

Requesting a Pre-LEI code from GMEI Utility

User guide

The Pre-LEI (Pre Legal Entity Identifier) code is a legal identity identifier customer ID used in the financial market. International organisations work together on creating a central, permanent LEI code service provider (GLEIS). Currently, until the permanent LEI service provider is created, Pre-LEI codes may be requested from a Pre-LOU (Pre Local Operating Unit) service provider, which fully satisfy the requirements under the reporting obligation. The Pre-LEI codes will be converted once the final LEI system is deployed.

The completion of the reporting obligation on derivative transactions is conditional on your Company having a Pre-LEI code.

UniCredit Bank Hungary Zrt applied for its Pre-LEI code from GMEI Utility (earlier CICI Utility). Below is a short summary of the key information about requesting the GMEI Utility LEI code. This guide is based on the user manual on the GMEI Utility website.

We hereby inform you that the GMEI Utility Guide is, of course, not a recommendation by the Bank to enter into contract with that service provider, nor we wish to rate the GMEI Utility service provider or express our preference over other Pre-LOU service providers. Some service providers may use lower fees or a simpler application process. The only purpose of this Guide is to assist customers in their request for a Pre-LEI that can be used by our customers at their discretion.

The up-to-date list of the Pre-LOU service providers already registered by ESMA can be found here: www.leiroc.org/publications/gls/lou_20131003_2.pdf

Service fees	USD
Registration (requesting LEI)	200
Annual renewal	100
Data change	Free of charges

1. Registration, creating new account

Select “Create New Account” at the GMEI Utility (previously known as CICI Utility) website (www.ciciutility.org).

The screenshot displays the CICI Utility website interface. At the top, there is a navigation bar with the CICI UTILITY logo and links for Login and Create New Account. A red arrow points to the 'Create New Account' link. Below the navigation bar, the main content area is titled 'CFTC Interim Compliant Identifier (CICI) Utility'. It provides information about the CICI Utility's purpose and the ISO 17442 standard. A list of functions is provided, including searching, registering, maintaining, and challenging records. Below this, the 'Create New User Account' form is shown. The form includes fields for Name (First Name, Last Name), Login Credentials (Email Address, Verify Email Address, Password, Verify Password), Challenge Info (Challenge Question, Challenge Answer), and Other Info (Country, Group Email Address). A checkbox for 'By selecting this box, you agree to our Website Terms and Conditions of Use' is present. At the bottom, there is a CAPTCHA image and a 'Submit' button.

CICI UTILITY

Home Search Register an Entity Maintain & Challenge

CFTC Interim Compliant Identifier (CICI) Utility

The CICI Utility supports the CFTC's named identifier, the CFTC Interim Compliant Identifier (CICI). The CFTC's final swap data and recordkeeping rule, known as Part 45, requires swap counterparties to be identified by a CICI. The CICI Utility has been designated by the CFTC as the sole provider of the CFTC Interim Compliant Identifiers.

The CICI Utility issues identifiers conforming to the ISO 17442 standard. Therefore, this Utility has been built with the capabilities necessary to support a global Legal Entity Identifier (LEI) solution and is prepared to issue identifiers for other regulators as rulemaking is finalized.

The CICI Utility offers access to the following functions:

- If you are interested in reviewing existing registered records, you can search the database by selecting [Search](#). Customizable filtering criteria can be applied to make your search results more relevant to your interests. Users are able to search the full CICI staging database as well as limit their search to only those records that appear in the CICI database that are mutually accepted by global regulators.
- If you are looking to register an entity that you are affiliated with, you can do so by selecting [Register](#). Your self-registered entity will be visible on the CICI Utility staging database immediately after registration is completed and will have a Maintenance State set to "Current".
- If you are a financial institution interested in registering your client or another party, after receiving their explicit permission to do so, you can select Register to begin the process. Your registered entity will be visible on the CICI Utility staging database immediately after registration is completed and will have a Maintenance State set to "Current". You agree to instruct your client of their obligation to annually reconfirm the record in the future.
- If your firm has already been registered, you can Maintain the record on an annual basis by selecting [Maintain and Challenge](#). This allows you to receive notifications regarding the record, and will allow you to supply updated information at the time of Maintenance.
- If you believe that an existing registered record contains inaccurate information, the CICI Utility would like your input. You can challenge the data associated with a record by selecting [Maintain and Challenge](#).

Create New User Account

Complete this form to create a new account. Upon completion, an email will be sent to the provided email account for verification. You will need to follow the link in the email prior to logging in to the CICI Utility Portal. After logging in, you will then be able to register, certify, and challenge records, as well as download the CICI Utility database files.

