

WM-LEIPORTAL Manual for LEI Renewal

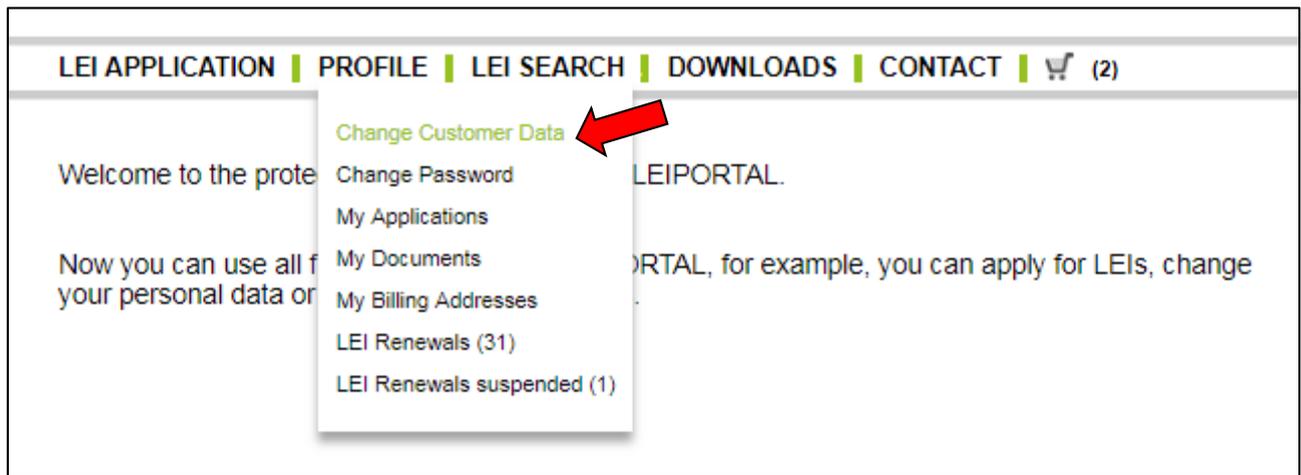
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This manual was last updated on October 13, 2020. It is continuously revised to reflect the requirements stipulated by ISO 17442, the Financial Stability Board (FSB), and the Regulatory Oversight Committee (ROC). Only the latest revision of this manual is valid. Please visit the WM-LEIPORTAL to ensure that you have access to the latest version of the manual.

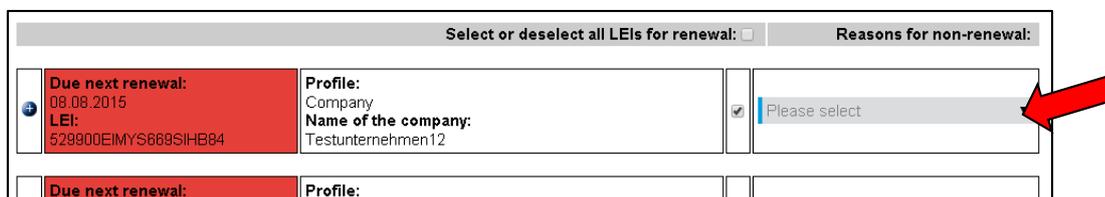
Manual for LEI Renewal – Abridged Version

- Step 1:** Login at www.wm-leiportal.org
- Step 2:** Review / Change your Customer Data
- Step 3:** Select the Relevant LEI and Verify the Associated Data



Click on “PROFILE” and then select “LEI Renewal”. All LEIs which are up for a renewal are listed in this section.

Click on the box to the right of the entity to choose to renew the LEI. A check mark will appear.



Should you decide not to renew the LEI, please select a reason for this decision (merger or liquidation) from the drop-down list to the right. More information on “LEI Non-Renewal” is available on page 8 of this manual.

Select or deselect all LEIs for renewal: <input type="checkbox"/>		Reasons for non-renewal:
Due next Renewal: 08.08.2015 LEI: 529900EIMYS669SIHB84	Profile: Company Company Name: Testunternehmen12	Please select Please select
Due next Renewal: 12.09.2017 LEI: 529900P4M0P3HURZ6G50	Profile: Company Company Name: Unternehmen mit Exception Test 2017-9-22 10:53 Zufall 629717	Entity does not longer exist Merger Liquidation



Important: To change any data associated with the LEI, it has to be added to the shopping cart first (see Step 4 for more information).

