under Article 24 and 25 of Regulation (EU) No 596/2014 on market abuse	MAR (Market Abuse Regulation)	2018	Required	Proposed
EU	Commission Implementing Regulation (EU) 2018/708 laying down implementing technical standards with regard to the template to be used by managers of money market funds when reporting to competent authorities	UCITS	2018	Required	Approved
EU	Commission Implementing Regulation (EU) 2018/1212 laying down minimum requirements implementing Directive 2007/36/EC as regards shareholder identification, the transmission of information and the facilitation of the exercise of shareholders rights	Shareholder Rights Directive	2018	Required	Approved
EU	Commission Implementing Regulation (EU) 2018/1624 laying down implementing technical standards with regard to procedures, standard forms and templates for the provision of information for the purposes of resolution plans for credit institutions and investment firms	BRRD (Bank Recovery and Resolution)	2018	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Commission Delegated Regulation (EU) 2017/576 with regard to regulatory technical standards for the annual publication by investment firms of information on the identity of execution venues and on the quality of execution	MiFID II/MiFIR	2018	Required	Approved
EU	Commission Delegated Regulation (EU) 2017/575 with regard to regulatory technical standards concerning the data to be published by execution venues on the quality of execution of transactions	MiFID II/MiFIR	2018	Required	Approved
EU	Commission Delegated Regulation (EU) 2017/580 with regard to regulatory technical standards for the maintenance of relevant data relating to orders in financial instruments	MiFID II/MiFIR	2018	Required	Approved
EU	Commission Delegated Regulation (EU) 2017/589 with regard to regulatory technical standards specifying the organisational requirements of investment firms engaged in algorithmic trading	MiFID II/MiFIR	2018	Required	Approved
EU	Commission Delegated Regulation (EU) 2017/583 with regard to regulatory technical standards on transparency requirements for trading venues and investment firms in respect of bonds, structured finance products, emission allowances and derivatives	MiFID II/MiFIR	2018	Required	Approved

