



Application Procedures for Legal Entity Identifier (LEI)

Tokyo Stock Exchange, Inc.
February 26, 2020

Introduction

- This material explains how to apply for LEI and the required documents needed.
- The application can be made from a [web-connected PC](#).
- Required documents for the application:

- Business Registration Form
- LEI Application Form
- Power of Attorney (when applying as an agent for another entity)

- You can check if your LEI has been registered or not on the Global Legal Entity Identifier Foundation (GLEIF) website. Click on <https://search.gleif.org/#/search/> and enter your entity name (or previous entity name if it has been changed) in the search box in the center of the page. If you already have an LEI, the search result will show your entity name, LEI code, etc.
- If you do not have an LEI, the result will show as “Showing 0 results”.

Introduction

- Countries of entities and funds that JPX/TSE can allocate an LEI to
 - Please note that countries of entities and funds that JPX/TSE can allocate an LEI to are as follows (Listed in alphabetical order as of February 2020):

[Asia]

Hong Kong, Japan, Singapore, Taiwan, Thailand, United Arab Emirates

[Europe]

Ireland, Netherlands, United Kingdom

[North America/Caribbean]

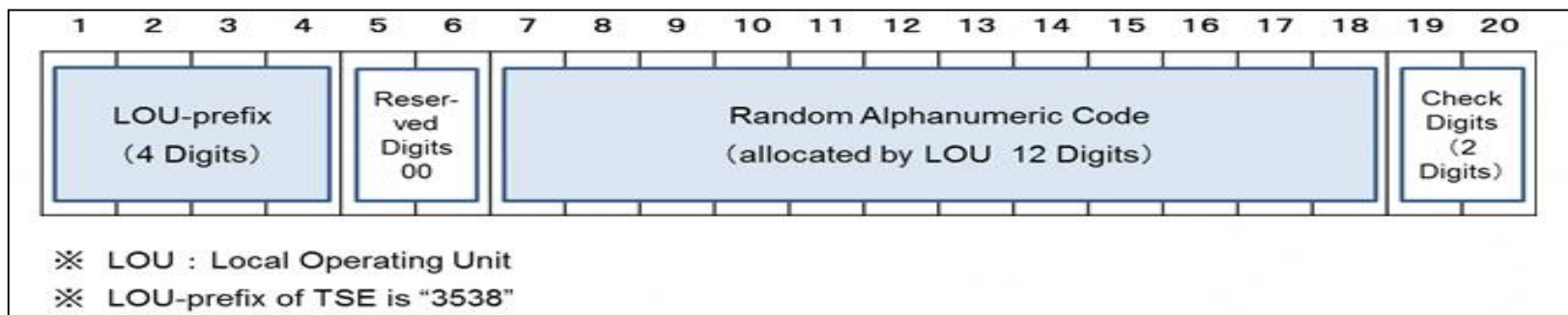
Cayman Islands, United States, British Virgin Islands

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1. About LEI

- The LEI is an international code to identify the party, such as an entity or a fund, that carries out financial transactions (hereinafter referred to as “entity”). This code is allocated by a local operating unit (LOU) (Japan Exchange Group, Inc./Tokyo Stock Exchange, Inc. (JPX/TSE) are the LOU for Japan) based on an entity’s application.
- The LEI is not only used by authorities to assess actual financial transactions, but also in private sectors to streamline operations in trade, and middle and back offices and to reduce the time spent with customers. It is also used in digital spaces.
- The LEI is a 20-character, alpha-numeric code based on an [ISO standard](#).



2. Outline of Application Procedure

- Application procedure

- Creating an applicant account



- Prepare application forms



- Enter data on the application screen (The data will be checked by JPX/TSE.)



