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CHAPTER 1: OVERVIEW

The Global Markets Entity Identifier (GMEI®) utility is DTCC’s legal entity identifier solution, offered in collaboration with SWIFT.

The GMEI utility is a Local Operating Unit of the Global Legal Entity Identifier System (GLEIS).

- The GMEI utility creates and assigns globally accepted Legal Entity Identifiers (LEIs) in a standard format (ISO 17442).
- The GLEIS validates the accuracy of the associated reference data and stores all the information in a public database free for all to use and redistribute.

The information afforded by the GMEI utility is a critical tool for helping regulators and market participants understand exposures, enhance market transparency, and manage systemic risk.
CHAPTER 2: ACCOUNT CREATION

In order to register, renew or challenge an entity you will need to create an account.

1. Select Register (1).
2. Complete the form (2).
3. Select the check box to agree to the Terms and Conditions (3).
4. Click the Register button (4).
5. Click the link in the verification email we send to you from no-reply@gmeiutility.org to verify your email address and activate your account.

Note

Check your Spam and Junk Mail if you do not receive a verification email.
CHAPTER 3: REGISTRATION - STEP-BY-STEP GUIDE

Go through the following steps to register for an LEI. Click the links or proceed to the appropriate page to go straight to the step you need.

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Who Can Register?

An LEI can be Registered by the Primary Party (PP) or an Assisting Party (AP).
You are the Primary Party if you are:

- Currently an employee of the firm for which you are registering.
- Currently an employee of the firm which has controlling interest over the entity you are registering.

All other registrants are an Assisting Party and must obtain explicit permission from the Primary Party.

The registration process for Primary Party and Assisting Party is essentially the same, and both registration types will be deemed "ISSUED."
Initial Duplicate Search

Ensure that the entity you are registering does not already exist in the global LEI dataset. Search for the entity using the GMEI utility’s Advanced Search feature.

Helpful information on duplicates:

- Any new entities registered where one already exists will be marked as “DUPLICATE,” and you will be provided with the pre-existing LEI for your entity.
- To ensure that you search all possible entities, remember to always select the Include Records Pending Validation and Include All LOU Records boxes when performing the search.
- Note that we are unable to offer refunds for duplicate registrations.
- If you find a matching legal name to your entity, but see that the address held on the portal is different than yours, please do not assume this is a separate legal entity. The address on the portal could be the registered address of your legal entity as found on the relevant business registry.
- Contact customerservice@gmeiutility.org to discuss any existing entities found on the GMEI utility portal.
- If the GLEIF consolidated search shows that your entity is managed by another LOU and you would prefer the GMEI utility to manage the entity, you can transfer the record to us by filling in a portability form. For more information, contact customerservice@gmeiutility.org.
Registering an Entity

1. Hover your cursor over **Registration** and select the option to register the appropriate party.

   - Select **Primary** to register for an LEI as the “Primary Party” (1).
   - Select **Assisted** to register an LEI on an entity’s behalf (2).

2. Fill in the details for the Legal Entity for which you are registering an LEI on the form that appears.

   **Information you need to provide on this form includes:**
   - Entity Name
   - ASCII Transliterated Legal Name (Only if your Entity Name contains non-Roman characters)
   - Headquarters Address
   - Business Registry details
   - Entity Status
   - Entity Legal Form code
   - Entity Category Type
   - Business Registry details entered in the **Registration Authority** fields.

   **Note**
   The blue question marks next to each of these fields provide additional information.
Entity Category Type

The Entity Information section contains an option to add the Entity Category Type.

After filling in all required information click Next. The screen that follows presents the option to provide include relationship information. For more information, see on page 24 on page 24.

Potential Duplicates

After you submit your registration information, the GMEI utility portal will conduct an automated search for duplicates.

Identifying Duplicates

If there are multiple potential duplicates, the GMEI utility will present a list of the matched legal entities. Select Compare.

If there is only one match, you will be taken directly to the compare screen.

Note

You must stop the registration process if you find that an LEI already exists for your entity. Failure to do so will result in your still being charged for the duplicate registration.
Potential Duplicates Comparison

The comparison screen will present you with the details you have entered in a side-by-side comparison with the details of the potential duplicate. The screen also highlights matches within the data with a yellow exclamation mark.

If you are satisfied that your entity is not a duplicate, click Next.
Adding to Cart
You can submit your registration by adding it to your shopping cart.
1. Read and agree to our Website Terms and Conditions of Use and our Privacy Policy.
2. Click **Submit Registration**.

