

Registration Guide

OTC Derivatives Reporting in Canada



DOING BUSINESS

An LEI can only be obtained from entities endorsed by the Global LEI System (“LOU”), such as the Global Markets Entity Identifier Utility (the “GMEI Utility”).

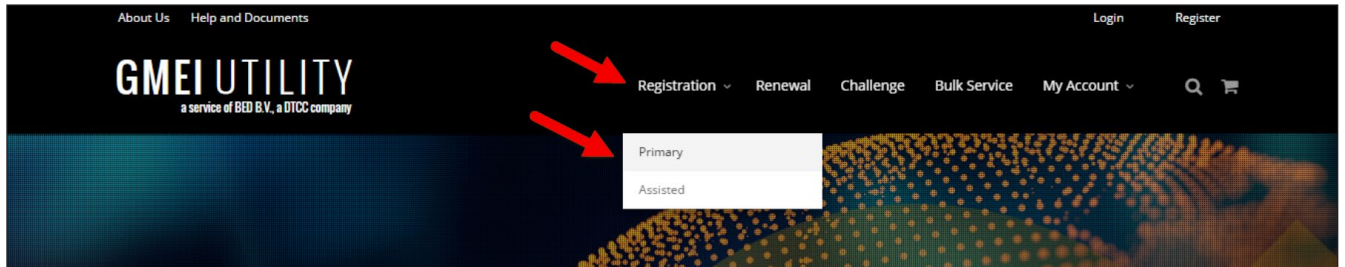
Click on the button that represents your situation.

SUBSCRIBE FOR THE 1ST TIME

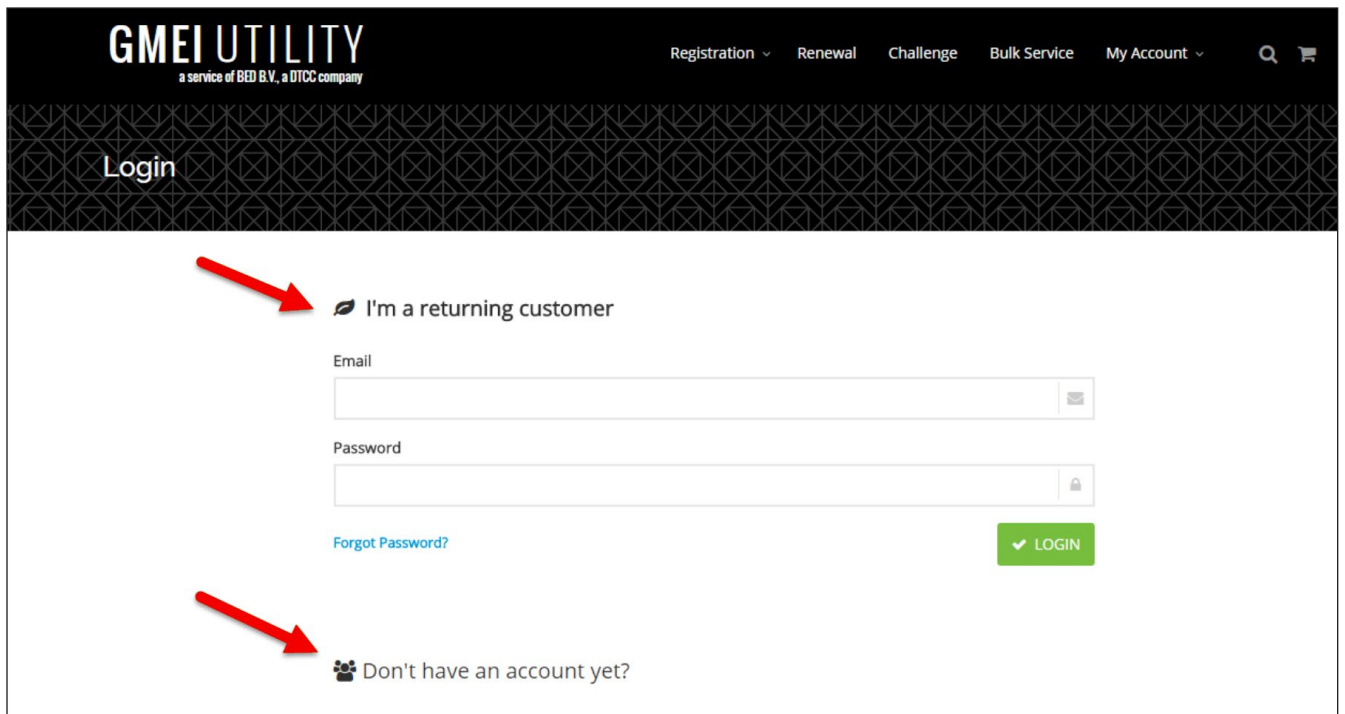
RENEW YOUR LEI NUMBER

New registration

- 1 In your browser's address bar, type www.gmeiutility.org.
(Please note that there is currently no Canadian LOU for purposes of obtaining an LEI).
Select *Registration/Primary*.



