



# Legal Entity Identifier (LEI) User Guide Search and Request LEI

# Table of Contents

The Legal Entity Identifier User Guide “Search and Request” gives you an overview of the functionality of the UnaVista platform to search for LEI codes and to request for new LEI codes. Click the below link to access the respective section:

Topics	Page Numbers
▪ <u><b>Introduction</b></u>	<u><b>3</b></u>
▪ <u><b>Registration</b></u>	<u><b>4</b></u>
▪ <u><b>Welcome Screen</b></u>	<u><b>5</b></u>
▪ <u><b>LEI – Search and Request LEI</b></u>	<u><b>6 – 14</b></u>
▪ <u>Search LEI Record(s)</u>	<u>7</u>
▪ <u>View LEI Record Details</u>	<u>8</u>
▪ <u><b>Requesting an LEI</b></u>	<u><b>9</b></u>
▪ <u>Enter LEI Data</u>	<u>11</u>
▪ <u>Pay and Submit LEI Request</u>	<u>12</u>
▪ <u>Bulk Request Information</u>	<u>13</u>
▪ <u>Challenging an LEI Record</u>	<u>14</u>
▪ <u><b>Contact Us</b></u>	<u><b>15</b></u>

Please note that this user guide only contains information on the functionality outlined above. For the complete user guide please click on the following link: <http://www2.londonstockexchange.com/IEI-User-Guide>

# Introduction

London Stock Exchange PLC has over 20 years of experience as the UK's National Numbering Agency for assignment of International Securities Identification Numbers (ISINs) and Classification of Financial Instruments (CFIs) and was also endorsed by the Regulatory Oversight Committee (ROC) as a Local Operating Unit (LOU) for the global allocation of Legal Entity Identifiers (LEI) and are accredited by GLEIF [www.gleif.org](http://www.gleif.org)

London Stock Exchange's LEI, also known as the International Entity Identifier (IEI), is issued to legal entities according to the agreed [Principles](#) outlined by the ROC and GLEIF ([www.gleif.org](http://www.gleif.org)). The LEI codes will be issued and maintained via UnaVista, the London Stock Exchange Group's hosted matching and reconciliation platform.

## Legal Entity Identifier (LEI) Solution Overview

The LEI solution enables you to **Request and Maintain your LEI** record/s including the ability to monitor your LEI Status, view your LEI details, add documentation and fulfil **Annual Renewal** obligations.

You can also submit 10 or more LEI requests using the **Bulk Request** functionality and renew 10 or more LEIs using the **Bulk Annual Renewal** feature.

Additionally, you can search the consolidated universe of LEI data, as well as download data files and challenge a LEI record under the responsibility of the London Stock Exchange if you believe the details to be incorrect.



# Registration

To access the LEI database, click the following link: [www2.londonstockexchange.com/register-for-lei](http://www2.londonstockexchange.com/register-for-lei). The **Registration** page will be displayed. As standard, all free services will be available upon registration. Please complete the Registration details:

**Please Note:** Registration details will be used to validate that self-registration principle for LEI requests is being adhered to. Therefore, enter the full entity name of the organisation you work for in the Company Name field.

To register, click the **Register** button on the **Login** screen. Then **Enter your email** in the **User Registration** window and you will be sent a link. Click the link which will then take you to the Registration Screen

**Registration**

Welcome

The UnaVista platform hosts a number of free and subscription data solutions such as:

- International Entity Identifier (IEI) and Pre-LEI consolidated lookup service
- UK International Securities Identification Numbering (ISIN) lookup service
- UK Corporate Actions Unique Reference (COAF) lookup service
- SEDOL Masterfile (subscription service)
- Corporate Events Diary (subscription service)

Registration to the UnaVista platform will automatically provide access to all free services, including the functionality to request the allocation of International Entity Identifiers (IEI).

Customers can have subscription services enabled following confirmation of a valid Customer Number.

