



Dear Client,

## **HKMA Requirement on the Use of Legal Entity Identifier (LEI) for OTC Derivatives Reporting**

We are writing to inform you that the Hong Kong Monetary Authority (“HKMA”) has recently updated the “Supplementary Reporting Instructions For Reporting Over-The-Counter (OTC) Derivative Transactions under the Hong Kong OTC Derivative Regulatory Regime” (the “Instructions”), which will come into effect on 29 September 2025. Pursuant to the Instructions, Standard Chartered Bank (Hong Kong) Limited (“the Bank”), as the reporting entity, is required to review and ensure that we have a robust process in place to educate and assist our clients in obtaining a LEI. At this stage, the Bank is providing this notification to provide guidance to you as to how you may obtain a LEI.

In order to meet the future regulatory reporting obligations, you are advised to apply for a LEI and share the details with the Bank. Failure to do so may impact your future OTC derivatives trades with the Bank. Please ignore this letter if you have already provided the LEI to the Bank.

### **What is a LEI?**

A LEI is a globally recognized unique identifier for persons that are legal entities such as companies, charities and trusts that engage in financial transactions. When a LEI is allocated to a legal entity or structure, it is included in a global data system. This enables every legal entity or structure that is a party to a relevant financial transaction to be identified in any jurisdiction.

Further information on the LEI can be found on the Legal Entity Identifier Regulatory Oversight Committee (LEIROC) and Global Legal Entity Identifier Foundation (GLEIF) websites ([gleif.org/en/about-lei/how-to-get-an-lei-find-lei-issuing-organizations](http://gleif.org/en/about-lei/how-to-get-an-lei-find-lei-issuing-organizations)).

### **How to obtain a LEI and renewals**

A LEI is available from bodies accredited by the GLEIF, or bodies endorsed by the LEIROC as an authorised Local Operating Unit (**LOU**) for the global allocation of LEIs. A list of all LOUs can be found on the GLEIF website. The GLEIF has recently introduced the concept of a ‘registration agent’ to assist legal persons to access LOUs. A LOU may, at their discretion, charge a fee for allocating an LEI and for its annual renewal.

Once you have obtained your LEI, please provide us with the information. This will help us update our records and ensure compliance with regulatory requirements.



Yours sincerely,  
Standard Chartered Bank (Hong Kong) Limited  
August 2025

Issued by Standard Chartered Bank (Hong Kong) Limited



親愛的客戶:

## 香港金融管理局關於場外衍生性工具匯報中使用法人機構識別編碼 (LEI) 的要求

我們謹此通知您，香港金融管理局（「金管局」）近日更新了《場外衍生工具輔助匯報指引》（「指引」）。該指示將於2025年9月29日生效。根據該指引，渣打銀行（香港）有限公司（「本行」）作為申報實體，須審查並確保我們已建立完善的流程，以指導和協助客戶獲取LEI。現階段，本行將發布此通知為您提供如何取得LEI的指引。

為了履行未來的監管報告義務，我們建議您申請 LEI 並將其詳細資訊提供給銀行。否則，可能會影響您未來與銀行進行的場外衍生性商品交易。如果您已向銀行提供 LEI，請忽略此信函。

### 甚麼是LEI？

LEI 是用於識別從事金融交易的法人實體，例如公司、慈善機構和信託機構的全球認可的唯一識別編碼。當 LEI 分配給法人實體或機構時，它將被納入全球資料系統。這使得參與相關金融交易的每個法人實體或機構都能在任何司法管轄區被識別。

有關 LEI 的更多信息，請參閱法人機構識別編碼監督管理委員會 (LEIROC) 和全球法人識別編碼基金會 (GLEIF) 網站 ([gleif.org/en/about-lei/how-to-get-an-lei-find-lei-issuing-organizations](https://www.gleif.org/en/about-lei/how-to-get-an-lei-find-lei-issuing-organizations))。

### 如何取得 LEI 及更新？

您可以從 GLEIF 認可的機構或 LEIROC 認可的授權本地運行單位 (LOU) 取得 LEI。所有 LOU 的清單可在 GLEIF 網站上找到。GLEIF 最近引入了「註冊代理」的概念，以協助法人聯絡 LOU。LOU 可自行決定收取分配 LEI 及其年度更新費用。

取得 LEI 後，請向我們提供相關資訊。這將有助於我們更新記錄並確保符合監管要求。

渣打銀行（香港）有限公司 謹啟  
2025年8月

由渣打銀行（香港）有限公司刊發