- 2 Choose the appropriate option, depending on if you already have a profile (*I'm a returning customer*) or if you must create one (*Don't have an account yet?*).
If you must create a new profile, go to **3**.
If you already have a profile, go to **4**.



- 3 Fill out the required information, read the Website Terms and Conditions of Use and Privacy Policy (be sure to check the box), and then click *Register*.

01.Contact ?

First Name *

Last Name *

Email *

Verify Email *

Group Email Address

02. Security ?

Password *

Verify Password *

Challenge Question *

Challenge Answer *

03.Preferences ?

Country

--- Select ---

Billing Currency

US Dollar (USD)

☐ Check here to indicate that you have read and agree to our [Website Terms and Conditions of Use](#) and [Privacy Policy](#).

✓ Register

4

You must enter the **exact legal name** of the entity you wish to register. Please note that you will not be able to change this information once entered.

Now provide the information requested:

- *Entity Name*
- *Anglicized Name* (only if your Entity Name contains non-Roman characters)
- *Registered Address*
- *Headquarters Address*
- *Business Registry Details*
- *Entity Status*
- *Legal Form*

❖ If you require details on the information requested, click on the blue question mark next to the field.

5

If there are multiple potential duplicates, you will be presented with a list of the matching legal entities. Select *Compare* if you wish to view your entity's profile and that of the potential duplicate.

Entity Status	Record State	Renewal State	Action
ACTIVE	PUBLIC_SOURCES	NOT_CURRENT	Compare

You will be able to review the details of the potential duplicate and determine if it is a true match or not. If it is not, click on *Next*.

6

The section *Level 2 Information* asks you to identify the parent companies, which is the company immediately above your company in the group (Direct Parent) and/or the company at the very top (Ultimate Parent).

NB: Identify only the parent companies that are required to include your company in their consolidated financial statements; if this is not the case, you do not have to identify them. For more details, see the Annex of this document.

There are two sections to fill out: one on the Ultimate Parent (the company highest in the structure) and one on the Direct Parent (the most immediate parent company). If you have only one parent company, it acts as both the Direct Parent and Ultimate Parent, and you must fill out both sections accordingly. The steps are the same for both options; we will go through them here using Direct Parent as the example.

Relationship Information

01. Ultimate Parent

--- Select ---

Opt Out Ultimate Parent

Select an Ultimate Parent

Non-GMEI Parent

Back

Cancel Renewal

02. Direct Parent

--- Select ---

Next

02. Direct Parent

--- Select ---

Opt Out Direct Parent

Select a Direct Parent

Non-GMEI Parent

If you have a direct parent company that includes the entity in its consolidated financial statements and holds an LEI, you must click *Select a Direct Parent*. You can then select it from the window that appears.

NB: If your parent company has obtained an LEI from an issuer other than GMEI, select *Non-GMEI Parent* and provide the information asked for.

Select Direct Parent

The Direct Parent is the lowest level legal entity preparing consolidated financial statements for the child entity.

Each Direct Parent LEI must be a valid, existing LEI code. If the entity does not currently have an LEI assigned, please register the Direct Parent entity prior to registering subsidiary entities.

For all other cases, the choice is *Opt-Out Direct Parent (exemption)* and you must indicate the reason.

02. Direct Parent

Opt Out Direct Parent

Select an Opt Out Reason...

Binding Legal Commitments

Consent Not Obtained

Detriment Not Excluded

Disclosure Detrimental

Legal Obstacles

Natural Persons

No Known Person

No LEI

Non Consolidating

Three Opt-Out examples:

- If the owner(s) is a natural person, you must select *Natural Persons*.

02. Direct Parent

Opt Out Direct Parent

Natural Persons

Next

- If you have a parent company that includes the entity in its consolidated financial statements, but does not hold an LEI, you must select *No LEI*.

