

KELER - Announcement No. 2/2014

Clearing House Announcement on the process and requirements of LEI code application with the cooperation of KELER

Effective date: 30 January, 2014

CSV Template for Bulk Registration

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

The CSV template can be used to apply for GEIs for different types of legally independent entities. Hence, some fields have to be completed differently, dependent on the type of entity (companies, funds, corporations 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 corporations of public law will be given.

Please make sure to collect your GEI applications in one file and not to divide 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 use the following format to name the file:

LEI_INDIVIDUAL IDENTIFIER_DATE OF SUBMISSION

INDIVIDUAL IDENTIFIER: 6 numeric characters (provided by KELER in the contract returned)

DATE OF SUBMISSION: YYYYHHNN format

File type: MS Excel 2007 or more recent version

File extension: .xlsx

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).

A Brief Overview of Fields, P.1/2

	FIELD NAME	MANDATORY FOR *)	CONTENTS (COMPANY, FUND, CORPORATION)
A	BULK_NAME	C, F, CPL	COMPLETE NAME <ul style="list-style-type: none"> • OF THE COMPANY • OF THE FUND • OF THE CORPORATION OF PUBLIC LAW
B	BULK_OU_TYPE	C, F	LEGAL FORM (SEE KEY FILE → LEGAL FORM) <ul style="list-style-type: none"> • OF THE COMPANY • OF THE FUND • IS NOT REQUIRED
C	BULK_LE_STREET	C, F, CPL	ADDRESS (STREET AND NUMBER) OF THE LEGAL HEADQUARTERS <ul style="list-style-type: none"> • OF THE COMPANY • OF THE ISSUING COMPANY / THE CAPITAL INVESTMENT COMPANY (KAG) / FINANCIAL INVESTMENT MANAGEMENT COMPANY (KVG) (FUND MANAGER) / THE LEGALLY INDEPENDENT SPECIAL ASSETS • OF THE CORPORATION OF PUBLIC LAW
D	BULK_LE_POSTAL	C, F, CPL	ZIP CODE OF THE LEGAL HEADQUARTERS <ul style="list-style-type: none"> • OF THE COMPANY • OF THE ISSUING COMPANY / KAG/KVG (FUND MANAGER) OR THE LEGALLY INDEPENDENT SPECIAL ASSETS • OF THE CORPORATION OF PUBLIC LAW
E	BULK_LE_CITY	C, F, CPL	CITY OF THE LEGAL HEADQUARTERS <ul style="list-style-type: none"> • OF THE COMPANY • OF THE LEGALLY INDEPENDENT SPECIAL ASSETS OR THE ISSUING COMPANY / KAG/KVG (FUND MANAGER) • OF THE CORPORATION OF PUBLIC LAW
F	BULK_LE_STATE_REGION	C, F, CPL	GERMAN STATE / FEDERAL STATE OF THE LEGAL HEADQUARTERS <ul style="list-style-type: none"> • OF THE COMPANY • OF THE ISSUING COMPANY / KAG/KVG (FUND MANAGER) OR THE LEGALLY INDEPENDENT SPECIAL ASSETS • OF THE CORPORATION OF PUBLIC LAW
G	BULK_LE_COUNTRY	C, F, CPL	COUNTRY OF THE LEGAL HEADQUARTERS (SEE KEY FILE → COUNTRY) <ul style="list-style-type: none"> • OF THE COMPANY • OF THE ISSUING COMPANY / KAG/KVG (FUND MANAGER) OR THE LEGALLY INDEPENDENT SPECIAL ASSETS • OF THE CORPORATION OF PUBLIC LAW
H	BULK_HQ_NAME	F	<ul style="list-style-type: none"> • IS NOT REQUIRED • COMPLETE NAME OF THE CUSTODIAN BANK • IS NOT REQUIRED
I	BULK_HQ_STREET	C, F	ADDRESS (STREET AND HOUSE NUMBER) <ul style="list-style-type: none"> • OF THE ADMINISTRATIVE HEADQUARTERS OF THE COMPANY • THE CUSTODIAN BANK • IS NOT REQUIRED
J	BULK_HQ_POSTAL	C, F	ZIP CODE <ul style="list-style-type: none"> • OF THE ADMINISTRATIVE HEADQUARTERS OF THE COMPANY • THE CUSTODIAN BANK • IS NOT REQUIRED
K	BULK_HQ_CITY	C, F	CITY <ul style="list-style-type: none"> • OF THE ADMINISTRATIVE HEADQUARTERS OF THE COMPANY • THE CUSTODIAN BANK • IS NOT REQUIRED