Please supply all the information below. Fields marked with * are required.

Name

*First Name ?

*Last Name ?

Login Credentials

*Email Address ?

*Verify Email Address ?

*Password ?

*Verify Password ?

Challenge Info

*Challenge Question ?

*Challenge Answer ?

Other Info

Country ?

Group Email Address ?

☐ *By selecting this box, you agree to our [Website Terms and Conditions of Use](#).

415.)

Type two words:

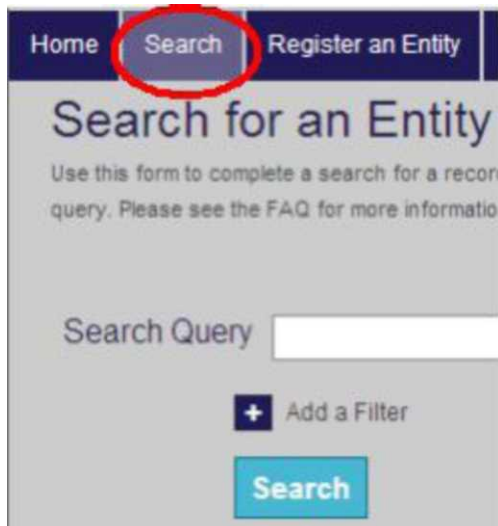
Submit

- Complete the fields (The fields marked with asterisk are required)
- Accept the 'Terms and Conditions'
- Once you click 'Submit', you will receive an email from no-reply@ciciutility.org to confirm your email address.
- If you do not get the confirmation email, please check your Spam filter.

2. Checking for duplicates

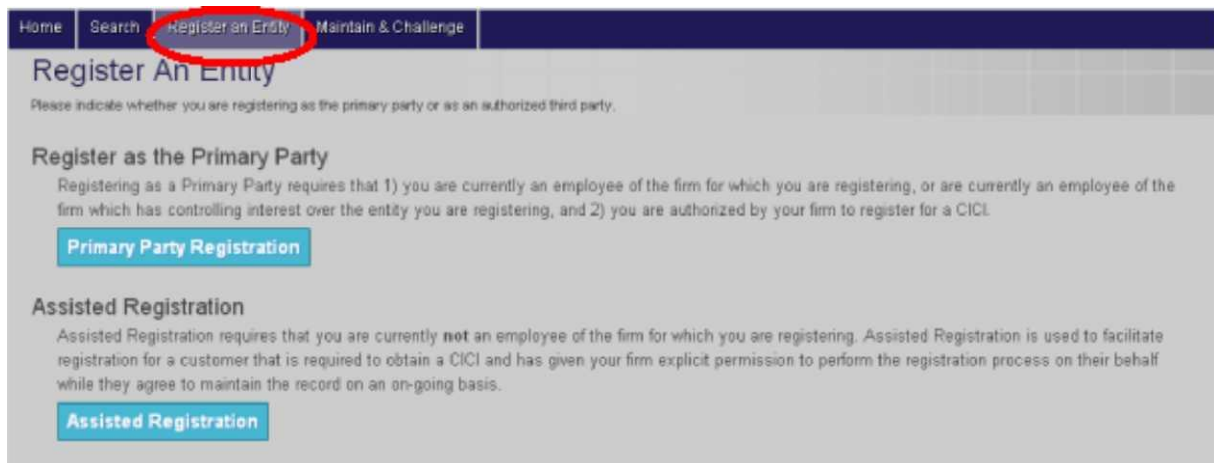
Prior to registering an entity, make sure you check whether the specific entity is already listed in the database.

- Log in
- Use the Search function to check if the specific entity is already registered in the system.
 - o If the entity is already listed in the database, you need to use its code.
 - o If the data under the entity located in the database are not correct, please contact us at customerservice@ciciutility.org.



3. Registering an entity

- Select the 'Register an Entity' menu.
 - o If you are currently an employee of or a person authorised by the organisation you wish to register, please select the 'Primary Party Registration Option' menu.
 - o If you are not related to the specific organisation select 'Assisted Party Registration'.



Registered Entity Name		*Legal Name	<input type="text"/>	?
		Anglicized Legal Name	<input type="text"/>	?

Registered Entity Address <small>(Address of Legal Formation)</small>		*Address Line 1	<input type="text"/>	?
		Address Line 2	<input type="text"/>	
		Address Line 3	<input type="text"/>	
		Address Line 4	<input type="text"/>	
		*Country	Select a Value...	?
		State	<input type="text"/>	?
		*City	<input type="text"/>	?
		Post Code	<input type="text"/>	?

