

Circular 25/068 Annual MiFID Investment Firm and LEI Status On-line Attestation

Category
Regulations

Attachments
None

MiFIR requires that, where a transaction is executed on ICE Futures Europe (the “Exchange”) by a Member that is not itself subject to the MiFIR Transaction Reporting provisions, the Exchange must report the details of the transaction to its regulatory authority. Accordingly, to discharge this obligation, the Exchange must have accurate information on the reporting obligations of all of its Members. The purpose of this Circular is to inform Members that the Exchange requires its Members to:

- Re-attest to the Exchange their obligation to MiFIR Transaction Report based on their authorised status.
- Confirm that their Legal Entity Identifier (“LEI”) is correct, and;
- For certain Members, attest the location of the RIM to confirm that their trading branch locations are being correctly identified by their Responsible Individual Mnemonics (“RIMs”).

In preparation for this re-attestation, the Exchange reset the Member Company Attestation in the ICE Identifier Admin (“IIA”) application on 01 July 2025 to enable Members to perform their attestation.

This IIA application serves both ICE Futures Europe and ICE Endex. Accordingly, a Member who is a MiFID Investment Firm under either EU-MiFIR or UK-MiFIR should attest themselves as a MiFID Investment Firm under the relevant regime.

The Companies tab in the IIA application is where Members must perform the attestation.

The Exchange requires Members to complete their attestations by **Tuesday 30 September 2025**.

Why do Members have to do this?

The LEI and MiFID Investment Firm Status attestation is a requirement first introduced by the Exchange in 2020. Members should note that this requirement also covers entities that are Members of the Exchange’s affiliated trading venue, ICE Endex BV.

Members should note that any entity required to report transactions under EU-MiFIR or UK-MiFIR or by virtue of their authorisation by the FCA as a Third Country Firm under SUP 17.A.1.2 should attest themselves as a MiFID Investment Firm to the Exchange.

RIM Branch Location Attestation

Members who are non-UK EU MiFID Investment Firms may have authorisation from the FCA for their UK branches to transact business with UK customers. In such cases the Exchange is only required to report the transactions executed by their non-UK branches and so it is important that the location of the branches can be determined accurately. The Exchange uses the location of the RIM to make this designation and Members who are EU but non-UK MiFID Investment Firms will be required to attest that each RIM location is accurate. The Branch Location logic also allows Third Country Firms with FCA authorisation to identify which of their branches have reporting obligations to the FCA.

Members who do not fall into the above-referenced categories are not required to make any attestation of their RIMs.

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Most Members will already have an individual with the necessary attestation access. Where this is not the case, the Members should contact the ICE User Administration team at the Exchange at email address iceuseradministration@ice.com to agree the individual who will be granted this new attestation access.

Given the significance of this information, the Exchange expects the attestations to be performed by staff with sufficient seniority and expertise in regulatory compliance.

Please ensure that the appropriate members of staff within your organisation and customers are advised of the content of this Circular.

For more information, please contact:

Denoshan Kirupakaran / +44 (0) 203 142 0841 / denoshan.kirupakaran@ice.com

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