**London**
Stock Exchange Group

# Legal Entity Identifier (LEI) User Guide Search and Request LEI

# Table of Contents

The Legal Entity Identifier User Guide "Search and Request" gives you an overview of the functionality of the UnaVista platform to search for LEI codes and to request for new LEI codes. Click the below link to access the respective section:

Please note that this user guide only contains information on the functionality outlined above. For the complete user guide please click on the following link: http://www2.londonstockexchangegroup.com/IEI-User-Guide

# Introduction

London Stock Exchange PLC has over 20 years of experience as the UK's National Numbering Agency for assignment of International Securities Identification Numbers (ISINs) and Classification of Financial Instruments (CFIs) and was also endorsed by the Regulatory Oversight Committee (ROC) as a Local Operating Unit (LOU) for the global allocation of Legal Entity Identifiers (LEI) and are accredited by GLEIF www.gleif.org

London Stock Exchange's LEI, also known as the International Entity Identifier (IEI), is issued to legal entities according to the agreed Principles outlined by the ROC and GLEIF (www.gleif.org). The LEI codes will be issued and maintained via UnaVista, the London Stock Exchange Group's hosted matching and reconciliation platform.

## Legal Entity Identifier (LEI) Solution Overview

The LEI solution enables you to **Request and Maintain your LEI** record/s including the ability to monitor your LEI Status, view your LEI details, add documentation and fulfil **Annual Renewal** obligations.

You can also submit 10 or more LEI requests using the **Bulk Request** functionality and renew 10 or more LEIs using the **Bulk Annual Renewal** feature.

Additionally, you can search the consolidated universe of LEI data, as well as download data files and challenge a LEI record under the responsibility of the London Stock Exchange if you believe the details to be incorrect.

# Registration

To access the LEI database, click the following link: www2.londonstockexchangegroup.com/register-for-lei.The **Registration** page will be displayed. As standard, all free services will be available upon registration. Please complete the Registration details:

**Please Note:** Registration details will be used to validate that self-registration principle for LEI requests is being adhered to. Therefore, enter the full entity name of the organisation you work for in the Company Name field.

To register, click the **Register** button on the **Login** screen. Then **Enter your email** in the **User Registration** window and you will be sent a link. Click the link which will then take you to the Registration Screen

1. Complete all the mandatory fields. The mandatory fields are highlighted in red.

2. If you have additional subscription services, such as SEDOL Masterfile, you can add them to your profile from the **Subscription Services** section on the Registration page.

3. Please ensure that you have accepted the T&Cs by selecting the **Terms and Conditions of Use** check box at the bottom of the Registration form.

# Welcome Screen

When you successfully log on to the UnaVista portal, the following UnaVista Welcome screen is displayed.



The **News** tab displays any updates or news from the UnaVista team.

If configured, the **Dashboard** displays the pre-set charts giving a snapshot of data in the system.

The **Search** facility enables you to search for LEIs using part of the entity name.

The **Folder Tree** displays the folders available to you. These may differ depending on your access permissions. **Click the number** to the right of a folder to access the folder contents.

When you click the number, the contents of the folder will be displayed in the right pane.

The **Welcome Screen** displays the recent news or updates from UnaVista as well as general contact information.

# LEI – Search and Request LEI

The LEI – Search and Request LEI section includes the following topics, click the link to access the respective topic:

- **Search LEI Record(s)**
- **View LEI Record Details**
- **Requesting an LEI**
- **Enter LEI Data**
- **Pay and Submit LEI Request**
- **Bulk Request Information**
- **Challenging  an LEI Record**

# Search LEI Record(s)

The **Search** facility in the **Navigation Settings** region enables you to search the database for an existing LEI. The applicable LEI matches are displayed in the right hand panel from the **LEI Consolidated View** folder.

Type part of the entity name you wish to search an LEI code for in the **Search** field, and press **ENTER** or click the **Search** button.

