



## MiFID Investment Firm, LEI and RIM IIA Attestation

### Set-Up Steps

July 2022

#### 1. Introduction

The Exchanges (IFEU and NDEX) need all Members to confirm if they are a MiFID Investment Firm, that their Legal Entity Identifier (“LEI”) is correct and that their trading Branch locations are being correctly identified by their Responsible Individual Mnemonics (“RIM”) locations. This last requirement only applies to non-UK MiFID Investment Firm Members. This information is critical to the Exchanges’ execution of their transaction reporting responsibilities under MiFIR.

A MiFID Investment Firm is a firm who is subject to the transaction reporting responsibilities detailed in RTS 22, under either the UK version of MiFIR or the EU version of MiFIR. For the purposes of this attestation a third country firm which has received permission from the FCA to conduct investment business in the UK and is required to transaction report under section SUP 17A.1 of the FCA Handbook is also deemed a MiFID Investment Firm and should attest as such.

#### 2. Set-up Steps

- Identify the individual who will make the on-line attestation in IIA. This does not necessarily need to be a compliance officer but should be someone with sufficient knowledge of the Member’s MiFID regulatory status and the group trading structure.
- Contact the individual at the Member who authorises access changes to the Member’s IIA and get them to email:

MiFID Compliance team: [MarketRegulation-Europe-MiFIDReporting@ice.com](mailto:MarketRegulation-Europe-MiFIDReporting@ice.com)

ICE User Administration Team: [iceuseradministration@ice.com](mailto:iceuseradministration@ice.com)

and confirm that they want the individual who will make the attestation to have access in IIA to the company attestation function.

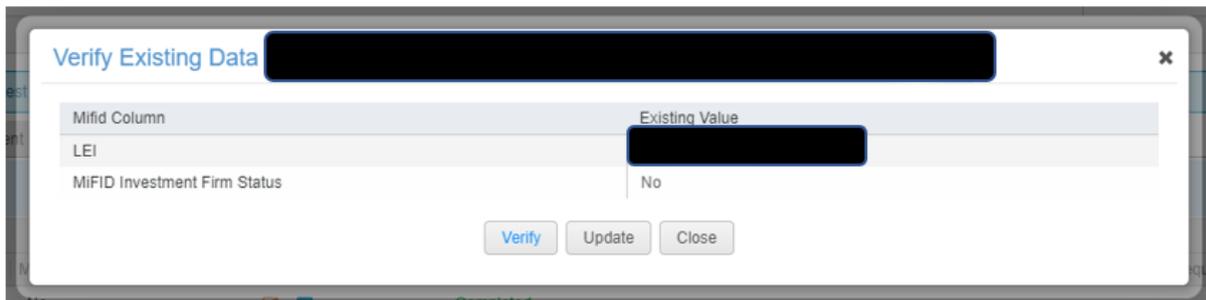
- The MiFID Compliance team will then forward this email to [iceuseradministration@ice.com](mailto:iceuseradministration@ice.com) and detail the companies in IIA for which the access should be created.
- [iceuseradministration@ice.com](mailto:iceuseradministration@ice.com) will then create the access and inform the attestor that it is ready.
- The attestor logs on to IIA and makes the attestation for each company.

**Completing the LEI & MiFID Investment Firm Status Attestation**

Once access has been granted, the Member will be able to view a screen with the Firm Names and LEIs that require to be attested. The below fields in the Attestation portal fields where Members are required to take action.

			Unverified
			Unverified

If the Member is happy to attest to the Exchange’s records, and are not required to take any further action, they can click on the green tick which will show the below message. The Member will be able to proceed and verify these records.



Should a Member be required to make an update to the Exchange’s records, they will need to click on the Orange icon in the Attestation Portal, which will show the below message. Here, the Member will be able to make the necessary updates. For example, if the Member are trading under a new LEI, they will need to enter the new value in the provided field, and/or update their MiFID Investment Firm Status accordingly.



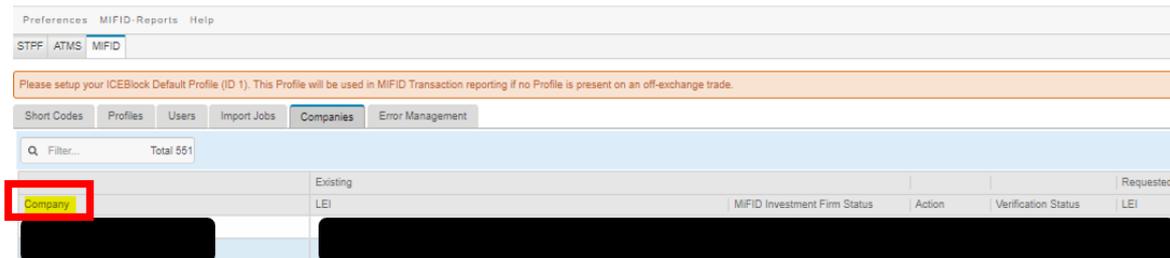
If an IIA Attestation is completed as part of part 3, then the Verification Status updates to Completed. If any records are updated, the Verification Status changes to Pending Approval as part of part 4 and is approved by the Exchange.

	Requested
Verification Status	LEI
	Completed
	Completed
	Pending Approval
	Unverified

### Completing the RIM Branch Location Attestation

The Exchange would like to continue to report transactions executed by their non-UK branches accurately, therefore this is determined by the RIM Branch locations registered with the Exchange previously.

Should a Member need to attest to their RIMs, the Attestor can view the RIMs by clicking on the Company Name, which will bring up a new screen in IIA providing details of each RIM, including the Mnemonic & Country.



Company	Existing	LEI	MIFID Investment Firm Status	Action	Verification Status	Requested	LEI
[Redacted]							



RIM	Mnemonic	Country	Action	Verification Status
[Redacted]	[Redacted]	[Redacted]	[Green icon] [Blue icon]	Unverified
[Redacted]	[Redacted]	[Redacted]	[Green icon] [Blue icon]	Unverified
[Redacted]	[Redacted]	[Redacted]	[Green icon] [Blue icon]	Unverified
[Redacted]	[Redacted]	[Redacted]	[Green icon] [Blue icon]	Unverified
[Redacted]	[Redacted]	[Redacted]	[Green icon] [Blue icon]	Unverified
[Redacted]	[Redacted]	[Redacted]	[Green icon] [Blue icon]	Unverified

Using similar functionality to the LEI status, Members should click on the Green icon to verify the Exchange’s records accordingly, if there is no further action required for the Member to take.

If any updates are required, Members should click on the orange icon and make the necessary changes to the RIM(s) in question. Once the update is complete, a notification will be sent to the ICE MiFID Reporting team to approve/disapprove accordingly.