3. View your registration in the Pending Actions cart.

4. Continue registering or renewing more entities as needed.

Payment Completion
When you have finished registering and/or renewing entities, click **Proceed to Checkout** to start payment processing.

<table>
<thead>
<tr>
<th>Action</th>
<th>Record Count</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registration</td>
<td>1</td>
<td>$219.00</td>
</tr>
<tr>
<td>Renewal</td>
<td>0</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

Once payment is complete, you will receive receipt of your payment through email. If you are paying by wire, it can take at least five days after wire payment is made for the payment to be recognized and completed. The validation checks will not commence until after this time.

Your Registration will be sent to the validation team for checks against publicly available, corroborative sources. Once the validation checks have been completed, your LEI will be generated and you will receive a successful assignment email.
Upon the successful assignment of your LEI, you will be able to search for it on the GMEI utility, where it will display the Validation Sources based on the validation team's findings.

Note
The typical turnaround for LEI assignment is between 3 – 5 business days.
CHAPTER 4: RENEWAL - STEP-BY-STEP GUIDE

Go through the following steps to renew an LEI. Click the links or proceed to the pages to go straight to the step you need to perform.

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<tr>
<th>Section</th>
<th>Page</th>
</tr>
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<td>Rejections</td>
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<tr>
<td>Reminders</td>
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Overview

The last renewing user will receive all subsequent updates pertaining to the record. Renewals need to be performed at least once a year to ensure the Renewal State does not FLIP to LAPSED.

If the renewal occurs before the expiration of the renewal period, you perform the renewal before the expiration of the renewal period, the cost of the renewal will be pro-rated and the next renewal date will be a year from the completion of the new renewal request.

See the payment section of the GMEI FAQs for a breakdown of our pricing, including the GLEIF’s LEI license fee.
Searching for an LEI

1. Click **Renewal**.

2. Enter desired search parameters (1), adding search filters if desired by clicking the arrow (2).

3. Click the LEI (3) to view further details on each entity.

Renewing an LEI

Renewal is the procedure that an Assisting Party with explicit permissions or a Primary Party uses to confirm the details of an entity recorded on the GMEI utility portal. The result is to ensure the Registration Status remains set as "ISSUED" for a year following the completion of the request.

To prevent a lapse in reporting eligibility, we advise that customers submit their renewal request at least five business days before the next renewal date. The renewal date appears at the top of the details page (1) on the GMEI utility portal for that LEI.

Click **Renew Record** (2) to renew your LEI.
Renewal - Step-by-Step Guide

Editing Information
Similar to registrations, all renewal fields are editable.

If your entity has been through any corporate actions that resulted in a change of its details, ensure you update them now. For more information, see on page 30.

If you are uncertain about how changes might impact your LEI, feel free to contact customer service at customerservice@gmeiutility.org.

Click Next after completing your edits.

Potential Duplicates
After processing your details, the system checks for any potential duplicates. The guidance for potential duplicates in the renewal process is the same as for registrations, as detailed on page 11.

Note
If your renewal request results in a duplicate, the request will be rejected and you will not receive a refund.

Contact customerservice@gmeiutility.org to discuss any existing entities found on the GMEI utility portal.

Pending Actions
Once you submit a request, it is available in your Pending Actions cart.

You can continue to register or renew more entities, or select Proceed to Checkout if all actions are complete to start payment processing.
Completing Renewal

Once payment is complete, you will receive receipt of your payment through email.

Note

- If you are paying by wire, it can take at least five days after wire payment is made for the payment to be recognized and completed. The validation checks will not commence until after this time.

Your renewal request will be sent to the validation team for checks against publicly available, corroborative sources. Once the validation checks have been completed, your LEI will be generated and a successful assignment email will be sent.

Any requested changes will not be live on the Portal until the after the validation team have completed their checks.

Note

- The typical turnaround for renewal requests is between 3 – 5 business days.

Rejections

If a renewal request is rejected, it may be that the submitting user has attempted to update or amend the legal name to a name that the validation team are unable to verify. In order to prevent a violation of our "Persistence" rule, this renewal request will be rejected and no updates will be made.

Note

- The GMEI Utility cannot guarantee a refund in this situation. Contact our customer service team at customerservice@gmeiutility.org for case-specific guidance if necessary, or if you have a renewal request rejected and would like to discuss the matter.
Reminders

The first renewal reminder emails are sent to the last renewing user and to the group email address associated with the account 60 days prior to the actual next renewal date of each entity record. Subsequently reminders are sent out in the following frequency: 30 days, 15 days, 10 days, 5 days and 1 day prior the actual next renewal date.