Headquarters Address <small>Registrant input for disabled fields will be possible once guidance is provided by the Committee on Evaluation and Standards.</small>		Address Line 1	<input type="text"/>	
		Address Line 2	<input type="text"/>	
		Address Line 3	<input type="text"/>	
		Address Line 4	<input type="text"/>	
		Country	<input type="text"/>	
		State	<input type="text"/>	
		City	<input type="text"/>	
		Post Code	<input type="text"/>	

Entity Information <small>Registrant input for disabled fields will be possible once guidance is provided by the Committee on Evaluation and Standards.</small>		Business Registry Information <small>(Where Available and Legally Permissible)</small>		
		Business Registry	<input type="text"/>	
		Business Registry Number	<input type="text"/>	
		Other Entity Information		
		Date of Expiry	<input type="text"/>	
		Reason of Expiry	<input type="text"/>	
		*Entity Status	ACTIVE	?
		*Legal Form	Select a Value...	?
		Add Ultimate Parent		

☐ *By selecting this box, you agree to our [Website Terms and Conditions of Use](#).

Save and Check for Duplicates

- Complete the form with the legal name, the registered address, the address of the headquarters, the status and the legal form of the entity. For the registered address, please enter the address in the certificate of incorporation.
- When applying for a LEI code, you need to enter the address (registered seat) of the company, not its site.
- Accept the 'Terms and Conditions'
- Click 'Save and Check for Duplicates'
- If you wish to enter the LEI code of the parent company, click 'Add Ultimate Parent' in the bottom right corner of the form.

4. Potential duplicates

- The system displays potential duplicates in a list. Please review the entire list. If your company is listed as a registered entity, please do not continue the registration process.
- For more details, click 'View Details' or 'Compare Records' at the end of the lines in the list.

Potential Duplicate Records Found								
Below are records that may be duplicates of the entity you are attempting to register. Before completing your registration, please review the following records and click on the View Record and Compare Record links adjacent to each record for more information. The possible duplicates are presented in order of relevancy, with the most likely matches listed towards the top of the result table. These matches may be records that are currently being managed by another Local Operating Unit (LOU).								
If you do not locate an existing duplicate record, please click the Add to Pending Actions button at the bottom of the page.								
Identifier	Managing LOU	Name	Address	Country	Entity Status	Record State	Maintenance State	Action
MLDY5N6PZ58ZE60QU102	5493	The Depository Trust & Clearing Corporation	22nd Floor 55 Water Street New York, 10041-0024 UNITED STATES	UNITED STATES	ACTIVE	PUBLIC_SOURCES	CURRENT	View Details Compare Records

4a Potential duplicates – 'View details'

- If you click 'View Details', you will see the details of the entity causing a "potential" duplicate and you can compare those with the data of your company you wish to register.
- If the entity you found is yours, please do not continue the registration process and use the existing LEI code. Otherwise, please contact customerservice@ciciutility.org.

Entity Details of Existing CICI Record			
Entity Name		Managing LOU	
Legal Name	The Depository Trust & Clearing Corporation	Managing LOU	5493
Anglicized Legal Name			
Entity Address			
Address Line 1	22nd Floor	City	New York
Address Line 2	55 Water Street	State	NY
Address Line 3		Country	UNITED STATES
Address Line 4		Post Code	10041-0024
Headquarters Address			
Address Line 1		City	
Address Line 2		State	
Address Line 3		Country	
Address Line 4		Post Code	
Entity Information			
Entity Status	ACTIVE	Previous Legal Names	D/N Integration Corp.
Legal Form	CORPORATION	Ultimate Parent	
Identifier	MLDY5N6PZ58ZE60QU102	Duplicate Reference	
Record State	PUBLIC_SOURCES	Business Registry	
Maintenance State	CURRENT	Business Registry Number	
Next Maintenance Date	2013-06-08	Date of Expiry	
		Reason for Expiry	

4b Potential duplicates – 'Compare records'

This function helps you compare the data of the Entity found in the list and the data of the registration you began.

- The data of the potential duplicate are displayed on the top of the page.
- The data of the company you wish to register are displayed on the bottom of the page.
- If the element is duplicated, please click 'The two records displayed are duplicates'.

- Click 'Return to registration form' to return to registration.
- Click 'Save and Check for Duplicates' again.