02. Direct Parent

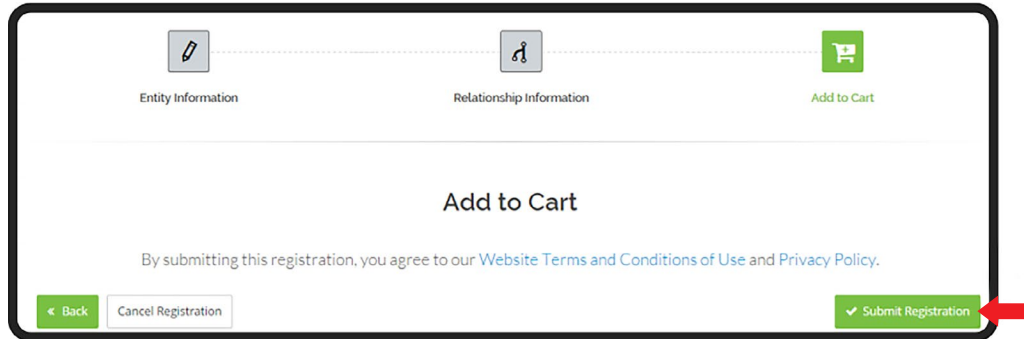
Opt Out Direct Parent

No LEI

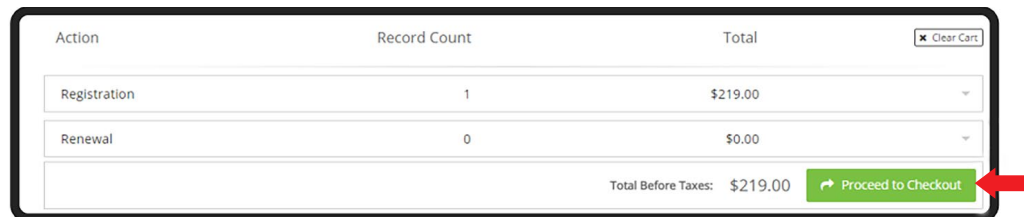
Next

- Finally, if the parent company does not include the entity in its consolidated financial statements, you must select *Non-Consolidating*.

- 7 Add your registration to your shopping cart and then click *Submit Registration* to send it. Please ensure you have read and agreed to the Website Terms and Conditions of Use and Privacy Policy.



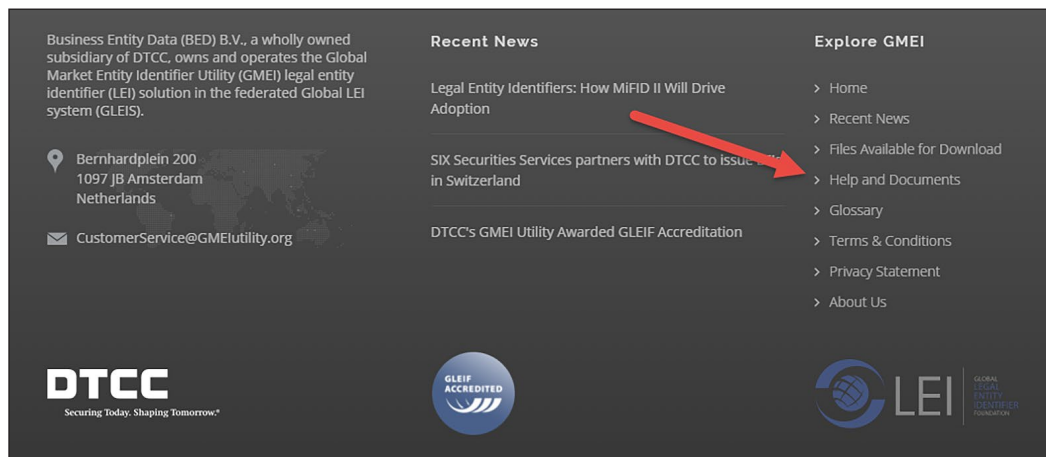
You may continue registering or renewing more entities. If you are finished, select *Proceed to Checkout*.



Action	Record Count	Total
Registration	1	\$219.00
Renewal	0	\$0.00
Total Before Taxes:		\$219.00

- 8 Proceed to payment. Note that all amounts are in US dollars. You will receive an email confirmation containing your unique legal entity identifier (LEI) number within five (5) to ten (10) business days following your entity's registration.

- 9 For more details about the cost of renewing your LEI, go to [GMEI Frequently Asked Questions](#).