Entities that contain the searched word will be displayed in the right pane. The relevant LEI will also be displayed.

| | | LEI Status | LEI Event | Entity Status | Entity Event | LOU | LEI | OfficialEntityName |
|---|---|---|---|---|---|---|---|---|
| 1 | | ISSUED | Validated | Active | No event | IEI | 549300OW0VX16Z55IE37 | LONDON STOCK EXCHANGE GROUP PENSION SCHEME - LSE SECTION |
| 2 | | ISSUED | Validated | Active | Name change | IEI | 213800WAVVOPS85N2205 | LONDON STOCK EXCHANGE LEI LIMITED |
| 3 | | ISSUED | Validated | Active | No event | IEI | 213800D1EI4B9WTWWD28 | LONDON STOCK EXCHANGE PLC |
| 4 | | ISSUED | Validated | Active | No event | IEI | 213800S4EH6ROMPQIP65 | LONDON STOCK EXCHANGE GROUP HOLDINGS LIMITED |
| 5 | | ISSUED | Validated | Active | No event | IEI | 213800O1CCNIBZVCL19 | LONDON STOCK EXCHANGE GROUP PENSION SCHEME - LCH SECTION |

You will notice that following return of search results, the **Request LEI** button will be displayed to the upper right corner of the page. Click this button to submit a request for a LEI.

For more details, please refer to the Request a LEI topic of this user guide.

# View LEI Record Details

Once you search and find the LEI record, you can easily view the LEI details and export the details into a PDF or text format.

1. To view the LEI details, select the record by clicking on the record or selecting the check box next to the record.

2. Once you select a record the Challenge Record, View LEI, and Select for Renewal buttons will be enabled.

| Options ▾ | Filters ▾ | ⟳ | | Challenge Record | | View LEI | | Select for Renewal | | | Request LEI |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | ☑ | LEI Status 1↑ | LEI Event | Entity Status | Entity Event | LOU | LEI | | OfficialEntityName | | AlternateEntityN |
| 1 | ☑ | ISSUED | Validated | Active | No event | IEI | 213800S4EH6ROMPQIP65 | | LONDON STOCK EXCHANGE GROUP HOLDINGS LIMITED | | |

3. Click the **View LEI** button. The details of the selected LEI is displayed.

🖨 Print  📄 Export As PDF  📄 Export As Text

**London Stock Exchange**

| | |
|---|---|
| **Official Entity Name:** | LONDON STOCK EXCHANGE GROUP HOLDINGS LIMITED |
| **Legal Form:** | PRIVATE LIMITED COMPANY |

| | |
|---|---|
| **LEI:** | 213800S4EH6ROMPQIP65 |
| **First Assignment Date:** | 13-09-2013 |
| **LEI Status:** | Active |
| **Primary LOU:** | IEI |

| | | | |
|---|---|---|---|
| **HeadQuarters Address:** | 10 PATERNOSTER SQUARE | **LegalFormation Address:** | 10 PATERNOSTER SQUARE |
| **HeadQuarters City:** | LONDON | **LegalFormation City:** | LONDON |
| **HeadQuarters Country:** | UNITED KINGDOM - GB | **LegalFormation Country:** | UNITED KINGDOM - GB |
| **HeadQuarters PostCode:** | EC4M 7LS | **LegalFormation PostCode:** | EC4M 7LS |

| | |
|---|---|
| **Official Business Registry:** | COMPANIES HOUSE |
| **Official Business Registry Ref:** | 06795362 |
| **Website:** | http://www.londonstockexchange.com/home/homepage.htm |

You can print the LEI Details or export it in a PDF or text format.

# Requesting an LEI

Requesting an LEI is a 3 step process: **1. <u>Search LEI database</u>  2. <u>Complete Request LEI template</u>    3. <u>Submit Credit Card payment</u>**

**Before you submit a request for an LEI, you must search the LEI database** to see if an LEI already exists (**see point 1 below**). For more details on how to search an LEI, please refer to the <u>Search LEI Record(s)</u> topic in this user guide.

If the searched LEI exists in the system, it will be displayed in the right hand panel from the **LEI Consolidated View** tab.

If you have more than 10 LEI requests to submit, please use the <u>Bulk Request Information </u>feature.

