zseLEI Service User Manual

Version 1.4

Zagreb, July 2017

Contents

1   Introduction

zseLEI Service is an internet application and service for requesting and assignment of pre-Legal Entity Identifiers (hereinafter **zseLEI**) under the management of **The Zagreb Stock Exchange**. In accordance, zseLEI Service also fulfills the role of transparent and simplistic overview of assigned LEIs and related legal entity's data.

2   Main interface

Main interface of the zseLEI Service website consists of navigation menu, welcome text, registration link and links to the documents containing this *help documentation* and *General Terms and Conditions of the zseLEI Service* in the right sidebar. Language changing buttons for Croatian and English are positioned in the top right corner of the page.
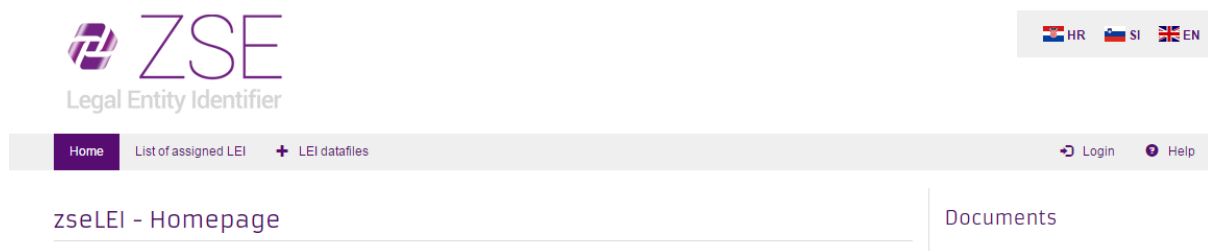

Possible menu choices are:

- **Home** – landing page of the website
- **List of assigned LEI** – overview of currently assigned LEIs
- **LEI datafiles** – daily full and delta exports of LEI and legal entity reference data in *xml* format
- **Login** – link for existing user's login
- **Help** – link to the online documentation

2.1   Overview of assigned LEIs

Browsing of the assigned LEI does not require user registration and is available from the main navigation bar by selecting **List of assigned LEI** option.
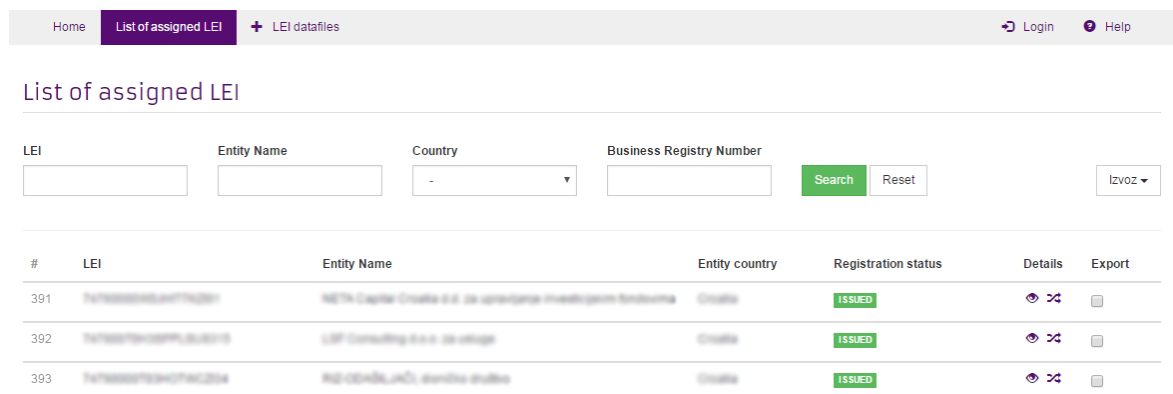
In this view it is possible to browse through the assigned LEI. Table view can be filtered by *Legal Entity Identifier (LEI)*, *Entity Name*, *Entity country* (country in which the legal entity is registered) and by the *Business Registry Number* of the business registry in which the legal entity was registered. Search form can be reseted via **Reset** button and new search can be started with different input data.

