

WM-LEIPORTAL

Manual LEI Application Process for Companies

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This manual was last updated on April 23, 2019. It is continuously revised to reflect the requirements stipulated by ISO 17442, the Financial Stability Board (FSB), and the Regulatory Oversight Committee (ROC). Only the latest revision of this manual is valid. Please visit the WM-LEIPORTAL to ensure that you have access to the latest version of the manual.

1 General Information on the LEI Application for Companies

1.1 Initial / Bulk Application

The quickest way to apply for an LEI is to use **www.wm-leiportal.org**. Should you need to apply for 10+ entities, please use our bulk application service. In this case, please see the “Manual LEI Bulk Application” for further information.

If you are interested in a bulk application, please contact lei-helpdesk@wmdata.com.

1.2 Authorization to Apply for an LEI

The applicant must be entitled — either by virtue of position (e.g. managing director or the holder of commercial procuration) or by way of an authorization — to apply for an LEI on behalf of his or her company. In the case of an authorization, please ensure that official company stationery is used. Authorizations must be signed by an individual named in the related register.

Please list the names of all companies or funds (if applicable) for which an LEI is to be applied for (names as per register). In addition, please name each person authorized for the application of an LEI.

A sample authorization form (for a single company as well as for several companies and/or special funds) is available via download in a Microsoft Word .doc format at the “DOWNLOADS” respectively “FAQ – DOWNLOADS” area at www.wm-leiportal.org.

1.3 Company Takeover / Sale

The LEI remains unchanged and its management is taken over by the receiving company, which is now responsible for the identifier. Any attempt to apply for a new LEI will be rejected, as this would create a duplicate, which is not permissible within the Global LEI System. Following a takeover or acquisition, the LEI must be transferred to and continued by the receiving company.

Any LEI reference data changes resulting from the takeover or sale (e.g. company name or residence change) are usually recorded by the LEI-Helpdesk as part of the takeover process.

We therefore kindly ask you to inform us immediately if LEI relevant data or the contact person has changed.

1.4 Company Merger (the “absorption” of one company into another)

The LEI of a company which becomes inactive due to a merger will be marked with status RETIRED. Along with this status, a reference to the LEI identifier of the receiving company is provided. This status change is carried out manually by the LEI-Helpdesk, unless the merger is reported to us during the LEI renewal application process.

Please provide us with the names of the companies involved, the date of the event (the first day on which the company was no longer active), the LEI of the receiving company, and the new contact person.

1.5 Company Liquidation

The LEI of a company which becomes inactive due to a liquidation will be marked with status RETIRED. Along with this status, the date of the liquidation is provided. This status change is carried out manually by the LEI-Helpdesk, unless the liquidation is reported to us during the LEI renewal application process.

Please inform us immediately once a liquidation has taken place. Please provide us with the name of the company and the date of the event (the first day on which the company was no longer active).

2 LEI Application for a Company

- 2.1 Setup of a User Account at www.wm-leiportal.org
- 2.2 Confirmation of a User Account
- 2.3 Verification / Change of Login and Profile Data

} See “Manual Setup User Account”

2.4 LEI Application

Start with the menu item “LEI APPLICATION.”

Note that fields with an asterisk (*) are mandatory fields. For your assistance please direct the cursor over the interrogation mark on the side of the relevant data fields.

2.4.1 Profile of the Entity

Select “Company” as profile.

The profile “Company” also includes applications for foundations, associations and savings banks.

2.4.2 Selection of the Country

Select your country. If you have selected one of the following countries, you have the option to choose the automatic population of the company data (see **point 3**):

Austria, Denmark, Estonia, Finland, Germany, Italy, Lithuania, Luxembourg, Malta, Norway, Slovenia, Spain, Sweden, Switzerland, United Kingdom

If a company of the above described countries is not entered in the commercial register, please enter the data manually (see **point 4**).

If the company is not domiciled in one of the before named countries, you reach the manual application form automatically by selecting the country (see **point 4**).

3 Automated Data Entry

3.1 Automated Population of Reference Data (if Available)

This service is available for the following countries:

Austria, Denmark, Estonia, Finland, Germany, Italy, Lithuania, Luxembourg, Malta, Norway, Slovenia, Spain, Sweden, Switzerland, United Kingdom.

When you have selected the country, please choose the appropriate register and then enter the register number. After the you have entered the register number, please click "Start search."

Profile: *	Company
Country: *	Germany
Commercial Register: *	Frankfurt am Main, Amtsgericht
Register No.:	HRA 15378
	<input type="button" value="Start search"/> <input type="button" value="Manual entry"/>

When the company name is selected, please click "Apply for an LEI."

Company Name:	Herausbergemeinschaft Wertpapier-Mitteilungen Keppler, Lehmann GmbH & Co. KG
Register No.:	HRA15378 FRANKFURT AM MAIN
	<input type="button" value="Apply for a LEI"/>

The company data are populated automatically in the next step. Please continue with point 3.2

If the system does not find the company, please enter the data manually (see **point 4**).