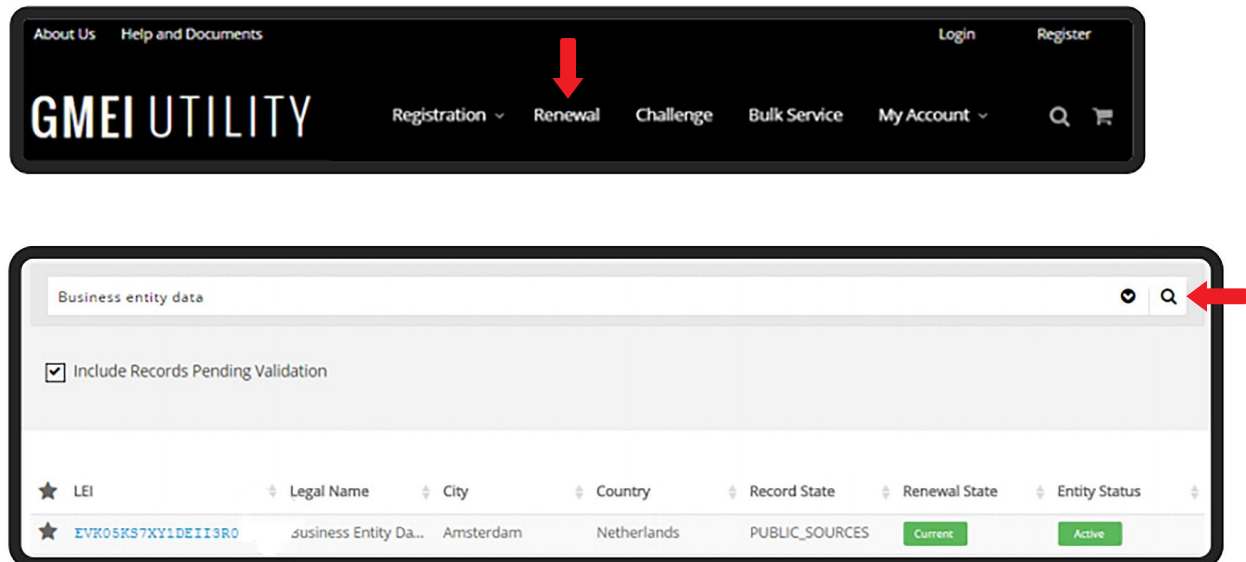


- ❖ For all inquiries, you can write to GMEI Customer Service at customerservice@gmeiutility.org. Members of our staff would also be pleased to assist you at any time regarding your registration.

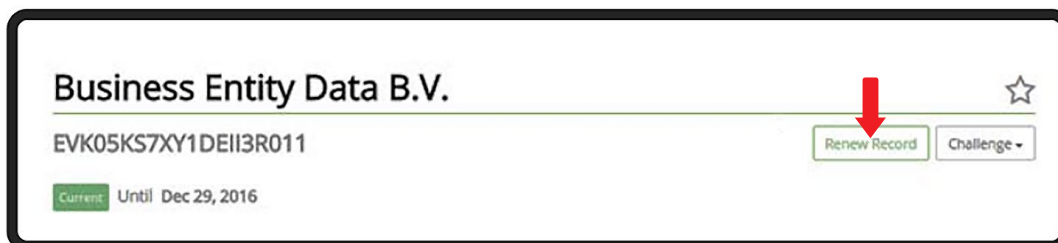
Thank you for choosing National Bank.

Renewal

- 1 Click on *Renewal* at the top of the screen. To find your entity, type in its name or LEI.



- 2 When you have found the correct entity, click on *Renew Record*. To avoid any loss of information, we advise customers to submit their renewal request at least 5 business days before the next renewal date.



3

Select *Renewal* and choose your entity. Review the information that appears and click *Next*.

01. Entity Name

Legal Name *

ASCII Transliterated Legal Name

02. Entity Address

Legal Address

Line One *

Line Two

Line Three

Line Four

Country *

Region *

City *

Postal Code

Headquarters Address

Same as Legal ☐

Line One *

Line Two

Line Three

Line Four

Country *

Region *

City *

Postal Code

03. Entity Information

Registration Authority ID *

Managing LOU *

Entity Status *

Registration Authority Entity ID

Legal Form *

Entity Category

Next



The section *Level 2 Information* asks you to identify the parent companies, which is the company immediately above your company in the group (Direct Parent) and/or the company at the very top (Ultimate Parent).