Then, select “Continue renewal” to access the shopping cart and to complete the application process.

Even if you decide not to renew the LEI, you have to pass through the application process for transmitting changes. In this case, the service is free of charge.

Step 4: 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”.

If your LEI does not yet contain information on the direct and ultimate parent, you will be informed with the following advice to supplement the data accordingly.

Please follow the advice in the separate manual “**Information about the Group Structure**”, to supplement the data on group structure.

Step 5: Complete the Application Process

Please see information at Step 5 on page 10.

Manual for LEI Renewal – Detailed Version

LEI Validity Period

After the initial application, each LEI is valid for one year. This period starts upon successful review of the application. Prior to the expiration of the LEI, you will receive a notification from WM Datenservice, that a particular LEI is due for 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.

Account Change: Moving an LEI from One User Account to Another

To initially apply for or to administrate one or more LEI, it is necessary to create a user account at www.wm-leiportal.org. All LEIs associated with this account can only be updated or renewed via this account.

In certain situations it might be necessary to move a LEI from one user account to another. Examples for such situations might be company takeovers or changes in the corporate hierarchy (parent company / subsidiaries). Upon request of the user account holders of the two affected accounts, the LEI account transfer can be realized by LEI-Helpdesk.

To request that a LEI be transferred from one account to another (“account transfer”), please contact us at lei-helpdesk@wmdata.com.

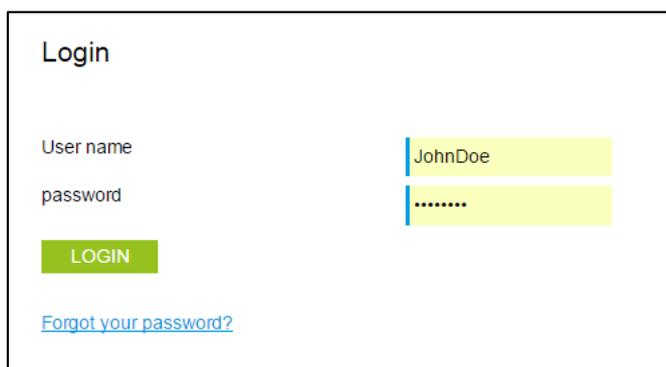
When a LEI is transferred between accounts, an invoice with the amount of EUR 0 is generated and sent via email to the owner of the account to which the LEI is added. This invoice merely serves as an additional order confirmation. The service “account transfer” is free of charge.

Renewal Process

Step 1: Login at www.wm-leiportal.org

The user account can be used to apply, renew, and manage an LEI.

- Go to www.wm-leiportal.org.
- Click on “LOGIN” (right site, on the top of the screen).
- Enter your username and password. If you cannot remember your password, use the link “Forgot your password?” to retrieve it.

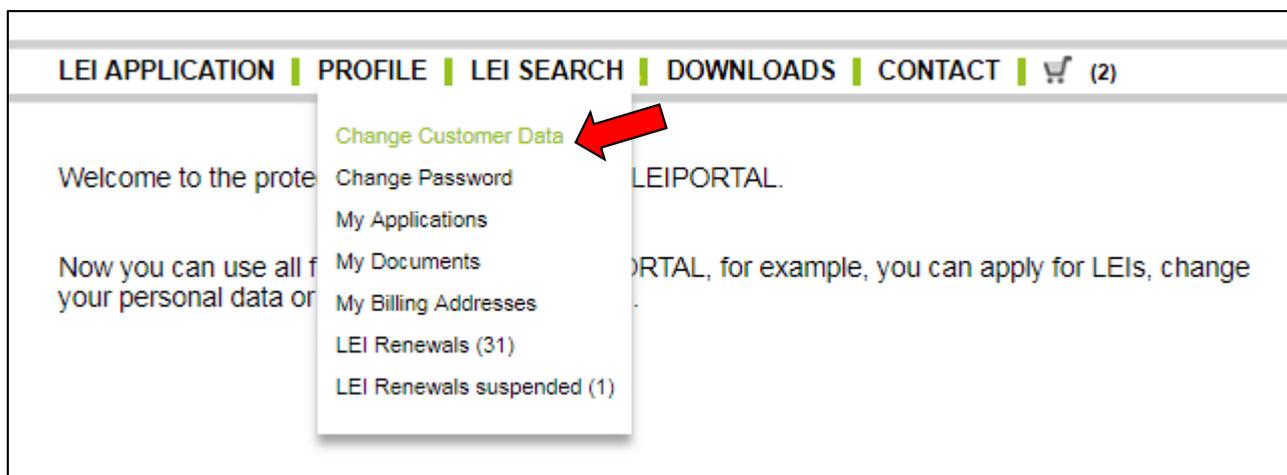


The screenshot shows a login form with the following elements:

- Login** header
- User name** field containing "JohnDoe"
- password** field containing "....."
- LOGIN** button
- [Forgot your password?](#) link

Step 2: Review / Change Your Customer Data

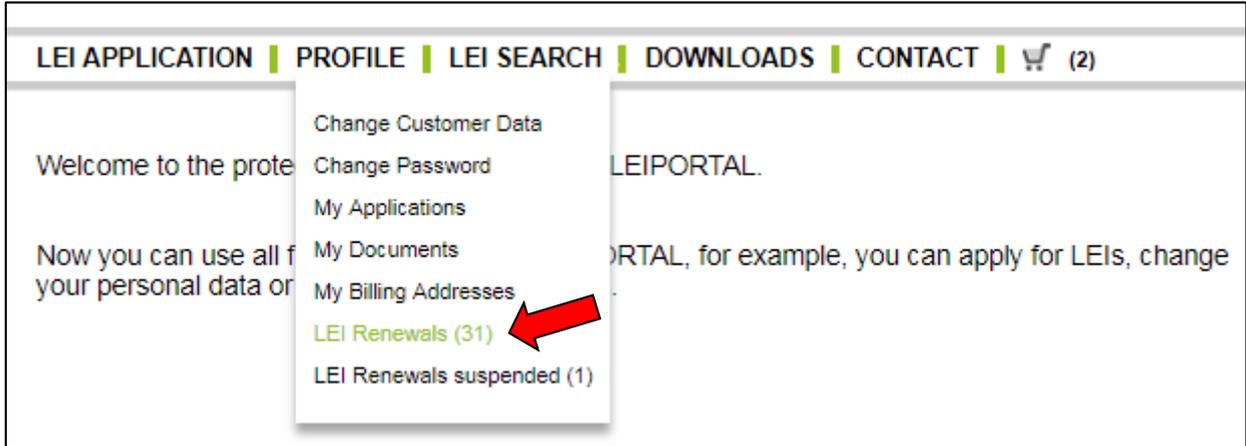
- In the section “PROFILE” click on “Change Customer Data”.



- Review your data to see whether it is still current and accurate. The address listed will be used as the primary billing address.

Step 3: Select the Relevant LEI and Verify the Associated Data

- In the section “PROFILE” select “LEI Renewal”.



On this page, you will find a list of all LEIs due for renewal. Click on the plus symbol to view and review the data associated with each LEI.

Select or deselect all LEIs for renewal: <input type="checkbox"/>		Reasons for non-renewal:	
	Due next renewal: 08.08.2015 LEI: 529900EIMYS669SIHB84	Profile: Company Name of the company: Testunternehmen12	<input type="checkbox"/> Please select
	Company Data		
Commercial Register:	Delaware Department of State, Division of Corporations		
Register No.:	0943409		
Legal Form of the Company:	Incorporated		
Department (according to Industry Classification Benchmark):	Banks		
Company Website:			
Document:	Link to the document		
Legal Headquarters		Administrative Headquarters	
Street and House Number:	1011 Centre Road Suite 200	Street and House Number:	1011 Centre Road Suite 200
Zip / Postal Code:	19805	Zip / Postal Code:	19805
City:	Wilmington	City:	Wilmington
State / Region:	Delaware	State / Region:	Delaware
Country:	United States	Country:	United States
Additional comments regarding your LEI application:			
	Due next renewal: 08.08.2015	Profile: Company	<input type="checkbox"/> Please select

Important: To change any data associated with the LEI, it has to be added to the shopping cart first (see Step 4 for more information).