> 1. Search for the entity name  within Navigation settings.
> This will return potential matches within the **LEI Consolidated View**.
> *See 'London Stock' as an example below*

> 2. If no match is found, to request a new LEI, click the **Request LEI** button.
> The **Request LEI** button will only be displayed following a search for an LEI.

| File ▾ | Navigation ▾ | Tools ▾ | Help ▾ |
|---|---|---|---|

| | Home | [Data Portal] LEI : London Stock ✕ |

**▲ Navigation Settings**

**LEI Consolidated View**

| Domain: | Data Portal ▾ | View As: | Stephen Munro ▾ |
|---|---|---|---|
| Search: | LEI ▾ | | Import ❓ |
| | London Stock | Search | |

Options ▾ | Filters ▾ | ⟳ | | Challenge Record | View LEI | Select for Renewal | | Request LEI

| | | LEI Status ↑ | LEI Event | Entity Status | Entity Event | LOU | LEI | OfficialEntityName |
|---|---|---|---|---|---|---|---|---|
| 1 | ☐ | ISSUED | Validated | Active | No event | IEI | 549300OW0VX16Z55IE37 | LONDON STOCK EXCHANGE GROUP PENSION SCHEME - LSE SECTION |
| 2 | ☐ | ISSUED | Validated | Active | Name change | IEI | 213800WAVVOPS85N2205 | LONDON STOCK EXCHANGE LEI LIMITED |
| 3 | ☐ | ISSUED | Validated | Active | No event | IEI | 213800D1EI4B9WTWWD28 | LONDON STOCK EXCHANGE PLC |
| 4 | ☐ | ISSUED | Validated | Active | No event | IEI | 213800S4EH6ROMPQIP65 | LONDON STOCK EXCHANGE GROUP HOLDINGS LIMITED |
| 5 | ☐ | ISSUED | Validated | Active | No event | IEI | 213800O1CCNIBZVCL19 | LONDON STOCK EXCHANGE GROUP PENSION SCHEME - LCH SECTION |

**▲ LEI**

LEI Consolidated Search   1.46M
My LEI Data   0

> Once you click the **Request LEI** button, a new window is opened as shown on pages <u>10 -11 </u>enabling you to submit a request for a new LEI.
> To submit the payment so the LEI request can be validated please see page <u>12</u>

# Requesting an LEI

The Create screen enables you to complete and submit the different details related to the new LEI request that you want to create.

1. Select **Yes.** If you third party authorised to apply on behalf of the entity please also attach a document to confirm.

2. Complete all the mandatory fields; these are highlighted in red.

3. Tips are provided for all the fields. To view the Tip, hover your mouse or click icon.

4. Upload **Authorisation Form** if you are a third party applying for an LEI on behalf of the Legal Entity.

Upload supporting **Document** such as Fund prospectus, Trust deed, Articles of Incorporation, if this information is not publically available on a Registration Authority.

**Note**: You can add multiple documents once you have created a draft. Please refer to the Manage your LEI Request topic.

5. Once you have completed all the mandatory fields, click on **Create.** You will notice that the button is Grayed out when initially opening the form.

**Note:** *Your LEI Request will only be completed once you make a payment.*

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# Enter LEI Data

The LEI data has two main sections, the LEI Entity data and the LEI Parent data. **Both sections need to be completed before you can request a LEI.**

The LEI Entity data in the first section of the create form consists of information about your entity such as the name, type of entity, registry details and address details (headquarters address and legal/registered address).

The LEI Parent data or Level 2 data is information of your entity's **direct and ultimate parent** as per accounting consolidating standards.

- Select Parent Name from the drop down list if the Parent has as LEI.
- If Parent does not have a LEI yet, enter the full name of the Parent and complete all fields including address and registry details of the Parent. *(Alternatively apply for the Parent LEI, if required).*
- If a Parent does not exist or cannot be disclosed, choose 'N/A' from the drop down and complete the Exception Reason field.

**Related Identifiers** can be provided to assist in validation process.

**Please see the LEI Level 2 Data Help sheet for further information.**



**GLEIF Link on Level 2 Data:**
https://www.gleif.org/en/lei-data/access-and-use-lei-data/level-2-data-who-owns-whom

**LEI ROC Policy on Level 2 Data:**
https://www.gleif.org/en/lei-data/access-and-use-lei-data/level-2-data-who-owns-whom/lei-roc-policy-on-level-2-data
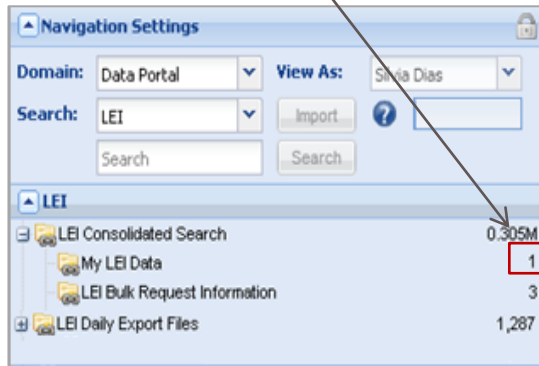
# Pay and Submit LEI Request

