## NOTICE REGARDING LEIS THAT MAY BE USED TO COMPLY WITH CFTC LEI REQUIREMENTS

## October 30, 2013

The Commission's Amended Order Designating The Provider Of Legal Entity Identifiers To Be Used In Recordkeeping And Swap Data Reporting Pursuant To the Commission's Regulations, issued on June 7, 2013 (Amended Order), available at www.cftc.gov/LawRegulation/ FederalRegister/FinalRules/2013-15477, provides in pertinent part the following. After the Regulatory Oversight Committee (ROC) of the global Legal Identifier (LEI) system has adopted standards for approval of pre-Local Operating Units (pre-LOUs) and the LEIs issued by them as globally acceptable, and has also approved the CICI Utility operated by DTCC-SWIFT as a globally acceptable pre-LOU and the LEIs issued by the CICI Utility as globally acceptable LEIs, registered entities and swap counterparties subject to the Commission's jurisdiction may comply with the Commission's swap data recordkeeping and reporting requirements with respect to LEIs by using LEIs provided by any pre-LOU approved by the ROC as globally acceptable and as issuing globally acceptable LEIs. Under the terms of the Amended Order, this authorization becomes effective upon publication on the Commission's website of a Notice from the Commission's Chief Information Officer that such LEIs and such pre-LOUs have been approved by the ROC as globally acceptable.

The ROC has now adopted the standards referenced in the Amended Order, and has approved the CICI Utility as a globally acceptable part of the interim global LEI system, and approved the LEIs issued by the CICI Utility as globally acceptable LEIs. The Endorsement Note issued by the ROC to this effect can be found at www.leiroc.org/publications/gls/lou\_20131003.pdf.

Accordingly, as provided in the Amended Order, from October 30, 2013, forward, registered entities and swap counterparties subject to the Commission's jurisdiction can comply with the LEI requirements of Part 45<sup>1</sup> and Part 46<sup>2</sup> of the Commission's swap data recordkeeping and reporting regulations by using any LEI endorsed by the ROC as globally acceptable.<sup>3</sup>

John Rogers, Chief Information Officer Office of Data and Technology

<sup>&</sup>lt;sup>1</sup> 17 CFR § 45.6, 77 Fed. Reg. 2136, 2204 (Jan. 13, 2012).

<sup>&</sup>lt;sup>2</sup> 17 CFR § 46.4, 77 Fed. Reg. 35200, 35228 (June 12, 2012).

<sup>&</sup>lt;sup>3</sup> The list of LEIs currently endorsed by the ROC as globally acceptable can be found at www.leiroc.org/ publications/gls/lou\_20131003.pdf.