

# WM-LEIPORTAL

## Manual on the Authorization to Apply for an LEI

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This manual was last updated on September 04, 2018. 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.

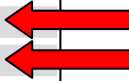
## 1 Authorization to Apply for an LEI

Basically, the applicant must be authorized to apply for an LEI for the legal entity in question. The proof of authorization (which will be verified by the LEI helpdesk team) can be established in two ways.

### 1.1 Authorization by Virtue of Function


By virtue of his/her function (director, member of the board of managers, authorised officer) within the entity, the applicant is authorised to apply for an LEI. In this case, it is required to verify whether the applicant is named in the corresponding registry as an authorized representative to apply for an LEI by virtue of function:

Salutation*:	Mr. ▼
Title:	Please Select ▼
First name*:	Forenames
Last name*:	Name
Department:	
Function:	Director
Company*:	SAMPLE LTD



Company Register Information	
Company Number:	6999999
Company Name:	SAMPLE LTD
Registered Office:	22 SAMPLE ROAD TOWN COUNTY ENGLAND BB1 2DD
Company Type:	Private Limited Company
Country of Origin:	United Kingdom
Status:	Active
Nature Of Business (SIC(92)):	None Supplied
Mortgage: Number of Charges:	( 0 outstanding / 0 part satisfied / 0 satisfied)
<b>Previous Names</b>	
No previous name information has been recorded over the last 20 years.	
<b>Key Filing Dates</b>	
Accounting Reference Date:	31/12
Last Accounts Made Up To:	(NO ACCOUNTS FILED)
Next Accounts Due:	28/04/2010
Last Return Made Up To:	
Next Return Due:	25/08/2009
Last Bulk Shareholders List:	Not available
<b>Current Appointments</b>	
Number of current appointments: 1	
DIRECTOR:	NAME, FORENAMES
Appointed:	03/03/2009
Nationality:	BRITISH
No. of Appointments:	1
Address:	STREET 1 TOWN DA6 2EE UNITED KINGDOM

Authorized re-  
representative



## 1.2 Authorization by Virtue of a Letter of Authorisation

The applicant is authorized to apply for an LEI by virtue of a letter of authorization signed by at least one authorized representative. During the verification process it will be verified whether the signatory or signatories of the letter of authorization submitted by the applicant is/are listed in the corresponding registry as (an) authorized representative(s) and whether the authorized person is recorded in the user account.

### 1.2.1 *Who can be authorized by virtue of a letter of authorization?*

#### a) natural persons

A natural person is a person who has his/her own legal personality. This means that any employee (e.g., John Doe) of a company (e.g., SAMPLE LTD) can be authorized to apply for an LEI by way of a letter of authorization.

**Note:** Besides authorizing a natural person, it is also possible to authorize simultaneously a department/team (e.g., accounting department / LEI team). The advantage of this approach is that even if the staff changes within the department/team in the course of time the authorization for the department/team remains valid.

#### b) legal persons

Besides the authorization of natural persons, it is also possible to name legal persons which have their own legal personality (e.g., SAMPLE LTD) within the letter of authorization.

### 1.2.2 *Information on Completing the Letter of Authorization*

#### a) Name of the Applicant as well as the Signatory's Authorization to Represent

The applicant recorded in the user profile must be named in the letter of authorization. Furthermore, the signatory of the letter of authorization must be entered in the registry as an authorized representative:

Salutation*:	Mr. ▾
Title:	Please Select ▾
First name*:	John
Last name*:	Doe
Department:	
Function:	Accountant
Company*:	SAMPLE LTD
c/o:	
Street and house number*:	22 SAMPLE ROAD
Zip code*:	BB1 2DD
City*:	TOWN
Country*:	United Kingdom ▾
VAT-ID*:	GB
Telephone*:	n.a.
E-Mail Address for General Communication Purposes*:	j.doe@sample.com
E-Mail Address for Billing Purposes*:	j.doe@sample.com
Language selection:	english ▾

\*Mandatory fields

<b>Herausbergemeinschaft WERTPAPIER-MITTEILUNGEN Keppler, Lehmann GmbH &amp; Co. KG</b>	SAMPLE LTD <b>(Company)</b>
<b>WM Datenservice LEI-Helpdesk Postfach 11 09 32 60044 Frankfurt am Main Germany</b>	22 SAMPLE ROAD <b>(PO Box or Street)</b>  TOWN, BB1 2DD, UNITED KINGDOM <b>(City, Postal / ZIP Code and Country)</b>

Letter of Authorization for the Application of a Single Legal Entity Identifier

Dear Sir or Madam,

The following representative(s)<sup>1</sup> are hereby authorized to apply for and manage Legal Entity Identifiers on our behalf (above named entity). Furthermore, they are authorized to issue the declarations of intent necessary for these purposes and to take all measures required in this context.