**User Details**

Title  Email

First Name  Last Name

Phone Number  Job Title

Company Name  Entity Type

**Address Details**

Address 1  Address 2

Address 3  City

Country  Postal/Zip Code

**Subscription Services**

Do you have a SEDOL Masterfile user licence? ☐

SEDOL Masterfile Customer Number

If you would like more information about the SEDOL Masterfile then please [click here](#)

If you would like access to the Corporate Events Diary then please tick here ☐

If you would like more information about the Corporate Events Diary then please [click here](#)

**Privacy**

The London Stock Exchange takes your privacy seriously. We collect and use personal information to provide international securities product market research and inform you about relevant products

**Terms and conditions**

Please check the box to confirm you accept the website [Terms and Conditions of Use](#).

1. Complete all the mandatory fields. The mandatory fields are highlighted in red.

2. If you have additional subscription services, such as SEDOL Masterfile, you can add them to your profile from the **Subscription Services** section on the Registration page.

3. Please ensure that you have accepted the T&Cs by selecting the **Terms and Conditions of Use** check box at the bottom of the Registration form.



# Welcome Screen

When you successfully log on to the UnaVista portal, the following UnaVista Welcome screen is displayed.

The screenshot shows the UnaVista web application interface. On the left is a 'Navigation Settings' sidebar with a search bar and a folder tree. The main area displays the 'News' tab with a large graphic and a welcome message. Callouts provide details about the search facility, the folder tree, the news tab, the dashboard, and the welcome screen content.

**The Search facility** enables you to search for LEIs using part of the entity name.

**The Folder Tree** displays the folders available to you. These may differ depending on your access permissions. **Click the number** to the right of a folder to access the folder contents. When you click the number, the contents of the folder will be displayed in the right pane.

**The News** tab displays any updates or news from the UnaVista team.

If configured, the **Dashboard** displays the pre-set charts giving a snapshot of data in the system.

**The Welcome Screen** displays the recent news or updates from UnaVista as well as general contact information.

**Navigation Settings**

Domain: Data Portal View As: Stephen Munro

Search: LEI Import

Search

**LEI**

LEI Consolidated Search	1,484
My LEI Data	0
LEI Bulk Request Information	3
LEI Daily Export Files	9,115

**UK ISIN Search**

UK ISIN Search	1,204
Access SEDOL Masterfile Licenced Data	Here

**COAF**

UnaVista Trade Repository Aggregation Data

**UnaVista - One view of your data**

Welcome to UnaVista, London Stock Exchange Group's global hosted matching and reconciliation platform. UnaVista has a range of services including reconciliations, regulatory reporting, confirmation matching, reference data and other regulatory solutions.

[Find out more info here](#)

**Contacts**

LEI Customer Support  
lei@lsg.com  
+44 (0)20 7797 3300

**SEDOL Masterfile Data Support**  
sedolmasterfile@lsg.com (SEDOL requests and registration questions)  
sedolmasterfile@lsg.com (UK ISIN requests & UK ISIN database queries)  
sedolmasterfile@lsg.com (Database queries)  
+44 (0) 207 797 4340

**Corporate Events Diary Data Support**  
ced@lsg.com  
+44 (0)20 7797 1579/1920

**General Information**  
unavista@lsg.com  
+44 (0)20 7797 1214



# LEI – Search and Request LEI

The LEI – Search and Request LEI section includes the following topics, click the link to access the respective topic:

- [Search LEI Record\(s\)](#)
- [View LEI Record Details](#)
- [Requesting an LEI](#)
- [Enter LEI Data](#)
- [Pay and Submit LEI Request](#)
- [Bulk Request Information](#)
- [Challenging an LEI Record](#)



# Search LEI Record(s)

The **Search** facility in the **Navigation Settings** region enables you to search the database for an existing LEI. The applicable LEI matches are displayed in the right hand panel from the **LEI Consolidated View** folder.

Type part of the entity name you wish to search an LEI code for in the **Search** field, and press **ENTER** or click the **Search** button.

Entities that contain the searched word will be displayed in the right pane. The relevant LEI will also be displayed.

