

# KELER Depository Announcement

No. 9-08

on LEI services provided to organisations not  
registered in Hungary

**Effective from: 7 September 2022**

## Table of contents

<b>1. About the LEI code</b> .....	<b>2</b>
<b>2. Intermediated services</b> .....	<b>2</b>
<b>3. LEI code application process</b> .....	<b>2</b>
3.1. Conditions of LEI code application .....	2
3.2. XLSM template for the submission of collective applications .....	4
3.3. Overview of fields, page 1 of 2 .....	5
3.4. Overview of fields, page 2 of 2 .....	6
3.5. Guide for completing the fields.....	7
<b>4. Data processing</b> .....	<b>8</b>

## **1. About the LEI code**

The LEI code is a 20-character unique alphanumeric international identification code for the identification of registered organisation/person, that primarily serves the purposes of the identification of parties participating in financial transactions. Only one LEI code can be assigned to a registered organisation/person and every issued LEI code pertains to one registered organisation/entity only.

The international standard for LEI code is registered by the International Organization for Standardization under no. ISO 17442.

The LEI code shall be valid for one year from its issue and shall be renewed annually. After the expiry of the validity period the code will have an expired status. In the case of renewal, the validity is extended with another year.

The Global Legal Entity Identifier Foundation is a foundation operating under Swiss laws that determines the principles of operation of the international system issuing and registering the LEI codes (Global LEI System - GLEIS) and operate the same together with the LEI Service Providers.

## **2. Intermediated services**

In 2014, KELER Central Depository Ltd (hereinafter: KELER) entered into a cooperation agreement with Herausgebergemeinschaft WERTPAPIER-MITTEILUNGEN Keppler, Lehmann GmbH & Co. KG (hereinafter: WM), an accredited LEI numbering agency based in Germany, in order to provide its clients with services concerning the application for and the renewal of LEI codes as an intermediary. Due to the growing use of the identification code, KELER, as an accredited LEI numbering agency, decided to provide full service for registered organisations/persons established in Hungary. KELER is licensed to issue LEI codes for organisations/persons registered in Hungary, however, at the same time, under the agreement concluded with WM, it will continue to participate, as an intermediary, in the LEI code application process of foreign registered organisations/ entities.

This Depository Announcement applies to the management of LEI codes of registered organisations/persons not established in Hungary.

## **3. LEI code application process**

### **3.1. Conditions of LEI code application**

For the application for LEI codes of organisations/persons NOT registered in Hungary, KELER concludes a contract on paper with the Client representative. In relation thereto, the Client representative shall submit the following documents:

- extract from trade register not more than 30 days old or the order registering the last change (copy)
- document attesting the power of representation of the acting person (Power of attorney) if it is not included in the extract from trade register (copy)
- the specimen signature(s) of the authorised signatory/signatories to the contract in original form, or in an electronic document containing the qualified eSignature of the authority or notary public authorised to issue and certify the document, or in a certified copy certified by a notary public or authenticated by the Hungarian delegation authority, or, unless otherwise stipulated in an international agreement, in a certified copy affixed with an Apostille certificate, or in the case of electronic documents, sent to the [iktato@keler.hu](mailto:iktato@keler.hu) email address in an electronic file in es3 format, signed by the attorney preparing the specimen signature
- one signed original master data sheet
- KYC Declaration on Sanctions (unless the intermediary is a system participant)

Depending on the place of registry, on a risk-sensitive basis, KELER may request further supplementary data and declarations during the application process (e.g. data concerning the beneficial owner, the ownership structure, documents underpinning the operation of the organisation).

Making the KYC Declaration on Sanctions is not necessary if any participant of the settlement system acts on behalf of the client (as intermediary), i.e. the application is intermediated by an investment service provider or a credit institution to its own clients.

In the case of documents issued in a language other than Hungarian and/or English, the certified translation - issued by a person entitled to prepare certified translations at the place where the translation is made - of the document must be attached.

Our clients may apply for a new LEI code

- individually and
- bulk request.

For the submission of an individual application, the form available on KELER's website ([www.keler.hu](http://www.keler.hu)) shall be used, which shall be filled in according to the information contained therein.

For the submission of a collective application, the formal requirements of the necessary XLSM file will be detailed herein below.

