

LEI REQUEST FORM: INSTRUCTIONS

CGS's on-line application is used to submit requests for the assignment of LEI identifiers for new legal entities. An LEI is a unique code associated with a single legal entity in accordance with the ISO 17442 standard. Its goal is to help improve the measuring and monitoring of systemic risk and support more cost-effective compliance with regulatory reporting requirements. The LEI is a reference data tool to standardize how counterparty is identified on financial transactions.

An LEI can be requested for all parties in a financial transaction including but not limited to:

- Legal entities including Legal subsidiaries
- Government organizations
- Municipal corporate entities
- Funds
- Trusts
- Charities
- Partnerships

Please note that an LEI should not be requested for operating divisions. These entities should utilize the LEI of their parent organization.

The application form and accompanying electronic documentation are all that is needed to complete the request.

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Requestor Account

Primary Email Address:	<input type="text"/>	*
First Name:	<input type="text"/>	*
Last Name:	<input type="text"/>	*
Company Name:	<input type="text"/>	*
Street Address:	<input type="text"/>	*
Country:	<input type="text" value="United States"/>	*
Region:	<input type="text" value="Select"/>	*
City:	<input type="text"/>	*
Postal Code:	<input type="text"/>	*
Telephone:	<input type="text"/>	*

All fields under the Requestor Account section are mandatory.

Kindly note that if you are applying for an Identifier for the first time or not wishing to use Returning Customer functionality then please type the Requestor and Billing information manually.

LEI confirmation will be sent to the Primary Email Address of the requestor.

Entity Information for LEI Assignment

Entity Legal Name:	<input type="text"/>	*
ASCII Transliterated Legal Name:	<input type="text"/>	
Legal Address		
Line 1	<input type="text"/>	*
Line 2	<input type="text"/>	
Line 3	<input type="text"/>	
Line 4	<input type="text"/>	
Country:	United States ▼	*
Region	Select ▼	*
City	<input type="text"/>	*
Postal Code	<input type="text"/>	*
Headquarters Address (same as Legal Address) <input type="checkbox"/>		
Line 1	<input type="text"/>	*
Line 2	<input type="text"/>	
Line 3	<input type="text"/>	
Line 4	<input type="text"/>	
Country:	United States ▼	*
Region	Select ▼	*
City	<input type="text"/>	*
Postal Code	<input type="text"/>	*
Business Details		
Entity Category:	--Select-- ▼	*
Entity Legal Form:	--Select-- ▼	*
Registration Authority:	--Select-- ▼	*
Registration Authority Entity ID:	<input type="text"/>	
Entity Contact Information		
First Name:	<input type="text"/>	Last Name: <input type="text"/>
E-mail Address:	<input type="text"/>	
Phone Number:	<input type="text"/>	
<input type="radio"/> Add Direct Parent	<input checked="" type="radio"/> Opt Out of Direct Parent Addition	--Select-- ▼ *
<input type="radio"/> Add Ultimate Parent	<input checked="" type="radio"/> Opt Out of Ultimate Parent Addition	--Select-- ▼ *

Basic information in compliance with the ISO 17442 standard as well as the information needed to uniquely identify the entity is required to be populated under this section. This includes legal name, legal address, headquarters address, entity category and the entity's legal form. The legal address of the entity should be provided and listed according to the documentation of incorporation. It is common for legal addresses to be care of an agent of service, and therefore should not be regarded as a headquarters address for the entity.

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Description -

Legal Entity Name: Entity's name as it appears on Legal Documentation.

ASCII Transliterated Legal Name: This is required in cases where the "Legal Name" field includes non-Roman characters and may only include characters found in the limited ASCII character set.

Legal Address: Primary street information for a Legal Entity's legal (Registered) office.

Country: Registered country of the legal entity as it appears on legal documentation. The results of this field are displayed in accordance with the ISO standard.

Region: State/Province in the country.

City: Registered city of the legal entity as it appears on legal documentation

Note: Registered country or city may differ from the city where the Legal Entity is headquartered or primarily operated.

Headquarters Address: Primary street address where the legal entity is headquartered

Note: The Headquarter street address may differ from the street address where the Legal Entity is registered. If Headquarters address is same as Legal address, then click on the check box beside Headquarters address field.

Headquarters Address (same as Legal Address)

Country: Country where the legal entity is headquartered. Again, the results of this field are displayed in accordance with the ISO standard.