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EU	Commission Delegated Regulation (EU) 2017/585 with regard to regulatory technical standards for the data standards and formats for financial instrument reference data	MiFID II/MiFIR	2018	Required	Approved
EU	Commission Implementing Regulation (EU) 2017/1093 laying down implementing technical standards with regard to the format of position reports by investment firms and market operators	MiFID II/MiFIR	2018	Required	Approved
EU	Commission Implementing Regulation (EU) 2017/1486 amending Implementing Regulation (EU) 2016/2070 as regards benchmarking portfolios and reporting instructions	CRR (Capital Requirements Regulation)	2017	Required	Approved
EU	European Banking Authority (EBA) new DPM and XBRL taxonomy 2.5 for remittance of supervisory reporting	–	2017	Requested	Approved
EU	Commission Delegated Regulation (EU) 2015/3 with regard to regulatory technical standards on disclosure requirements for structured finance instruments	CRA I (Credit Rating Agencies)	2017	Required	Approved
EU	Regulation (EU) 2015/2365 on transparency of securities financing transactions and of reuse and amending Regulation (EU) No 648/2012	SFTR	2017	Required	Approved
EU	European Securities and Markets Authority (ESMA) MiFID II/MiFIR Regulatory technical and implementing standards, Annex I	MiFID II/MiFIR	2017	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	European Securities and Markets Authority (ESMA) Final Report: Draft Regulatory Technical Standards on European Electronic Access Point (EEAP)	–	2017	Required	Approved
EU	European Securities and Markets Authority (ESMA) Final Report: Draft Regulatory Technical Standards for CRA 3	CRA III (Credit Rating Agencies)	2017	Required	Approved
EU	Commission Implementing Regulation (EU) 2016/2070 laying down implementing technical standards for templates, definitions and IT-solutions to be used by institutions when reporting to the European Banking Authority	CRR (Capital Requirements Regulation)	2017	Required	Approved
EU	Commission Delegated Regulation (EU) 2016/1437 with regard to regulatory technical standards on access to regulated information at Union level	Transparency Directive	2017	Required	Approved
EU	Commission Delegated Regulation (EU) 2017/2055 with regard to regulatory technical standards for the cooperation and exchange of information between competent authorities relating to the exercise of the right of establishment and the freedom to provide services of payment institutions	PSD II (Payment Services)	2017	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Commission Implementing Regulation (EU) 2017/394 laying down implementing technical standards with regard to standard forms, templates and procedures for authorisation, review and evaluation of central securities depositories	CSDR (Central Securities Depositories)	2017	Required	Approved
EU	Commission Implementing Regulation (EU) 2017/393 laying down implementing technical standards with regard to the templates and procedures for the reporting and transmission of information on internalised settlements	CSDR (Central Securities Depositories)	2017	Required	Approved
EU	European Securities and Markets Authority (ESMA) Final Report: Technical standards under SFTR and certain amendments to EMIR	SFTR	2017	Required	Approved
EU	Regulation (EU) 2017/1129 on the prospectus to be published when securities are offered to the public or admitted to trading on a regulated market	Prospectus Regulation	2017	Required	Approved
EU	Commission Implementing Regulation (EU) 2017/1005 with regard to the format and timing of the communications and the publication of the suspension and removal of financial instruments	MiFID II/MiFIR	2017	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Commission Implementing Regulation (EU) 2017/1443 amending Commission Implementing Regulation (EU) No 680/2014 laying down implementing technical standards with regards to supervisory reporting of institutions	CRR (Capital Requirements Regulation)	2017	Required	Approved
EU	European Securities and Markets Authority (ESMA) Final Report: Draft technical standards on data to be made publicly available by trade repositories under Article 81 of EMIR	EMIR	2017	Required	Proposed
EU	Commission Delegated Regulation (EU) 2017/392 with regard to regulatory technical standards on authorisation, supervisory and operational requirements for central securities depositories	CSDR (Central Securities Depositories)	2017	Required	Approved
EU	European Securities and Markets Authority (ESMA) Questions and Answers on MiFIR data reporting	MIFID II/MiFIR	2017	Requested	Approved
EU	Regulation (EU) 2016/867 of the European Central Bank on the collection of granular credit and credit risk data (ECB/2016/13)	AnaCredit	2017	Requested	Approved
EU	Guideline (EU) 2017/2335 of the European Central Bank on the procedures for the collection of granular credit and credit risk data (ECB/2017/38)	AnaCredit	2017	Requested	Approved
EU	Regulation (EU) No 600/2014 on markets in financial instruments and amending Regulation (EU) No 648/2012 (MiFIR)	MIFID II/MiFIR	2017	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Directive 2009/138/EC on the taking-up and pursuit of the business of Insurance and Reinsurance (Solvency II)	Solvency II	2016	Required	Approved
EU	Commission Delegated Regulation (EU) 2015/1 with regard to regulatory technical standards for the periodic reporting on fees charged by credit rating agencies	CRA I (Credit Rating Agencies)	2016	Required	Approved
EU	Commission Delegated Regulation (EU) 2015/2 with regard to regulatory technical standards for the presentation of the information that credit rating agencies make available to ESMA	CRA I (Credit Rating Agencies)	2016	Required	Approved
EU	Commission Implementing Regulation (EU) 2015/2452 laying down implementing technical standards with regard to the procedures, formats and templates of the solvency and financial condition report	Solvency II	2016	Required	Approved
EU	Commission Implementing Regulation (EU) 2016/378 laying down implementing technical standards with regard to the timing, format and template of the submission of notifications to competent authorities	MAR (Market Abuse Regulation)	2016	Required	Approved
EU	Commission Implementing Regulation (EU) 2016/523 laying down implementing technical standards with regard to the format and template for notification and public disclosure of managers' transactions	MAR (Market Abuse Regulation)	2016	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Commission Delegated Regulation (EU) 2016/2022 with regard to regulatory technical standards concerning the information for registration of third-country firms and the format of information to be provided to the clients	MiFID II/MiFIR	2016	Required	Approved
EU	Commission Delegated Regulation (EU) 2017/590 with regard to regulatory technical standards for the reporting of transactions to competent authorities	MiFID II/MiFIR	2016	Required	Approved
EU	Commission Delegated Regulation (EU) 2016/1712 with regard to regulatory technical standards specifying a minimum set of the information on financial contracts that should be contained in the detailed records	BRRD (Bank Recovery and Resolution)	2016	Requested	Approved
EU	European Securities and Markets Authority (ESMA) Guidelines on transaction reporting, order record keeping and clock synchronisation under MiFID II	MiFID II/MiFIR	2016	Required	Approved
EU	European Securities and Markets Authority (ESMA) Final Report: Draft implementing technical standards under MiFID II	MiFID II/MiFIR	2016	Required	Approved
EU	European Securities and Markets Authority (ESMA) Final Report: Draft technical standards on the Market Abuse Regulation	MAR (Market Abuse Regulation)	2016	Required	Approved
Luxembourg	Circular CSSF 15/627 of 3 December 2015	–	2016	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	European Insurance and Occupational Pensions Authority (EIOPA) BoS-14-026 Guidelines on the use of LEI	–	2015	Required	Approved
EU	Commission Delegated Regulation (EU) 2015/2303 with regard to regulatory technical standards specifying the definitions and coordinating the supplementary supervision of risk concentration and intra-group transactions	FICOD (Financial Conglomerates)	2015	Requested	Approved
EU	Commission Implementing Regulation (EU) No 1348/2014 on data reporting implementing Article 8(2) and Article 8(6) of Regulation (EU) No 1227/2011 on wholesale energy market integrity and transparency	REMIT	2015	Requested	Approved
EU	Regulation (EU) No 648/2012 on OTC derivatives, central counterparties and trade repositories (EMIR)	EMIR	2014	Required	Approved
EU	Commission Implementing Regulation (EU) No 1247/2012 laying down implementing technical standards with regard to the format and frequency of trade reports to trade repositories	EMIR	2014	Required	Approved
EU	European Banking Authority (EBA) Regulation (EU) No 575/2013 Capital Requirements Regulation (CRR)	CRR (Capital Requirements Regulation)	2014	Requested	Approved
EU	European Banking Authority (EBA) Recommendation on the use of the Legal Entity Identifier (LEI)	–	2014	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	European Securities and Markets Authority (ESMA) Guidelines on reporting obligations under Articles 3(3) (d) and 24(1), (2) and (4) of the AIFMD	AIFMD	2014	Requested	Approved
EU	Commission Implementing Regulation (EU) No 680/2014 laying down implementing technical standards with regard to supervisory reporting of institutions according to Regulation (EU) No 575/2013	–	2014	Requested	Approved
EU	Commission Implementing Regulation (EU) No 1249/2012 laying down implementing technical standards with regard to the format of the records to be maintained by central counterparties	EMIR	2013	Required	Approved
EU	European Securities and Markets Authority (ESMA) Questions and Answers on the implementation of Regulation (EU) No 648/2012 on OTC derivatives, central counterparties and trade repositories (EMIR)	EMIR	2005	Required	Approved
EU	Proposal for a Regulation amending Regulation (EU) No 648/2012 as regards the clearing obligation, reporting requirements, risk-mitigation techniques, and the registration and supervision of trade repositories	EMIR	–	Required	Proposed
EU	EIOPA initiative on pensions data: Decision of the Board of Supervisors on EIOPA's regular information requests towards NCAs regarding provision of occupational pensions information	EIOPA Founding Regulation; IORP Directive	–	Optional	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
EU	Directive 2009/65/EC on the coordination of laws, regulations and administrative provisions relating to undertakings for collective investment in transferable securities (UCITS)	UCITS	–	Requested	Approved