- Registration of an LEI (3 p.m. on the processing date (JST))

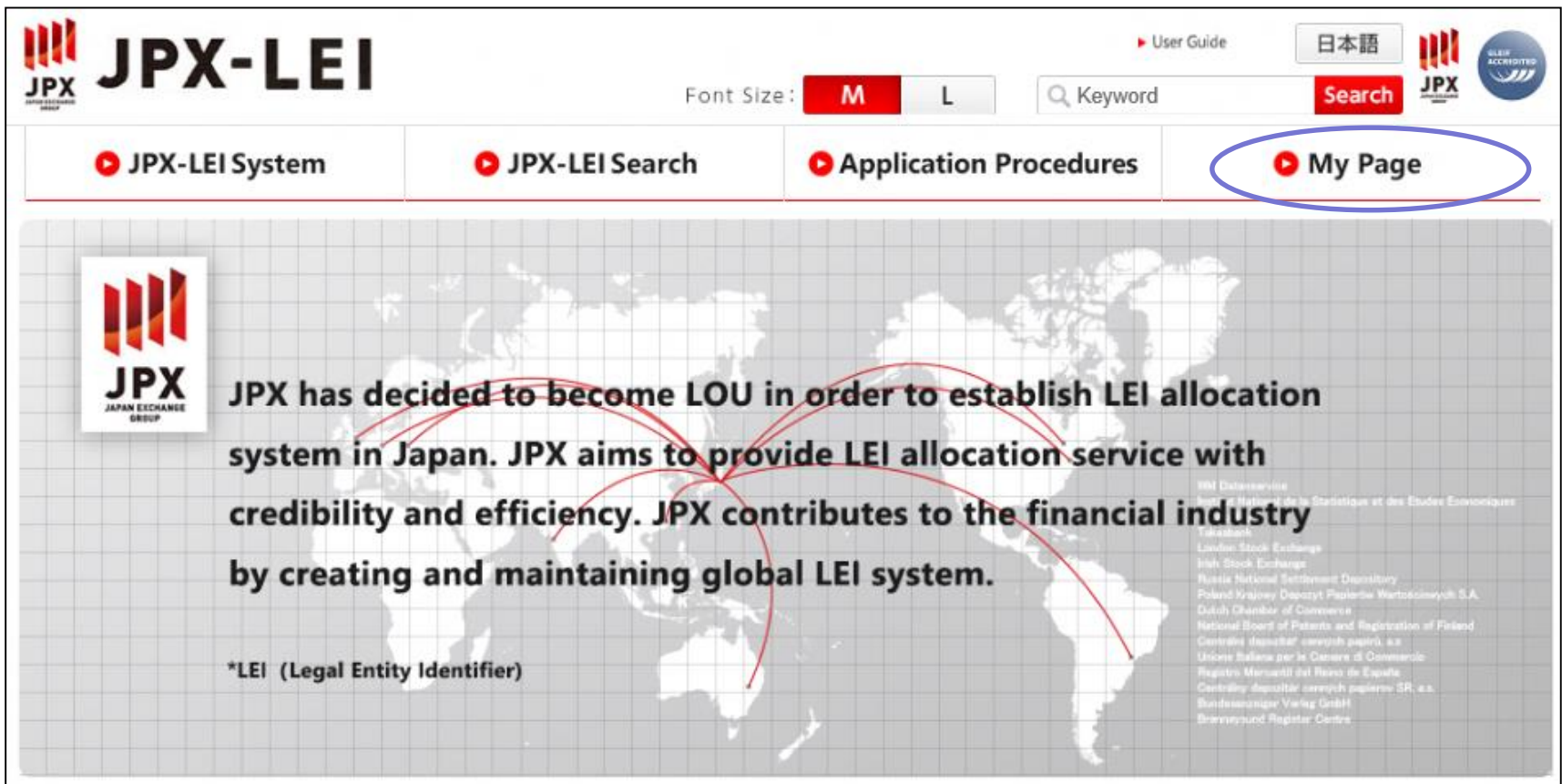
- LEI Fees

Fees	Description	Price
LEI Allocation Fee	New registration (one year)	JPY 7,000
Annual Renewal Fee	Annual renewal (after one year)	JPY 5,400

3-1. Application Procedure (Creating an Account - 1)