The screenshot shows the 'LEI Consolidated View' interface. On the left, the 'Navigation Settings' panel has a 'Search' field containing 'LEI' and a 'Search' button. Below it, the 'LEI' section shows 'LEI Consolidated Search' with 1.46M results and 'My LEI Data' with 0 results. The main panel displays a table of search results. The table has columns: LEI Status, LEI Event, Entity Status, Entity Event, LOU, LEI, and OfficialEntityName. The results are as follows:

	LEI Status	LEI Event	Entity Status	Entity Event	LOU	LEI	OfficialEntityName
1	ISSUED	Validated	Active	No event	IEI	549300OW0VX16Z55IE37	LONDON STOCK EXCHANGE GROUP PENSION SCHEME - LSE SECTION
2	ISSUED	Validated	Active	Name change	IEI	213800WAVOPS85N2205	LONDON STOCK EXCHANGE LEI LIMITED
3	ISSUED	Validated	Active	No event	IEI	213800D1EI4B9WTWWD28	LONDON STOCK EXCHANGE PLC
4	ISSUED	Validated	Active	No event	IEI	213800S4EH6ROMPQIP65	LONDON STOCK EXCHANGE GROUP HOLDINGS LIMITED
5	ISSUED	Validated	Active	No event	IEI	2138006O1CCNIBZVCL19	LONDON STOCK EXCHANGE GROUP PENSION SCHEME - LCH SECTION

At the top right of the main panel, there is a 'Request LEI' button. Below the table, there is a 'Request LEI' button.

You will notice that following return of search results, the **Request LEI** button will be displayed to the upper right corner of the page. Click this button to submit a request for a LEI. For more details, please refer to the [Request a LEI](#) topic of this user guide.






# View LEI Record Details




Once you search and find the LEI record, you can easily view the LEI details and export the details into a PDF or text format.


1. To view the LEI details, select the record by clicking on the record or selecting the check box next to the record.

2. Once you select a record the Challenge Record, View LEI, and Select for Renewal buttons will be enabled.

Options ▾ Filters ▾   Challenge Record <b>View LEI</b> Select for Renewal Request LEI									
	<input type="checkbox"/>	LEI Status 	LEI Event	Entity Status	Entity Event	LOU	LEI	OfficialEntityName	AlternateEntityName
1	<input checked="" type="checkbox"/>	ISSUED	Validated	Active	No event	IEI	21380054EH6ROMPQIP65	LONDON STOCK EXCHANGE GROUP HOLDINGS LIMITED	

3. Click the **View LEI** button. The details of the selected LEI is displayed.

 **London**  
Stock Exchange

---

**Official Entity Name:** LONDON STOCK EXCHANGE GROUP HOLDINGS LIMITED  
**Legal Form:** PRIVATE LIMITED COMPANY

---

**LEI:** 21380054EH6ROMPQIP65  
**First Assignment Date:** 13-09-2013  
**LEI Status:** Active  
**Primary LOU:** IEI

---

<b>HeadQuarters Address:</b>	10 PATERNOSTER SQUARE LONDON UNITED KINGDOM - GB EC4M 7LS	<b>LegalFormation Address:</b>	10 PATERNOSTER SQUARE LONDON UNITED KINGDOM - GB EC4M 7LS
<b>HeadQuarters City:</b>	LONDON	<b>LegalFormation City:</b>	LONDON
<b>HeadQuarters Country:</b>	UNITED KINGDOM - GB	<b>LegalFormation Country:</b>	UNITED KINGDOM - GB
<b>HeadQuarters PostCode:</b>	EC4M 7LS	<b>LegalFormation PostCode:</b>	EC4M 7LS

---

**Official Business Registry:** COMPANIES HOUSE  
**Official Business Registry Ref:** 06795362  
**Website:** <http://www.londonstockexchange.com/home/homepage.htm>

You can print the LEI Details or export it in a PDF or text format.





# Requesting an LEI

Requesting an LEI is a 3 step process: 1. [Search LEI database](#) 2. [Complete Request LEI template](#) 3. [Submit Credit Card payment](#)

**Before you submit a request for an LEI, you must search the LEI database** to see if an LEI already exists (see point 1 below). For more details on how to search an LEI, please refer to the [Search LEI Record\(s\)](#) topic in this user guide.