United Kingdom

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
UK	Bank of England Additional Guidance: Detail on Mandating ISO 20022 Enhanced Data in CHAPS	CHAPS Payments	2024	Required	Approved
UK	Bank of England Policy statement and consultation: Mandating ISO 20022 enhanced data in CHAPS	CHAPS Payments	2023	Requested	Approved
UK	Bank of England: Charting the Future of Post-Trade. Findings from the Post-Trade Task Force	–	2022	Requested	Approved
UK	The Bank of England and fintech: public support for private innovation (speech by Dave Ramsden)	–	2021	Requested	Approved
UK	UK Securities Financing Transactions Regulation	–	2021	Required	Approved
UK	UK EMIR	–	2021	Required	Approved
UK	Commission Delegated Regulation 2017/585 (RTS 23) as onshored	UK MiFIR	2021	Required	Approved
UK	Commission Delegated Regulation 2017/590 (RTS 22) as onshored	UK MiFIR	2021	Required	Approved
UK	Securitisation Regulation (onshored)	–	2020	Required	Approved
UK	Instructions for completing PRA110	–	2020	Required / Requested	Approved
UK	Bank of England response to the van Steenis review on the Future of Finance	–	2019	Requested	Approved
UK	RFB008: Excluded activities and prohibitions	–	2019	Required / Requested	Approved
UK	RFB007: Use of financial market infrastructures	–	2019	Required / Requested	Approved
UK	RFB006: Excluded activity entities	–	2019	Required / Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
UK	RFB005: Joint and several liability arising from taxes	–	2019	Required / Requested	Approved
UK	RFB004: Intragroup financial reporting	–	2019	Required / Requested	Approved
UK	RFB003: Intragroup financial reporting (core)	–	2019	Required / Requested	Approved
UK	RFB002: Intragroup funding	–	2019	Required / Requested	Approved
UK	RFB001: Intragroup exposures	–	2019	Required / Requested	Approved
UK	PRA109: Operational continuity	–	2019	Required / Requested	Approved
UK	Instructions for forecast profit or loss template (PRA107)	–	2018	Required / Requested	Approved
UK	Instructions for forecast balance sheet templates (PRA104 to PRA106)	–	2018	Required / Requested	Approved
UK	Instructions on filling in data-points in PRA103 Capital+ forecast annual	–	2018	Required / Requested	Approved
UK	Instructions on filling in data-points in PRA102 Capital+ forecast	–	2018	Required / Requested	Approved
UK	Instructions on filling in data-points in PRA101 Capital+	–	2018	Required / Requested	Approved
UK	UK Prospectus Regulation	–	2017	Required	Approved
UK	Loan level data collection for buy to let lending	Section 17 of the Bank of England Act 1998	2017	Requested	Approved
UK	Bank of England Prudential Regulation Authority (PRA) Recommendation to Obtain Legal Entity Identifier	–	2014	Required	Approved
UK	Sterling Money Market Daily Reporting (SMMD)	Bank of England Act 1998	–	Required	Approved

United States

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
US	Consumer Financial Protection Bureau (CFPB) 12 CFR Part 1092, Registry of Nonbank Covered Persons Subject to Certain Agency and Court Orders	Consumer Financial Protection Act (CFPA)	2025	Required	Approved
US	Securities and Exchange Commission 17 CFR Parts 232, 239, 249, 269, and 274 EDGAR Filer Access and Account Management	–	2025	Requested	Approved
US	Commodity Futures Trading Commission (CFTC) 17 CFR Part 17 Large Trader Reporting Requirements	Commodity Exchange Act (CEA)	2024	Requested	Approved
US	Department of the Treasury Office of Financial Research 12 CFR Part 1610 Ongoing Data Collection of Non-Centrally Cleared Bilateral Transactions in the U.S. Repurchase Agreement Market	Dodd-Frank Act	2024	Requested	Approved
US	Consumer Financial Protection Bureau (CFPB) 12 CFR 1002, Small Business Lending Under the Equal Credit Opportunity Act (Regulation B)	Dodd-Frank Act	2024	Requested	Approved
US	Commodity Futures Trading Commission (CFTC) and Securities and Exchange Commission 17 CFR Parts 275 and 279 Form PF; Reporting Requirements for All Filers and Large Hedge Fund Advisers	Dodd-Frank Act	2024	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
US	U.S. Customs and Border Protection (CBP) 89 FR 9859: National Customs Automation Program Test Concerning the Submission of Certain Unique Entity Identifiers for the Global Business Identifier Evaluative Proof of Concept	Paperwork Reduction Act of 1995	2024	Required	Approved
US	Securities and Exchange Commission 17 CFR Part 240, Reporting of Securities Loans	Securities Exchange Act 1934	2023	Requested	Approved
US	Securities and Exchange Commission 17 CFR Parts 200, 201, 232, 240, 242, and 249, Security-Based Swap Execution and Registration and Regulation of Security-Based Swap Execution Facilities	Securities Exchange Act 1934	2023	Requested	Approved
US	Securities and Exchange Commission 17 CFR Parts 240 and 249, Short Position and Short Activity Reporting by Institutional Investment Managers	Securities Exchange Act 1934	2023	Requested	Approved
US	Securities and Exchange Commission (SEC) Proposed Rule: Amendments for Enhanced Disclosures by Certain Investment Advisers and Investment Companies About ESG Investment Practices, Form N-CEN	Securities Exchange Act	2022	Required	Proposed
US	Securities and Exchange Commission (SEC) Proposed Rule: Short Position and Short Activity Reporting by Institutional Investment Managers	Securities Exchange Act	2022	Required	Proposed

