TRANSLATION

USER MANUAL FOR THE eLEI APPLICATION

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Table of Contents

List of acronyms and abbreviations

AJPES	Agency of the Republic of Slovenia for Public Legal Records and Related Services
LEI	Legal Entity Identifier
eLEI	Application used to implement LEI management procedures
GLEIF	Global Legal Entity Identifier Foundation
LOU	Local Operating Units (LEI issuing organisations)
LE-RD	LEI reference data

List of images:

1   INTRODUCTION

The eLEI application on the AJPES facilitates a safe, quick and efficient implementation of LEI management procedures. Via the eLEI application, users can lodge one of the following applications:
- Issue a new LEI;
- Enter Corporate Actions;
- Renewals of LEIs;
- Transfer of LEIs and LE-RD (from another LOU to the AJPES).

In addition, the eLEI application facilitates the following:
- reviewing applications lodged by users with AJPES;
- using the search engine of LEIs maintained by AJPES; and
- connecting to the global search engine on the GLEIF website.

Prior to lodging their applications, users shall read and consent to the Terms and Conditions used for the implementation of associated procedures by AJPES, upload a signed statement that they are authorised to lodge the LEI application and pay the required fee for the rendered services according to the price list.

2   eLEI ON THE AJPES PORTAL

The basic view of the eLEI segment on the AJPES portal contains the following content:

About – general information on the LEI;

Documents – documents and forms required for the implementation of a specific procedure (Issue a new LEI, Enter Corporate Actions, Renewals of LEIs and Transfer of LEIS and LE-RD);

Price list – a list of the fee payable subject to the valid LEI service price list for issuing and renewing the validity of the Legal Entity Identifier (LEI);

Challenge LEI – instructions on how to lodge an application for challenging the accuracy of LEI or LE-RD data;

FAQ – FAQ regarding LEI;

Help – contact information for substantial and technical LEI support;

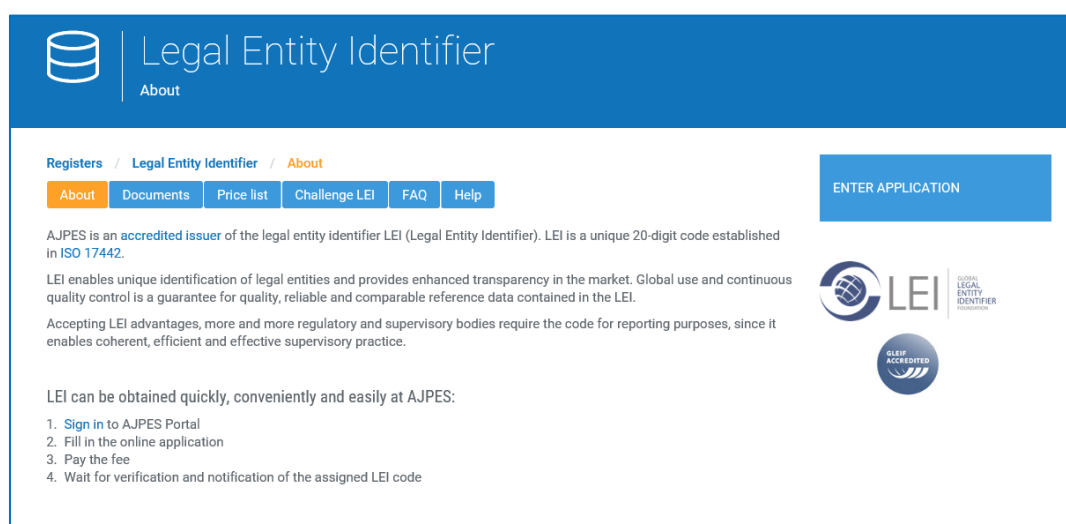"ENTER APPLICATION" button used to enter the eLEI application.

Image 1: Basic view

3   eLEI APPLICATION

Before entering the eLEI application, all users shall register free-of-charge or log in with their username and password on the AJPES portal. Register on the AJPES portal by clicking the "LOGIN" button.