After finding specified Entity or LEI, additional details for that legal entity can be retrieved by clicking on the 👁 icon. Selected action puts the user on the screen with the summary of the specified Legal Entity.
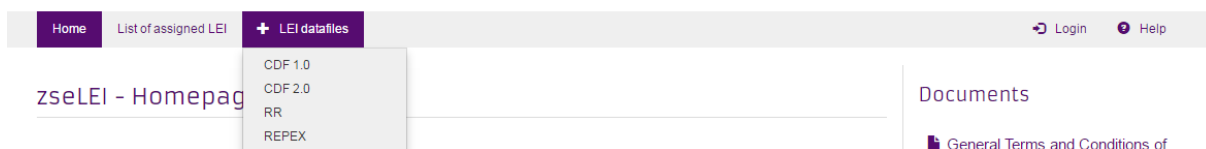
Icon ⇄ notes that the relationship data is available for the given legal entity.

Given data can be easily exported to **XLS** or **CSV** file format via **Export** button (after checking the box in the *Export* column near one or more entries) for offline processing and detailed LEI information.

2.2 LEI datafiles

Possible menu choices are:

- **CDF 1.0** - LEI Data Records File (LEI-CDF 1.0 format)
- **CDF 2.0** - LEI Data Records File (LEI-CDF 2.0 format)
- **RR** - Relationship Records Public File (RR-CDF 1.0 format)
- **REPEX** - Exceptions Records File

Home	List of assigned LEI	+ LEI datafiles			➲ Login	❓ Help

CDF 1.0
CDF 2.0
RR
REPEX

zseLEI - Homepag

Documents

General Terms and Conditions of

Each of selected views contains **XML** datafiles, sorted by date. Contained **XML** exports consist of *full* **XML** datafile (contains all released LEI datasets till date) and *delta* **XML** datafile (contains only added or changed LEI datasets for the day before). By default, data for the current month is displayed.

Home	List of assigned LEI	+ LEI datafiles		➲ Login	❓ Help

LEI datafiles - CDF 2.0

Naziv datoteke	Veličina
ZSE_20170613_delta_CDF2.xml	9,19 KB
ZSE_20170613_full_CDF2.xml	710,17 KB
ZSE_20170612_delta_CDF2.xml	394 B
ZSE_20170612_full_CDF2.xml	704,8 KB

Data can be viewed or filtered by month. Additionally, all of the exports can be shown by clicking the **Display all data** button. XML schema conforms to the standards defined by GLEIF.

Datafiles are given in the **ZSE_yyyyMMdd_TYPE.xml** notation and are generated at consistent times. User can examine XML data in the browser by clicking the desired datafile or download it to his computer.

All displayed data is free to download as designated in the *General Terms and Conditions of the zseLEI Service*.

3 User registration and request for LEI assignment

3.1 Registration

Registration process is initiated from the homepage of the zseLEI Service website by clicking on the **Register** button.

By clicking the registration link, user will be taken to the registration form where all the data except State / Region is mandatory for fulfillment. E-mail Address of contact person (employee of the legal entity or an agent) is also used as the username that will be used for user login and contact. **It is highly recommended that the e-mail address used for registration is within official e-mail domain of the company (except when the user acts in the form of an agent for another company).**

Password is user-defined and **must not** be shorter than 8 alphanumeric characters. *Contact Person* data relates to the person who will manage LEI requests and act as a contact person for the legal entity in question (in case of an agent, that data relates to the agent, as well as Legal Entity Data relates to agent's place of employment). This data will be used for pre-invoice and invoice generation and can be changed later if needed.

After filling in all the required fields, user must accept legal notice and input simple *captcha* (basic spam and bot prevention) to proceed after clicking on the **Save** button. If required fields are not filled in, user will not be able to finish the registration process. Please, take notice that the *captcha* text is case sensitive.