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
US	Securities and Exchange Commission (SEC) Proposed Rule: Amendments Regarding the Definition of Exchange and Alternative Trading Systems (ATSS)	Securities Exchange Act	2022	Required	Proposed
US	SEC: Statement on Rules Relating to Security-Based Swap Execution and Registration and Regulation of Security-Based Swap Execution Facilities	–	2022	Requested	Approved
US	Securities Exchange Commission (SEC) 17 CFR 275, 279, Amendments to Form PF To Require Current Reporting for Large Private Equity Advisers and Large Liquidity Fund Advisers	Investment Advisers Act	2022	Required	Proposed
US	Securities and Exchange Commission (SEC) 17 CFR 270, Money Market Fund Reforms	Investment Company Act	2022	Required	Proposed
US	Department of the Treasury Financial Crimes Enforcement Network (FinCEN) 31 CFR Part 1010, Beneficial Ownership Information Reporting Requirements	Corporate Transparency Act (CTA)	2022	Requested	Proposed
US	H.R.2989 Financial Transparency Act of 2022	Financial Transparency Act	2022	Required	Approved
US	Securities and Exchange Commission (SEC) 17 CFR Parts 232, 240, 249, 270, and 274, Amended Form N-PX	Investment Company Act	2022	Requested	Proposed
US	SEC: The Lessons of Structured Data	–	2021	Requested	Approved
US	Federal Energy Regulatory Commission (FERC) Data Collection for Analytics and Surveillance and Market-Based Rate Purposes	Federal Power Act (FPA)	2021	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
US	Federal Energy Regulatory Commission (FERC) Docket No. RM16-17-000 18 CFR Part 35 Data Collection for Analytics and Surveillance and Market-Based Rate Purposes	–	2020	Requested	Approved
US	Commodity Futures Trading Commission Final Rule for Trade Options	CEA (Commodity Exchange Act)	2020	Required	Approved
US	Securities and Exchange Commission (SEC) 17 CFR Parts 200, 240, and 249 Recordkeeping and Reporting Requirements for Security-Based Swap Dealers, Major Security-Based Swap Participants, and Broker-Dealers	Dodd-Frank Act	2020	Required	Approved
US	Commodities Futures Trading Commission (CFTC) 17 CFR Parts 43, 45, and 49 Certain Swap Data Repository and Data Reporting Requirements	CEA (Commodity Exchange Act)	2020	Required	Approved
US	FINRA Rule 6800 Series (Consolidated Audit Trail Compliance Rule)	Securities Exchange Act	2020	Required	Approved
US	Securities and Exchange Commission (SEC) Amended Form G-32	Electronic Municipal Market Access (EMMA)	2020	Requested	Approved
US	Commodity Futures Trading Commission (CFTC) 17 CFR Parts 45, 46 and 49	CEA (Commodity Exchange Act)	2020	Required	Approved
US	Department of the Treasury 12 CFR Part 1610 Ongoing Data Collection of Centrally Cleared Transactions in the U.S. Repurchase Agreement Market	Dodd-Frank Act	2019	Required	Approved
US	Federal Financial Institutions Examination Council (FFIEC) "A Guide to HMDA Reporting: Getting It Right!"	HMDA (Home Mortgage Disclosure Act)	2018	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
US	Home Mortgage Disclosure (Regulation C)	HMDA (Home Mortgage Disclosure Act)	2018	Required	Approved
US	Reporting Forms FFIEC 016: Annual Dodd-Frank Act Company-Run Stress Test Report for Depository Institutions and Holding Companies with \$10-\$50 Billion in Total Consolidated Assets	Dodd-Frank Act	2018	Requested	Approved
US	Commodities Futures Trading Commission (CFTC) 17 CFR Part 49: Proposed Amendments to the Swap Data Access Provisions of Part 49 and Certain Other Matters	CEA (Commodity Exchange Act)	2017	Required	Proposed
US	Federal Deposit Insurance Corporation (FDIC) 12 CFR Part 371 Recordkeeping Requirements for Qualified Financial Contracts	12 CFR Part 371 (QFC)	2017	Required	Approved
US	Department of the Treasury, Federal Reserve, FDIC, FHFA, SEC and HUD: Credit Risk Retention Rule	Securities Exchange Act	2016	Requested	Approved
US	Securities and Exchange Commission (SEC) Investment Company Reporting Modernization (Release Nos. 33-10231; 34-79095; IC-32314)	Investment Company Act	2016	Required	Approved
US	Department of the Treasury 31 CFR Part 148 Qualified Financial Contracts Recordkeeping Related to Orderly Liquidation Authority	Dodd-Frank Act	2016	Required	Approved
US	Reporting Forms FFIEC 031 and 041: Consolidated Reports of Condition and Income for a Bank with Domestic and Foreign Offices	FFIEC Quarterly Consolidated Reports	2016	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
US	17 CFR Parts 15, 17, 18 and 20: Final rules on Ownership and Control Reports and Forms 102/102S, 40/40S, and 71	Dodd-Frank Act	2016	Requested	Approved
US	FFIEC Form 101: Quarterly Regulatory Capital Reporting for Institutions Subject to the Advanced Capital Adequacy Framework	–	2016	Requested	Approved
US	FFIEC Form 102: Market Risk Regulatory Report for Institutions Subject to the Market Risk Capital Rule	–	2016	Requested	Approved
US	FFIEC Form 009/009A: Country Exposure Report / Country Exposure Information Report	–	2016	Requested	Approved
US	Commodity Futures Trading Commission (CFTC) Ownership and Control Reports, Forms 102/102S, 40/40S, and 71; Final Rule	CEA (Commodity Exchange Act)	2015	Requested	Approved
US	Securities and Exchange Commission (SEC) Form ADV uniform application for investment adviser registration and report by exempt reporting advisers	Investment Advisers Act	2015	Requested	Approved
US	Federal Reserve Announcement of Board Approval Under Delegated Authority and Submission to OMB	–	2015	Requested	Approved
US	Securities and Exchange Commission 17 CFR Parts 230, 239, 270, 274 and 279 Money Market Fund Reform; Amendments to Form PF	Investment Company Act	2015	Requested	Approved
US	Securities and Exchange Commission 17 CFR Part 242 Regulation SBSR: Reporting and Dissemination of Security-Based Swap Information	Securities Exchange Act	2015	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
US	Securities and Exchange Commission (SEC) Nationally Recognized Statistical Rating Organization (NRSRO)	–	2014	Requested	Approved
US	Federal Reserve Annual Report of Foreign Banking Organizations (FR Y-7)	–	2014	Required	Approved
US	Commodity Futures Trading Commission (CFTC) Form TO	CEA (Commodity Exchange Act)	2014	Requested	Approved
US	Municipal Securities Rulemaking Board (MSRB) Registration Form A-12	–	2014	Required	Approved
US	Securities and Exchange Commission 17 CFR Parts 232, 240, 249, and 249b Nationally Recognized Statistical Rating Organizations Final Rule	–	2014	Requested	Approved
US	Securities and Exchange Commission (SEC) Form N-MFP Monthly Schedule of Portfolio Holdings of Money Market Funds	–	2014	Requested	Approved
US	National Association of Insurance Commissioners (NAIC) 2013 Annual Statement and 2014 Quarterly Statement Filing Guidance for the LEI Electronic Only Column in the Investment Schedules	–	2013	Requested	Approved
US	Commodity Futures Trading Commission (CFTC) and SEC 17 CFR Parts 4, 275 and 279 Reporting by Investment Advisers to Private Funds on Form PF; Final Rule	Investment Advisers Act	2013	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
US	Securities and Exchange Commission (SEC) Form PF Reporting Form for Investment Advisers to Private Funds and Certain Commodity Pool Operators and Commodity Trading Advisors	Investment Advisers Act	2013	Requested	Approved
US	Federal Reserve Annual Report of Changes in Organizational Structure (FR Y-10)	–	2012	Required	Approved
US	Securities and Exchange Commission (SEC) 17 CFR Parts 275 and 279 Rules Implementing Amendments to the Investment Advisers Act of 1940	Investment Advisers Act	2012	Requested	Approved
US	Commodity Futures Trading Commission (CFTC) Swap Data Record Keeping and Reporting Rule (Parts 45 and 46)	CEA (Commodity Exchange Act)	2012	Required	Approved
US	Securities and Exchange Commission (SEC) 17 CFR Part 242 Consolidated Audit Trail; Final Rule	–	2012	Optional	Approved