There are two sections to fill out: one on the Ultimate Parent (the company highest in the structure) and one on the Direct Parent (the most immediate parent company). If you have only one parent company, it acts as both the Direct Parent and Ultimate Parent, and you must fill out both sections accordingly. The steps are the same for both options; we will go through them here using Direct Parent as the example.

Relationship Information

-- Select --		
Opt Out Ultimate Parent		
Select an Ultimate Parent		
Non-GMEI Parent		
Back	Cancel Renewal	

— Select —
Next

— Select —
Opt Out Direct Parent
Select a Direct Parent
Non-GMEI Parent

NB: If your parent company has obtained an LEI from an issuer other than GMEI, select *Non-GMEI Parent* and provide the information asked for.

Select Direct Parent

The Direct Parent is the lowest level legal entity preparing consolidated financial statements for the child entity.

Each Direct Parent LEI must be a valid, existing LEI code. If the entity does not currently have an LEI assigned, please register the Direct Parent entity prior to registering subsidiary entities.

Search for an LEI...

Search

Cancel

For all other cases, the choice is *Opt-Out Direct Parent (exemption)* and you must indicate the reason.

02. Direct Parent

Opt Out Direct Parent

Select an Opt Out Reason...

Binding Legal Commitments

Consent Not Obtained

Detriment Not Excluded

Disclosure Detrimental

Legal Obstacles

Natural Persons

No Known Person

No LEI

Non Consolidating

Three Opt-Out examples:

- If the owner(s) is a natural person, you must select *Natural Persons*.

02. Direct Parent

Opt Out Direct Parent

Natural Persons

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- If you have a parent company that includes the entity in its consolidated financial statements, but does not hold an LEI, you must select *No LEI*.

02. Direct Parent

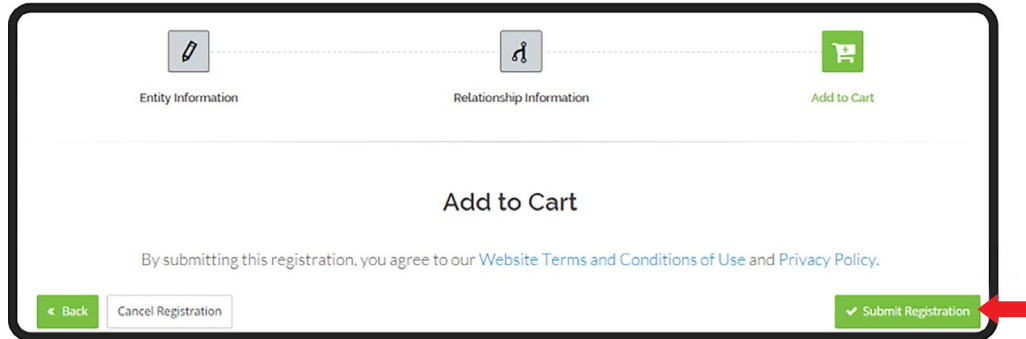
Opt Out Direct Parent

No LEI

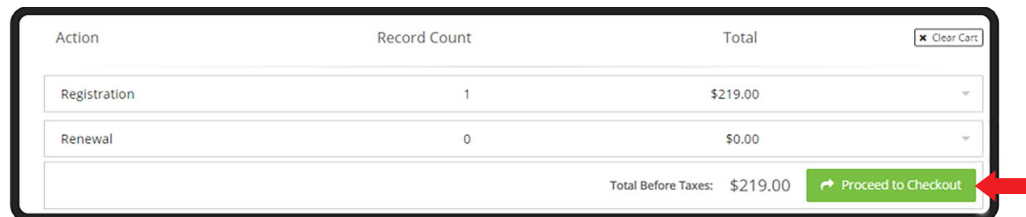
Next

- Finally, if the parent company does not include the entity in its consolidated financial statements, you must select *Non-Consolidating*.

- 5 Add your registration to your shopping cart and then click *Submit Registration* to send it. Please ensure you have read and agreed to the Website Terms and Conditions of Use and Privacy Policy.