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

A Brief Overview of Fields, P. 2/2

	FIELD NAME	MANDATORY FOR *)	CONTENTS (COMPANY, FUND, CORPORATION)
L	BULK_HQ_STATE_REGION	C, A	GERMAN STATE / FEDERAL STATE <ul style="list-style-type: none"> • OF THE ADMINISTR. HEADQUARTERS OF THE COMPANY • THE CUSTODIAN BANK • IS NOT REQUIRED
M	BULK_HQ_COUNTRY	C, A	COUNTRY (SEE KEY FILE → COUNTRY) <ul style="list-style-type: none"> • OF THE ADMINISTR. HEADQUARTERS OF THE COMPANY • THE CUSTODIAN BANK • IS NOT REQUIRED
N	BULK_JURIS	C	<ul style="list-style-type: none"> • RESPONSIBLE BUSINESS REGISTER • IS NOT REQUIRED • IS NOT REQUIRED
O	BULK_REGISTER_NR	C, (I)	<ul style="list-style-type: none"> • REGISTER NUMBER • IS NOT REQUIRED • REGISTER NUMBER
P	BULK_FUND_STRUCTURE	A	<ul style="list-style-type: none"> • IS NOT REQUIRED • FUND STRUCTURE (SEE KEY FILE → FUND STRUCTURE) • IS NOT REQUIRED
Q	BULK_FUND_TYPE	A	<ul style="list-style-type: none"> • IS NOT REQUIRED • CLASSIFICATION OF THE FUND TYPE (SEE KEY FILE → FUND TYPE) • IS NOT REQUIRED
R	BULK_FUND_ISIN	(A)	<ul style="list-style-type: none"> • IS NOT REQUIRED • EXAMPLE ISIN OF A SHARE CLASS, AN INDIVIDUAL FUND, A SUB-FUND • IS NOT REQUIRED
S	BULK_FUND_KAG	A	<ul style="list-style-type: none"> • IS NOT REQUIRED • NAME OF THE CAPITAL INVESTMENT COMPANY (KAG) / FINANCIAL INVESTMENT MANAGEMENT COMPANY (KVG) / THE SPECIAL ASSET • IS NOT REQUIRED
T	BULK_AD_INFO	(C), (A)	<ul style="list-style-type: none"> • INDUSTRY (SEE KEY FILE → INDUSTRIES) • KAG NUMBER (ASSIGNED BY THE FEDERAL FINANCIAL SUPERVISORY AUTHORITY (BAFIN)) • IS NOT REQUIRED
U	BULK_BAFIN_NR	(A)	<ul style="list-style-type: none"> • IS NOT REQUIRED • FUND REGISTRATION NUMBER (AUTHORITY) • IS NOT REQUIRED
V	BULK_FUND_REG_NR	(A)	<ul style="list-style-type: none"> • IS NOT REQUIRED • REGISTRATION NUMBER OF THE LEGALLY INDEPENDENT SPECIAL ASSETS OR OF THE ISSUING FUND COMPANY KAG/KVG • IS NOT REQUIRED
W	BULK_FUND_REGISTER	(A)	<ul style="list-style-type: none"> • IS NOT REQUIRED • RESPONSIBLE COMMERCIAL REGISTER • IS NOT REQUIRED
X	BULK_PUBLIC_CLASS	I	<ul style="list-style-type: none"> • IS NOT REQUIRED • IS NOT REQUIRED • CLASSIFICATION OF THE CORPORATION OF PUBLIC LAW (SEE KEY FILE → CORPORATION_CLASSIFICATION)

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

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 this is a component of the name.

Column B (BULK_OU_type) - mandatory field, max. 255 characters

In this field, please enter the legal form of the company to be registered. Valid legal form names can be taken from the key file found in the → attachment.

Columns C - G (BULK_LE_****) - mandatory fields, max. 255 characters

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

In column C (BULK_LE_street): Street and House Number

In column D (BULK_LE_postal): Zip Code

In column E (BULK_LE_city): City

In column F (BULK_LE_state_region): German State or Federal State

In column G (BULK_LE_country): Country (in accordance with the key file → country)

Column H (BULK_HQ_name)

Does not have to be completed for companies.

