

The Depository Trust & Clearing Corporation

BULK REGISTRATION – HOW TO APPLY FOR AN LEI

OVERVIEW

The **Global Markets Entity Identifier (GMEI) Utility** is DTCC's legal entity identifier solution offered in collaboration with SWIFT. There are several ways that an LEI can be obtained, including self-registration via a secure, online portal; assisted registration via the same portal; and bulk registration, which is

self or assisted registration completed via a bulk submission file. Bulk registration allows a user to send a file in a pre-specified template to assign LEIs for use in regulatory reporting. These codes will also be made available on the GMEI Utility portal (www.gmeiutility.org) after assignment.

STEP ONE – SELECTING ENTITIES FOR LEI ASSIGNMENT

- Create and validate a user account on the GMEI Utility portal. A valid user account is needed during the submission process.
- After determining which internal data set you will require LEIs for, de-duplicate these records to ensure that those records are not duplicated or have not already had an LEI assigned.
- After de-duplication, compare the remaining records against what is currently available on the GMEI Utility portal. A full file of all records available can be retrieved from “Daily File Downloads” link at the bottom of every page on the portal (<https://www.gmeiutility.org>). Please note, you must be logged in to visit this page of the site.

STEP TWO – PREPARING THE FILE FOR SUBMISSION

- The user must download and complete the bulk registration template available on the “Bulk Actions” section of the GMEI Utility portal. The criteria for the fields can be found in the Bulk Registration User Guide, also available in the “Bulk Actions” section. Confirm that the completed file meets the template specifications as deviations from the permissible values will result in rejections. A maximum of 500 records may be submitted per file; although there is no minimum.
- Save the completed template and submit to the portal. The submission processing time will vary based on the size of the file you upload. Note the unique “Submission ID Number”

that is generated for each file submitted for any inquiries regarding the file. After processing, a submission results page will be generated that will show the number of records submitted, records successfully processed, and if applicable the records that were rejected.

- If any records were rejected, a Rejections File will include the records that failed processing and the reason for rejection. The Rejections File will be in the same format as the original file submitted so any errant records can be corrected directly within the document. Save the corrected document and submit to the portal for reprocessing.
- Records that have successfully processed will be added to the Pending Actions page. On the Pending Actions page, click on the “Proceed to Checkout” button to provide payment for submission. Payment can be made via credit card or standard wire payment.

NEXT STEPS

- After file submission, the file will be de-duplicated and submitted to the GMEI Utility validation team for checks against publicly available, authoritative sources.
- Once validation checks are completed, LEIs will be assigned.
- The “Bulk Actions” page will maintain a 90-day history of submitted files which are either in progress or have completed processing. Additional detail of a submitted file can be viewed by click “View Details” under the Action column.



FOR FURTHER ASSISTANCE, contact customerservice@gmeiutility.org.

CURRENT PRICING

For current pricing, please refer to the GMEI utility FAQ page
https://www.gmeiutility.org/frequentlyAskedQuestions.jsp#plus6_7.

ABOUT DTCC

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