

## Legal Entity Identifier (LEI) FAQs

### 1. What do I need to do?

Clients other than natural persons will need to obtain a pre LEI code in order for both Investec and the client to comply with the EMIR trade reporting obligations which come into effect 12 February 2014.

### 2. What is an LEI code?

The LEI is a global reference code which uniquely identifies each legal entity that engages in a derivative transaction which includes but is not limited to FX forwards, FX swaps & FX options. It is a 20-digit; alphanumeric reference code that clearly and uniquely identifies a legally distinct entity that engages in a financial transaction.

### 3. What is a pre LEI code?

This is an interim code which will be in use until the global LEI system is fully developed and operational.

### 4. Where can I get a pre LEI?

The Irish Stock Exchange is an issuer of these codes in Ireland. There are a number of other issuers of these codes in other jurisdictions. The full list of endorsed pre LEI issuers are;

Irish Stock Exchange (<https://www.isedirect.ie/Products/Pre-LEI-Services/>),

INSEE (<https://lei-france.insee.fr>),

DTCC (<https://www.ciciutility.org/>),

WM Datenservice (<https://www.geiportal.org/index.php>),

London Stock Exchange (<https://www.unavista.londonstockexchange.com/datasolutions/login.html>),

Takasbank (<http://www.takasbank.com.tr/en/Pages/Numaralandirma.aspx>).

### 5. How do I apply for a pre LEI code?

If you choose to apply for a pre LEI code from the Irish Stock Exchange, you can do so by logging on to ISE direct at [www.isedirect.ie](http://www.isedirect.ie). You will first need to register as a new user on the home page. Once you register you can log in and follow the steps to the application form.

### 6. What type of information is requested in the application?

The details requested on the online application include but are not limited to: official name of the legal entity, address of legal entity, legal entity headquarters address, country of incorporation & company registration number.

### 7. Is there a validation process carried out by the pre LEI issuer?

The pre LEI Issuer will carry out a validation process prior to issuing the pre LEI code to ensure the validity of the entity details and to avoid any duplication of codes prior to issuing you with your pre LEI.



## 8. Is there a fee involved?

There is a fee involved in obtaining a pre LEI code and an annual maintenance fee. These costs could vary depending on which pre LEI Issuer you use to obtain your pre LEI.

## 9. What is Investec's pre LEI code?

Investec's pre LEI code is 84S0VF8TSMH0T6D4K848.

## 10. In what format should I send my pre LEI code to Investec?

Once you receive your pre LEI code you should send it to [LEIcodes@investec.ie](mailto:LEIcodes@investec.ie) in the format that it is received, the table below is an example of the format you might receive your code.

| Issuer      | Status | Status Date | LEI Code             | Assignment Date | Anniversary date |
|-------------|--------|-------------|----------------------|-----------------|------------------|
| Entity Name | Issued | dd/mm/yyyy  | 84S0VF8TSMH0T6D4K848 | dd/mm/yyyy      | dd/mm/yyyy       |

## 11. Where can I find additional information on this?

For additional information please contact your account manager on 1850 465 465 at Investec or alternatively information can be found on the Regulatory Oversight Committee ("ROC") website <http://www.leiroc.org/>. The ROC is a committee of authorities from around the world working to coordinate and oversee a global system of legal entity identification.

## Definitions/Abbreviations

**Derivative** - includes but is not limited to options, futures, swaps, forward rate agreements and any other derivative contract relating to securities, currencies, interest rates, or yields.

**EMIR** – European Market Infrastructure Regulation - Regulation (EU) No 648/2012 OTC derivatives, central counterparties and trade repositories (EMIR) which entered into force on 16 August 2012.

**LEI code** - this is a code that is used by regulators to identify counterparties in a derivative trade when the trade is reported to a Trade Repository.

**Pre LEI code** – this is the interim code used until such time as the global quality standard setter for LEI codes is fully operational.

**Pre LEI Issuer** – the pre LEI Issuers are the following entities;

Irish Stock Exchange (<https://www.isedirect.ie/Products/Pre-LEI-Services/>),

INSEE (<https://lei-france.insee.fr>),

DTCC (<https://www.ciciutility.org/>),

WM Datenservice (<https://www.geiportal.org/index.php>),

London Stock Exchange (<https://www.unavista.londonstockexchange.com/datasolutions/login.html>),

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**Trade repository** – This is the entity that centrally collects and maintains the records of derivatives (which include FX forwards, swaps & options). There are 6 trade repositories approved by the EU.



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