

# WM-LEIPORTAL

## Manual LEI Bulk Application

### Index

<b>1</b>	<b>The LEI Bulk Application Process .....</b>	<b>3</b>
<b>2</b>	<b>Information about the Excel Template for the reference data of the legal entities .....</b>	<b>4</b>
2.1	A Brief Overview of Fields, 1/2.....	5
2.2	A Brief Overview of Fields, 2/2.....	6
2.3	Instructions on How to Complete the Fields for Companies .....	8
2.4	Instructions on How to Complete the Fields for Funds .....	10
2.5	Instructions on How to Complete the Fields for Legal Entities of Public Law .....	12
<b>3</b>	<b>Information about the Excel Template for the Information about the Group Structure .....</b>	<b>14</b>
3.1	Instructions on How to Complete the Fields for Companies .....	14
3.1.1	LEI of the Parent Company Exits .....	14
3.1.2	LEI of the Parent Company Not Exist.....	14
3.1.3	No Information on the Parent Company .....	15
3.2	Instructions on How to Complete the Fields for Funds .....	15
3.3	Instructions on How to Complete the Fields for Legal Entities of Public Law .....	15
	<b>Further Questions .....</b>	<b>15</b>

This manual was last updated on June 29, 2020. 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.

While LEIs can easily and comfortably be applied for through the WM-LEIPORTAL, this form of application can be inconvenient and time consuming should one require LEIs for a large number of entities, as in the case of asset management companies or hierarchically structured companies with up to several hundred legally independent units.

That is why we offer the convenience of a bulk application for multiple LEIs upon request. The minimum number of LEIs to be applied for in this way is 10. Should you choose this method of application, we will provide you with an Excel file, in which you enter your data and then send the file back to us. The exact procedure is described in this manual.

The price for an LEI per bulk application is €70 net. We offer clients who are planning to order on a regular basis LEIs additional services like e.g. a fast-track allocation of LEIs and the extension of the payment target to up to 90 days. Talk to our [Sales Administration](#) for further information.

Please note that the bulk application can currently be used only for initial LEI applications and not in case of LEI updates or renewals. Such requests must be started separately via the WM-LEIPORTAL login area.

## 1 The LEI Bulk Application Process

- 1 E-mail us at [lei-helpdesk@wmdaten.com](mailto:lei-helpdesk@wmdaten.com) to let us know that you would like to apply for LEIs using bulk registration. We will provide you with all necessary information and the Excel file via e-mail.
- 2 As in the case of a regular LEI application through the WM-LEIPORTAL, also for bulk applications you have to create a user account for the WM-LEIPORTAL. If you do not yet have a user account, please create one at [www.wm-leiportal.org](http://www.wm-leiportal.org). We would also ask you to inform us about your user name in reference to each Excel-Template.
- 3 Complete the Excel file with the required data. Please note that each line can only be used to apply for one individual LEI. Make sure to provide the necessary information for all mandatory fields for each LEI (details on how to complete individual fields are given below).
- 4 E-mail the completed Excel file together with a letter of authorization<sup>1</sup> as a PDF, stating that you are authorized to apply for the LEIs, to [lei-helpdesk@wmdaten.com](mailto:lei-helpdesk@wmdaten.com).
- 5 Your file will be validated with regard to completeness and duplicates and then it will be imported into our system. We will contact you if we should have any additional questions.
- 6 Only one order can be generated per Excel file (with at least 10 LEIs), although bulk orders can be split into multiple Excel files /individual orders (with at least 10 LEIs).
- 7 For every order, we will generate one invoice. We will use the information from your user account for the invoice addressee and address. To generate multiple invoices, different user accounts have to be created in advance and each order has to be assigned to an account. Please inform us, should you require multiple invoices. One e-mail address may be used several times for different user accounts.
- 8 It is not possible to retrospectively split an already submitted order into several individual orders with different billing addresses. Thus, please provide us with the correct and complete billing address for each order in advance.
- 9 Depending on the time the order has been fully processed, the invoice will be sent on the next working day at the latest.

---

<sup>1</sup> As an allocating agency for LEIs, WM Datenservice carefully verifies the identity of the applicant in accordance with current regulations. As basis for the verification, we use the company data filed with the responsible commercial register. Thus, the LEI has to be applied by a person listed in the commercial register as authorized to represent the company. Or, alternatively, a person may apply for the LEI if this person is in possession of a letter of authorization issued by a person listed in the commercial register as authorized to represent the company. Please scan the letter of authorization and submit it as a PDF. In case of irregularities, WM Datenservice requires that the original letter of authorization is submitted. WM Datenservice may adjourn the application of the LEI until the letter of authorization is received.