After successful form submittal, activation link will be dispatched to the user's e-mail address. Activation link has an expiry period of 5 days. Failing to activate user account in given period with provided activation link, user will have to repeat the registration process. After successful activation, user can login to his user account immediately by clicking the **Login** button in the right side of navigation menu.

On the login screen, it is possible to initiate user password recovery procedure in case of forgotten or misplaced user password by following the **Lost password** link.

Password recovery is done using the e-mail address that the user provided during registration process.

Lost password

E-mail

Enter e-mail address used during registration process, we'll send you a message with password.

Send

You don't have user account? Register.
Lost password?

In case of deactivated e-mail address or any other problems with logging in, please contact the zseLEI Service administrator .

3.2 User interface

Main user interface consists of main navigation and user-specific navigation (visible after login, in the same navigation menu). User now has the option to submit the request for LEI, preview the list of all his sent requests and their statuses, change his user data (billing address and other data). There are also logout link and link to the online help documentation.

ZSE
Legal Entity Identifier

HR SI EN

Home   List of assigned LEI   + LEI datafiles   Login   Help

Available menu choices:

- **Home** – landing page of the website
- **List of assigned LEI** – overview of currently assigned LEIs
- **LEI datafiles** – daily full and delta exports of LEI and legal entity reference data in *xml* format
- **New request**
    o **LEI request** – submit basic LEI request for legal entities
    o **LEI request (funds)** – submit LEI request for fund type legal entities
    o **LEI transfer** – submit request for transfer of existing LEI into the zseLEI service
- **List of requests** – detailed list of LEI requests submitted by user
- **User data** – password change, basic data and data for the billing purposes
- **Logout** – link for user's logout
- **Help** – link to the online documentation

3.3 Request for LEI assignment

Request for the Legal Entity Identifier or LEI assignment is done by choosing **New request** menu option and **LEI request** submenu option as shown below.
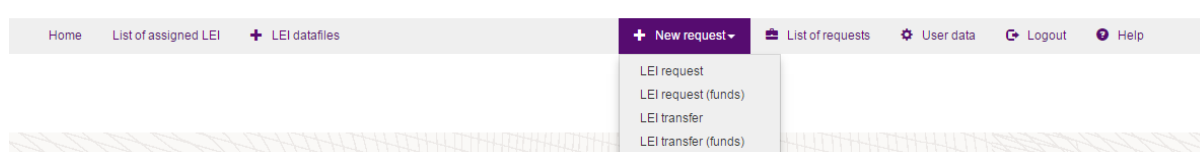
Legal entity employee can submit LEI request exclusively for his company and has to attach the authorisation letter signed by the person authorized to represent the legal entity in the relevant business register. An agent has to attach the power of attorney signed by the person authorized to represent the legal entity in the relevant business register with the signature of the principal certified in an appropriate manner. Authorisation letter template can be downloaded from homepage, Documents section.

Additional documentation from the zseLEI Service administrator can be requested.

In the next step, application will load identifier assignment form. All the data in the form is obligatory (except *State / Region* field) to fulfill.

User can upload authorisation letter by **Select file** button. Chosen button will open operating system's file explorer application and allow user to choose and attach the document to the zseLEI request in question.

At the end of the application form, there is also **Billing information check** button. Users should make sure that the billing data is correct before proceeding with request submission otherwise they should restart the LEI request process (after correcting the billing information) or contact the zseLEI Service administrator.

If the displayed data is not correct or the billing address has changed, user will need to update the data in new window by clicking the **Change billing data** button.

After clicking the **Change billing data** button, user can quickly change his billing information. Clicking the **Save** button will save the data and return to the LEI request form.

Upon checking payment address and other data, user can submit his new LEI request for approval. In case of missing or invalid data, application form will notify user upon needed changes and missing/invalid fields.

