

Listing Circular

05/17

To all Xetra® Trading Members

27 November 2017

**Transmission of a Legal Entity Identifier (LEI) of issuers –
Reference data transmission according to Art. 4 of the regulation (EU)
No. 596/2014 on market abuse and Art. 27 of the regulation (EU)
No. 600/2017 on markets for financial instruments**

Dear Sir or Madam,

Since the entry into force of Regulation (EU) No. 596/2014 on market abuse (Market Abuse Regulation, MAR) on 3 July 2016 and due to the coming into effect of Regulation (EU) No. 600/2014 on markets for financial instruments (MiFIR) on 3 January 2018, the respective exchanges are obligated to transmit reference data for all traded securities on a daily basis.

Apart from transmitting specific securities- and admission-related data, the respective reference data reports **must include the reporting of a Legal Entity Identifier (“LEI”) of the issuer**. Moreover, with the implementation of MiFID II/MiFIR, this reference data will be used as basis for transaction data reporting from January 2018.

In this context, the Management Board of Frankfurter Wertpapierbörse (FWB®, the Frankfurt Stock Exchange) decided that **with effect from 3 January 2018, specifying the issuer’s LEI is mandatory for admission and introduction of securities in the regulated market**. A corresponding provision will be included in the Exchange Rules for the Frankfurter Wertpapierbörse (FWB).

Moreover, in order to ensure a smooth transition in regulatory reporting, it is required to define a **“Frozen Zone”** for the introduction of new securities **without LEI** of the issuer from **15 December 2017, 6.00 p.m. CET, until and including 2 January 2018**. During this time, new securities without LEI of the issuer may not be admitted to the regulated market.

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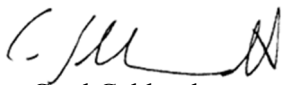
Aktiengesellschaft
mit Sitz in
Frankfurt/Main
HRB Nr. 32232
Amtsgericht
Frankfurt/Main

We kindly ask you to consider the aforesaid for transactions you may be planning. In particular, please allow enough lead time for the LEI application.

In Germany, applying for a LEI is possible with Bundesanzeiger Verlag GmbH, WERTPAPIER-MITTEILUNGEN (WM Datenservice), a publisher association, or EQS Group AG. However, a company does not necessarily need to use a LEI registration agent in its own country. Instead, every Local Operating Unit (“LOU”) which is authorised to validate LEI registrations can be used.

If you have any questions, please do not hesitate to contact Listing Services at tel. +49-(0) 69-2 11-1 39 90 or via e-mail to: listing@deutsche-boerse.com.

Yours faithfully,



Cord Gebhardt



Maren Pfeiffer