## 2 Information about the Excel Template for the reference data of the legal entities

The LEI bulk application can only be processed if all required fields within the Excel template have been completed correctly. Please only use the provided template and follow the instructions on how to complete it.

Please note that the data fields are defined partly as free text fields and partly as codes/key values. In the key file all valid values are defined and assigned with a corresponding code/key (e.g. code/key "1038" is given for the legal form "Limited"), which have to be used for the Excel template.

The Excel template can be used to apply for LEIs for different types of legal entities. Hence, some fields have to be completed differently, depending on the type of entity (companies, funds, legal entities of public law).

On the following pages, you will find a brief overview of the individual fields. Subsequently, instructions on how to complete these fields for either companies, funds, or legal entities of public law will be given.

Please make sure to collect your LEI applications in one file and not to split them among several files. You may include different types of entities in the same file (and, for example, enter your company and all of your managed funds). The first row of the file contains the field names; please leave this row unchanged and begin with your data entry in the second row. Please continuously enter data into each row until the information for all your entities has been provided. Do not skip rows. There should not be any empty rows between those in which you entered your data.

**Please note:** Semicolons (;) are used as field-separators. If your data includes a semicolon (e.g. to separate city from district), please use a colon (:) instead (city: district).

## 2.1 A Brief Overview of Fields, 1/2

	FIELD NAME	MANDATORY FOR *)	CONTENTS (COMPANY, FUND, LEGAL ENTITY OF PUBLIC LAW)
<b>A</b>	BULK_NAME	C, F, LPL	COMPLETE NAME <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE FUND</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>B</b>	BULK_REGION _ JURISDICTION	C, F, LPL	JURISDICTION REGION (SEE KEY FILE → ACCREDITED_COUNTRY) <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE FUND</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>C</b>	BULK_OU_TYPE	C, F	LEGAL FORM (SEE KEY FILE → LEGAL FORM) <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE FUND</li> <li>• IS NOT REQUIRED</li> </ul>
<b>D</b>	BULK_LE _ STREET	C, F, LPL	ADDRESS OF THE LEGAL HEADQUARTERS (STREET AND NUMBER) <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE ASSET MANAGEMENT COMPANY</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>E</b>	BULK_LE _ POSTAL	C, F, LPL	ZIP CODE OF THE LEGAL HEADQUARTERS <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE ASSET MANAGEMENT COMPANY</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>F</b>	BULK_LE_CITY	C, F, LPL	CITY OF THE LEGAL HEADQUARTERS <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE ASSET MANAGEMENT COMPANY</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>G</b>	BULK_LE_STATE _ REGION	C, F, LPL	STATE / REGION OF THE LEGAL HEADQUARTERS (SEE KEY FILE → SUBDIVISION) <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE ASSET MANAGEMENT COMPANY</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>H</b>	BULK_LE _ COUNTRY	C, F, LPL	COUNTRY OF THE LEGAL HEADQUARTERS (SEE KEY FILE → COUNTRY) <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE ASSET MANAGEMENT COMPANY</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>I</b>	BULK_HQ_NAME	F	COMPLETE NAME <ul style="list-style-type: none"> <li>• IS NOT REQUIRED</li> <li>• OF THE CUSTODIAN</li> <li>• IS NOT REQUIRED</li> </ul>
<b>J</b>	BULK_HQ _ STREET	C, F, LPL	ADDRESS OF THE ADMINISTRATIVE HEADQUARTERS (STREET AND HOUSE NUMBER) <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE CUSTODIAN</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>K</b>	BULK_HQ _ POSTAL	C, F, LPL	ZIP CODE OF THE ADMINISTRATIVE HEADQUARTERS <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE CUSTODIAN</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>L</b>	BULK_HQ_CITY	C, F, LPL	CITY OF THE ADMINISTRATIVE HEADQUARTERS <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE CUSTODIAN</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>

\*) C = Company, F = Fund, CPL = Legal Entity of Public Law, in Brackets = Optional Information