After all of the form data is checked as valid, user can submit his request which then goes to the administrator for review and approval. Submitted request will show up in user's **List of requests** menu.

3.3.1 Collection of relationship data

After submitting request for LEI assignment an User has to submit relationship records for direct and ultimate accounting consolidating parent.

Direct accounting consolidating parent of legal entity is the lowest level legal entity that prepares consolidated financial statements that consolidate entity, based on the accounting definition of consolidation applying to this parent.

Ultimate accounting consolidating parent of entity is the highest level legal entity preparing consolidated financial statements that consolidate entity, based on the accounting definition of consolidation applying to this parent.

An User can submit relationship records by clicking **Relationship Data** link under the **Action** column in the user interface List of requests.

In this form User is asked to choose between following four options for direct and ultimate parent:

1.   Parent has LEI issued
2.   Parent has no LEI issued
3.   Unavailable information - No parent
4.   Unavailable information - Retention of providing parent information

An user has the ability to state that the direct parent is also an ultimate parent.

3.3.1.1 *Parent has LEI issued*

By selecting the first option **Parent has LEI issued,** a new form is displayed and the user has to enter following relationship data:

- **Parent LEI**
- **Accounting standard** – Accounting standard applied by the parent company when compiling consolidated financial statements.
- **Type od validation document** - Consolidated financial statements or other legal documents showing the information on parent relationships
- **Link to document** - URL of consolidated financial statements or other legal documents showing the information on parent relationships, if publicly available.
- **Attach document** –User has to attach consolidated financial statements or other legal documents showing the information on parent relationships.
- **Relationship period start date** – Start date of the relationship between legal entity (child) and parent entity. If this date is not known, please enter current date.
- **Accounting period start date** – Start date of the accounting period reflected in the consolidated financial statements of the parent entity.
- **Accounting period end date** – End date of the accounting period reflected in the consolidated financial statements of the parent entity.
- **Document filling period start date** – Publication date of the consolidated financial statements or other legal documents showing the information on parent relationships, if publicly available. If this date is not known, please enter current date.
- **Document filling period end date** – Date when the publication of the consolidated financial statements or other legal documents showing the information on parent relationships was terminated, if relevant.

3.3.1.2 Parent has no LEI issued

By selecting the second option **Parent has no LEI issued**, the user also has to enter reference data on the parent entity along with relationship data.

3.3.1.3 Unavailable information - No parent

By selecting the third option **Unavailable information - No parent,** a new form is displayed and the user has to choose one of the following reasons:

- There is no parent because the entity is controled by natural person(s)
- There is no parent because the entity is controled by legal entities not subject to consolidating
- There is no parent because there is no known person controling the entity (diversified shareholding)

3.3.1.4 Unavailable information - Retention of providing parent information

By selecting the fourth option **Unavailable information - Retention of providing parent information,** a new form is displayed and the user has to choose one of the following reasons for declining to provide parent information:

- Regulatory obstacles prevent providing information
- Parent did not consent or could not be contacted
- Binding legal commitments prevent providing information
- Detriment could not be excluded.
- Disclosure would be detrimental to the legal entity or the parent

3.3.2 Request processing

Every major part of the request process is followed up by the appropriate e-mail message notifying the user about request progress and status.

After the zseLEI Service administrator reviews user's request for LEI assignment and reletionship records for direct and ultimate parent, user will be notified by e-mail in case there are changes he must apply to original requests.

In case there is no need for the additional input from the user, billing procedure will commence and user will be contacted with payment information. After the payment has been resolved, LEI will be assigned and user will be notified via e-mail. User can follow various steps of assignment process in the **List of requests** menu in the zseLEI Service interface.