If the application does not comply with the form or content requirements, or the payment of the service fee in advance via bank transfer is not verified, KELER notifies the Representing Client thereof and requests the correction of the error, or the payment of the fee. The corrected application will be forwarded by KELER to the LEI numbering agency, i.e., WM.

KELER informs the Client about the issue of the LEI code in an email without delay but no later than within one business day.

KELER participates in the maintenance (renewal) of the LEI code in a way that it updates annually

at the LEI numbering agency the identification data constituting the basis for the issue, using the data provided by the client. If the update is not performed, the issued LEI code will become invalid.

In the case of absence or improper justification of the required conditions set forth in the General Business Rules of KELER, the depository announcement or the legislation, or in cases defined in the financial and asset-related restrictive measures imposed by the European Union and the UN Security Council, KELER shall be entitled and obliged to deny the issue of the LEI code. If the application is rejected according to the applicable legislation in force at any time ensuring the implementation of the financial and asset-related restrictive measures, KELER shall exclude, to the extent possible under the law, any liability for delays in execution or non-execution.

### **3.2. XLSM template for the submission of bulk applications**

The collective registration can be processed only if all mandatory fields in the CSV, XLSM file are filled in correctly. Please use the provided template only and follow the completion instructions.

The following pages contain the short description of each field as well as information concerning their completion.

Please collect your applications in one file, do not divide them into several files. The first line of the file contains the name of the fields. Please leave this line unchanged and enter the data starting with the second line. Do not leave blank lines between the lines containing the data of each entity.

When naming the file please use the following format:

LEI\_UNIQUE IDENTIFIER\_DATE OF SUBMISSION

UNIQUE IDENTIFIER: 6 numeric characters (given by KELER in the contract)

DATE OF SUBMISSION: in YYYYMMDD format

File type: MS Excel 2007 and above

File extension: .xlsx

### 3.3. Overview of fields, page 1 of 2

	FIELD NAME	CONTENT
A	BULK_NAME	THE ORGANISATION'S FULL NAME ACCORDING TO THE REGISTER
B	BULK_REGION_JURISDICTION	COUNTRY CODE OF THE ORGANISATION'S COMPETENT REGISTRATION AUTHORITY
C	BULK_OU_TYPE	THE ORGANISATION'S LEGAL FORM (SEE KEY FILE → LEGAL FORM)
D	BULK_LE_STREET	ADDRESS (STREET AND NUMBER) OF THE ORGANISATION'S REGISTERED OFFICE
E	BULK_LE_POSTAL	POSTAL CODE OF THE ORGANISATION'S REGISTERED OFFICE
F	BULK_LE_CITY	CITY OF THE ORGANISATION'S REGISTERED OFFICE
G	BULK_LE_STATE_REGION	REGION OF THE ORGANISATION'S REGISTERED OFFICE (SEE KEY FILE → SUBDIVISION)
H	BULK_LE_COUNTRY	COUNTRY OF THE ORGANISATION'S REGISTERED OFFICE (SEE KEY FILE → COUNTRY)
I	BULK_HQ_NAME	N/A
J	BULK_HQ_STREET	ADDRESS (STREET AND NUMBER) OF THE ORGANISATION'S HEADQUARTERS
K	BULK_HQ_POSTAL	POSTAL CODE OF THE ORGANISATION'S HEADQUARTERS
L	BULK_HQ_CITY	CITY OF THE ORGANISATION'S HEADQUARTERS

### 3.4. Overview of fields, page 2 of 2

	FIELD NAME	CONTENT
M	BULK_HQ_STATE_REGION	REGION OF THE ORGANISATION'S HEADQUARTERS (SEE KEY FILE → SUBDIVISION)
N	BULK_HQ_COUNTRY	COUNTRY OF THE ORGANISATION'S HEADQUARTERS (SEE KEY FILE → COUNTRY)
O	BULK_JURIS	INDICATION OF THE ORGANISATION'S RELEVANT TRADE REGISTER
P	BULK_REGISTER_NR	ORGANISATION'S REGISTRATION NUMBER
Q	BULK_FUND_STRUCTURE	N/A
R	BULK_FUND_TYPE	N/A
S	BULK_FUND_ISIN	N/A
T	BULK_FUND_KAG	N/A
U	BULK_AD_INFO	THE ORGANISATION'S INDUSTRY CODE (SEE KEY FILE → INDUSTRIES)
V	BULK_FUND_REG_NR	N/A
W	BULK_FUND_REGISTER	N/A
X	BULK_PUBLIC_CLASS	N/A
Y	BULK_REGISTRATION_AUTHORITY_ID	ID OF THE ORGANISATION'S COMPETENT REGISTRATION AUTHORITY (SEE KEY FILE → ID OF REGISTRATION AUTHORITY)
Z	BULK_KVG_REGISTRATION_AUTHORITY_ID	N/A