Canada, Mexico & Latin America

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Canada	The Canadian Standards Association (CSA) Derivatives Data Technical Manual, July 25, 2024	Securities Commission Rule 91-507	2025	Required	Approved
Brazil	B20 Brasil 2024 (Brazilian National Confederation of Industry) Task Force on Finance & Infrastructure Policy Paper	–	2024	Recommended	Approved
Canada	IIROC Dealer Member Rules: DRAFT amendments to IIROC Rule 18-0122 Universal Market Integrity Rules (UMIR) and the Dealer Member Rules (DMR)	UMIR / DMR	2021	Required	Approved
Canada	Investment Industry Regulatory Organization of Canada (IIROC) Rules Notice 19-0071, Amendments Respecting Client Identifiers	UMIR / DMR	2019	Required	Approved
Mexico	Central Bank of Mexico: Guía dirigida a los Intermediarios Financieros para el uso del Código LEI	–	2018	Required	Approved
Argentina	CNV General Resolution 775/2018	National Securities Commission (CNV)	2018	Requested	Approved
Argentina	Banco Central de la Republica Argentina, COMUNICACIÓN A 6387 of 12 November 2017	–	2018	Requested	Approved
Canada	CSA Notice of National Instrument 94-102 Derivatives: Customer Clearing and Protection of Customer Collateral and Positions	Derivatives Act	2017	Required	Approved
Mexico	CIRCULAR 25/2017: modifications to Circular 4/2012 (Operaciones Derivadas) for credit institutions, brokerage houses, investment funds and other financial entities	–	2017	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Brazil	Federal Revenue of Brazil (RFB) Instrução Normativa RFB nº 1634 (Normative Instruction No. 1,634)	Corporate Taxpayers Registry	2017	Requested	Approved
Canada	British Columbia Securities Commission (BCSC) National Instrument 24-102 Clearing Agency Requirements	Securities Act	2016	Requested	Approved
Canada	Ontario Securities Commission Rule 91-507 Trade Repositories and Derivatives Data Reporting	Derivatives Act	2016	Requested	Approved
Canada	Alberta Securities Commission (ASC) 96-101 Trade Repositories and Derivatives Data Reporting [MI]	Derivatives Act	2016	Required	Approved
Canada	CSA Notice of Amendments to National Instrument 45-106 Prospectus Exemptions relating to Reports of Exempt Distribution	–	2016	Requested	Approved
Canada	Autorité des marchés financiers (AMF) Québec Regulation 91-507 respecting trade repositories and derivatives data reporting	Derivatives Act	2016	Requested	Approved
Canada	Amendments to OSC Rule 91-507 Trade Repositories and Derivatives Data Reporting	Derivatives Act	2016	Requested	Approved
Canada	CSA Multilateral Notice of Approval Instrument 91-101 Derivatives: Product Determination and Multilateral Instrument 96-101 Trade Repositories and Derivatives Data Reporting	Derivatives Act	2016	Requested	Approved
Canada	Province of British Columbia Rule of the BCSC: Multilateral Instrument 96-101 Trade Repositories and Derivatives Data Reporting	Derivatives Act	2016	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Canada	Manitoba Securities Commission (MSC) Rule 2016-11 91-507 Trade Repositories and Derivatives Data Reporting Amendments	Derivatives Act	2016	Required	Approved
Canada	Rule 2800C Transaction Reporting for Debt Securities	–	2016	Requested	Approved
Canada	Investment Industry Regulatory Organization of Canada (IIROC) Canada Debt Securities Transaction Reporting	Derivatives Act	2015	Requested	Approved
Argentina	Central Bank of Argentina Announcements A 5642 and B 11029	–	2015	Required	Approved
Canada	Ontario Securities Commission (OSC); Manitoba Securities Commission (MSC); Autorité des marchés financiers (AMF); Alberta Securities Commission (ASC); British Columbia Securities Commission (BCSC); Nova Scotia Securities Commission	Derivatives Act	2014	Required	Approved
Canada	British Columbia Securities Commission 96-303 Derivatives Data Reporting Transition Guidance [CSA Staff Notice]; Multilateral Instrument 96-101	–	–	Not stated	Approved
Mexico	Banco de Mexico Circular 14/2015, as modified by Circular 24/2017 of 27 December 2017	–	–	Required	Approved