## 2.2 A Brief Overview of Fields, 2/2

	FIELD NAME	MANDATORY FOR *)	CONTENTS (COMPANY, FUND, LEGAL ENTITY OF PUBLIC LAW)
<b>M</b>	BULK_HQ_STATE_REGION	C, F, LPL	STATE / REGION OF THE ADMINISTRATIVE HEADQUARTERS (SEE KEY FILE → SUBDIVISION) <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE CUSTODIAN</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>N</b>	BULK_HQ_COUNTRY	C, F, LPL	COUNTRY OF THE ADMINISTRATIVE HEADQUARTERS (SEE KEY FILE → COUNTRY) <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE CUSTODIAN</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>O</b>	BULK_JURIS	(C), (F), (LPL)	REGISTER (IF NOT AVAILABLE IN KEY FILE → REGISTER) <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE FUND</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>P</b>	BULK_REGISTER_NR	C, F, LPL	REGISTER NUMBER <ul style="list-style-type: none"> <li>• OF THE COMPANY</li> <li>• OF THE FUND</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW</li> </ul>
<b>Q</b>	BULK_FUND_STRUCTURE	F	<ul style="list-style-type: none"> <li>• IS NOT REQUIRED</li> <li>• FUND STRUCTURE (SEE KEY FILE → FUND STRUCTURE)</li> <li>• IS NOT REQUIRED</li> </ul>
<b>R</b>	BULK_FUND_TYPE	F	<ul style="list-style-type: none"> <li>• IS NOT REQUIRED</li> <li>• CLASSIFICATION OF THE FUND TYPE (SEE KEY FILE → FUND TYPE)</li> <li>• IS NOT REQUIRED</li> </ul>
<b>S</b>	BULK_FUND_ISIN	(F)	<ul style="list-style-type: none"> <li>• IS NOT REQUIRED</li> <li>• EXAMPLE ISIN OF A SHARE CLASS, AN INDIVIDUAL FUND, A SUB-FUND</li> <li>• IS NOT REQUIRED</li> </ul>
<b>T</b>	BULK_FUND_KAG	F	<ul style="list-style-type: none"> <li>• IS NOT REQUIRED</li> <li>• NAME OF THE ASSET MANAGEMENT COMPANY</li> <li>• IS NOT REQUIRED</li> </ul>
<b>U</b>	BULK_AD_INFO	(C)	<ul style="list-style-type: none"> <li>• INDUSTRY (SEE KEY FILE → INDUSTRIES)</li> <li>• IS NOT REQUIRED</li> <li>• IS NOT REQUIRED</li> </ul>
<b>V</b>	BULK_FUND_REG_NR	(F)	<ul style="list-style-type: none"> <li>• IS NOT REQUIRED</li> <li>• REGISTER NUMBER OF THE ASSET MANAGEMENT COMPANY</li> <li>• IS NOT REQUIRED</li> </ul>
<b>W</b>	BULK_FUND_REGISTER	(F)	<ul style="list-style-type: none"> <li>• IS NOT REQUIRED</li> <li>• REGISTER OF THE ASSET MANAGEMENT COMPANY (IF NOT AVAILABLE IN KEY FILE → REGISTER)</li> <li>• IS NOT REQUIRED</li> </ul>
<b>X</b>	BULK_PUBLIC_CLASS	LPL	<ul style="list-style-type: none"> <li>• IS NOT REQUIRED</li> <li>• IS NOT REQUIRED</li> <li>• CLASSIFICATION OF THE LEGAL ENTITY OF PUBLIC LAW (SEE KEY FILE → LEGAL ENTITY OF PUBLIC LAW_CLASSIFICATION)</li> </ul>



<b>Y</b>	BULK_REGISTRATION_AUTHORITY_ID	C, F, LPL	REGISTER <ul style="list-style-type: none"> <li>• OF THE COMPANY (SEE KEY FILE → REGISTER)</li> <li>• OF THE FUND (SEE KEY FILE → REGISTER)</li> <li>• OF THE LEGAL ENTITY OF PUBLIC LAW (SEE KEY FILE → REGISTER)</li> </ul>
<b>Z</b>	BULK_KVG_REGISTRATION_AUTHORITY_ID	(F)	REGISTER <ul style="list-style-type: none"> <li>• IS NOT REQUIRED</li> <li>• REGISTER OF THE ASSET MANAGEMENT COMPANY (SEE KEY FILE → REGISTER)</li> <li>• IS NOT REQUIRED</li> </ul>

\*) C = Company, F = Fund, CPL = Legal Entity of Public Law, in Brackets = Optional Information

