

WM-LEIPORTAL

Manual LEI Application Fund

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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 for an LEI Application for Funds

1.1 Single Application / 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. Please find detailed information on the “Manual LEI Bulk Application”.

For more information, 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 procurement) 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 the authorized person.

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

1.3 Umbrella Structures

In contrast to investment funds, which are clearly identifiable as legally independent entities (single funds), certain funds may feature a so-called umbrella structure. Defining in this context is one fund, which acts as umbrella and which may establish several other legally independent and distinct funds.

For umbrella funds as well as each of its sub-funds separated LEIs will be issued.

See item 2.2.4 for details on the application of these funds.

1.4 Treatment of Unit Classes

Individual unit or share classes of funds do not represent a legally independent unit and are thus not issued separated LEIs. Only for the establishing fund an LEI will be issued. Particular attention should be paid to the difference between legal and organizational structures.

Example:

Sample Invest Fund UC 1	}	Application as " Sample Invest Fund " with <u>one</u> sample ISIN
Sample Invest Fund UC 2		
Sample Invest Fund UC 3		

1.5 The Use of Existing Fund Identifiers

Existing identifiers, such as WKN and ISIN, are not depicted in the context of the LEI (see item 2.4.6).

1.6 An Investment Fund changes from one Asset Management Company (AMC) to another

The LEI remains unchanged and has to be taken over by the new AMC. The LEI-Helpdesk will make the necessary changes to the data associated with the investment fund, such as changing the investment fund name, changing the name of the AMC, changing the name of the custodian etc. 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.

We therefore kindly ask that you inform the administrating LOU immediately if the data associated with the LEI or the contact person has changed.

1.7 A merger of an Investment Fund into an another Investment Fund

The LEI of a fund which become inactive due to a liquidation will be marked with status RETIRED. The date of the merger and the LEI of the receiving investment fund will be added as additional information to the LEI-data of the merged fund.

We kindly ask that you inform the administrating LOU immediately once a merger has taken place. Please provide us with the names of the funds involved, the date of the event (the first day on which the fund is no longer active) and, if possible, the LEI of the receiving fund.

1.8 Liquidation of a Fund

The LEI of a fund which become 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 via the WM-LEIPORTAL.

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

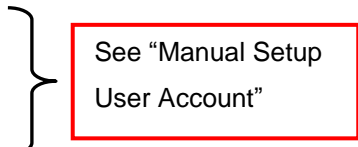
2 LEI Application for a Fund

2.1 Setup of a User Account at www.wm-leiportal.org

2.2 Confirmation of the User Account

2.3 Verification / Change of Login and Profile Data

2.4 LEI Application for an Entity



See "Manual Setup
User Account"

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.

Application Type	
Application Type: *	Initial Application
Profile	
Profile:	Fund
Reference Data of the Legal Entity	
Applicant Data	
Applicant is authorized to apply on behalf of this legal entity based on: *	His / Her Position (Management / Board / Hc) Sample Authorization
Fund Data	
Fund Name: *	Sample Fund
Unit or share classes of funds are not independent entities and cannot be assigned a LEI. Please also refer to the instructions on how to register an investment fund.	
Fund Structure: *	Umbrella
Fund Type: *	Mutual Fund
Example ISIN from a Share Class, an Individual Fund, or a Subfund:	
Country: *	Luxembourg
Legal Form: *	FCP Specialised Investment Fund
Register of the Fund: *	CSSF - Entités Surveillées / CSSF - Supervised entities
Register No.:	n.a. <input checked="" type="checkbox"/> No Registernumber available
Name and Legal Headquarters of the Asset Management Company (AMC)	
Name of the Asset Management Company (AMC): *	Sample AMC
Street and House Number: *	Avenue Capital 1
Zip / Postal Code: *	L - 1234
City: *	Luxembourg
Country: *	Luxembourg
State / Region: *	Luxembourg
Commercial Register: *	Registre de Commerce et des Sociétés / Register of Commerce and Companies
Register No.:	12346
Custodian	
Name: *	Sample Custodian
Street and House Number: *	Avenue Fund 1
Zip / Postal Code: *	L - 1324
City: *	Luxembourg
Country: *	Luxembourg
State / Region: *	Luxembourg

2.4.1 Application Type

Select "LEI Application." Under "Application Type", please indicate whether you would like to apply for a new entity, or whether you would like to transfer an already existing LEI to WM Datenservice.