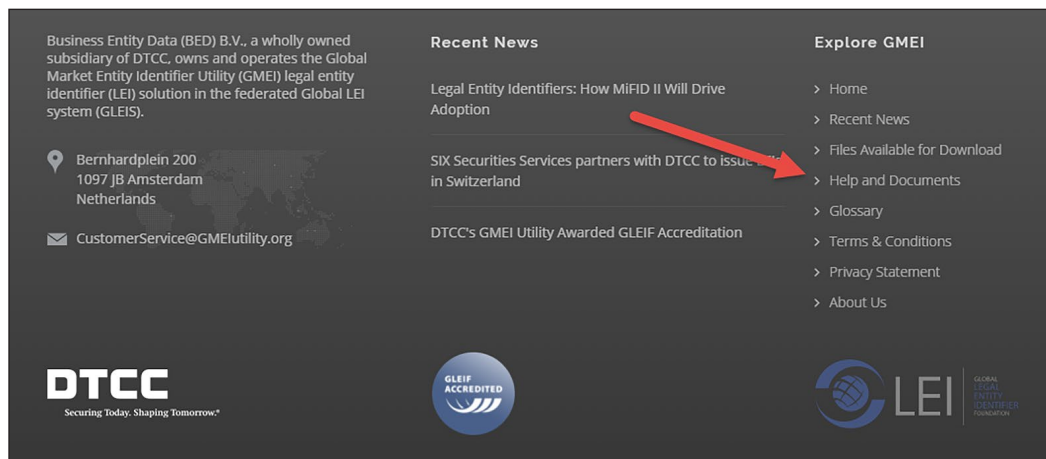
You may continue registering or renewing more entities. If you are finished, select *Proceed to Checkout*.



Action	Record Count	Total
Registration	1	\$219.00
Renewal	0	\$0.00
Total Before Taxes:		\$219.00

- 6 Proceed to checkout as requested; your renewal will be confirmed.

- 7 For more details about the cost of renewing your LEI, go to [GMEI Frequently Asked Questions](#).



Business Entity Data (BED) B.V., a wholly owned subsidiary of DTCC, owns and operates the Global Market Entity Identifier Utility (GMEI) legal entity identifier (LEI) solution in the federated Global LEI system (GLEIS).

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Recent News

- Legal Entity Identifiers: How MIFID II Will Drive Adoption
- SIX Securities Services partners with DTCC to issue LEIs in Switzerland
- DTCC's GMEI Utility Awarded GLEIF Accreditation

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- > Privacy Statement
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DTCC
Securing Today. Shaping Tomorrow.™

GLEIF
ACCREDITED

LEI
GLOBAL
LEGAL
ENTITY
IDENTIFIER
FOUNDATION

- ❖ For all inquiries, you can write to GMEI Customer Service at customerservice@gmeiutility.org. Members of our staff would also be pleased to assist you at any time regarding your registration.

Thank you for choosing National Bank.

Trading and Reporting of OTC Derivatives



DOING BUSINESS

GMEI Utility – Level 2 data will be required starting May 1, 2017

› Summary

Currently the GMEI utility has been collecting Level 1 data for entities during the registration and renewal process. Level 1 data provides the answer to the question of “who is who” and includes the legal name of the entity, registered address and country of formation. Starting on May 1, 2017, GMEI utility will collect Level 2 data for every registration and renewal of Legal Entity Identifiers (“LEI”). Level 2 data provides the answer to the question of “who owns whom” and will allow for the identification of the direct and ultimate parents of a legal entity and vice versa. Clients who currently have an LEI will need to update their information when renewing their LEI. Level 2 data will be freely available for public authorities and market participants.

› Definitions

The “Ultimate Parent” and “Direct Parent” relationship is based on the **accounting** relationship rather than on the percentage ownership. The Ultimate Parent is the highest level legal entity preparing consolidated financial statements for the child entity. The Direct Parent is the lowest level entity preparing consolidated financial statements for the child entity. The child entity is expected to report the relationships with its parents.

The following relationships are not included in this phase for the collection of Level 2 data: joint ventures and other joint arrangements, investors having a “significant influence” in an entity (generally investments of more than 20% and less than 50% of the voting common stock or equity), structured entities and branches of an entity.

› Registration and Renewal

Distinct procedures apply for Direct and Ultimate Parents with or without an LEI. A child entity must disclose the LEI of its Direct and Ultimate Parents. In the case where the Direct and Ultimate Parents do not have an LEI, the child entity must disclose their information which includes legal name, legal address, headquarter address and business registration information.

In certain situations, an entity may not be able to report the parental relationship. An entity may opt out of reporting a relationship for certain reasons, including:

- i) the legal entity is not subject to preparing consolidated financial statements;
- ii) legal obstacles of a jurisdiction or contractual commitments prevent providing this information;
- iii) permission was not granted by the parent entity to provide or publish this information;
- iv) the publication of this information and disclosure of the information would be detrimental to the legal entity or the relevant parent.

For more information, visit www.gmeiutility.org.