3.2 Data of the Applicant – Authorization

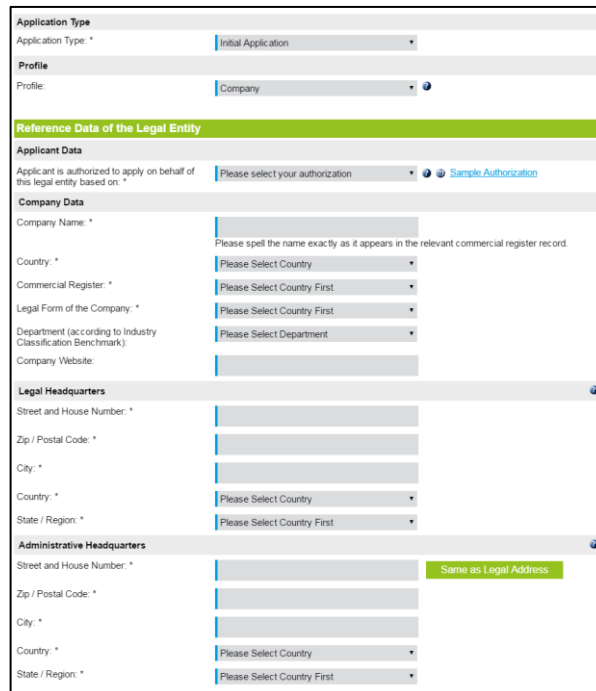
Please select your type of authorization as described in point 1.2, and upload it as pdf version by clicking “Select file.”

4 Manual Data Entry

4.1 Data of the Applicant – Authorization

Please select your type of authorization as described in point 1.2, and upload it as pdf version by clicking “Select file.”

4.2 Data of the Company /Legal /Administrative Headquarters



The screenshot displays a web form with the following sections and fields:

- Application Type:** Application Type: * (Initial Application)
- Profile:** Profile: (Company)
- Reference Data of the Legal Entity:**
 - Applicant Data:** Applicant is authorized to apply on behalf of this legal entity based on: * (Please select your authorization) [Sample Authorization]
- Company Data:**
 - Company Name: * (Please spell the name exactly as it appears in the relevant commercial register record)
 - Country: * (Please Select Country)
 - Commercial Register: * (Please Select Country First)
 - Legal Form of the Company: * (Please Select Country First)
 - Department (according to Industry Classification Benchmark): (Please Select Department)
 - Company Website: ()
- Legal Headquarters:**
 - Street and House Number: * ()
 - Zip / Postal Code: * ()
 - City: * ()
 - Country: * (Please Select Country)
 - State / Region: * (Please Select Country First)
- Administrative Headquarters:**
 - Street and House Number: * () [Same as Legal Address]
 - Zip / Postal Code: * ()
 - City: * ()
 - Country: * (Please Select Country)
 - State / Region: * (Please Select Country First)

Please note that the complete “Company Data” and “Legal Headquarters” are as set forth in the relevant register. To ensure your data is entered correctly as regard to the content and spelling, the use of a current register extract is recommended.

5 Information on the Direct and Ultimate Parent

As of May 2017, the LEI ROC and the GLEIF require that the reference data of every legal entity also provide information about the relationships within a corporate group concerning the direct parent and the ultimate parent. The objective of this provision is to find an answer not only to the question of “Who is Who” but also to the question of “Who owns Whom.”

I. The Direct Parent as Defined by the LEI ROC¹

The direct parent is defined as the next higher legal entity that prepares consolidated financial statements (mandatory) in compliance with the accounting rules applicable to the parent and consolidates and indicates the abovementioned entity within these statements.

II. The Ultimate Parent as Defined by the LEI ROC²

The ultimate parent is defined as the highest legal entity that prepares consolidated financial statements (mandatory) in compliance with the accounting rules applicable to the parent and consolidates the abovementioned entity within these statements.

In general, a company can be regarded as the parent company if it controls another company (majority of voting rights, specific arrangements/contracts) or holds a controlling stake in another company.

In the first stage, only those parent companies are indicated that prepare consolidated financial statements (mandatory) which also include the subsidiary.

All other controlling parent companies, which do not prepare consolidated financial statements, are reported as "No information" for the reason "The controlling company does not prepare consolidated financial statements".

For detailed information please refer to the manual “Information about the Group Structure”.

¹ See: http://www.leiroc.org/publications/gls/lou_20161003-1.pdf; 2.2 Definition of parent relationships in the GLEIS, p. 8 seq.

² See: http://www.leiroc.org/publications/gls/lou_20161003-1.pdf; 2.2 Definition of parent relationships in the GLEIS, S. 8 seq.