[Continue process](#)

Select or deselect all LEIs for renewal:
Reasons for non-renewal:

Due next renewal: 08.08.2015 LEI: 529900EIMYS669SIHB84	Profile: Company Name of the company: Testunternehmen12	<input checked="" type="checkbox"/>	<div style="border: 1px solid #ccc; padding: 2px;">Please select</div>
Due next renewal: 08.08.2015 LEI: 529900137WDHZTSZ5Y72	Profile: Company Name of the company: Testunternehmen10	<input checked="" type="checkbox"/>	<div style="border: 1px solid #ccc; padding: 2px;">Please select</div>
Due next renewal: 08.08.2015 LEI: 529900M2D91V6SJ4VR25	Profile: Company Name of the company: Testunternehmen9	<input checked="" type="checkbox"/>	<div style="border: 1px solid #ccc; padding: 2px;">Please select</div>
Due next renewal: 08.08.2015 LEI: 529900BEIOQ6GBD16E02	Profile: Company Name of the company: Testunternehmen7	<input type="checkbox"/>	<div style="border: 1px solid #ccc; padding: 2px;">Please select</div> <div style="border: 1px solid #ccc; padding: 2px; background-color: #e0e0e0;">Please select</div> <div style="border: 1px solid #ccc; padding: 2px; background-color: #e0e0e0;">Entity does not longer exist</div> <div style="border: 1px solid #ccc; padding: 2px; background-color: #e0e0e0;">Merger</div> <div style="border: 1px solid #ccc; padding: 2px; background-color: #e0e0e0;">Liquidation</div>

Check the box to the right of each LEI to renew it. If you do not wish to renew a LEI, please select a reason for your decision from the drop-down menu (merger or liquidation). If you want to renew **all** of the LEIs listed, check the box next to "Select or deselect all LEIs for renewal:"

Important:

- You may choose renewal or non-renewal for individual LEIs without having to make a selection for the other LEI.
- You are only able to click on "Continue renewal" once you have made a selection for a LEI. Otherwise, the link remains inactive.
- Once you continue the renewal process, only the selected LEI will be processed. The other LEI remain in the list of LEIs due for renewal.
- LEIs which have expired (and which are already marked with the status CONFIRMATION OVERDUE) will be highlighted in red.

Reasons for a Non-Renewal of an LEI

- **The Entity No Longer Exists**

Merger

Please provide the merger date and the LEI (if existent) of the acquiring entity by entering them in the corresponding fields. If the acquiring entity does not have an LEI, please enter the company name of the acquiring entity. Subsequently, please confirm your entries by checking the box and clicking “yes”.

Entity does not longer exist

Merger

Date: (Format: TT.MM.JJJJ)

LEI or name of the legal successor:

I am aware that the LEI will be marked with the status RETIRED.

The status of your LEI will now be changed to RETIRED. Please refer to the last page of this manual for more information on the individual LEI status categories.

Liquidation

Liquidation implies that the unit no longer exists. Please provide the liquidation date by entering it in the corresponding field. Subsequently, please confirm your entry by checking the box and clicking “yes”.

Entity does not longer exist

Liquidation

Date: (Format: TT.MM.JJJJ)

I am aware that the LEI will be marked with the status RETIRED.

The status of your LEI will now be changed to RETIRED. Please refer to the last page of this manual for more information on the individual LEI status categories.

Now, click on "Continue renewal." You will see the following order summary on the screen:



Select "Go to checkout."

Step 4: 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".

If your LEI does not yet contain information on the direct and ultimate parent, you will be informed with an advice to supplement the data accordingly. By clicking on  "Edit entry" you may complete the data.