■ Creating an Application Account

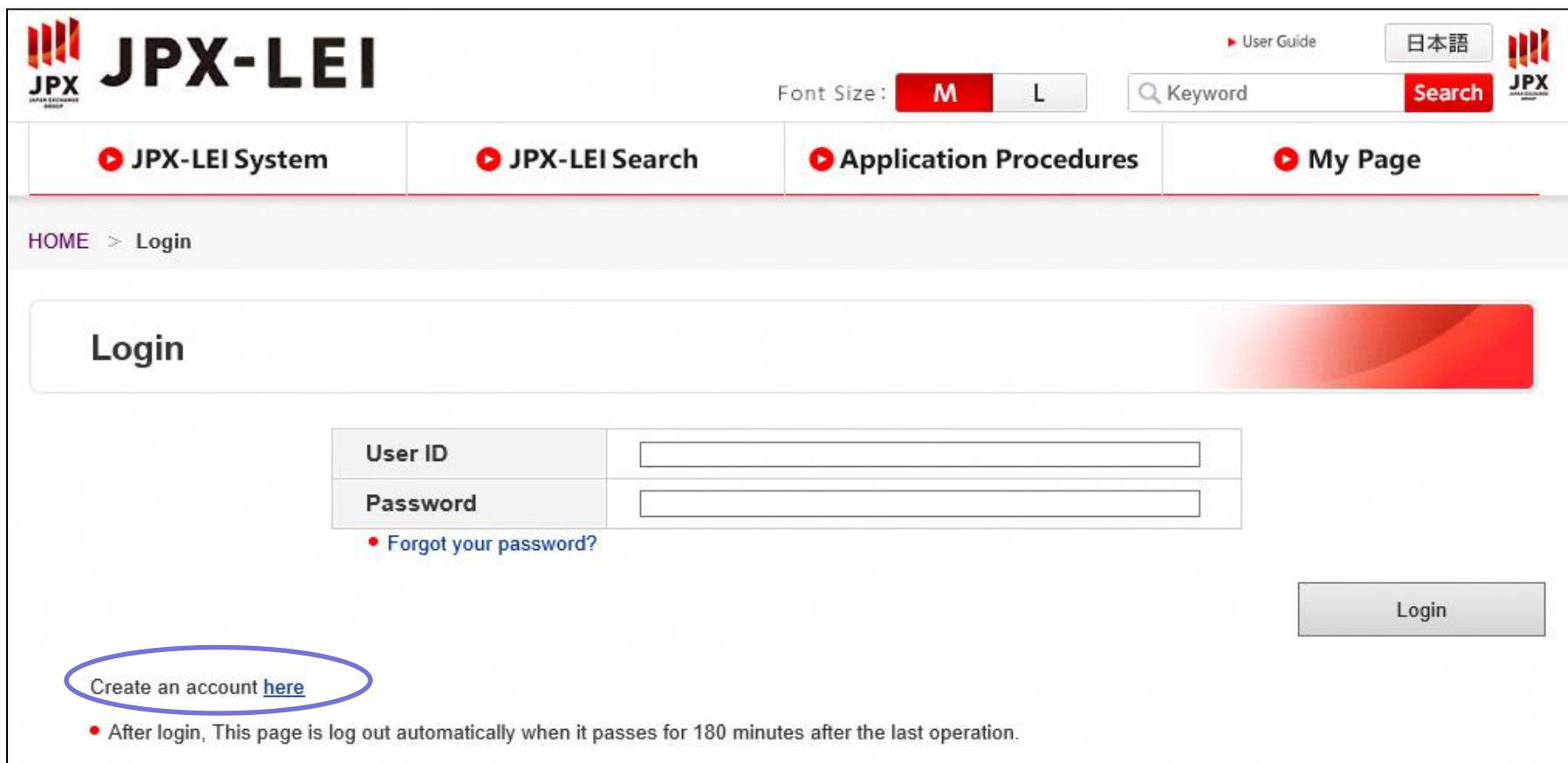
- Access the following JPX-LEI portal site link from a web-connected PC:
<https://www.lei.jpx.co.jp/lei/en/index.html>
- Click on “My Page” as shown on the screen below.



The screenshot shows the JPX-LEI portal website. The header includes the JPX-LEI logo, a 'User Guide' link, a language selector for '日本語', a font size selector set to 'M', a search bar with the text 'Keyword', and a 'Search' button. Below the header is a navigation menu with four items: 'JPX-LEI System', 'JPX-LEI Search', 'Application Procedures', and 'My Page'. The 'My Page' item is circled in blue. The main content area features a world map background with the text: 'JPX has decided to become LOU in order to establish LEI allocation system in Japan. JPX aims to provide LEI allocation service with credibility and efficiency. JPX contributes to the financial industry by creating and maintaining global LEI system.' To the right of this text is a list of international organizations, including the IWI Database, Istat, London Stock Exchange, and others. A small JPX logo is on the left side of the main content area.