3.4 Request for LEI assignment for Funds

Request for Fund type entities is done by choosing the **New request** menu option and **LEI request (funds)** submenu option.
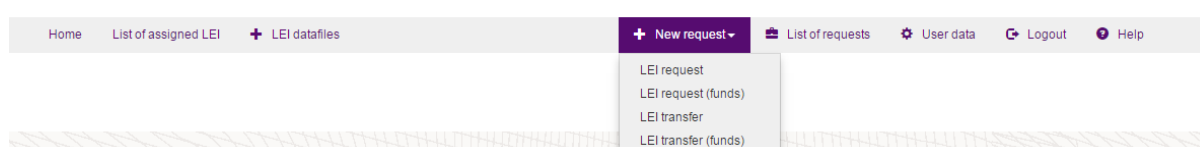
Upon choosing funds submenu, user is taken to the similar form as for basic LEI request with the difference of first being asked to input the Business Registry Number of the fund management company (that is responsible for the management of fund).

In the second part of the form, user must input similar data as for the basic LEI assignment request, as well as fund name. If the user is requesting LEI for more than one funds, he can request them immediately or at any other point after with **Add new fund** button (new **Fund name** field will appear).

LEI for the fund management company is requested as a separate request if needed.

If the user just wants to input a new fund (fund name under the same fund management company for which he has already opened one or more requests), he can easily do that through **LEI request (funds)** submenu and by inputting the existing Business Registry Number – and if there are already requests associated with the Business Registry Number, they will be displayed in the next step.

In case the user (e.g. user is an Agent) wants to input new funds under some other fund management company, he needs to input *new* Business Registry Number and fill in the legal entity data as described above.

After submitting request for LEI assignment for fund an User has to submit relationship records for direct and ultimate accounting consolidating parent.

Again, after all the form data is valid, user can submit his request which then goes to administrator for review and approval. Submitted request will show up in users **List of requests** menu.

4   Request for Legal Entity Identifier transfer

Transfer of Legal Entity Identifier from another pre-LOU is done through the **New request** menu and **LEI transfer** submenu option.
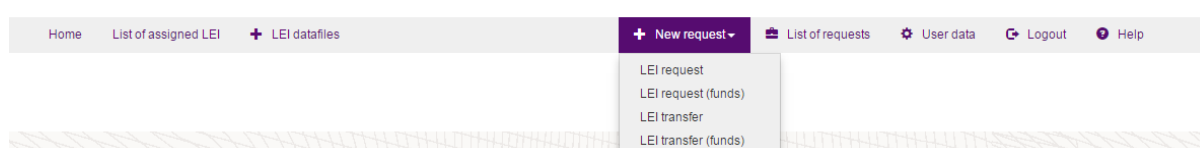
In this form, user is asked to enter legal entity data and additionally to fill in (or choose from dropdown list one of the offered choices) legal entity's assigned pre-LEI and pre-LOU (Local Operating Unit) where pre-LEI was assigned.

If there is a pre-LOU that is not offered in the dropdown list, user can append it manually through *Other* option.

If there are no previously entered relationship records, the User shall be obliged to enter relationship data on direct and ultimate accounting consolidating parent by filling an appropriate electronic form available through zseLEI service.

After the user submits LEI transfer request, zseLEI Service administrator will check and contact the user regarding pending procedures for completion of the transfer similar as to all other LEI requests.

5   Renewal of LEI code

Option for the LEI renewal request will become available in the user interface 45 days prior to the expiration date of LEI in question.

By entering the previously mentioned period, user will be notified by e-mail (which he has given during the registration) to log in into the zseLEI Service and request LEI renewal.

User should log in into the zseLEI Service, choose **Renewal request** option form the **List of request** menu and validate if the entity data for the given LEI is correct. Also, please note that users should check that the payment and contact data is valid.

If there are no previously entered relationship records, the User shall be obliged to enter relationship data on direct and ultimate accounting consolidating parent by filling an appropriate electronic form available through zseLEI service.

In case some entity data needs to be updated, user can do so through **Entity data** option under the **List of request** menu. After the changes have been approved by zseLEI Service administrator, user can proceed with LEI renewal request.