Columns I - M (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 I (BULK_HQ_street): Street and House Number

In column J (BULK_HQ_postal): Zip Code

In column K (BULK_HQ_city): City

In column L (BULK_HQ_state_region): German State or Federal State

In column M (BULK_HQ_country): Country (in accordance with the key file → country)

Column N (BULK_juris) - mandatory field, max. 255 characters

In this field, please enter the responsible business register. In Germany, this is the responsible local court.

Column O (BULK_register_nr) - mandatory field, max. 255 characters

In this field, please enter the register number of the company filed by the commercial register named in column N.

Columns P - S Do not have to be completed for companies.

Column T (BULK_AD_info) - mandatory field, max. 255 characters

You may enter the industry sector of the company in this field. Valid industry sector names can be taken from the key file → Departments in the attachment.

Columns U - X

Do not have to be completed for companies.

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 GEI funds guidelines (GEI-Fonds-Guidance).

Column B (BULK_OU_type) - mandatory field, max. 255 characters

Please enter the legal form of the fund in this field.

Column C – G (BULK_LE_****) - mandatory fields, max. 255 characters

Please enter the address of the legally independent special asset or the issuing company / the capital investment company (KAG)/ the financial investment management company (KGV) (fund manager) in these columns.

In column C (BULK_LE_street): Street and House Number

In column D (BULK_LE_postal): Zip Code

In column E (BULK_LE_city): City

In column F (BULK_LE_state_region): German State or Federal State

In column G (BULK_LE_country): Country (in accordance with the key file → country)

Column H (BULK_HQ_name) - mandatory field, max. 255 characters

Please enter the complete name of the custodian bank 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 I – M (BULK_HQ_****) - mandatory fields, max. 255 characters

Please enter the address of the custodian bank specified in column H in these columns..

In column I (BULK_HQ_street): Street and House Number

In column J (BULK_HQ_postal): Zip Code

In column K (BULK_HQ_city): City

In column L (BULK_HQ_state_region): German State or Federal State

In column M (BULK_HQ_country): Country (in accordance with the key file → country)

Columns N - O

Do not have to be completed for funds.

Column P (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 Q (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 R (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 S (BULK_fund_KAG) - mandatory field, max. 255 characters

In this field, please enter the name of the capital investment company (KAG)/financial investment management company (KVG) or of the special assets.

Column T (BULK_AD_info) - optional field, max. 255 characters

In this field, you may enter the KAG number of the management company assigned by the Federal Financial Supervisory Authority (BaFin).

Column U (BULK_bafin_nr) - optional field, max. 255 characters

In this field, you may enter the fund registration number of the fund.

Column V (BULK_fund_reg_nr) - optional field, max. 255 characters

In this field, you may enter the registration number of name of the capital investment company (KAG)/financial investment management company (KVG) or of the special assets.

Column W (BULK_fund_register) - optional field, max. 255 characters

In this field, you may enter the name of the business register responsible for the capital investment company (KAG)/financial investment management company (KVG) or of the special assets.

Column X (BULK_public_class)

Does not have to be completed for funds.

Instructions on How to Complete the Fields for Corporations of Public Law

Column A (BULK_name) - mandatory field, max. 255 characters

In this field, please enter the complete name under which the corporation 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_OU_type)

Does not have to be completed for corporations of public law.

Column C – G (BULK_LE_****) - mandatory fields, max. 255 characters

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

In column C (BULK_LE_street): Street and House Number

In column D (BULK_LE_postal): Zip Code

In column E (BULK_LE_city): City

In column F (BULK_LE_state_region): German State or Federal State

In column G (BULK_LE_country): Country (in accordance with the key file → country)

Columns H - N

Do not have to be completed for corporations of public law.

Column O (BULK_register_nr) - Optional field, max. 100 characters

In this field, you may enter a commercial register number for the corporation of public law, provided it is available.

Columns P - W

Do not have to be filled for corporations of public law.

Column X (BULK_public_class) - mandatory field, max. 10 characters

In this field, please enter the classification of the corporation of public law in accordance with the attached key file → Corporation_Classification

THE AUXILIARY TABLES FOR COMPLETING THE FILE ARE AVAILABLE AT THE FOLLOWING LINK:

[HTTPS://ENGLISH.KELER.HU/SERVICES/NUMBERING%20AGENCY/LEI%20CODE/](https://english.keler.hu/services/numbering%20agency/lei%20code/)

Budapest, 29 January, 2014

KELER Ltd.