## 2.3 Instructions on How to Complete the Fields for Companies

Column A (BULK\_name) – mandatory field, max. 255 characters

**Please enter the complete name under which the company is registered in this field. To do this, use the official spelling, not a brand name or abbreviation. This also includes the specification of the legal form, provided as a legal element at the end of the company name.**

Column B (BULK\_region\_Jurisdiction) – mandatory field, max. 255 characters

**In this field, please enter the legal jurisdiction region in accordance with the attached key file → Accredited\_Country. Please note that the selection on a country depends on the profile (1 = allowed, 0 = not allowed).**

Column C (BULK\_OU\_type) – mandatory field, max. 255 characters

**In this field, please enter the legal form of the company to be registered in accordance with the attached key file → Legal Form. Please note that the selection on the legal form depends on the legal jurisdiction region.**

Columns D – H (BULK\_LE\_\*\*\*\*) – mandatory fields, max. 255 characters

**Please enter the address of the legal headquarters of the company in these columns.**

**In column D (BULK\_LE\_street): Street and House Number**

**In column E (BULK\_LE\_postal): Zip Code**

**In column F (BULK\_LE\_city): City**

**In column G (BULK\_LE\_state\_region): State or Region (key file → Subdivision)**

**In column H (BULK\_LE\_country): Country (key file → Country)**

Column I (BULK\_HQ\_name)

**Does not have to be completed for companies.**

Columns J – N (BULK\_HQ\_\*\*\*\*) – mandatory fields, max. 255 characters

**Please enter the address of the administrative headquarters of the company in these columns. Please complete these fields, even if the address of the administrative headquarters is identical to that of the legal headquarters.**

**In column J (BULK\_HQ\_street): Street and House Number**

**In column K (BULK\_HQ\_postal): Zip Code**

**In column L (BULK\_HQ\_city): City**

**In column M (BULK\_HQ\_state\_region): State or Region (key file → Subdivision)**

**In column N (BULK\_HQ\_country): Country (key file → Country)**

Column O (BULK\_juris) – mandatory field, max. 255 characters

**In this field, please enter the register if column Y (BULK\_registration\_authority\_id) = RA888888.**

Column P (BULK\_register\_nr) – mandatory field, max. 255 characters

**In this field, please enter the register number of the company filed by the register named in column O or Y. Please enter „n.a.“ if no register number exist for this legal entity.**

Columns Q – T

**Do not have to be completed for companies.**

Column U (BULK\_AD\_info) – optional field, max. 255 characters

**You may enter the industry sector of the company in this field in accordance with the attached key file → Industries**

Columns V– X

**Do not have to be completed for companies.**



Column Y (BULK\_registration\_authority\_id) – mandatory field

**In this field, please enter the register in accordance with the attached key file → Register. Please note that the selection on a register depends on the profile (1 = allowed, 0 = not allowed).**

**In this field, please enter the register code RA999999 if no registration authority is available for this legal entity.**

**In this field, please enter the register code RA888888 if the register is not in the key file → Register. Please enter the name of the register in column „BULK\_juris“.**

Column Z (BULK\_kvg\_registration\_authority\_id)

**Does not have to be completed for companies.**

## 2.4 Instructions on How to Complete the Fields for Funds

Column A (BULK\_name) – mandatory field, max. 255 characters

**In this field, please enter the complete name of the fund. To do this, use the official spelling, not a brand name or abbreviation. Further information on the registration of the fund can be found in the separate Manual LEI Application Fund.**

Column B (BULK\_region\_Jurisdiction) – mandatory field, max. 255 characters

**In this field, please enter the legal jurisdiction region in accordance with the attached key file → Accredited\_Country. Please note that the selection on a country depends on the profile (1 = allowed, 0 = not allowed).**

Column C (BULK\_OU\_type) – mandatory field, max. 255 characters

**In this field, please enter the legal form of the fund in accordance with the attached key file → Legal Form. Please note that the selection on the legal form depends on the legal jurisdiction region.**

Column D – H (BULK\_LE\_\*\*\*\*) – mandatory fields, max. 255 characters

**Please enter the address of the legal headquarters of the Asset Management Company in these columns.**

**In column D (BULK\_LE\_street): Street and House Number**

**In column E (BULK\_LE\_postal): Zip Code**

**In column F (BULK\_LE\_city): City**

**In column G (BULK\_LE\_state\_region): State or Region (key file → Subdivision)**

**In column H (BULK\_LE\_country): Country (key file → Country)**

Column I (BULK\_HQ\_name) – mandatory field, max. 255 characters

**Please enter the complete name of the custodian by which the fund is deposited in this field. Please use the official spelling including the legal form, provided it is a part of the name.**