After the completion of renewal request process, LEI code will be renewed for the period of one year.

In case user does not recieve first reminder, he will be notified by periodic e-mail messages of due expiry date for the LEI code. In case user does not wish to renew his LEI code, it will change status to lapsed after the due date.

6 Overview of all user-submitted requests

After successful submittal of LEI request (or requests), user can see the status of his requests in the **List of requests** menu. In this view, user will see requests that are in need of his attention or general details about requests and options for various actions upon them.

For every change on the submitted LEI request, application will notify user by e-mail. Updates and maintenance of the legal entity reference data is done through this menu. Activity history related to the specific request is also displayed in this menu via ▦ icon.

In this view user can see all the relevant data to his LEI requests and maintain his existing LEI. In the table, user can see and access various details:

- **Legal Entity Identifier** – LEI of the legal entity (in the case it is assigned)
- **Entity Name** - name of the legal entity for which LEI is requested or is assigned to
- **Business Registry Number** – identification number of the legal entity in the official business register
- **Expiration date** - date when the current LEI request expires (changes upon prolongation)
- **Request status** - status of the user's request
- **Registration status** – registration status of the LEI
- **Action** - list of possible actions that user can do with his request (maintain legal entity reference data, maintain relationship data, report corporate action, report entity dissolution)
- **Activity** – historical overview of activities on related LEI request

Under the **Action** column, user can update legal entity reference or relationship datadata . Submitted updates must be validated by zseLEI Service administrator. User is notified by e-mail if the updates have been approved or rejected.

Under **Report Corporate action** link, user can report specific corporate action being conducted over an entity and must upload additional documents pertaining the corporate action in question. Depending on the corporate action that is being conducted over the entity (actions can be chosen from the dropdown list), user should be able to provide the existing LEI of surviving entity or - if LEI is not available - surviving entity's name.

From the **List of requests** menu, there is also **Report Entity dissolution** option, where user needs to upload legal documents regarding the entity expiration reason.

The date of the entity expiration is also expected to be provided by the user.

7   User data

In the **User data** menu, user is able to change his billing address, contact phone number and change his password if needed. E-mail address change is not possible by the user, but only through the separate request by e-mail to the zseLEI Service administrator and under justified reasons (misspelled e-mail, corporate e-mail change, etc.).
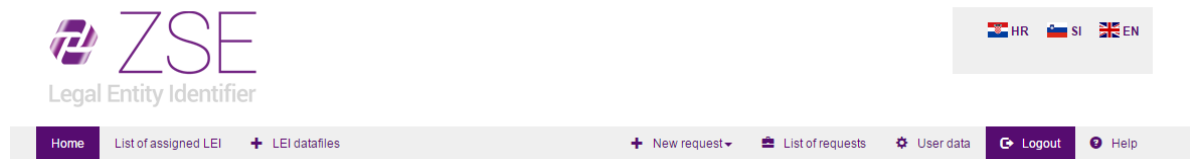

Legal Entity Data is also used as the billing address as all the billing from the LEI requests are sent to the legal entity of the employee.

7.1 Logout

After user has finished his tasks in zseLEI Service it is strongly advised to logout from the application by clicking on the **Logout** button.

As a security measure, user will still be automatically logged out after given period of inactivity (in case the user has unsent requests or changes, he will have to login again to continue his work and start over, as the application doesn't save form data automatically).

7.2 Help

Help menu contains this document. If You need additional instructions, please contact the zseLEI Service administrator.

Images of captured screens in this documents are used only for demonstration purposes and as such – text data irrelevant to the application navigation, usage and legal entity-specific data have therefore been blurred.

In case of additional questions or if You have possible suggestions, please contact us by e-mail at lei@zse.hr.

Also, if You need help with managing or requesting Your LEI data, feel free to contact the zseLEI Service administrator by telephone numbers or e-mails listed under the **Contacts** section.