After your record has lapsed, you will receive a further reminder on an annual basis.

Records you manage are about to expire.

Records you manage are due for renewal. Failure to complete the annual renewal will cause the records listed below to be set to a Renewal State of "LAPSED", which may impair your ability to utilize them for trade reporting. Information on how to complete the process can be found in the GMEI Utility User Guide.
CHAPTER 5: CHALLENGES - STEP-BY-STEP GUIDE

Go through the following steps to challenge an LEI. Click the links or proceed to the pages to go straight to the step you need.

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</tr>
</thead>
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<td>Raising a Challenge</td>
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<tr>
<td>Editing Information</td>
<td>22</td>
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<tr>
<td>Outcome</td>
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</tr>
<tr>
<td>Duplicate Challenges</td>
<td>23</td>
</tr>
</tbody>
</table>

Overview

The challenge process is used to advise us of corrections and updates to reference data held for all LEIs in the database.

Anyone with an account is able to use this process. All challenges will be corroborated against publicly available sources.

Primary Parties will be unable to challenge Lapsed records. If you need to update information on a record that is ‘LAPSED,’ you will need to raise a renewal request.

For guidance on renewing requests, see page 15.

There is no fee associated with raising a challenge.
Searching for an LEI

1. Click Challenge.

2. Enter desired search parameters (1), adding search filters if desired by clicking the arrow (2).

3. Click the LEI (3) to view further details on each entity.

Raising a Challenge

1. To raise a challenge on a specific record, select Challenge Reference Data from the Challenge dropdown.

2. Select to challenge the record as a Primary Party or an Assisted Challenge.
Editing Information

Similar to registrations, all fields are editable.

If your entity has been through any corporate actions that result in a change of its details, you can edit the information as appropriate here.

If you are uncertain about how any changes could impact your LEI, feel free to contact customer service at customerservice@gmeutility.org.

Outcome

Once complete, your challenge will be sent to the validation team for checks against publicly available, corroborative sources. Any requested changes will not be live on the portal until the validation team has completed its checks.

An email will be sent to the account used to challenge the record once the validation team has completed its process. This process typically takes 3 - 5 business days.

The validation team can accept or reject challenges.

If your challenge is rejected, contact customer service at customerservice@gmeutility.org for additional information.
Duplicate Challenges

You can also raise duplicate challenges to indicate that an entity record is a duplicate of another record.

1. Select Duplicate Challenge from the Challenge dropdown.

2. Indicate whether you are the Primary or Third Party, and use the GMEI utility’s Advanced Search feature to locate the entity you believe to be the survivor of the duplicate challenges.

3. Click the Select button for the entity that will be the survivor of the duplicate challenge and click Next.

4. Select Submit from the comparison screen that appears. Your record will be sent to the validation team for review.
CHAPTER 6: RELATIONSHIP INFORMATION

Go through the following steps to specify relationship information. Click the links or proceed to the pages to go straight to the step you need.

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Ultimate and Direct Parent .................................. 25

Branch

If you selected the Entity Category type as Branch, you must provide the headquarters' LEI.

After specifying the headquarters' LEI, use search to locate it and click Select to add it.
Ultimate and Direct Parent

If you selected an Entity Category type other than Branch, the subsequent page provides an option to specify the ultimate and direct parents.

1. Define parentage or opt out of specifying this information, then click Next.
   You have the option to search for the LEI and add it as a parent, or provide information for a parent that has no LEI. You can also opt out of providing parentage information.

   ![LEI Example](image)

   Relationship Information

   ![UI screenshot](image)

   01. Ultimate Parents

   Select an Ultimate Parent Action...
   Search for an Ultimate Parent LEI
   Ultimate Parent has no LEI

   02. Direct Parent

   Select a Direct Parent Action...
   Same as Ultimate Parent

   2. If you chose Select an Ultimate Parent or Select a Direct Parent, use the search box that appears to locate your parent entity and click Select once you locate it.

   ![Search Box](image)
3. If you chose **Ultimate Parent has o LEI**, provide details for the parent entity in the provided fields.

   **Relationship Information**

   **01. Ultimate Parents**
   
   Ultimate Parent has no LEI

   **Parent Legal Name**
   
   Legal Name

   **Legal Address**
   
   Address Line 1
   
   Select a Country...
   
   Select a Region...
   
   City

   **Registration Authority**
   
   --- Select ---
   
   Registration Authority Entity ID

4. If you opted out of providing ultimate or direct parentage, select the opt out reason from the appropriate drop-down list.