### 3.5. Guide for completing the fields

#### Column A (BULK\_name) - mandatory field

Full name of the organisation as registered in the relevant register (the official name and abbreviation must be entered). If the legal form is also indicated as part of the name, it must be entered as well.

#### Column B (BULK\_region\_jurisdiction) - mandatory field

Country code of the place of registry of the competent registration authority.

#### Column C (BULK\_OU\_type) - mandatory field

The legal form of the applying organisation must be indicated in this field (key file → legal form).

#### Columns D-H (BULK\_LE\_\*\*\*\*) - mandatory fields

The address of the organisation's registered office must be indicated in these columns.

Column D (BULK\_LE\_street): street and number

Column E (BULK\_LE\_postal): postal code

Column F (BULK\_LE\_city): city

Column G (BULK\_LE\_state\_region): counties, main cities (key file → region)

Column H (BULK\_LE\_country): country (key file → country)

#### Column I (BULK\_HQ\_name) - mandatory field

N/A

#### Columns J-N (BULK\_HQ\_\*\*\*\*) - mandatory fields

The address of the organisation's headquarters must be indicated in these columns.

These fields must be filled in even if the organisation's headquarters and registered office have the same address.

Column J (BULK\_HQ\_street): street and number

Column K (BULK\_HQ\_postal): postal code

Column L (BULK\_HQ\_city): city

Column M (BULK\_HQ\_state\_region): counties, main cities (key file → region)

Column N (BULK\_HQ\_country): country (key file → country)

#### Column O (BULK\_juris) - mandatory field

The name of the competent registration authority of the organisation must be indicated in this field.

#### Column P (BULK\_register\_nr) - mandatory field

The registration number provided by the competent registration authority specified in Column O must be indicated in this field.



Column Q (BULK\_fund\_structure)

N/A

Column R (BULK\_fund\_type) - mandatory field

N/A

Column S (BULK\_fund\_isin)

N/A

Column T (BULK\_fund\_KAG)

N/A

Column U (BULK\_AD\_info) - mandatory field

The organisation's valid industry code must be entered here (key file → Departments).

Column V (BULK\_fund\_reg\_nr)

N/A

Column W (BULK\_fund\_register)

N/A

Column X (BULK\_public\_class)

N/A

Column Y (BULK\_registration\_authority\_id) - mandatory field

The ID of the organisation's competent trade registration authority must be indicated in this field (key file → ID of registration authority).

Column Z (BULK\_kvg\_registration\_authority\_id) - mandatory field

N/A

#### **4. Data processing**

LEI and LE-RD, LE-RR are public information that do not contain personal data.

The Contracting Party participating in the LEI application gives a consent that KELER can process

the personal data provided under the scope of the Contract for the purposes of the fulfilment of the Contract. Data processing is performed based on legitimate interest.

The Contracting Party is entitled to request information from KELER regarding the data processing and can request the handover or the erasure of its data, the restriction of processing and can request rectification or may object to the processing. If the data subject does not accept the decision of KELER regarding their objection against data processing or they think that KELER infringed the privacy laws, then they are entitled to file a lawsuit at the courts or file a complaint with the Hungarian National Authority for Data Protection and Freedom of Information (NAIH). The data subject can exercise their right to data portability by ordering one of transferring services.

The Contracting Party acknowledges that in certain cases, KELER shall hand over the information concerning the Contract to WM. In such cases personal data might be transmitted abroad.

The Contracting Party acknowledges that the fundamental provisions concerning data processing are laid down in Regulation (EU) No. 2016/679. KELER's Privacy notice is available at the KELER website under <https://www.keler.hu/Adatv%C3%A9delem/> where you can find the information necessary for filing a complaint with KELER or with the Authority.