Region: State/Province in the Country.

City (Headquarters Address): City where the legal entity is headquartered.

Note: The Headquarter country and city may differ from the city where the Legal Entity is registered or primarily operated.

Business Details:

Entity Category: This field indicates the category of entity identified by this LEI data record, as a more specific category within the broad definition given in ISO 17442.

Branch: The legal entity is a branch of another legal entity; branch records must define a Headquarters Relationship.

Fund: The legal entity is a fund managed by another legal entity.

Sole Proprietor: The legal entity is an individual acting in a business capacity

Bank: The legal entity is a bank.

Corporation: The legal entity is a corporate entity.

Government: The legal entity is a government entity, department, ministry, or municipal.

Other: All other legal entities not covered by an existing category.

Entity Legal Form: The general type an entity may legally use to identify itself in accordance with the entity's governing jurisdiction. Often times an entity's legal form is appended to the entity's legal name (LLC, GmbH, Inc ...)

Registration Authority: The official business registry where the formation of the legal entity is mandated to be recorded. Please select the value from the drop down list "Not Available" if the Registration Authorities listed are not applicable or in situations where you are not able to complete this field.

Registration Authority Entity ID: The unique number or ID allotted to the legal entity by the registration authority.

Entity Contact Information: *This is optional*

First Name and Last Name: Information on the primary contact person of the legal entity.

Email Address: Primary email address of the person

Phone Number: Primary phone number of the person.

<input type="radio"/> Add Direct Parent	<input checked="" type="radio"/> Opt Out of Direct Parent Addition	--Select--	*
<input type="radio"/> Add Ultimate Parent	<input checked="" type="radio"/> Opt Out of Ultimate Parent Addition	--Select--	*

All Legal Entities must report, (Mandatory Relationship Reporting) for their direct and ultimate accounting consolidating parent each, one of

- a relationship record or
- a reporting exception (Opt out of parent addition)

That means for these 2 mandatory relationships there should be a relationship record or an exception should be reported. Only child entities may report this data to minimize difficulties arising from complex business rules dependent on the reporting entity and de-duplication. The relationship types allowed include:

- Direct Parent
- Ultimate Parent

Please select the appropriate radio buttons to submit Direct Parent or Opt out of Direct Parent along with reason and Ultimate Parent or Opt out of Ultimate Parent along with reason.

Direct Parent: The child entity is directly consolidated by Parent. The “child” entity has its accounts fully consolidated by the “parent” entity as per accounting standard(s) and the parent entity is the closest fully consolidating parent to the child entity in any applicable hierarchical ownership structure.

Ultimate Parent: The child entity is ultimately consolidated by Parent. The “child” entity has its accounts fully consolidated by the “parent” entity as per accounting standard(s) and the parent entity is the most distant fully consolidating parent from the child entity in any applicable hierarchical ownership structure.

The opt out reason is collected as part of the LEI record of the reporting entity. If you are aware, that for a requested legal entity there is a relationship of the relevant type BUT details are being withhold from disclosure then you must provide an opt-out reason.

The reason for declining to provide information on parent can be: *(Dropdown Values)*

- No LEI: The parent does not consent to have LEI.
- Natural Persons: There is no parent according to the definition used, because the entity is controlled by natural person(s) without any intermediate legal entity meeting the definition of accounting consolidating parent.
- Non Consolidating: There is no parent according to the definition used, because the entity is controlled by legal entities not subject to preparing consolidated financial statements.
- No Known Person: There is no parent according to the definition used, because there is no known person controlling the entity (e.g., diversified shareholding).
- Legal Obstacles: Obstacles in the laws or regulations of a jurisdiction prevent providing or publishing this information. This does not include cases where, under the applicable legal framework disclosing the parent relationship would require the consent of one of the entities in the relationship, or both, and such consent could not be obtained (in these cases "CONSENT_NOT_OBTAINED" is the applicable code).
- Consent Not Obtained: Obstacles in the laws or regulations of a jurisdiction prevent providing or publishing this information: “the consent of the parent was necessary under the applicable legal framework and the parent did not consent or could not be contacted”. Note that it is a responsibility of a child entity to seek parent consent when necessary for disclosing the parent relationship, for instance by inviting in writing the parent entity to provide consent.