Entity Details of Existing CICI Record

Entity Name Legal Name: The Depository Trust & Clearing Corporation Anglicized Legal Name:		Managing LOU: 5493
Entity Address Address Line 1: 22nd Floor Address Line 2: 55 Water Street Address Line 3: Address Line 4:		City: New York State: NY Country: UNITED STATES Post Code: 10041-0024
Headquarters Address Address Line 1: Address Line 2: Address Line 3: Address Line 4:		City: State: Country: Post Code:
Entity Information Entity Status: ACTIVE Legal Form: CORPORATION Identifier: MLDY5N6PZ58ZE60QU102 Record State: PUBLIC_SOURCES Maintenance State: CURRENT Next Maintenance Date: 2013-06-08		Previous Legal Names: D/N Integration Corp. Ultimate Parent: Duplicate Reference: Business Registry: Business Registry Number: Date of Expiry: Reason for Expiry:

Entity Details of Record being Registered

Entity Name Legal Name: The Depository Trust & Clearing Corporation Anglicized Legal Name:		Managing LOU: 5493
Entity Address Address Line 1: 22nd Floor Address Line 2: 55 Water Street Address Line 3: Address Line 4:		City: New York State: NY Country: UNITED STATES Post Code: 10041-0024
Headquarters Address Address Line 1: Address Line 2: Address Line 3: Address Line 4:		City: State: Country: Post Code:
Entity Information Entity Status: ACTIVE Legal Form: CORPORATION		Previous Legal Names: Ultimate Parent CICI: Duplicate Reference CICI: Business Registry: Business Registry Number: Date of Expiry: Reason for Expiry:

☐ The two records displayed are duplicates

[Return to Registration Form](#)
[Cancel Registration](#)

- You will once again see the data of the entity causing a potential duplicate.
- Scroll to the bottom of the page and click 'Add to Pending Actions'.



5. Pending actions

- Your registration is then added to your 'Pending Actions' basket (top right hand corner).
- Here you may continue registering or maintain more entities, or select 'Proceed to Checkout' if all actions are complete.
- You may then process payment.



6. Processing a payment

- The service has a registration fee (USD 200) and an annual renewal fee (USD 100).
- All requested actions are displayed in your pending actions queue.
- Click 'Proceed to Checkout' to commence payment.



6a Processing a payment – billing information

- Please also fill in the Billing details. These should match what you entered upon registration. Then select the payment option from the following two:
 - o Credit cards => 'Click here for Credit/Debit card payment guide'
 - o Wire transfer => 'Click here for Wire transfer payment guide'
- Note: Wire transfers do not result in an immediate assignment of an LEI code. LEIs are assigned once payment clears, which may take at least 5 days.

Billing Information

Company Name: CICI Utility ?

* First Name: First Name ?

* Last Name: Last Name ?

* Address Line One: Address One ?

Address Line Two:

* Country: UNITED KINGDOM ?

State: ?

* City: city ?

Post Code: ?

Vat Number: 123456789 ?

Please supply a valid VAT number to avoid VAT

Item Type	Legal Name	Country	Date Added to Pending Actions	Item Expiration Date	Price
Self-Registration	Example Record	UNITED KINGDOM	Wed, Apr 03, 2013	Wed, Apr 10, 2013	200.00 USD

This transaction is subject to VAT and it has been added to your total

Sub-Total:	200.00 USD
21.00% VAT:	42.00 USD (32.71 EUR)
Total:	242.00 USD

[Recalculate Total](#)

[Pay via Credit Card](#) [Pay via Wire](#) [Return to Pending Actions](#)

6b Processing a payment – wire transfer

- Please read the 'Payment Details' section very carefully.
- Once ready, click the 'Terms and Conditions' box, enter Captcha, and select 'Hold Order and Pay via Wire'.

Order Submission Confirmation

Please review the information below prior to order confirmation. By selecting "Hold Order and Pay via Wire", you agree to the Website Terms and Conditions of Use and you consent to paying the amount listed below after you have been sent an invoice. Please note that Certification requests must undergo review by the Validation Team before the Certification State field is updated.

Payment Details

- + Important Notice
- + Payment Instructions
- + Payment Timeliness Requirements

Billing Information [\(Change\)](#)

Company Name	CICI Utility
First & Last Name	First Name Last Name
Address Line 1	Address One
Address Line 2	
Country	UNITED KINGDOM
State/Province	
City	City
Post Code	
VAT Number	123456789

Total [\(Change\)](#)

Sub-total	200.00
VAT	0.00
Total	200.00

☒ * By selecting this box, you agree to our [Website Terms and Conditions of Use](#).

of the the

Type the two words:

STOP spam, post books.

[Hold Order and Pay via Wire](#) [Return to Pending Actions](#)

- You will be presented with your order number, which you must include in the memo field of your wire payment.

Order Successfully Submitted

Notice
 Your order will be held until payment has been received. After sending payment, please allow at least five days for payment recognition.