3-1. Application Procedure (Creating an Account - 2)

- Display of the create an account screen
 - Click on “Create an account here”.



JPX-LEI

User Guide 日本語

Font Size: M L

Keyword Search

JPX

JPX-LEI System JPX-LEI Search Application Procedures My Page

HOME > Login

Login

User ID	<input type="text"/>
Password	<input type="password"/>

• [Forgot your password?](#)

Login

Create an account [here](#)

• After login, This page is log out automatically when it passes for 180 minutes after the last operation.

3-1. Application Procedure (Creating an Account - 3)

- Enter required information to create an account
 - Fill in all fields on the following screen and then click on “Register”.
 - It is recommended to register an email address that automatically forwards messages to multiple addresses such as your department’s **group email address**.
 - We will use the registered address to send information.

Input of account information

Name of the person in charge	<input type="text"/>
Phone number	<input type="text"/>
E-mail address	<input type="text"/>
Use language	Japanese ▼
User ID (At least 8 characters)	<input type="text"/>
Password (6 or more Uppercase and Lowercase characters alphanumeric)	<input type="text"/>
Password(Confirmation)	<input type="text"/>
<input type="text"/> Please enter the characters on the left	<input type="text"/>
Accept our terms of use	<input type="checkbox"/> I agree

Click [here](#) for terms and conditions.

Register

3-1. Application Procedure (Creating an Account - 4)

■ Completion of Account Registration

- Your registered email address will receive a notification of your temporary completion of registration.
- Click on the URL link in the body of the email message to complete registration of your account.
- Log in to My Page to confirm your registration data.

JPX
JAPAN EXCHANGE GROUP

JPX has decided to become LOU in order to establish LEI allocation system in Japan. JPX aims to provide LEI allocation service with credibility and efficiency. JPX contributes to the financial industry by creating and maintaining global LEI system.

WM Datenservice
Eurostat - Institut National de Statistique et des Etudes Economiques
London Stock Exchange
Irish Stock Exchange
Russia National Settlement Depository
Poland National Depository Papierów Wartościowych S.A.
Dutch Chamber of Commerce
National Board of Patents and Registration of Finland
Centralni depozitar slovenskih papirov, a.s.
Unione Italiana per la Camera di Commercio
Registro Mercantile del Tribunale di Genova
Centralni depozitar slovenskih papirov SR, a.s.
Bundesanzeiger Verlag GmbH
Brownsysund Register Centre

*LEI (Legal Entity Identifier)

Login
Login my page is here.

Create New Account
Create New Account is here.

News [▶ more](#)

2019/8/8 [Reduced LEI Fee](#)

2017/10/3 [Reducing LEI Allocation Fee](#)

3-2. Application Procedure (Preparing the Application - 1)

- Documents required for application
 - Prepare “LEI Application Form” and “Business Registration Form”.
 - Prepare a “Power of Attorney” when applying as an agent for another entity.
 - Submit the above documents in PDF format from a web-connected PC. You do not need to send us the original forms.

- Business Registration Form
 - Submit documents that confirm the official entity name, address, and the representative’s name and title .
 - If the information on the documents is up to date, then there is no restriction set for the date of the documents.
 - Scan the Business Registration Form to create a PDF document.
 - To reduce the PDF file size, the file may be created in black and white with a lower resolution, and unnecessary pages deleted.

3-2. Application Procedure (Preparing the Application - 2)

■ LEI Application Form

- The form in Word format is posted on the following address:

<https://www.lei.jpx.co.jp/lei/en/application1.html>

Fill in the information along with a signature of the representative.

To Tokyo Stock Exchange, Inc.
Address:
Entity Name:
Position of Representative:
Name of Representative: _
Signature:
<p style="text-align: center;">Application Form for LEI</p>
<p>I, hereby, apply for JPX-LEI for the following entity and assure to comply with Operational Processes of LEI Allocation.</p>
<p>The following entity has not been allocated LEI by Tokyo Stock Exchange or other Local Operating Unit.</p>
Date
(Applicant Entity)
Entity Name* :
Name of Representative* :

3-3. Application Procedure (Data Entry on Application Screen - 1)

■ Display of application screen

- Login to My Page and then click on “Application for JPX-LEI”.