- **Binding Legal Commitments:** Binding legal commitments (other than the laws or regulations of a jurisdiction), such as articles governing the legal entity or a contract, prevent providing or publishing this information.
- **Detriment Not Excluded:** The child entity has sought to consult the parent entity about the reporting of the parent information to the GLEIS but could not confirm the absence of detriment in a way that can appropriately prevent liability risks for the child entity (or those acting on its behalf) under the applicable legal framework. The disclosure of this information would be detrimental to the legal entity or the relevant parent. This will include reasons generally accepted by public authorities in similar circumstances, based on a declaration by the entity. This reason may be used only when all following cumulative circumstances apply:
 - (i) the parent could not be informed via the GLEIS and have the possibility to correct the relationship information before publication (including raising a cause for opt out, either because the parent does not have an LEI, or it has an LEI but the GLEIS has not yet implemented such system;
 - (ii) the relationship is not already in the public domain (information being in the public domain assumes here that the way the information came into the public domain did not infringe the applicable legal framework);
 - (iii) the child entity has reasons to believe that the parent may consider disclosure to be detrimental;
 - (iv) the child entity has sought to consult the parent entity of the reporting of the parent information to the GLEIS but could not confirm the absence of detriment in a way that can appropriately prevent liability risks for the child entity (or those acting on its behalf) under the applicable legal framework.
- **Disclosure Detrimental:** The disclosure of this information would be detrimental to the legal entity or the relevant parent. This will include reasons generally accepted by public authorities in similar circumstances, based on a declaration by the entity.

Parent Entity Information

DIRECT PARENT		ULTIMATE PARENT (same as Direct Parent) <input type="checkbox"/>	
LEI	<input type="text"/>	LEI	<input type="text"/>
Entity Legal Name	<input type="text"/>	* Entity Legal Name	<input type="text"/>
Legal Address		Legal Address	
Line 1	<input type="text"/>	* Line 1	<input type="text"/>
Line 2	<input type="text"/>	Line 2	<input type="text"/>
Line 3	<input type="text"/>	Line 3	<input type="text"/>
Line 4	<input type="text"/>	Line 4	<input type="text"/>
Country:	<input type="text" value="United States"/>	* Country:	<input type="text" value="United States"/>
Region:	<input type="text" value="Select"/>	* Region:	<input type="text" value="Select"/>
City	<input type="text"/>	* City	<input type="text"/>
Postal Code	<input type="text"/>	Postal Code	<input type="text"/>
Business Details		Business Details	
Registration Authority:	<input type="text" value="--Select--"/>	* Registration Authority:	<input type="text" value="--Select--"/>
Registration Authority Entity ID:	<input type="text"/>	Registration Authority Entity ID:	<input type="text"/>

Please use the Parent Entity Information section to provide details on the Direct and/or Ultimate Parent, the fields is only editable if you have selected the radio button to add a Parent. If Opt out of Parent Addition button is selected then the corresponding parent fields will be grayed out.

LEI: If the parent entity already has an LEI, please enter the same in this field.

Entity Legal Name: Parent entity's name as it appears on Legal Documentation.

Legal Address: Parent entity's legal (registered) office address.

Business Details:

- Registration Authority: The official business registry where the formation of the legal entity is mandated to be recorded. Please select the value from the drop down list "Not Available" if the Registration Authorities listed are not applicable or in situations where you are not able to complete this field.
- Registration Authority Entity ID: The unique number or ID allotted to the legal entity by the registration authority.

Supporting documents

Supporting documents ?

Document 1: No file chosen

Document 2: No file chosen

Document 3: No file chosen

Document 4: No file chosen

Document 5: No file chosen

You may attach a Word, Excel or a PDF file to your request by clicking "Choose File" and selecting the file that you wish to attach.

Please note that each attachment should not exceed 15MB in size and you may attach up to a maximum of 5 documents for a LEI request. The required documents are:

1. Corporate Entity Articles of incorporation or certificate of amendment
2. Fund Articles of incorporation or certificate of amendment
3. Trust Indenture or Trust agreement
4. Municipal Entity Offering Statement or Document showing the website of the municipal entity

Submit

- **Submit this request only:** Submit the LEI request for the legal entity.
- **Submit and add additional request:** User can request LEI for another legal entity in the existing LEI Form without again filling the Requestor and Billing Account information.
- **Reset:** User can reset the form by clearing all the fields.