Columns J– N (BULK\_HQ\_\*\*\*\*) – mandatory fields, max. 255 characters

**Please enter the address of the custodian specified in column I in these columns.**

**In column J (BULK\_HQ\_street): Street and House Number**

**In column K (BULK\_HQ\_postal): Zip Code**

**In column L (BULK\_HQ\_city): City**

**In column M (BULK\_HQ\_state\_region): State or Region (key file → Subdivision)**

**In column N (BULK\_HQ\_country): Country (key file → Country)**

Column O (BULK\_juris) – mandatory field, max. 255 characters

**In this field, please enter the register, if column Y (BULK\_registration\_authority\_id) = RA888888.**

Column P (BULK\_register\_nr) – mandatory field, max. 255 characters

**In this field, please enter the register number of the company filed by the register named in column O or Y. Please enter „n.a.“ if no register number exist for this legal entity.**

Column Q (BULK\_fund\_structure) – mandatory field, max. 10 characters

**In this field, please enter the fund structure in accordance with the attached key file → Fund Structure.**

Column R (BULK\_fund\_type) – mandatory field, max. 10 characters

**In this field, please enter the classification of the fund type in accordance with the attached key file → Fund Type.**

Column S (BULK\_fund\_isin) – optional field, 12 characters

**In this field, you may enter an example ISIN of a share class, an individual fund or a sub-fund.**

Column T (BULK\_fund\_KAG) – mandatory field, max. 255 characters

**In this field, please enter the name of the Asset Management Company.**

Column U (BULK\_AD\_info) – optional field, max. 255 characters

**Does not have to be completed for funds.**

Column V (BULK\_fund\_reg\_nr) – optional field, max. 255 characters

**In this field, you may enter the registration number of Asset Management Company filed by the register named in column W. Please enter „n.a.“ if no register number exist for the Asset Management Company.**

Column W (BULK\_fund\_register) – optional field, max. 255 characters

**In this field, you may enter the name of the register of the Asset Management Company if column Z (BULK\_LEI\_jurisdiction\_court\_KVG) = RA888888**

Column X (BULK\_public\_class)

**Does not have to be completed for funds.**

Column Y (BULK\_registration\_authority\_id) – mandatory field

**In this field, please enter the register of the fund in accordance with the attached key file → Register. Please note that the selection on a register depends on the profile (1 = allowed, 0 = not allowed).**

**In this field, please enter the register code RA999999 if no registration authority is available for this legal entity.**

**In this field, please enter the register code RA888888 if the register is not in the key file → register. Please enter the name of the register in column „BULK\_juris“.**

Column Z (BULK\_LEI\_jurisdiction\_court\_KVG) – optional field

**In this field, please enter the register of Asset Management Company in accordance with the attached key file → Register. Please note that the selection on a register depends on the profile (1 = allowed, 0 = not allowed).**

**In this field, please enter the register code RA999999 if no registration authority is available for this legal entity.**

**In this field, please enter the register code RA888888 if the register is not in the key file → Register. Please enter the name of the register in column „BULK\_fund\_register“.**

## 2.5 Instructions on How to Complete the Fields for Legal Entities of Public Law

Column A (BULK\_name) – mandatory field, max. 255 characters

**In this field, please enter the complete name under which the legal entity of public law is registered. To do this, use the official spelling, not a possible brand name or abbreviation. This also includes the specification of the legal form, provided this is a component of the name.**

Column B (BULK\_region\_Jurisdiction) – mandatory field, max. 255 characters

**In this field, please enter the legal jurisdiction region in accordance with the attached key file → Accredited\_Country. Please note that the selection on a country depends on the profile (1 = allowed, 0 = not allowed).**

Column C (BULK\_OU\_type)

**Does not have to be completed for legal entities of public law.**

Column D – H (BULK\_LE\_\*\*\*\*) – mandatory fields, max. 255 characters

**Please enter the address of the legal headquarters of the legal entity of public law in these columns.**

**In column D (BULK\_LE\_street): Street and House Number**

**In column E (BULK\_LE\_postal): Zip Code**

**In column F (BULK\_LE\_city): City**

**In column G (BULK\_LE\_state\_region): State or Region (key file → Subdivision)**

**In column H (BULK\_LE\_country): Country (key file → Country)**

Columns I (BULK\_HQ\_name)