The screenshot displays the JPX-LEI website's 'My Page' interface. At the top left is the JPX-LEI logo. To the right are links for 'Logout' and 'User Guide', a language selector set to '日本語', and a font size selector with 'M' selected. A search bar with 'Keyword' and a 'Search' button is also present. Below the header is a navigation menu with four items: 'JPX-LEI System', 'JPX-LEI Search', 'Application Procedures', and 'My Page'. The breadcrumb trail shows 'HOME > My Page Top'. The main content area is titled 'My Page Top' and contains four panels: 'My JPX-LEI (Pending Validation)' with the subtext 'Check your application'; 'My JPX-LEI (Registered)' with the subtext 'Check your registered LEI, Application for Expiration / Suspension, Change registered information'; 'Application for JPX-LEI' with the subtext 'New Application, Application for transfer' (this panel is circled in blue); and 'Change your Account' with the subtext 'Change your Account information'.

3-3. Application Procedure (Data Entry on Application Screen - 2)

Data entry on the application screen

- Enter data in required fields (with an asterisk mark (*)).

The screenshot displays the JPX-LEI application interface. At the top left is the JPX-LEI logo. To the right are links for 'Logout', 'User Guide', and a language selector set to '日本語'. A font size selector is set to 'M', and a search bar contains the text 'Keyword' with a 'Search' button. Below the header is a navigation menu with four items: 'JPX-LEI System', 'JPX-LEI Search', 'Application Procedures', and 'My Page'. The main content area shows a breadcrumb trail 'HOME > JPX-LEI Application' and a large red banner with the text 'JPX-LEI Application'. Below the banner is a note: '"Change application for registration information is available upon request from [here](#)."' A section titled 'Open data' contains a form with the following fields: 'Division *' with radio buttons for 'New application' (selected) and 'Transfer application'; 'Preferred Processing Date *' with an empty date input field; a 'Note' section with three instructions; 'Entity Name *' with an empty text input field; and 'Other Entity Names1 *' with an empty text input field.

JPX-LEI

Logout User Guide 日本語

Font Size: M L

Keyword Search

JPX-LEI System JPX-LEI Search Application Procedures My Page

HOME > JPX-LEI Application

JPX-LEI Application

"Change application for registration information is available upon request from [here](#)."

Open data

Division * New application Transfer application

Preferred Processing Date *

Note:

- 1) Select a date after five business days from today.
- 2) You can not select Saturday, Sunday and National Holiday.
- 3) Please be aware that we can not complete your request exactly on the selected date in the case of deficiencies.

Entity Name *

Other Entity Names1 *

3-3. Application Procedure (Data Entry on Application Screen - 3)

■ Notes for entering data (1 of 2)

Items	Notes
Preferred Processing Date	A weekday (limited to business days) can be chosen that is at least five business days after the date of application.
Entity Name	Refer to the Business Registration Form for entering the data.
Other Entity Names ¹	If the Entity Name is in English, enter the same data as in the Entity Name. If the Entity Name is not in English, enter the official name in English.
Legal Form	Enter your legal entity form.
Entity Category	No input required.
Legal Address	Refer to the Business Registration Form for entering the data.

3-3. Application Procedure (Data Entry on Application Screen - 4)

- Notes for entering data (2 of 2)

Items	Notes
Other Headquarters Address	Click on the Copy from Legal button to copy the data of Legal Address, if necessary.
Entity ID	Refer to the Business Registration Form for entering the data.
Ultimate Parent, Direct Parent	Refer to the following page.
Closed data (Applicant data)	Enter the information on Applicant Entity, Manager, Staff, and Invoice Entity.

3-3. Application Procedure (Data Entry on Application Screen - 5)

■ Entering Information on Parent Company

- Follow the steps below to enter the parent company's information. Should you have any questions, please contact us.

Q1. Is there any accounting consolidating parent(s)?

If Yes, go to Q2.

If No, select "NO KNOWN PERSON" for Exception Reason.