**a) Natural persons as authorized representatives:**

Last Name, First Name  
Doe, John

Last Name, First Name  
\_\_\_\_\_

Department/Corporate Division  
\_\_\_\_\_

**OR**

**b) Legal entity as authorized representative:**

Name of Legal Entity  
\_\_\_\_\_

Department/Corporate Division  
\_\_\_\_\_

TOWN, 04.09.2018  
City and Date

First Signatory, Position NAME, FORENAME Last Name, First Name (please print)	Second Signatory (if applicable), Position Last Name, First Name (please print)
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Position as per Commercial Register:  
 Managing Director  by proxy (p.p.)  
 \_\_\_\_\_  Managing Director  by proxy (p.p.)  
 \_\_\_\_\_

<sup>1</sup>Authorized representative(s) means either one or further natural or legal persons (service providers etc.). Please fill in the Letter of Authorization accordingly.

Name of the applicant as per user profile

Authorized representative

Company Register Information		
<b>Company Number:</b>	6999999	<b>Date of Incorporation:</b> 28/07/2008
<b>Company Name:</b>	SAMPLE LTD	
<b>Registered Office:</b>	22 SAMPLE ROAD TOWN COUNTY ENGLAND BB1 2DD	
<b>Company Type:</b>	Private Limited Company	
<b>Country of Origin:</b>	United Kingdom	
<b>Status:</b>	Active	
<b>Nature Of Business (SIC(92)):</b>	None Supplied	
<b>Mortgage: Number of Charges:</b>	( 0 outstanding / 0 part satisfied / 0 satisfied)	
<b>Previous Names</b>		
No previous name information has been recorded over the last 20 years.		
<b>Key Filing Dates</b>		
<b>Accounting Reference Date:</b>	31/12	
<b>Last Accounts Made Up To:</b>	(NO ACCOUNTS FILED)	
<b>Next Accounts Due:</b>	28/04/2010	
<b>Last Return Made Up To:</b>		
<b>Next Return Due:</b>	25/08/2009	
<b>Last Bulk Shareholders List:</b>	Not available	
<b>Current Appointments</b>		
Number of current appointments: 1		
<b>DIRECTOR:</b>	NAME, FORENAMES	
<b>Appointed:</b>	03/03/2009	<b>Date of Birth:</b> 05/06/1962
<b>Nationality:</b>	BRITISH	
<b>No. of Appointments:</b>	1	
<b>Address:</b>	STREET 1 TOWN DA6 2EE UNITED KINGDOM	

Authorized representative



b) Correct Issuance of a Letter of Authorization for a Legal Person

In this case, the signatories of the letter of authorization must be recorded as authorized representatives in the corresponding registry. Furthermore, the information in the letter of authorization on the

- department/corporate division
- companies (in the data fields: first name, last name or company)

must correspond to the information entered in the user profile.

Herausbergemeinschaft WERTPAPIER-MITTEILUNGEN Keppler, Lehmann GmbH & Co. KG	SAMPLE LTD <hr/> (Company)
WM Datenservice LEI-Helpdesk Postfach 11 09 32 60044 Frankfurt am Main Germany	22 SAMPLE ROAD <hr/> (PO Box or Street)  TOWN, BB1 2DD, UNITED KINGDOM <hr/> (City, Postal / ZIP Code and Country)

Letter of Authorization for the Application of a Single Legal Entity Identifier

Dear Sir or Madam,

The following representative(s)<sup>1</sup> are hereby authorized to apply for and manage Legal Entity Identifiers on our behalf (above named entity). Furthermore, they are authorized to issue the declarations of intent necessary for these purposes and to take all measures required in this context.

a) Natural persons as authorized representatives:

Last Name, First Name

Last Name, First Name

Department/Corporate Division

OR

b) Legal entity as authorized representative:

Name of Legal Entity

Department/Corporate Division

TOWN, 04.09.2018  

---

City and Date

<hr/> First Signatory, Position	<hr/> Second Signatory (if applicable), Position
<b>NAME, FORENAME</b> <hr/> Last Name, First Name (please print)	<hr/> Last Name, First Name (please print)

Position as per Commercial Register:  
 Managing Director  by proxy (p.p.)  
 

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 Managing Director  by proxy (p.p.)  
 

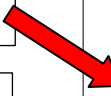
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<sup>1</sup>Authorized representative(s) means either one or further natural or legal persons (service providers etc.). Please fill in the Letter of Authorization accordingly.

Name of the legal person as per user profile

Name of the department as per user profile

Authorized representative



### Company Register Information

<b>Company Number:</b>	6999999	<b>Date of Incorporation:</b> 28/07/2008
<b>Company Name:</b>	SAMPLE LTD	
<b>Registered Office:</b>	22 SAMPLE ROAD TOWN COUNTY ENGLAND BB1 2DD	
<b>Company Type:</b>	Private Limited Company	
<b>Country of Origin:</b>	United Kingdom	
<b>Status:</b>	Active	
<b>Nature Of Business (SIC(92)):</b>	None Supplied	
<b>Mortgage: Number of Charges:</b>	( 0 outstanding / 0 part satisfied / 0 satisfied)	

### Previous Names

No previous name information has been recorded over the last 20 years.