If the searched LEI exists in the system, it will be displayed in the right hand panel from the **LEI Consolidated View** tab.

If you have more than 10 LEI requests to submit, please use the [Bulk Request Information](#) feature.

1. Search for the entity name within Navigation settings.  
This will return potential matches within the **LEI Consolidated View**.  
See 'London Stock' as an example below

2. If no match is found, to request a new LEI, click the **Request LEI** button.  
The **Request LEI** button will only be displayed following a search for an LEI.

The screenshot shows the 'LEI Consolidated View' interface. On the left, the 'Navigation Settings' panel is visible, with 'Domain' set to 'Data Portal' and 'View As' set to 'Stephen Munro'. The 'Search' field contains 'LEI', and the 'Import' button is highlighted. Below this, the 'LEI' section shows 'LEI Consolidated Search' with 1.46M results and 'My LEI Data' with 0 results. The main panel displays a table of search results for 'London Stock'. The table has columns: LEI Status, LEI Event, Entity Status, Entity Event, LOU, LEI, and OfficialEntityName. The results show five entries, all with 'ISSUED' status and 'Validated' event. The 'Request LEI' button is visible in the top right corner of the main panel.

	LEI Status	LEI Event	Entity Status	Entity Event	LOU	LEI	OfficialEntityName
1	ISSUED	Validated	Active	No event	IEI	5493000W0VX16Z551E37	LONDON STOCK EXCHANGE GROUP PENSION SCHEME - LSE SECTION
2	ISSUED	Validated	Active	Name change	IEI	213800WAVOP585N2205	LONDON STOCK EXCHANGE LEI LIMITED
3	ISSUED	Validated	Active	No event	IEI	213800D1EI4B9WTWW28	LONDON STOCK EXCHANGE PLC
4	ISSUED	Validated	Active	No event	IEI	213800S4EH6ROMPQIP65	LONDON STOCK EXCHANGE GROUP HOLDINGS LIMITED
5	ISSUED	Validated	Active	No event	IEI	213800601CCNIBZVCL19	LONDON STOCK EXCHANGE GROUP PENSION SCHEME - LCH SECTION

Once you click the **Request LEI** button, a new window is opened as shown on pages [10 -11](#) enabling you to submit a request for a new LEI. To submit the payment so the LEI request can be validated please see page [12](#)



# Requesting an LEI

The Create screen enables you to complete and submit the different details related to the new LEI request that you want to create.

1. Complete all the mandatory fields. The mandatory fields are highlighted in red.

2. Tips are provided for all the fields. To view the Tip, hover your mouse or click icon.

Related Identifiers can be provided to assist in validation process.

3. Upload **Authorisation Form** if you are a third party applying for an LEI on behalf of the Legal Entity.

Upload supporting **Document** such as Fund prospectus, Trust deed, Articles of Incorporation, if this information is not publically available on a Registration Authority.

**Note:** You can add multiple documents once you have created a draft. Please refer to the Manage your LEI Request topic.

4. Complete all the mandatory fields and click the **Create** button.

You will notice that the **Create** button is disabled when you open the screen. However, it will be enabled once all the mandatory fields are completed.

**Note:** Your LEI Request will only be completed once you make a payment.



# Enter LEI Data

The LEI data has two main sections, the LEI Entity data and the LEI Parent data. **Both sections need to be completed before you can request a LEI.**

The LEI Entity data in the first section of the create form consists of information about your entity such as the name, type of entity, registry details and address details (headquarters address and legal/registered address).

The LEI Parent data or Level 2 data is information of your entity's **direct and ultimate parent** as per accounting consolidating standards.

- Select Parent Name from the drop down list if the Parent has as LEI.
- If Parent does not have a LEI yet, enter the full name of the Parent and complete all fields including address and registry details of the Parent. *(Alternatively apply for the Parent LEI, if required).*
- If a Parent does not exist or cannot be disclosed, choose 'N/A' from the drop down and complete the Exception Reason field.