Q2. Are there subsidiaries listed in the consolidated financial statements prepared by the parent company?

If Yes, go to Q3.

If No, select "NO CONSOLIDATING" for Exception Reason.

Q3. Is there just one parent company?

If Yes, enter information for Ultimate Parent (Select "Same as Ultimate Parent" for Direct Parent).

If No, enter information for Ultimate Parent and Direct Parent.

Q4. Does your parent company have an LEI?

If Yes, select "Parent with an LEI" and enter the necessary information.

If No, select "Parent without an LEI" and enter the necessary information.

* Please attach consolidated financial statements, etc. made by the parent company to verify the parent-subsidary relationship. A certified copy of registration of the parent company is not required.

3-3. Application Procedure (Data Entry on Application Screen - 6)

■ Attaching Forms

- Combine the Business Registration Form and LEI Application Form (including Power of Attorney if applying as an agent) into a ZIP file and attach it.

Manager	Manager Position *	<input type="text"/>
	Manager Name *	<input type="text"/>
	Phone Number *	<input type="text"/>
	Manager E-mail Address *	<input type="text"/>
Staff	Staff Position *	<input type="text"/>
	Staff Name *	<input type="text"/>
	Phone Number *	<input type="text"/>
	Staff E-mail Address *	<input type="text"/>
Invoice Entity	Entity *	<input type="text"/>
	Address *	<input type="text"/>
	Division *	<input type="text"/>
	Staff Name *	<input type="text"/>
	Phone Number *	<input type="text"/>
	Staff E-mail Address *	<input type="text"/>
Attached file *	<input type="text"/> 参照...	

3-3. Application Procedure (Data Entry on Application Screen - 7)

■ Submission

- After entering the required information and attaching the documents, click on the “Register” button.
- A confirmation screen will be displayed. Confirm that the information is correct and click on the “Register” button.
- This completes the application procedure. We may contact you if any corrections or additional confirmation is required.

■ Notification of allocated LEI code

- A notification will be sent to the email address linked to a login account at 3 p.m. (JST) on the processing date.
- The allocated code can be found on the JPX-LEI site as follows:
<https://www.lei.jpjx.co.jp/lei/en/search.html>

4. FAQ - 1

■ Q1: I have submitted the application. When will an LEI code be allocated?

- A1: JPX/TSE, as a general rule, allocates an LEI code in five business days. (If there is any missing information in the submitted documents, the allocation of the LEI may be delayed. Please apply well in advance.)

■ Q2: The Business Registration Form PDF is too large to be attached.

- A2: When converting documents to PDF, the file size can be reduced by changing settings to (a) black and white, (b) lower resolution, and (c) removing unnecessary pages.

■ Q3: What is the payment schedule for the LEI Allocation Fee?

- A3: An invoice will be sent by postal mail at the beginning of the month following the month an LEI was allocated.
- [Example] If an LEI is allocated in April 2020, an invoice will be sent in early May 2020. The payment deadline will be at the end of June 2020.

* Please note that the bank transfer fee shall be borne by the applicant.

4. FAQ - 2

■ Q4: How do I renew my LEI? When do I pay the annual renewal fee?

- A4: Example of a case where the renewal date is April 15, 2021. (renewal month: April 2021)
- An email will be sent on February 1, 2021 (on the first day two months before the renewal month) to inform you that the renewal date is approaching.
- An invoice will be sent by postal mail in mid-February 2021 (in the middle of the first of two months before the renewal month). The payment due date shall be at the end of March 2021.
- If you do not wish to renew your LEI, applications for termination or suspension must be made via My Page by the end of March 2021 (by the last business day of the month preceding the month of the next renewal date or five business days before the next renewal date, whichever is earlier). If there is no application for termination or suspension, data shall be renewed automatically.

Contact: LEI Desk, Information Services, Tokyo Stock Exchange, Inc.
Phone: +81-50-3377-7830 (direct) Email: lei@jpx.co.jp

Disclaimer

- This document is to provide information on the LEI system as of the date made. The information in this document may change due to factors such as revisions to the system without any prior notice. While every effort has been made to ensure the accuracy of information in this document, we shall not be liable for any costs or damages arising from the use of this document and the information obtained from this document.
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