### Key Filing Dates

<b>Accounting Reference Date:</b>	31/12
<b>Last Accounts Made Up To:</b>	(NO ACCOUNTS FILED)
<b>Next Accounts Due:</b>	28/04/2010
<b>Last Return Made Up To:</b>	
<b>Next Return Due:</b>	25/08/2009
<b>Last Bulk Shareholders List:</b>	Not available

### Current Appointments

Number of current appointments: 1

<b>DIRECTOR:</b>	NAME, FORENAMES	<b>Date of Birth:</b> 05/06/1962
<b>Appointed:</b>	03/03/2009	
<b>Nationality:</b>	BRITISH	
<b>No. of Appointments:</b>	1	
<b>Address:</b>	STREET 1 TOWN DA6 2EE UNITED KINGDOM	

Authorized representative



Salutation*:	Mr.
Title:	Please Select
First name*:	SAMPLE
Last name*:	HOLDING LTD
Department:	LEI-Team
Function:	
Company*:	SAMPLE HOLDING LTD
c/o:	
Street and house number*:	22 SAMPLE ROAD
Zip code*:	BB1 2DD
City*:	TOWN
Country*:	United Kingdom
VAT-ID*:	GB
Telephone*:	n.a.
E-Mail Address for General Communication Purposes*:	leiteam@sample.com
E-Mail Address for Billing Purposes*:	leiteam@sample.com
Language selection:	english

\*Mandatory fields

Name of the legal person

Name of the department

Name of the company



### 1.3 Special Letter of Authorization in the Case of Corporate Groups/Funds (Financial Investment Management Companies)

In addition, it is also possible to issue a letter of authorization that is valid for a corporate group. In the case of a company, such a letter of authorization can be issued by the parent company of the corporate group or by its commissioned subsidiary and in the case of fund, by the financial investment management company. This authorization is valid for all direct and indirect subsidiaries of the corporate group or special assets. An overview listing all subsidiaries or special assets is not required.

In this case, the signatory of the letter of authorization must be recorded in the registry as an authorized representative of the parent company, commissioned subsidiary, or financial investment management company. The letter of authorization can be issued either to **a)** a natural person or **b)** legal person (see section 1.2.1):

**Herausbergemeinschaft  
WERTPAPIER-MITTEILUNGEN  
Keppler, Lehmann GmbH & Co. KG**

**WM Datenservice  
LEI-Helpdesk  
Postfach 11 09 32  
60044 Frankfurt am Main  
Germany**

**SAMPLE LTD  
(Company)**

**22 SAMPLE ROAD  
(PO Box or Street)**

**TOWN, BB1 2DD, UNITED KINGDOM  
(City, Postal / ZIP Code and Country)**

**Parent company or  
commissioned subsidiary**

Letter of Authorization for the Application of a Single Legal Entity Identifier

Dear Sir or Madam,

The following representative(s)<sup>1</sup> are hereby authorized to apply for and manage Legal Entity Identifiers on our behalf (above named entity). Furthermore, they are authorized to issue the declarations of intent necessary for these purposes and to take all measures required in this context.

**a) Natural persons as authorized representatives:**

Last Name, First Name  
Doe, John

Last Name, First Name

Department/Corporate Division  
LEI-Team SAMPLE LTD

**a)**

OR

**b) Legal entity as authorized representative:**

Name of Legal Entity  
SAMPLE HOLDING LTD

Department/Corporate Division  
LEI-Team SAMPLE HOLDING LTD

**b)**

TOWN, 04.09.2018  
City and Date

First Signatory, Position  
NAME, FORENAME

Second Signatory (if applicable), Position

Last Name, First Name (please print)

Last Name, First Name (please print)

Position as per Commercial Register:  
 Managing Director  by proxy (p.p.)  
  Managing Director  by proxy (p.p.)

<sup>1</sup> Authorized representative(s) means either one or further natural or legal persons (service providers etc.). Please fill in the Letter of Authorization accordingly.



Company Register Information		
Company Number:	6999999	Date of Incorporation: 28/07/2008
Company Name:	SAMPLE LTD	
Registered Office:	22 SAMPLE ROAD TOWN COUNTY ENGLAND BB1 2DD	
Company Type:	Private Limited Company	
Country of Origin:	United Kingdom	
Status:	Active	
Nature Of Business (SIC(92)):	None Supplied	
Mortgage: Number of Charges:	( 0 outstanding / 0 part satisfied / 0 satisfied)	
<b>Previous Names</b>		
No previous name information has been recorded over the last 20 years.		
<b>Key Filing Dates</b>		
Accounting Reference Date:	31/12	
Last Accounts Made Up To:	(NO ACCOUNTS FILED)	
Next Accounts Due:	28/04/2010	
Last Return Made Up To:		
Next Return Due:	25/08/2009	
Last Bulk Shareholders List:	Not available	
<b>Current Appointments</b>		
Number of current appointments: 1		
<b>DIRECTOR:</b>	NAME, FORENAMES	
Appointed:	03/03/2009	Date of Birth: 05/06/1962
Nationality:	BRITISH	
No. of Appointments:	1	
Address:	STREET 1 TOWN DA6 2EE UNITED KINGDOM	

Authorized representative



## 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)