   **Relationship Information**

   **01. Ultimate Parents**
   
   Opt Out Ultimate Parent
   
   Select an Opt Out Reason...
   
   **02. Direct Parent**
   
   Opt Out Direct Parent
   
   Select an Opt Out Reason...

   ![Drop-down list of opt out reasons]

   **Note**

   See the [GMEI Utility Common Data Format 2.0 and Level 2 Data FAQ](#) for more information on opt out reasons.
CHAPTER 7: PAYMENT PROCESS

Registrations and Renewals require payment. All requested actions appear in your pending actions cart.

Starting the Process

1. To begin processing your payment, click **Proceed to Checkout**.

   ![Payment Process Table]

<table>
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<tr>
<td>Renewal</td>
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<td>$0.00</td>
</tr>
</tbody>
</table>

   Total Before Taxes: $219.00

   ![Proceed to Checkout Button]

2. Fill out your billing details on the dialog that appears. These details should match the details held by your payment account.

3. Select the payment method (card or wire) from the dropdown box (1). You can also pay by Euro by selecting Billing Currency (2).

![Billing Details Form]

- **Company Name**
- **First Name**
- **Last Name**
- **Address**
- **Address 1**
- **Address 2**
- **Country**
- **State/Province**
- **City**
- **Zip/Postal Code**
- **Billing Currency**

![Payment Methods]

- **Payment Method**
- **Questions about payment?**
- **Return to Cart**
- **Pay Now**
Wire Transfers

Wire transfers do not result in an immediate review of a registration or renewal request. The review begins once payment clears, which may take at least five (5) days. If you do proceed with a wire payment, the payment details page that appears provides you with the necessary information to successfully submit your payment.

1. One ready to proceed with payment, select the Terms and Conditions box and click **Holder Order and Pay via Wire**.

   ![Image](image1.png)

   Check here to indicate that you have read and agree to our Website Terms and Conditions of Use and Privacy Policy.

   ![Image](image2.png)

   ![Image](image3.png)

2. Note the order number on the confirmation screen that appears, as you must include it on your wire number.

3. You may now transfer the required payment using the order code and the provided instructions. If you have a VAT number, add it at this point.

4. Hover over **My Account** and select **Orders** to find your outstanding wire payments and associated order codes.
5. Click the link to take you to the order details.

6. After completing the transfer, allow at least five (5) days for the payment to be recognized. If the wire payment is for a new Registration, be aware that your LEI code will not be assigned until payment is recognized. Once payment is recognized, your request will be sent to our validation team to review the submitted data. Please allow 3-5 business days for all the validation team to complete its checks. If you experience any issues with payments, contact us at customerservice@gmeiutility.org.

**Credit/Debit Card Payment**

If you opted to pay by credit card, a payment processing screen appears.

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**Note**

Do not refresh the page or press the back button during payment processing.

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If you experience any problems with your transaction, contact us at customerservice@gmeiutility.org.
CHAPTER 8: CORPORATE ACTIONS

See the GMEI Corporate Actions Guidance document on the Help and Documents page for more information on mergers, legal name changes, dissolutions, and any other corporate actions.

If you have any further questions about corporate actions, contact us at customerservice@gmeiutility.org.
CHAPTER 9: BULK SERVICE

The bulk service feature allows you to simultaneously register or maintain multiple records. Each upload file can contain up to 500 records and must be in Excel (.XLS and .XLSX) or XML format.

If you have any questions about the bulk service, contact us at customerservice@gmeiutility.org.
CHAPTER 10: MY ACCOUNT

Hover your mouse over the My Account heading to:

- view all entities that you have maintained
- view all entities you have favorited
- review any outstanding orders

If you have any questions about the different areas found under My Account, contact us at customerservice@gmeiutility.org.
CHAPTER 11: DOWNLOADING RECORDS

Once you have entered the Records section of My Account, click Download (1) to download all records you have maintained.

Navigate to the Favorites (2) tab to download a list of favorited records.

Downloading to Excel
1. Enter a search term in the text box and select the arrow (1) to filter for records of interest.

2. Once you have located the full list of desired records, click Download (2) to download them to Excel. All records, or a subset of records as applied by the filter, will download to your computer.
Download Complete and Bulk Template

Once the download is complete, click Close. Refer to your browser settings to locate and open the file.

Records are presented in the Bulk Renewal Template format.

You can submit the file directly on the Bulk Service page.
FOR MORE INFORMATION

Email DTCC Learning at:
DTCCLearning@dtcc.com
or visit us on the web at:
www.dtcclearning.com