

List of US LEI requirements procured from the GLEIF page: [Regulatory use of the LEI](#)

US	Commodity Futures Trading Commission (CFTC) 17 CFR Parts 3, 32, and 33 Commodity Options	CEA (Commodity Exchange Act)	2014	Requested	Approved
US	Commodity Futures Trading Commission (CFTC) Form TO	CEA (Commodity Exchange Act)	2014	Requested	Approved
US	Commodity Futures Trading Commission (CFTC) Form 102 Identification of "Special Accounts" for futures commissions merchants, clearing members and advisors	CEA (Commodity Exchange Act)	2014	Required	Approved
US	Commodity Futures Trading Commission (CFTC) Ownership and Control Reports, Forms 102/102S, 40/40S, and 71; Final Rule	CEA (Commodity Exchange Act)	2015	Requested	Approved
US	Securities and Exchange Commission (SEC) 17 CFR Parts 275 and 279 Rules Implementing Amendments to the Investment Advisers Act of 1940	Investment Advisers Act	2012	Requested	Approved
US	Securities and Exchange Commission (SEC) Form ADV uniform application for investment adviser registration and report by exempt reporting advisers	Investment Advisers Act	2015	Requested	Approved
US	Commodity Futures Trading Commission (CFTC), Securities and Exchange Commission (SEC) 17 CFR Parts 4, 275 and 279 Reporting by Investment Advisers to Private Funds and Certain Commodity Pool Operators and Commodity Trading Advisors on Form PF; Final Rule	Investment Advisers Act	2013	Requested	Approved
US	Securities and Exchange Commission (SEC) Form PF Reporting Form for Investment Advisers to Private Funds and Certain Commodity Pool Operators and Commodity Trading Advisors	Investment Advisers Act	2013	Requested	Approved
US	Commodity Futures Trading Commission (CFTC) Swap Data Record Keeping and Reporting Rule (Parts 45 46)	CEA (Commodity Exchange Act)	2012	Required	Approved
US	Federal Reserve Announcement of Board Approval Under Delegated Authority and Submission to OMB		2015	Requested	Approved

US	Federal Reserve Annual Report of Holding Companies - FR Y-6		2014	Requested	Approved
US	Federal Reserve Annual Report of Foreign Banking Organizations - FR Y-7		2014	Required	Approved
US	Federal Reserve Annual Report of Changes in Organizational Structure – FR Y-10		2012	Required	Approved
US	Municipal Securities Rulemaking Board (MSRB) Registration Form A-12		2014	Required	Approved
US	National Association of Insurance Commissioners (NAIC) 2013 NAIC Annual Statement and 2014 Quarterly Statement Filing Guidance for the Legal Entity Identifier (LEI) Electronic Only Column in the Investment Schedules		2013	Requested	Approved
US	Securities and Exchange Commission (SEC) 17 CFR Part 242 Consolidated Audit Trail; Final Rule		2012	Optional	Approved
US	Securities and Exchange Commission (SEC) Nationally Recognized Statistical Rating Organization (NRSRO)		2014	Requested	Approved
US	Securities and Exchange Commission (SEC) FORM N-MFP Monthly Schedule Of Portfolio Holdings Of Money Market Funds		2014	Requested	Approved
US	Securities and Exchange Commission (SEC) Money Market Fund Reform Amendments to Form N-MFP	Investment Company Act	2015	Requested	Approved
US	Securities and Exchange Commission (SEC) Regulation SBSR – Reporting and Disclosure Dissemination of Security-Based Swap Information	Securities Exchange Act	2015	Required	Approved
US	Department of the Treasury 12 CFR Part 43, Federal Reserve System 12 CFR Part 244, Federal Deposit Insurance Corporation 12 CFR Part 373, Federal Housing Finance Agency 12 CFR Part 1234, Securities and Exchange Commission 17 CFR Part 246, Department of Housing and Urban Development 24 CFR Part 267, Credit Risk Retention; Rule	Securities Exchange Act	2016	Requested	Approved
US	Securities and Exchange Commission (SEC) 17 CFR Parts 200, 210, 232, 239, 240, 249, 270, 274 [Release Nos. 33-10231; 34-79095; IC-32314; File No. S7-08-15] RIN 3235-AL42 Investment Company Reporting Modernization	Investment Company Act	2016	Required	Approved
US	Department of the Treasury 31 CFR Part 148 RIN 1505–AC46 Qualified Financial Contracts Recordkeeping Related to Orderly Liquidation	Dodd-Frank Act	2016	Required	Approved