**Does not have to be filled for legal entities of public law.**

Columns J– N (BULK\_HQ\_\*\*\*\*) – mandatory fields, max. 255 characters

**Please enter the address of the administrative headquarters of the legal entity of public law in these columns.**

**In column J (BULK\_HQ\_street): Street and House Number**

**In column K (BULK\_HQ\_postal): Zip Code**

**In column L (BULK\_HQ\_city): City**

**In column M (BULK\_HQ\_state\_region): State or Region (key file → Subdivision)**

**In column N (BULK\_HQ\_country): Country (key file → Country)**

Column O (BULK\_juris) – mandatory field, max. 255 characters

**In this field, please enter then name of the register if column Y (BULK\_registration\_authority\_id) = RA888888.**

Column P (BULK\_register\_nr) – Optional field, max. 100 characters

**In this field, please enter the register number for the legal entity of public law. Please enter „n.a.“ if no register number exist for this legal entity.**

Columns Q – W

**Do not have to be filled for legal entities of public law.**

Column X (BULK\_public\_class) – mandatory field, max. 10 characters

**In this field, please enter the classification of the legal entity of public law in accordance with the attached key file → Legal\_Entity\_of\_Public\_Law\_Classification.**

Column Y (BULK\_registration\_authority\_id) – mandatory field

**In this field, please enter the register in accordance with the attached key file → Register. Please note that the selection on a register depends on the profile (1 = allowed, 0 = not allowed).**

**In this field, please enter the register code RA999999 if no registration authority is available for this legal entity.**

**In this field, please enter the register code RA888888 if the register is not in the key file → Register.  
Please enter the name of the register in column „BULK\_juris“.**

Column Z (BULK\_kvg\_registration\_authority\_id)

**Does not have to be filled for legal entities of public law.**

### 3 Information about the Excel Template for the Information about the Group Structure

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 ROC<sup>2</sup>

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 ROC<sup>3</sup>

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.

#### 3.1 Instructions on How to Complete the Fields for Companies

Please use the second worksheet “Information Group Structure” for entering the relevant data about the group structure.

##### 3.1.1 LEI of the Parent Company Exists

If an active LEI of the parent company already exists (with the status ISSUED, LAPSED, PENDING TRANSFER), the data on the parent company can be transmitted to WM Datenservice by entering the LEI into the designated field.

Relevant checks for parent companies with an LEI: **B – D & U-W**

General Information about the valid values in the specific data fields, are given in line no 5.

##### 3.1.2 LEI of the Parent Company Not Exist

If the parent company does not yet have an LEI, please enter manually the reference data. Relevant checks for parents without an LEI: **E – S & X – AL**

General Information about the valid values in the specific data fields, are given in line no 5.

---

<sup>2</sup> See: [http://www.leiroc.org/publications/gls/lou\\_20161003-1.pdf](http://www.leiroc.org/publications/gls/lou_20161003-1.pdf); 2.2 Definition of parent relationships in the GLEIS, p. 8 f.

<sup>3</sup> See: [http://www.leiroc.org/publications/gls/lou\\_20161003-1.pdf](http://www.leiroc.org/publications/gls/lou_20161003-1.pdf); 2.2 Definition of parent relationships in the GLEIS, p. 8 f.

### 3.1.3 No Information on the Parent Company

If no Information can be provided on the parent company, please select and enter (**only the relevant ID**) one or more of the following reasons into the designated fields.

Relevant think if no information on the parent company can be provided: **T & AM**

General Information about the valid values in the specific data fields, are given in line no 5.

WM Datenservice will not validate your information.

### 3.2 Instructions on How to Complete the Fields for Funds

The LEI ROC definitions of a direct parent and an ultimate parent are currently considered only for companies.

**No information is required for funds.**

### 3.3 Instructions on How to Complete the Fields for Legal Entities of Public Law

The LEI ROC definitions of a direct parent and an ultimate parent are currently considered only for companies.

**No information is required for legal entities of public law.**

## Further Questions

On business days you can reach us between 9:00 a.m. and 4:00 p.m. (CET) at **+49 (69) 27 32 - 600**.

You can also contact us via email at:

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

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