2.4.2 Profile of the Entity

Select "Fund" as profile.

2.4.3 Applicant Data – Authorization

Under "Applicant Data" please select your type of authorization given as per point 1.2.

2.4.4 Fund Name

Please enter the complete and legal name of the fund to be applied for. Abbreviations, variations, or trade names cannot be accepted. To avoid duplicates and to ensure the highest possible data quality, your information will be verified by a variety of means, especially through the consultation of primary sources, registers and custodians.

For umbrella structures pursuant to item 1.3, the following applies: To apply for each sub-fund, this syntax should be used to correctly indicate the fund name:

[umbrella fund] - [sub-fund]

Example:

"Sample Invest Fund" (= umbrella fund, to receive its own LEI) issues the

"Equity Strategy Anyland" fund (= sub-fund, also to receive its own LEI).

Upon the application of a sub-fund, the following fund name should be used:

Sample Investment Fund – Equity Strategy Anyland

Please note that this syntax is also to be applied to the application of investment stock corporation asset sub-pools.

2.4.5 Fund Structure

You may choose between single funds (including so called "master funds"), umbrella funds and sub-funds. Please note that the fund structure "sub-fund" can only be selected in combination with an umbrella fund. Individual unit or share classes of funds do not feature a sub-fund structure and should not be classified in this way.

2.4.6 Fund Type

You may choose between “Public Fund”, “Special Fund” and “Other.”

In addition to the LEI application for **special funds**, please note that as there are no published documents available (e.g. prospectus, Key Investor Information Document). We may ask you to provide us with such a document or seek a confirmation of the submitted data from the relevant custodian.

This validation refers to:

- Fund Name
- Legal Form
- Fund Structure (Single Fund (including so-called Masterfunds) / Umbrella / Subfund)
- Fund Type (Special Fund)
- Asset Management Company

2.4.7 Sample ISIN of a Unit Class, Individual Fund, or Sub-Fund

As a reference and for verification purposes as part of the LEI application process, we require that you enter a sample ISIN for the individual fund, the fund unit, or the unit class (if applicable). Please enter only one ISIN. Do not enter an ISIN for each unit class.

2.4.8 Country and Legal Form

Please select the country and the legal form of the fund (and not of the AMC) to be applied for an LEI. The choice of legal form is dependent on the selected country.

2.4.9 Information on the Asset Management Company (AMC)

Please enter the name and address of the AMC. This address should correspond to the legal domicile of the fund and not to the address of a fund manager, any business branches or facilities or a broker. Usually, the address of the fund is identical to that of its AMC.

Furthermore, please enter the appropriate commercial register number and the name of the responsible court of registration. We require this information for verification purposes.

2.4.10 Information on the Custodian

Please enter the address of the custodian holding the special assets of the fund in safekeeping.

2.4.11 Information on the Direct Parent and the 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 aim 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 Global 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.

According to the current definition of the LEI ROC, information on the group structure is only required in the company profile.

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

No information is required for funds. This has been already recorded.

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

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

2.4.12 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 add

Enter new address

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

Description *

Company *

Department

Salutation: Please Select ▼

Title

First name

Last name

c/o

Street and house number *

Zip code *

City *

Country: Germany ▼

E-Mail Address for Billing Purposes *

Save

2.4.13 Add to the Shopping Cart



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

Another LEI application could be entered directly by recur the application procedure or change to the shopping cart by clicking the symbol “Shopping Cart”. Here all applications can be validated and completed.



2.4.14 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 “Oder 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 to answer any further questions 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)

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