The **My LEI Data** folder enables you to make payments and submit your LEI requests. To make a payment, please follow the below **7** steps:

**1.** Click the **NUMBER** to the right of the **My LEI Data** folder.

The LEI request(s) are displayed in the right pane.

**2.** Select the check box next to the record for which you need to make a payment
**3.** Click the **Submit Card Pymnt** button.
**4.** Enter your **VAT Number** or choose the **VAT option** that applies to you from the VAT screen as shown below
**5.** Choose **the number of years** you wish to renew. Then click **OK**

# Pay and Submit LEI Request

**5. Accept the Terms and Conditions to continue to the Payment Form as shown below:**

**Information**
One or more of the following is true for the selected rows:

. By clicking "yes" to continue your submission, you are thereby accepting the LEI Terms and Conditions of Issue.

Are you sure you want to continue?

Yes    No

**6.** Click on **Load Payment Form** to further input your card details

**View Detail**

Load Payment Form

**7.** Enter your credit card details and click the **Pay By Card** button to proceed with the payment. The Payment **Status** screen is displayed as shown below:

**Payment Status**

Your card details are now being verified for processing. You will shortly receive an email confirming the status of your credit card payment.

Please close this window to continue.

**Note:** On payment submission you will receive an email response confirming the status of your payment. Once your LEI request is validated or if more information is required, you will be contacted by an email. **If no email is received, your payment may not have been processed, please contact lei@lseg.com if this is the case**

# Bulk Request Information

The Bulk Request feature enables you to submit 10 or more LEI requests at a time. For more information on Bulk Request, please refer the **LEI Bulk Request User Manua**l available in the **LEI Bulk Request Information** folder.

1. To access the **LEI Bulk Request** details, click on the **number** displayed next to the **LEI Bulk Request Information** folder. The LEI bulk request details are displayed in the right pane.

2. Information on Bulk Request is covered in the **LEI Bulk Request User Manual**.
To access the user manual, click the **Download File** icon.

You can also access the LEI Bulk Request Template using the **Download file** icon.

**Navigation Settings**

Domain: Data Portal   View As: Stephen Munro

Search: LEI   Import   100%

Search   Search

**LEI**

| | | | |
|---|---|---|---|
| | LEI Consolidated Search | | 1.46M |
| | My LEI Data | | 0 |
| | SPA LEI Data | | 0 |
| | LEI Bulk Request Information | | 3 |

Options ▾ | Filters ▾

| | | FileType | FileDate | File |
|---|---|---|---|---|
| 1 | ☐ | LEI Bulk Request Ref Data | 08 Jul 2019 | |
| 2 | ☐ | LEI Bulk Request User Manual | 24 Apr 2019 | |
| 3 | ☐ | LEI Bulk Request Template | 29 Jun 2018 | |

3. Download the **LEI Request Ref Data** files required to populate some of the data fields

# Challenging an LEI Record

Any user can challenge an LEI record if they believe that the details submitted are incorrect. You can only challenge the LEI records that are currently held by the London Stock Exchange LEI Limited within our system. For other LEIs you can challenge at www.gleif.org

1. Select the record that you want to challenge by clicking the check box next to the record.

2. Click the **Challenge Record** button. The Additional Field(s) screen is displayed as shown below.

**Note**: The **Challenge Record** button will be enabled only when you select a record.

3. Enter the **Reason** for the challenge and select the appropriate **Effective Date**.

You can also upload a document to support your challenge.

Once you submit the challenge, you will receive an email confirming the challenge submission. A response to the Challenge will be received within three working days of submission.

# Contact Us

Full operational support for LEI requests is available from 09:00 to 17:00, UK business days.

Contact details are as follows:

**LEI Customer Support**

**For further information: www.lseg.com/lei**

**Telephone:** +44 (0)207 797 3300

**Email:** LEI@lseg.com