Image 2. Log-in page and window

- After logging in to the AJPES portal, users can access the eLEI application in one of the following ways:
- via the left menu banner REGISTER → LEI → ENTER THE APPLICATION; or
- the quick access (Most recently used applications) button; or
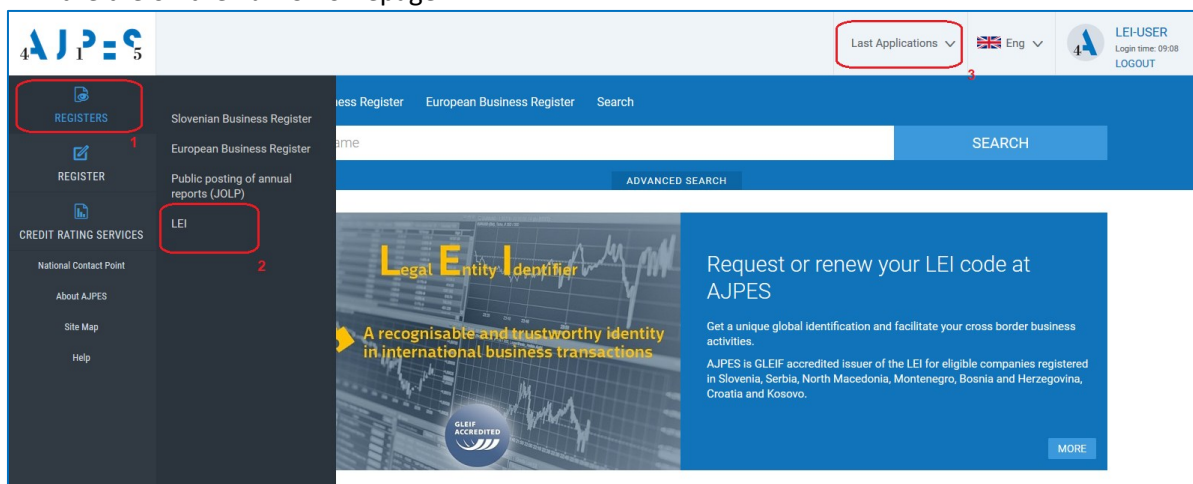- the tile on the AJPES homepage.

Image 3: How to access the eLEI application

After clicking the "Enter requests" button, a list of the following applications to choose from shall be displayed on the screen:
- Issue a new LEI;
- Enter Corporate Actions;
- Renewals of LEIs;
- Transfer of LEIs and LE-RD.

Image 4: LEI functionalities after successful registration and entry into the application

3.1 Entering LEI applications

After clicking the "Enter requests" button, a list of the following applications to choose from shall be displayed on the screen:

- Issue a new LEI;
- Enter Corporate Actions;
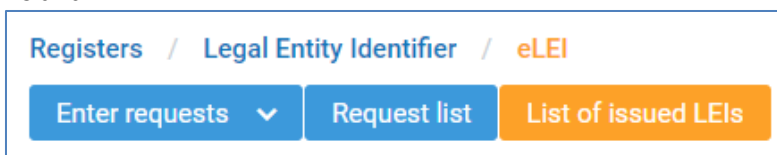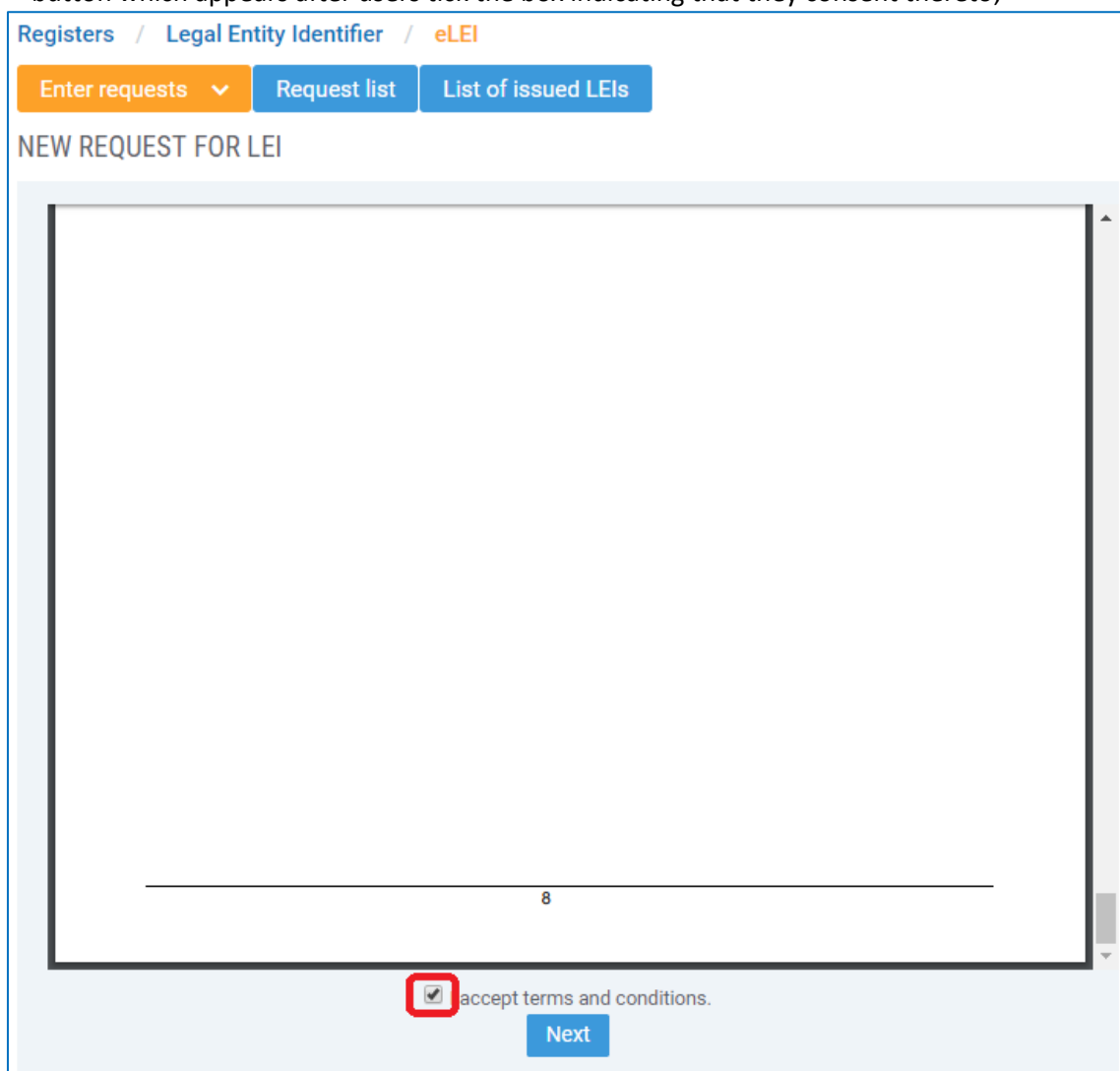- Renewals of LEIs;
- Transfer of LEIs and LE-RD.

When lodging their applications, all users shall do the following:

- - confirm understanding and consent to the Terms and Conditions of eLEI and click the "Next" button which appears after users tick the box indicating that they consent thereto;

Image 5: Terms and conditions of use of eLEI

- complete or change their contact information with pre-entered data from their AJPES portal user account that shall be deemed default for all communications regarding the LEI service and click the button "Next«.

Image 6: Contact information

- attach a file containing a completed and duly signed Statement of the LEI Applicant,
- complete obligatory fields subject to the type of application lodges as illustrated below.

3.1.1 Issue a new LEI

After all the steps in the preceding section for a new LEI request are completed, users shall select the correct option (Slovenian or foreign legal entity). If they select the "Slovenian legal entity option", they shall enter their 10-digit registration number and click the button "Next".

Image 7: Slovenian or foreign legal entities

In the case of legal entities entered into the Slovenian Business Register (PRS), some input fields are already completed by default (company name, legal address, business address). In the case of applications lodges for foreign business entities or Slovenian legal entities not entered into PRS, all fields shall be completed manually into the relevant fields.

All the completed fields shall be saved by clicking the button "Save". Users wishing to cancel the editing process, shall click the button "Cancel Edit".

Image 8: Editing data and attaching documents and proofs

3.1.1.1 Reporting data on controlling undertakings (direct and ultimate parent reporting)

In the following step, users shall enter data on their direct accounting consolidating parent as well as their ultimate accounting consolidating parent.

Image 9: Entering data on the relationship of dependency

If a legal entity wishing to be issued an LEI is a foreign subsidiary or if the same company is the direct and ultimate parent, they shall click the confirmation field accordingly. In that case, data shall be entered only once.

