

# AIM NOTICE

13 October 2017



**London**  
Stock Exchange

## AIM NOTICE 47

For the attention of all AIM companies and Nominated Advisers

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### REQUIREMENT FOR AIM COMPANY LEI CODES

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#### LEI REQUIREMENT FOR AIM COMPANIES

London Stock Exchange requires all AIM companies with securities admitted to trading on AIM to have a Legal Entity Identifier (“LEI”) code. This is in order to ensure compliance with the obligations under Markets in Financial Instrument Directive (“MiFID II”)¹ and Market Abuse Regulation², which require market operators, such as London Stock Exchange, to collate LEI codes for each issuer with securities admitted to trading.

The LEI is a unique 20-digit, alpha-numeric code based on the ISO 17442 standard developed by the International Organization for Standardization (ISO). It connects to key reference information that enables clear and unique identification of legal entities participating in financial transactions.

If an existing AIM company has not registered for an LEI, it must do so by **30 November 2017**. An AIM company can obtain an LEI from London Stock Exchange by following the steps in this link: [Legal Entity Identifier \(LEI\) Help Sheet](#).

Further information on LEIs and where they can be obtained is available from any Local Operating Unit of the Global LEI Foundation³ or visit [www.lseg.com/LEI](http://www.lseg.com/LEI). It is an AIM company’s responsibility to ensure that its LEI is renewed according to the terms of any of the accredited Local Operating Units of the Global LEI Foundation.

The AIM application form for admission of new securities to trading to AIM has been amended to require an LEI. The amended form is now available on London Stock Exchange’s website and will be applicable to all AIM companies and prospective applicants seeking admission to trading on AIM.

**Nilam Statham**  
**Head of Primary Market and AIM Regulation**

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¹ MiFID II, RTS 23 <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32017R0585&from=EN>.

² Article 4 Market Abuse Regulation

³ [www.GLEIF.org](http://www.GLEIF.org)