Asia-Pacific

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Australia	Australian Transaction Reports and Analysis Centre (AUSTRAC) Anti-Money Laundering and Counter-Terrorism Financing Rules 2025	Anti-Money Laundering and Counter-Terrorism Financing Act 2006	2025	Required	Approved
China	Standardization Administration of China (SAC) National Standard (GB/T)	–	2025	Recommended	Approved
Japan	Financial Services Agency of Japan: Guidelines for Creating, Recordkeeping and Reporting of Transaction Information under the Cabinet Office Order on the Regulation of Over-the-Counter Derivatives Transactions	FIEA: Financial Instruments and Exchange Act (Act No. 25 of 1948)	2024	Requested	Approved
China	No. 21 [2023] of the General Department of the State Administration of Foreign Exchange	Administrative Specification on Code Standards of Information Systems of SAFE	2023	Optional	Approved
India	Securities and Exchange Board of India (SEBI) Circular SEBI/HO/DDHS/DDHS_DivI/P/CIR/2023/64 of May 3, 2023	Securities and Exchange Board of India Act, 1992	2023	Required	Approved
India	SEBI Circular of July 27, 2023: Mandating Legal Entity Identifier for all non-individual Foreign Portfolio Investors (FPIs)	Foreign Portfolio Investors Regime	2023	Required	Approved
South Korea	Financial Regulatory Innovation Committee (FRIC) Revision Bill abolishing the foreign investor registration requirement	Financial Investment Services and Capital Markets Act (FSCMA)	2023	Required	Approved
Australia	Australian Securities and Investments Commission (ASIC) Derivative Transaction Rules (Reporting) 2024	–	2022	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
China	People's Bank of China: Five-Year Plan for Financial Standardization	–	2022	Requested	Approved
China	Cross-Border Interbank Payment System (CIPS): Promote LEI in RMB Cross-border Payment Ecosystem	–	2022	Requested	Approved
Hong Kong	Investor identification regime at trading level for the securities market in Hong Kong (HKIDR)	Code of Conduct, paragraph 5.6	2022	Optional	Approved
India	Reserve Bank of India RBI/2022-23/34 Legal Entity Identifier (LEI) for Borrowers, from April 21, 2022	–	2022	Requested	Approved
Malaysia	Buying and Selling of Foreign Exchange (FX) by Non-Resident	–	2022	Required	Approved
Thailand	Bank of Thailand (BOT) and the Securities and Exchange Commission (SEC) Bond Investor Registration (BIR) Scheme	–	2022	Required	Approved
China	Order No. 7 [2021] of the People's Bank of China	Measures for unified registration of chattel and guaranty of rights	2021	Optional	Approved
China	No. 217 [2021] of the People's Bank of China, NDRC, Ministry of Finance, CBIRC, CSRC and SAFE	Guiding opinions on promoting high-quality development of the corporate credit bond market	2021	Requested	Approved
China	Guidelines for financial institutions environmental information disclosure JR/T 0227-2021	–	2021	Requested	Approved
India	Reserve Bank of India/2020-21/82 Introduction of Legal Entity Identifier for Large Value Transactions in Centralised Payment Systems	Payment and Settlement Systems Act	2021	Required	Approved
India	RBI/2021-22/137 A.P. (DIR Series) Circular No. 20: Introduction of Legal Entity Identifier for Cross-border Transactions	Foreign Exchange Management Act (FEMA)	2021	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Australia	RG 265 Guidance on ASIC market integrity rules for participants of securities markets	–	2020	Requested	Approved
Australia	APRA Reporting Standard ARS 222 Exposure to Related Entities	Financial Sector (Collection of Data) Act 2001	2020	Requested	Approved
Australia	APRA Reporting Standard ARS 221.0 Large Exposures	Financial Sector (Collection of Data) Act 2001	2020	Requested	Approved
China	No. 283 [2020] of the People's Bank of China	Roadmap to Implement Legal Entity Identifier in China (2020–2022)	2020	Not stated	Approved
China	The Guidelines on Account Business of Central Government Bond Registration & Clearing Co., Ltd.	–	2020	Required	Approved
China	People's Bank of China and SAFE: Rules of Administration of Qualified Foreign Institutional Investors Engaging in Securities and Futures Investment	–	2020	Required	Approved
India	Insurance Regulatory and Development Authority of India, Circular IRDAI/F&A/CIR/MISC/134/06/2020 Legal Entity Identifier (LEI) code	Insurance Act 1938	2020	Required	Approved
China	Interbank Market Metadata (JR/T 0065–2019) and Interbank Market Information Exchange Protocol (JR/T 0066.1–2019)	–	2019	Requested	Approved
China	Statistics System of External Financial Asset/Liability and Trading	–	2019	Requested	Approved
China	Order No. 5 [2019] of the People's Bank of China, NDRC, Ministry of Finance and CSRC	Interim Measures for the Administration of Credit Rating Industry	2019	Required	Approved
China	Notice on Reporting of Legal Entity Identifiers by Bond Issuers	–	2019	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Hong Kong	HKMA and SFC joint consultation conclusions on enhancements to the OTC derivatives regime: mandating LEIs for the reporting obligation (June 2018)	OTC derivatives regulatory regime	2019	Required	Approved
China	General Administration of Customs notice no. 56 of 2017	–	2018	Requested	Approved
China	Guideline on Operation of Securities Accounts	–	2018	Requested	Approved
Hong Kong	HKMA and SFC joint consultation paper on enhancements to the OTC derivatives regime: mandating LEIs for the reporting obligation (March 2018)	OTC derivatives regulatory regime	2018	Required	Approved
India	Reserve Bank of India Notification No.FMRD.FMID.08/2018: The Electronic Trading Platforms (Reserve Bank) Directions, 2018	RBI Act 1934	2018	Required	Approved
India	SEBI Circular of October 9, 2018: Regulatory framework for Eligible Foreign Entities (EFEs) in Commodity Derivatives Segment	Securities and Exchange Board of India Act 1992	2018	Required	Approved
India	Legal Entity Identifier Code for participation in non-derivative markets	RBI Act 1934	2018	Required	Approved
India	Statement on Developmental and Regulatory Policies, Reserve Bank of India, October 04, 2017	–	2018	Requested	Approved
Malaysia	Financial Markets Committee (FMC) and Bank Negara Malaysia: Real-time Electronic Transfer of Funds and Securities System (RENTAS)	RENTAS	2018	Required	Approved
Malaysia	Financial Markets Committee (FMC) and Bank Negara Malaysia: RENTAS Segregated Securities Account	RENTAS	2018	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
China	Order of the People's Bank of China No. 3 [2017]: The Measures for the Registration of Pledged Receivables	–	2017	Requested	Approved
India	Reserve Bank of India Notification DBR.No.BP.BC.92/21.04.048/2017-18: Introduction of Legal Entity Identifier for large corporate borrowers	Sections 21 and 35A of the BR Act, 1949	2017	Required	Approved
India	Reserve Bank of India Notification RBI/2016-17/314: Introduction of Legal Entity Identifier for OTC derivatives markets	RBI Act 1934	2017	Required	Approved
Australia	ASIC Corporations (Derivative Transaction Reporting Exemption) Instrument 2015/844	Corporations Act	2015	Required	Approved
Australia	Guidance on ASIC Market Integrity Rules for Competition in Exchange Markets	Corporations Act	2015	Requested	Approved
Australia	Australian Securities and Investments Commission (ASIC) Derivative Transaction Rules (Clearing) 2015	Corporations Act	2015	Requested	Approved
Japan	Financial Instruments and Exchange Act	Financial Instruments and Exchange Act	2015	Requested	Approved
Japan	Cabinet Office Ordinance No. 48 of July 11, 2012 on the Regulation of Over-the-Counter Derivatives Transactions	Financial Instruments and Exchange Act	2015	Requested	Approved
Singapore	Monetary Authority of Singapore (MAS) OTC Derivatives Trade Reporting, Securities and Futures Act (Chapter 289)	Securities and Futures Act	2014	Required	Approved
Australia	Australian Securities and Investments Commission (ASIC) OTC Derivative Transaction Rules (Reporting) 2013	Corporations Act	2013	Requested	Approved
Hong Kong	Hong Kong Monetary Authority (HKMA) Interim reporting requirements for OTC derivative transactions	OTC Trade Repository	2013	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
China	Order No. 4 [2019] of the People's Bank of China: Measures for Registration of Pledges of Receivable	Order No. 3 [2017] as amended	2010	Requested	Approved