Image 10: Entering data on the relationship of dependency - continued

3.1.1.1.1 There is no parent entity or the user wishes to lodge an application for exception from reporting requirements

If users select exception from reporting requirements, they shall select the appropriate reason for their application from the drop-down menu, which can be one of the following:

Exception	Reason
Natural Persons	There is no parent according to the definition used, because the entity is controlled by natural person(s) without any intermediate legal entity meeting the definition of accounting consolidating parent.
Non Consolidating	There is no parent according to the definition used, because the entity is controlled by legal entities not subject to preparing consolidated financial statements.
No Known Person	There is no parent according to the definition used, because there is no known person controlling the entity (e.g.., diversified shareholding).
Legal Obstacles	Obstacles in the laws or regulations of a jurisdiction prevent providing or publishing this information. AJPES does not verify or analyze whether the legal framework constitutes a legal obstacle.
Consent Not Obtained	Obstacles in the laws or regulations of a jurisdiction prevent providing or publishing this information: "the consent of the parent was necessary under the applicable legal framework and the parent did not consent or could not be contacted". AJPES does not verify or analyze whether the legal framework constitutes a legal obstacle.
Binding Legal Commitments	Binding legal commitments, such as articles governing the legal entity or a contract, prevent providing or publishing this information. AJPES does not verify or analyze whether the legal framework constitutes a legal obstacle.
Detriment not Excluded	The child entity has sought to consult the parent entity about the reporting of the parent information to the GLEIS but could not confirm the absence of detriment in a way that can appropriately prevent liability risks for the child entity under the applicable legal framework. The disclosure of this information would be detrimental to the legal entity or the relevant parent. This will include reasons generally accepted by public authorities in similar circumstances, based on a declaration by the entity.
Disclosure Detrimental	The disclosure of this information would be detrimental to the legal entity or the relevant parent. This will include reasons generally accepted by public authorities in similar circumstances, based on a declaration by the entity.

If users select "Legal Obstacles", "Consent Not Obtained", "Binding Legal Commitments", "Detriment not Excluded" or "Disclosure Detrimental", they shall provide a short description of the facts that justify their application for exemption from reporting requirements in the Exception reference.

3.1.1.1.2 The parent entity already has an LEI

Users reporting that they are in a relationship of dependency and that their parent entity already has an LEI shall enter the valid LEI of parent and select the appropriate data on the type and duration of their relationship of dependency from the drop-down menu. They shall also upload documents to the application serving as proof of the relationship of dependency.

Image 11: Entering data on the relationship of dependency if the parent entity already has an LEI

3.1.1.1.3 The parent entity does not have an LEI

If a legal entity is in a relationship of dependency and their parent entity does not have an LEI, they shall not only enter data on the type and duration of their relationship of dependency from the drop-down menu but also include basic information on their parent. By clicking the button "Search for an existing legal entity", users can verify if data on their parent entity is already registered in the application. If it is, data shall be entered by clicking the button. If it is not, it shall be entered manually.

Image 12: Entering data on the relationship of dependency if the parent entity does not have an LEI

3.1.1.2 Attaching files and submitting applications

Applications shall include a file containing a completed and duly signed Statement of the LEI Applicant and any other relevant proof (financial statements, reports to competent regulatory authorities, contracts and other legal documents) attesting to the accuracy of the data provided in the application. Files shall be imported to the application by clicking the button "Attach files" and selecting the button "Add file" and choosing from the correct files on their computer. Attached files shall be in the .pdf format.
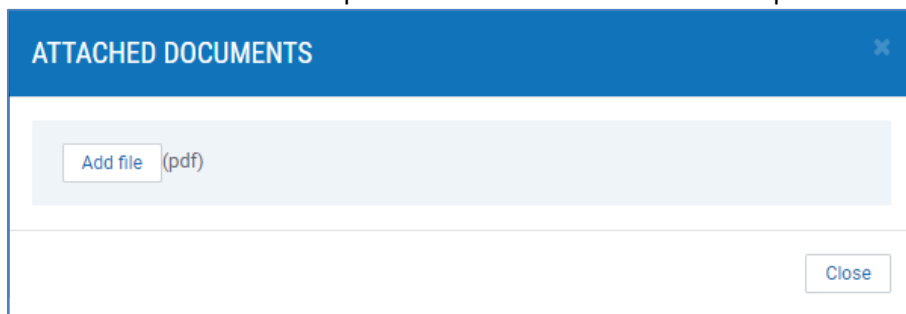

Image 13: Attaching a file

The application shall be lodged by clicking the button "Submit".

