

How to Obtain a Legal Entity Identifier (LEI)



November 2017

From 3rd January 2018 investors who are deemed to be Legal Entities must have a Legal Entity Identifier (LEI) in order to trade on financial markets or to receive investment services. This document guides you through the process of requesting an LEI from the London Stock Exchange (LSE).

Step 1 - Preparation

Before you start you will need a scanned copy of your Trust Deed to upload as part of the process.

Step 2 – Register with the LSE

- a) Start the process by requesting to register: www2.londonstockexchange.com/register-for-lei
This will take you to the login/registration screen:

- b) Click the 'Register' button

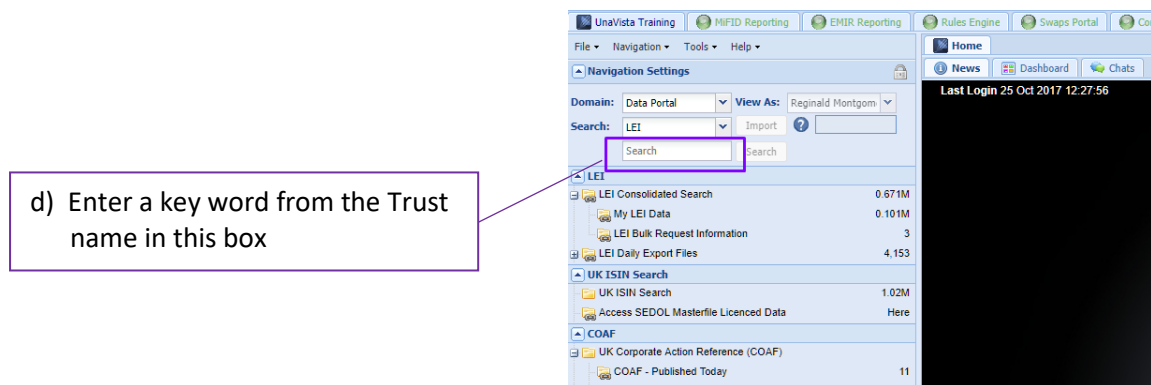
This will bring up the registration screen to be completed, all mandatory fields are indicated in red:

Note that you'll need to tick this box if you don't want to receive marketing materials

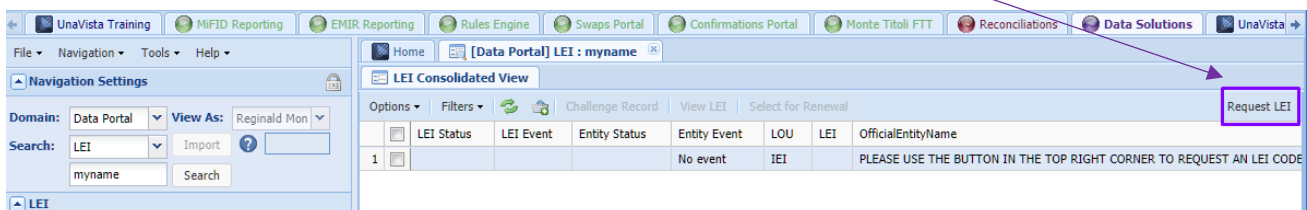
- c) Enter your details on this screen, most of the fields are straightforward but a few may not be obvious:
- | | |
|-----------------------|---|
| Email | This is the primary correspondence email for the Trust and will be used for the annual reminders. |
| Job Title | Trustee |
| Company Name | The name of the Trust |
| Entity Type | Select 'Other' from the drop-down list |
| Subscription Services | You do not need to enter anything in this box |
| Privacy | Note that the second box will need to be ticked if you do not want to receive marketing materials |
- d) Once you have completed this form click the 'Register' box.

Step 3 – Request an LEI

- a) Once you have registered with the LSE an email will be sent to the address entered. This email will give you your login details and a link to go to their login screen.
- b) Click on the link in the email & login. This will prompt you to set a new password and then take you to the welcome screen (this screen looks rather daunting but the request process is simple).
- c) Before submitting a request for an LEI the system forces you to use the search facility to ensure that an LEI does not already exist for your Trust.



- e) The search will return all LEIs for entities which contain the word you searched for. If there is no LEI for your Trust you can now request one using the 'Request LEI' button on the top right hand side of the screen.



- f) The 'Create' screen will now be displayed for you to complete, all mandatory fields are indicated in red. Complete the form as follows:
- | | |
|------------------------------|--|
| Confirm Authorised | Select 'Yes' from drop down box |
| Official Entity Name | Full name of the Trust |
| Entity Category | N/A |
| Legal Formation Country | United Kingdom |
| Legal Form | Select 'TRUST' from the drop-down list |
| Country of Business Registry | United Kingdom |

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Registration Authority	Select 'RA999999-Registry NA (Trust, Sub Fund) - Upload Supporting Documentation' from the drop-down list
Registration Authority Entity ID Document	This can be left blank or you can enter 'DOCUMENT' Click the upload box and select browse to select the scanned Trust Deed from your computer. Once you have selected the document it is not displayed but it has been added.
Headquarters Address Copy Address	Enter the main correspondence address for the Trust Tick this box to automatically enter the same address in the Legal Formation box
Legal Formation Address	Enter the legal formation address for the Trust
Direct Parent Name	Enter 'N/A' here, this will be the 'Exception Reason' field mandatory
Exception Reason	Select 'NON_CONSOLIDATING' from the drop-down list
Ultimate Parent Name	Enter 'N/A' here, this will be the 'Exception Reason' field mandatory
Exception Reason	Select 'NON_CONSOLIDATING' from the drop-down list

g) Once you have completed this form click the 'Create' box.

Step 4 - Payment

Having created your request you will be returned to the home page. You will need to pay for the LEI by credit or debit card. Details on how to do this are in the LSE Group's Legal Entity Identifier (LEI) User Guide Search and Request LEI:



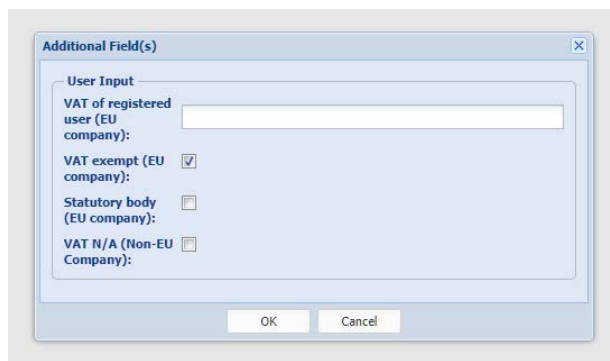
Pay and Submit LEI Request

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

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

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.

On Step 4 – ‘Select VAT option’ select the VAT exempt option:



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

Step 5 – Send us your LEI

The LSE aim to process your request in 1 – 3 working days, you will receive an email containing your LEI. Please let us know your LEI as soon as possible. Thank you.