Middle East, Africa & Other Europe

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Nigeria	Investments and Securities Act (ISA) 2024	–	2025	Required	Approved
Russia	On amendments to Bank of Russia Ordinance No. 4927-U: on the list, forms and procedure for compiling and submitting reporting forms of credit institutions to the Central Bank of the Russian Federation	–	2022	Requested	Approved
Russia	Central Bank of Russia: reporting by professional participants in the securities market, trade organizers and clearing organizations	–	2022	Requested	Proposed
Russia	Central Bank of Russia: reporting by joint-stock investment funds, management companies of investment funds, mutual investment funds and non-state pension funds	–	2022	Requested	Proposed
Russia	Central Bank of Russia: compiling and submitting reporting of a specialized depository	–	2022	Requested	Proposed
Russia	Commentary on the procedure for filling out credit history indicators in accordance with Bank of Russia Regulation No. 758-P dated May 11, 2021	–	2021	Requested	Approved
Russia	Central Bank of Russia: Explanations on the Formation of the Supervisory reporting in XBRL Format, Specialized Depositories	–	2021	Requested	Approved
Russia	Central Bank of Russia, announcement 5010-Y of 14 December 2018	–	2019	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Turkey	Central Securities Depository Letter for ensuring ISIN to LEI Linkage (Letter Number: 871)	–	2019	Required	Approved
Turkey	Bylaw on Foundation, Operation and Supervision Principles of Data Storage Organisations within the framework of Article 87 of the Capital Market Law (Law No. 6362)	Capital Markets Law	2018	Required	Approved
Saudi Arabia	Circular of the Saudi Arabian Monetary Authority of 3 July 2018: the importance of obtaining an LEI through any accredited LOU	–	2018	Not stated	Approved
South Africa	Conduct Standard for Reporting Obligations in Respect of Transactions in Over-the-Counter Derivatives	Financial Markets Act (Act 19 of 2012)	2018	Required	Approved
South Africa	Discussion Paper on the Implementation of Legal Entity Identifiers	Financial Markets Act	2018	Required	Approved
Switzerland	Swiss Financial Market Supervisory Authority FINMA Circular 2018/2: Duty to report securities transactions	Financial Market Infrastructure Act (FMIA)	2017	Required	Approved
Israel	Bank of Israel Order (Information Regarding Transactions in Foreign Currency Derivatives, Index Derivatives, and Interest Rate Derivatives), 5776–2016	–	2017	Required	Approved
Russia	Instructions of the Central Bank of Russia 4104–Y of August 16, 2016	–	2016	Required	Approved
Russia	Holders of depositary receipts are identified by international code	–	2016	Required	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Switzerland	Federal Council Partial Revision of the Federal Law (UID) and Regulation (UID) on the Company Identification Number	–	2016	Requested	<i>Proposed</i>
Russia	Central Bank of Russia: Identification of securities owners that are entities performing record keeping of securities ownership (nominee holders, depositories, including foreign entities)	–	2014	Required	Approved