Image 14: Lodging/submitting an LEI application

Users shall be notified if their submission has been successful. If it is not, they are notified of the obligatory fields that they still need to complete. Following this step, users are contacted by a representative of AJPES who confirms the receipt of their application and provides additional information on application completion and fee payment.
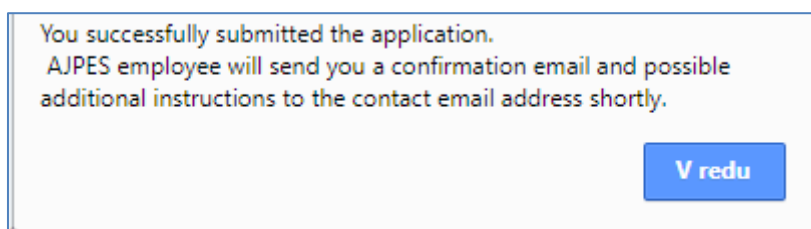

Image 15: Notification on successful application submission

3.1.2 Enter Corporate Actions and Renewals of LEIs

After completing all the steps required in Section 3.1, users enter the LEI whose information they wish to change or whose validity they wish to renew.

Image 16: Entering Corporate Actions

In the field "Short description and justification of the data modification application", users shall specify the data they wish to modify and the reason for the modification. When all data is entered, they confirm the accuracy of their data and click the button "Save".

Image 17: Entering the description and justification for "Entering Corporate Actions"

Applications shall include a file containing a completed and duly signed Statement of the LEI Applicant and any other relevant proof before submitting the application (See Section 3.1.1.2 Attaching files and lodging/submitting applications).

3.1.3 Transfer of LEIs and LE-RD

After completing all the steps required in Section 3.1, users enter the LEI that they want to transfer to AJPES' management.

Image 18: Entering transfer of LEIs

In the next step, they shall attach a file with a completed and duly signed Statement of the LEI Transfer Applicant. The required form can be found in the eLEI →"Documents" segment on the AJPES portal (refer to Point 2). By clicking "Submit", the process is complete.

Image 19: Transfer of LEIs

3.1.4 Procedure after submission

After an application is submitted, it is processed by a competent officer of AJPES who sends to the relevant user a confirmation of receipt of their application for processing and any additional instructions (payment information, any fields that have not been completed) to the e-mail address provided in the application. All users shall also receive notifications on the status of their applications and the completion of the procedure.

3.2 Request list

Via the "Request list" in the eLEI application, users can review the content and status of applications they have submitted to AJPES. Applications can also be sorted by various criteria.

Image 20: Request list

3.3 List of issued LEIs

The "List of issued LEIs" is a functionality facilitating a review of all LEIs maintained by AJPES and, via a link to the global search engine on the GLEIF page, a review of all issued LEIs globally.

Image 21: List of issued LEIs

4 CHALLENGING THE ACCURACY OF DATA

All users who establish that any LEI or any LEI holder data maintained by AJPES is inaccurate or incomplete, can challenge its accuracy by completing the form published on the AJPES portal (refer to Section 2) or via the GLEIF website.

Data can be challenged by sending the completed "Challenge LEI data" form including a short justification by e-mail to LEI.info@ajpes.si. AJPES officers shall review the application, perform all the required procedures and notify the applicant on the outcome of their application.

The procedure on the GLEIF website is as follows:
- In the search engine contained on the GLEIF website on https://www.gleif.org/en, users shall enter the LEI or name of the legal entity whose data they wish to challenge in the upper right corner of the website;

Image 22: GLEIF search engine

- by clicking on the selected LEI record of legal entity, a window containing reference data opens;
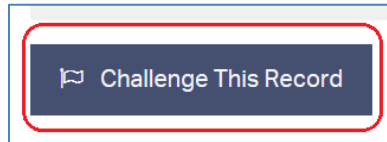- to continue, click the button in the bottom left corner;

Image 23: Challenging LEI data button

- before submitting the online form, users shall register and provide their contact information, which shall be sent to the LOU which issued the LEI whose data is being challenged;

Image 24: Registration of users on the GLEIF website

- users can edit all data contained in the record or point out any missing or wrong data. All challenges shall be justified;
- the LOU which issued or maintains the challenged LEI shall verify the data, compare it to data contained in official records, perform all the required procedures and notify the applicant of the outcome of their challenge.