Please see the LEI Level 2 Data

Help Sheet for further information.

The screenshot displays the 'Create' form for entering LEI data. It is divided into several sections:

- Confirm Authorisation:** Includes 'Confirm Authorised' (set to 'No') and 'Upload Authorisation Form'.
- Entity Name and Legal Form:** Fields for 'Official Entity Name', 'Alternate Entity Name', 'Anglicised Entity Name', 'Legal Formation Country', 'Legal Form', 'Entity Category' (set to 'N/A'), and 'ISO Entity Legal Form'.
- Registration Authority:** Fields for 'Country of Business Registry', 'Registration Authority', 'Registration Authority Entity ID', and 'Website'.
- Headquarters Address:** Fields for 'Address Number', 'Unit Number', 'Line 1', 'Line 2', 'Town/City', 'Country', 'Region', 'Postcode/ZIP', and 'Mail Routing'.
- Legal Formation Address:** Similar fields to Headquarters Address.
- Other Address:** Includes 'DirectParent' and 'UltimateParent' sections, each with 'Parent Name', 'OR Exception Reason', 'Relationship Type', 'Validation Documents', 'Qualifier Category', 'Upload Parent Proof', 'HQ Address Line 1', 'HQ City', 'HQ Country', 'HQ Region', 'HQ Post Code', 'Copy Address', 'Registration Authority', and 'Register Entity ID'.
- Related Identifiers:** Fields for 'ISIN' and 'FRN'.

Buttons for 'Create' and 'Cancel' are at the bottom right.

**GLEIF Link on Level 2 Data:**

<https://www.gleif.org/en/lei-data/access-and-use-lei-data/level-2-data-who-owns-whom>

**LEI ROC Policy on Level 2 Data:**

<https://www.gleif.org/en/lei-data/access-and-use-lei-data/level-2-data-who-owns-whom/lei-roc-policy-on-level-2-data>



# Pay and Submit LEI Request

The **My LEI Data** folder enables you to make payments and submit your LEI requests. To make a payment, please follow the below **7** steps:

Navigation Settings

Domain: Data Portal View As: Silvia Dias

Search: LEI Import ?

LEI

- LEI Consolidated Search 0.305M
- My LEI Data 1**
- LEI Bulk Request Information 3
- LEI Daily Export Files 1,287

1. Click the **NUMBER** to the right of the **My LEI Data** folder.  
The LEI request(s) are displayed in the right pane.

2. Select the check box next to the record for which you need to make a payment  
3. Click the **Submit Card Pymnt** button.  
4. Chose the **VAT option** that applies to you from the VAT screen as shown below.  
5. Accept the [Terms and Conditions](#) to continue to the **Payment Details** screen as shown below:

Options	Docs	Requestor	LEI Status	LEI Event
<input checked="" type="checkbox"/>		1 Silvia.Dias@lseg.com	Draft	
<input type="checkbox"/>		2 Silvia.Dias@lseg.com	PENDING	Awaiting Validation
<input type="checkbox"/>		3 Silvia.Dias@lseg.com	Active	Validated

Information

One or more of the following is true for the selected rows:

- By clicking "yes" to continue your submission, you are thereby accepting the [LEI Terms and Conditions of Issue](#).

Are you sure you want to continue?

Yes No

6. Enter the **VAT number** of the company you work for **OR** chose one of the three options

Additional Field(s)

User Input

VAT of registered user (EU company):

VAT exempt (EU company): ☐

Statutory body (EU company): ☐

VAT N/A (Non-EU Company): ☐

OK Cancel

Payment Details

Payment Reference: LEIN047262019090311240898365

Amount:

CREDIT / DEBIT CARD

Card Number

Expiry Date (MM/YYYY) 01 / 2010

Card Security Code

Issue Number

(If Available)

Continue

7. Enter your credit card details and click the Continue button to proceed with the payment. The Payment **Status** screen is displayed as shown below:

Payment Status

Your card details are now being verified for processing. You will shortly receive an email confirming the status of your credit card payment.