Global & Multilateral Bodies

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Global	International Organization of Securities Commissions (IOSCO) Voluntary Carbon Markets final report	–	2024	Recommended	Approved
Global	Financial Stability Board (FSB) Recommendations to Promote Alignment and Interoperability Across Data Frameworks Related to Cross-border Payments: Consultation report	–	2024	Recommended	Approved
Global	European Systemic Risk Board (ESRB) Annual Report 2023	–	2024	Recommended	Approved
Global	The Wolfsberg Group: Payment Transparency Standards	–	2023	Recommended	Approved
Global	Financial Stability Board (FSB) Recommendations for supervisory and regulatory approaches to climate-related risks	–	2022	Recommended	Approved
Global	OECD: Crypto-Asset Reporting Framework and Amendments to the Common Reporting Standard	–	2022	Recommended	Approved
Global	OECD: Public consultation document, Crypto-Asset Reporting Framework and Amendments to the Common Reporting Standard	–	2022	Recommended	Approved
Global	Financial Stability Board (FSB) Options to Improve Adoption of the LEI, in Particular for Use in Cross-border Payments	–	2022	Recommended	Approved
Global	Bank for International Settlements (BIS): Corporate digital identity: no silver bullet, but a silver lining (BIS Papers No 126)	–	2022	Recommended	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Global	World Economic Forum (WEF): Defining and Measuring Payment Interoperability	–	2022	Recommended	Approved
Global	WTO: The promise of TradeTech, chapter 3 Global Digital Identity	–	2022	Recommended	Approved
Global	World Trade Organization & World Economic Forum: The promise of TradeTech: Policy approaches to harness trade digitalization	–	2022	Requested	Approved
Global	United Nations Capital Development Fund (UNCDF): Open Regulated Global Payments Inter-Network	–	2022	Requested	Approved
Global	Wolfsberg Group Guidance on Digital Customer Lifecycle Risk Management	–	2022	Requested	Approved
Global	World Trade Organization & International Chamber of Commerce: Standards Toolkit for Cross-border Paperless Trade	–	2022	Requested	Approved
Global	Basel Committee on Banking Supervision, CPMI and IOSCO Consultative report: Review of margining practices	–	2022	Recommended	Proposed
Global	GAIN Digital Trust: How Financial Institutions are taking a leadership role in the Digital Economy by establishing a Global Assured Identity Network	–	2021	Requested	Approved
Global	International Chamber of Commerce: Reconceiving the global trade finance ecosystem	–	2021	Requested	Approved
Global	Financial Stability Board: G20 Roadmap for Enhancing Cross-border Payments, First Consolidated Progress Report	–	2021	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Global	SWIFT Payments Market Practice Group: Guiding principles for screening ISO 20022 payments	–	2021	Requested	Approved
Global	SWIFT Payments Market Practice Group: Global adoption of the LEI in ISO 20022 Payment Messages	–	2021	Requested	Approved
Global	Business at OECD, B20 and IOE: Trade Finance, a flywheel effect to boost the economic recovery post COVID-19 pandemic	–	2021	Requested	Approved
Global	Financial Action Task Force (FATF) Updated Guidance for a risk-based approach: Virtual Assets and Virtual Asset Service Providers	–	2021	Recommended	Approved
Global	Financial Action Task Force (FATF) Cross-Border Payments Survey: Results on Implementation of the FATF Standards, October 2021	–	2021	Recommended	Approved
Global	Wolfsberg Group guiding principles for screening ISO 20022 payments	–	2021	Recommended	Approved
Asia (ADB)	Asian Development Bank: 2021 Trade Finance Gaps, Growth, and Jobs Survey	–	2021	Requested	Approved
Asia (ADB)	Asian Development Bank: Can the pandemic help end the paper chase that is hobbling international trade?	–	2021	Requested	Approved
Africa	Association of African Central Banks: List of decisions	–	2021	Requested	Approved
Global	Financial Stability Board: Enhancing Cross-border Payments, Stage 3 roadmap	–	2020	Requested	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Global	Bank for International Settlements: Enhancing Cross-border Payments, Stage 2 roadmap	–	2020	Requested	Approved
Global	Basel Committee on Banking Supervision Guidelines for sound management of risks related to money laundering and financing of terrorism	–	2020	Requested	Approved
Global	Enhancing Cross-border Payments: Stage 1 report to the G20	–	2020	Recommended	Approved
Africa	African Development Bank: More Transparency for Better Business. The Potential of Legal Entity Identifiers for African Economies	–	2020	Requested	Approved
Global	FSB Letter to G20 Finance Ministers and Central Bank Governors	–	2019	Recommended	Approved
Global	OTC Derivatives Market Reforms: 2019 Progress Report on Implementation	–	2019	Recommended	Approved
Global	United Nations Report of the Inter-agency Task Force on Financing for Development: Financing For Sustainable Development Report 2019	–	2019	Recommended	Proposed
Global	Financial Stability Oversight Council (FSOC) Treasury Annual Report 2018–2019	–	2019	Recommended	Approved
Asia (ADB)	Asian Development Bank (ADB): Legal Entity Identifier Accessibility. A Survey by the Trade Finance Program	–	2019	Recommended	Approved
Asia (ADB)	Asian Development Bank (ADB): Trade and the Legal Entity Identifier	–	2019	Recommended	Approved

JURISDICTION	REGULATION / INSTRUMENT	FRAMEWORK	YEAR	LEI USE	STATUS
Global	Financial Stability Board (FSB) Governance arrangements for the unique transaction identifier (UTI): Conclusions and implementation plan	–	2018	Recommended	<i>Proposed</i>
Global	CPMI and IOSCO Technical Guidance: Harmonisation of critical OTC derivatives data elements (other than UTI and UPI)	–	2018	Recommended	<i>Proposed</i>
Global	Financial Stability Board (FSB) Second Phase of the G20 Data Gaps Initiative (DGI-2)	–	2018	Recommended	<i>Proposed</i>
Global	Irving Fisher Committee (IFC) and Bank for International Settlements (BIS) Report: Central banks and trade repositories derivatives data	–	2018	Recommended	<i>Proposed</i>
Global	International Finance Corporation, World Bank Group: Navigating Essential Anti-Money Laundering and Combating the Financing of Terrorism Requirements in Trade Finance	–	2018	Requested	Approved
Global	CPMI and IOSCO Technical Guidance: Harmonisation of the Unique Transaction Identifier	–	2017	Recommended	<i>Proposed</i>
Global	International Monetary Fund (IMF) and FSB: The Financial Crisis and Information Gaps, Second Phase of the G-20 Data Gaps Initiative (DGI-2), Second Progress Report	–	2017	Recommended	<i>Proposed</i>
Global	Financial Stability Board (FSB) Report to the G20 on actions taken to assess and address the decline in correspondent banking	–	2016	Recommended	<i>Proposed</i>

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Global	Committee on Payments and Market Infrastructures: Correspondent banking, final report	–	2016	Requested	Approved
Global	Financial Stability Board (FSB) Standards and Processes for Global Securities Financing Data Collection and Aggregation	–	2015	Recommended	Proposed
Global	Basel Committee on Banking Supervision, Consultative Document: Guidelines, Revised Annex on correspondent banking	–	–	Recommended	Proposed

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