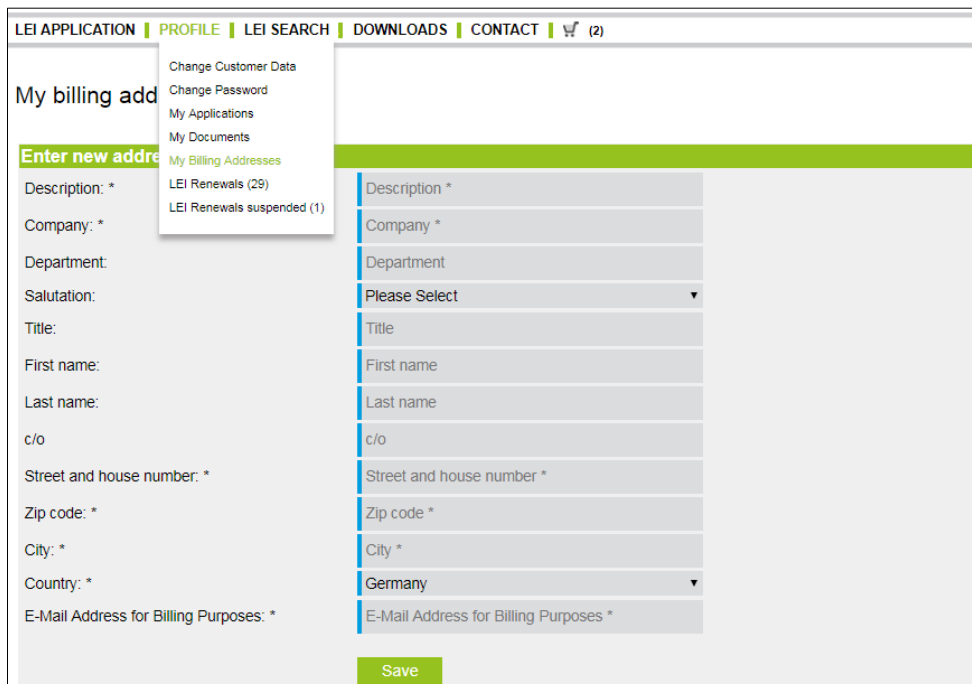
6 Completion of the LEI Application


6.1 Invoice Recipient

In general, we take the address defined in the customer data for invoicing.

In the menu item “PROFILE / My billing addresses“ you create and/or specify the (new) invoice address.

The VAT ID consists of a two digit country code (except for Austria = ATU) and up to 12 alphanumeric characters. The VAT ID must be valid and your specifications must correspond to the data you provided to the tax authorities. If you do not have a VAT ID nor apply for one, your invoice will be created with VAT.



LEI APPLICATION | PROFILE | LEI SEARCH | DOWNLOADS | CONTACT |  (2)

My billing addresses

- Change Customer Data
- Change Password
- My Applications
- My Documents
- My Billing Addresses**
 - LEI Renewals (29)
 - LEI Renewals suspended (1)

Enter new address

Description: *

Company: *

Department:

Salutation:

Title:

First name:

Last name:

c/o

Street and house number: *

Zip code: *

City: *

Country: * Germany

E-Mail Address for Billing Purposes: *

Save

6.2 Add to Shopping Cart



Once all data is entered, click on “Add to Shopping Cart” to save. Your application will be added to the shopping cart.

Now you can apply for more LEIs or click on “shopping cart” to review and conclude your application(s) in the shopping cart.



6.3 Shopping Cart

All applications and the related invoice information is listed in the shopping cart.

To view the details associated with each item in your shopping cart, click on the plus symbol next to left of it. By clicking on  “Edit entry” you may make changes to your order or the billing address. You may delete items from your shopping cart. Click on the symbol  to set the data of the legal headquarter as billing address.

At the bottom of the screen, the number of items in your order is shown, along with the costs (net; subject to VAT).

Click on “Order shopping cart” to get the currently selected payment method. Follow the next steps to complete your order.

Upon successful submission of the application, you will receive a confirmation email including your order number within a few minutes. Depending on the time the order has been transmitted, the invoice will either be sent on the same day or the next day at 2:00 p.m. at the latest. In addition, current invoices will be available in your WM-LEIPOTRAL user account after sending.

LEI Validity Period

After the initial application, each LEI is valid for one year. This period starts upon successful review of the application. When this period is expired, the LEI remain publicly available. However, it is assigned the status CONFIRMATION OVERDUE if no renewal has been requested. You can find more information on the different possible LEI status categories at the FAQ.

45 days prior to the expiration of the LEI, you will receive a notification from WM Datenservice that a particular LEI is due for a renewal. The annual renewal of the LEI can be applied via the WM-LEIPORTAL. To maintain the high data quality standards mandated by the Global LEI System, a yearly LEI review process is required.

Further Questions

On business days, we are available between 9:00 a.m. and 4:00 p.m. (CET) at **+49 (69) 27 32 - 600**.

You may also contact us via email at:

lei-helpdesk@wmdaten.com (for LEI bulk application, technical and LEI-specific questions) or

lei-service@wmdaten.com (for questions regarding invoices)