Thank you for your submission. The information you supplied will undergo validation and review. Your information may be updated on the CICI Utility Portal as a result. Please keep this order summary for your records.

Wire payment instructions are also available in this [printer-friendly document](#).

Order Information

Order Code	OR-341336498630559872
Order Submission Date	2013-04-03 10:53:36.928

Provider Information
 Business Entity Data B.V.
 Bernhardplein 200
 Amsterdam
 Netherlands
 1097 JB
 VAT: 851532986B01
 Dutch Chamber Of Commerce (KvK): 55021948

Billing Information

Company Name	CICI Utility
First/Last Name	First Name Last Name
Street Address Line 1	Address One
Street Address Line 2	
Country	UNITED KINGDOM
State/Province	
City	City
Post Code	
VAT Number	123456789

Item Type	Legal Name	Country	Price
Self-Registration	Example Record	UNITED KINGDOM	200.00 USD

Subject to Reverse charge under Article 196 of Council Directive 2006/112/EC

Sub-Total:	200.00 USD
0.00% VAT:	0.00 USD (0.00 EUR)
Total:	200.00 USD

[Print Order](#)

- Your 'Pending Actions' page will show all pending orders for which payment has not yet been received.
- Once the transfer is made, please allow at least 5 days for the payment to be recognised by the service provider.
- Once payment is recognised, the Validation Team reviews the submitted data, which takes approx. 72–96 hours.
- If you experience any issues with payment, please contact us at customerservice@ciciutility.org.

6c Processing a payment – credit card

- Enter credit card details, and click 'Complete'.
- Please do not refresh the page or press the Back button while payment is processing.

Secure Payment

By selecting the "Complete" button, you agree to the [Website Terms and Conditions of Use](#) and you consent to this amount to be charged to the payment card you have provided, and you consent to your payment information being transmitted to our card processor Chase Paymentech and the Payment Brands so that they can process your payment in accordance with their privacy policies.

Billing Information [\(Change\)](#)

Company Name	xxxxxxx
First & Last Name	xxxxxx xxxxxx
Address Line 1	xxxxxxx
Address Line 2	
Country	UNITED STATES
State/Province	
City	xxxxxxx
Post Code	
VAT Number	

Total [\(Change\)](#)

Sub-total	0.00
VAT	0.00
Total	200.00

Your credit card information

Name on Card	xxxxxxx
Amount	USD \$200.00
Credit Card Number	xxxxxxxx
CVC Number	xxx
	What's this?
Card Type	Visa
Expiration Date	01 / 2012

[Complete](#) [Cancel](#)

- If payment is not completed, please contact us at CustomerService@ciciutility.org.
- If payment is completed, click 'Print Invoice'.

Order Successfully Completed

Invoice

Order Number
Card Holder Name
Credit Card Number
Date Purchased

Provider Information
Business Entity Data B.V.
Bernhardplein 200
Amsterdam
Netherlands
1097 JB
VAT: 851532866B01
Dutch Chamber Of Commerce (KvK): 55621948

Billing Information
Company Name
First/Last Name
Street Address Line 1
Street Address Line 2
Country
State/Province
City
Post Code
VAT Number

Item	Legal Name	Country	Price
Self-Registration		UNITED STATES	200.00 USD

Sub-Total: 200.00 USD
Total: 200.00 USD

Print Invoice

- Once complete, you will receive an invoice on the screen as well as a confirmation email to the email address you previously entered.
- Your registration or renewal request will be sent to the Validation Team to check the supplied reference data against publicly available, corroborative sources.
- Please allow 72–96 hours for the Validation Team to complete its checks.
- If you experience any issues with the payment by card, please contact us at customerservice@ciciutility.org.

7. Finalisation of registration

- Once payment is complete, your registration will be sent to the Validation Team to check the supplied reference data against publicly available, corroborative sources. Once validation checks have been completed, your LEI code is generated. You will then receive an email about the successful assignment of the code.
- Once this process is complete, the 'Record State' will update to reflect the findings by the Validation Team.
 - Typically the turnaround is 72–96 hours.
- Upon successful registration, your LEI code will be searchable on the GMEI Utility Portal as a publicly available data.

CICI Code	Name	Address	City	Country	Entity Status	Record State	Maintenance State	Action
MLDY6N8PZ58ZE80QU102	The Depository Trust & Clearing Corporation	22nd Floor 55 Water Street New York, NY 10041-0024 UNITED STATES	New York	UNITED STATES	ACTIVE	PUBLIC_SOURCES	CURRENT	View Details Add Duplicate

● Copyright, Business Entity Data BV