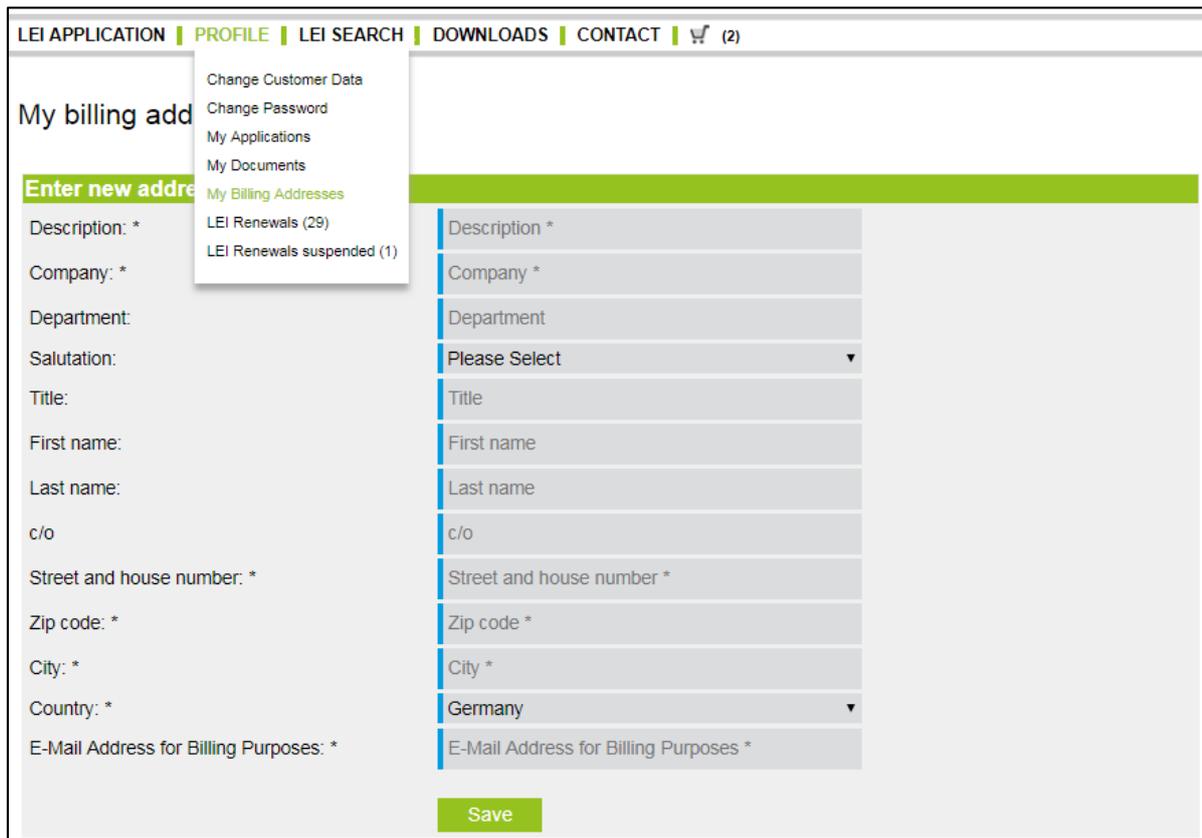
Please follow the advice in the separate **manual "Information about the Group Structure"**, to supplement the data on group structure.

Step 5: Completing Your Order

5.1 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 add

- 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: *
 E-Mail Address for Billing Purposes: *

Description *
 Company *
 Department
 Please Select
 Title
 First name
 Last name
 c/o
 Street and house number *
 Zip code *
 City *
 Germany
 E-Mail Address for Billing Purposes *

Save

5.2 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.



5.3 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. Click on the symbol  to set the data of the legal headquarter as billing address.

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

The LEI subscription service provides you with the convenience of selecting your preferred subscription during the order process, allowing you to choose the duration of your LEI and delegate the management of the annual renewal to us.

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

Depending on the time the order has been fully processed, the invoice will be sent on the next working day at the latest. In addition, current invoices will be available in your WM-LEIPOTRAL user account after sending.

Information on the Different LEI Status Categories

- **NEW:** A company, fund, or corporation of public law applied for an LEI that has not yet been assigned. The name of the unit is displayed, but without an LEI. The LEI is published once all information provided during the application process has been verified and confirmed.
- **ISSUED:** The LEI verification process has been completed, and an LEI has been assigned. Should an LEI be listed with this status, the validity of the information contained in its record has been checked within the last year.
- **PENDING CONFIRMATION:** Changes were made to the information included in the LEI record, or the record is being examined as part of the annual verification process. Once all information has been verified, another status (e.g. ISSUED) will be assigned.
- **CONFIRMATION OVERDUE:** The LEI has expired. The information included in the LEI record has last been checked more than a year ago. You may apply for LEI renewal via your user account.
- **TRANSFER PENDING:** A request has been filed to transfer the LEI from another to our allocation agency. The already assigned LEI will remain unchanged, but the administration and provision of the data record will now become our responsibility.
- **TRANSFERRED:** The LEI data record has been transferred to another allocating agency. This agency is listed in an additional field.
- **RETIRED:** The legal entity, for which the LEI was issued, is no longer active. The date on which the record was retired as well as the reason (e.g. insolvency, fund liquidation) will be provided in additional fields.
- **DUPLICATE:** This LEI is a duplicate. More than one LEI have been assigned to the same legal entity. The correct and valid LEI is presented in an additional field.
- **ANNULLED:** The LEI data record was annulled after its publication.

Changes to the above displayed status categories are possible in the course of the establishment and further development of the Global LEI System. If any changes occur, the status category list will be revised accordingly.

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) or

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