Please close this window to continue.

**Note:** On payment submission you will receive an email response confirming the status of your payment. Once your LEI request is validated or if more information is required, you will be contacted by an email. **If no email is received, your payment may not have been processed, please contact lei@lseg.com if this is the case**


# Bulk Request Information

The Bulk Request feature enables you to submit 10 or more LEI requests at a time. For more information on Bulk Request, please refer the **LEI Bulk Request User Manual** available in the **LEI Bulk Request Information** folder.

1. To access the **LEI Bulk Request** details, click on the **number** displayed next to the **LEI Bulk Request Information** folder. The LEI bulk request details are displayed in the right pane.

2. Information on Bulk Request is covered in the **LEI Bulk Request User Manual**.

To access the user manual, click the **Download File** icon.

You can also access the LEI Bulk Request Template using the **Download file**  icon.

**Navigation Settings**

Domain: Data Portal View As: Stephen Munro




Search: LEI Import ? 100%

Search Search

**LEI**

- LEI Consolidated Search 1.46M
- My LEI Data 0
- SPA LEI Data 0
- LEI Bulk Request Information 3

Options Filters

	FileType	FileDate	File
1	LEI Bulk Request Ref Data	08 Jul 2019	
2	LEI Bulk Request User Manual	24 Apr 2019	
3	LEI Bulk Request Template	29 Jun 2018	

3. Download the **LEI Request Ref Data** files required to populate some of the data fields



# Challenging an LEI Record

Any user can challenge an LEI record if they believe that the details submitted are incorrect. You can only challenge the LEI records that are currently held by the London Stock Exchange LEI Limited within our system. For other LEIs you can challenge at [www.gleif.org](http://www.gleif.org)

The screenshot shows the 'LEI Consolidated View' interface. On the left, there are navigation settings including 'Domain: Data Portal', 'View As: Stephen Munro', and a search bar with 'LEI' entered. Below this is a tree view with 'LEI Consolidated Search' (1.46M), 'My LEI Data' (0), and 'LEI Bulk Request Information' (3). The main area displays a table of LEI records. The table has columns: LEI Status, LEI Event, Entity Status, Entity Event, LOU, LEI, and OfficialEntityName. The first row is highlighted in red and contains the following data: 1, [checked], ISSUED, Validated, Active, No event, IEI, 213800D1E14B9WTWWD28, LONDON STOCK EXCHANGE PLC. Above the table, there are tabs for 'Options', 'Filters', 'Challenge Record', 'View LEI', and 'Select for Renewal'. An arrow points from the 'Challenge Record' tab to the 'Additional Field(s)' dialog box. The dialog box has a 'User Input' section with a 'Reason:' label and a text area, and an 'Effective Date:' label and a date picker. There is also an 'Upload File' section with a 'File:' label, a 'Choose File' button, and the text 'No file chosen'. At the bottom of the dialog are 'OK' and 'Cancel' buttons.

	LEI Status	LEI Event	Entity Status	Entity Event	LOU	LEI	OfficialEntityName	
1	<input checked="" type="checkbox"/>	ISSUED	Validated	Active	No event	IEI	213800D1E14B9WTWWD28	LONDON STOCK EXCHANGE PLC

1. Select the record that you want to challenge by clicking the check box next to the record.
2. Click the **Challenge Record** button. The Additional Field(s) screen is displayed as shown below.

**Note:** The **Challenge Record** button will be enabled only when you select a record.

3. Enter the **Reason** for the challenge and select the appropriate **Effective Date**.

You can also upload a document to support your challenge.

Once you submit the challenge, you will receive an email confirming the challenge submission. A response to the Challenge will be received within three working days of submission.



# Contact Us

Full operational support for LEI requests is available from 09:00 to 17:00, UK business days.

Contact details are as follows:

**LEI Customer Support**

For further information: [www.lseg.com/lei](http://www.lseg.com/lei)

**Telephone:** +44 (0)207 797 3300

**Email:** [LEI@lseg.com](mailto:LEI@lseg.com)