

Operational Processes of Legal Entity Identifier (LEI) Allocation (Plan)

May 30, 2014

Tokyo Stock Exchange, Inc.

Item	Details	Remarks
1. LEI		
(1) Objects	○ LEI (Legal Entity Identifier) is a code to identify an entity or a fund that is a party of financial transactions (hereinafter referred to as “entity”) and it is allocated based on an entity’s application.	
(2) Structure	○ LEI is consisted of 20 alphanumeric characters. ○ 4 characters prefix for Local Operation Unit (hereinafter referred to as “LOU”), 2 reserved digits (00), 12 alphanumeric characters code (random) to specify entity and 2 characters check digits.	○ LEI structure is defined by ISO 17442 ○ Prefix allocated by ROC for TSE is “3538”.
(3) Reference data	○ LEI reference data (hereinafter referred to as “reference data”) is as follows; (For entities) ① Entity Name ② Legal Form ③ Headquarters Address ④ Legal Address ⑤ Country ⑥ Business Register/Entity ID ⑦ Initial LEI Registration Date	○ TSE publishes and administrates LEI (and its reference data) allocated by TSE or transferred to TSE from other LOU. ○ Reference data is published in Japanese and English.

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2. Allocation (1) Application Form for Allocation	<p>⑧ Last Update Date</p> <p>⑨ In the case of Expiration, Entity Expiration Date and Entity Expiration Reason</p> <p>⑩ Ultimate Parent</p> <p>(For funds)</p> <p>① Fund name</p> <p>② Name of Issuer or Trustee</p> <p>③ Headquarters Address of Issuer or Trustee</p> <p>④ Legal Address of Issuer or Trustee</p> <p>⑤ Country of Issuer or Trustee</p> <p>⑥ Fund code (In the case of exist fund code)</p> <p>⑦ Initial LEI Registration Date</p> <p>⑧ Last Update Date</p> <p>⑨ In the case of Expiration, Entity Expiration Date and Entity Expiration Reason</p>	<p>○ Ultimate Parent is optional item.</p> <p>○ Regarding ①、if there is not any fund name, it is "Name of Issuer or Trustee/Fund code".</p> <p>○ Regarding②～⑤, the data of applicant needs to be submitted.</p> <p>○ Issuer is trust managing company. Trustee includes Re-trust trust company.</p>
	<p>○ The Applicant of LEI should submit Application Form which includes the following data. The Applicant for an entity is the entity itself and the Issuer or Trustee in the case of a fund. In addition, TSE admits third party-application.with a submission of appropriate authorization letter.</p> <p>(For entity)</p> <p>① Entity Name</p> <p>② Headquarters Address</p>	<p>○ Application is made through specific portal site ("JPX-LEI portal site")</p> <p>○ TSE admits bulk application.</p> <p>○ Business Registration form and Signature certification of representative are required.</p>

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	③ Legal Address ④ Country ⑤ Business Register/Entity ID ⑥ Name of representative and position written in business registry ⑦ Apply for allocation of LEI ⑧ Not receiving LEI from other LEI ⑨ Manager and Staff, Invoice Entity and so on (For fund) ① Fund name ② Name of Issuer or Trust ③ Headquarters Address of Issuer or Trust ④ Legal Address of Issuer or Trust ⑤ Country of Issuer or Trust ⑥ Fund code(In the case of exist fund code) ⑦ Name/title of representative of Issuer or Trustee ⑧ Statement of LEI application ⑨ Statement of Not receiving LEI from other LOU ⑩ Contact information (manager and staff responsible for application and invoices)	
(2) TSE validation	<input type="radio"/> TSE validates the accuracy of the submitted application referring to the registered appendices, etc.	<input type="radio"/> Prospectus (equivalent document if there is no prospectus in the cases of privately placed investment trusts or pension fund, etc.), Business Registration form of Issuer or Trustee and Signature certification are required. <input type="radio"/> TSE confirms whether applicant has not been allocated LEI by other LOU to avoid duplication.

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(3) Registration	<ul style="list-style-type: none"> ○ After TSE's validation is completed, TSE allocates LEI and registers the LEI and its reference data in TSE computer system ("data management system"). ○ When TSE registers LEI and its reference data in data management system, TSE notifies it to the applicant as soon as practical. 	<ul style="list-style-type: none"> ○ TSE, as a rule, notifies LEI to the applicant within 5 business days after application.
(4) Publication of LEI and reference data	<ul style="list-style-type: none"> ○ When TSE allocates LEI, TSE publishes the LEI and its reference data as soon as practical. 	<ul style="list-style-type: none"> ○ LEI and its reference data are published through JPX-LEI portal site.
3 . Transfer		
(1) Application Form for Transfer	<ul style="list-style-type: none"> ○ When an entity desires to transfer its registered LEI from other LOU to TSE, such transfer applicant should submit Application Form for Transfer. Matters to be included are equivalent to Application Form. 	<ul style="list-style-type: none"> ○ Once LEI is allocated to an entity, it may not be altered. Therefore, prior code continues after transfer.
(2) TSE validation	<ul style="list-style-type: none"> ○ After TSE receives Application Form for Transfer from transfer applicant, TSE will contact the former LOU and validates the accuracy of the submitted application referring to the registered appendices. 	
(3) Register and Publication	<ul style="list-style-type: none"> ○ Procedure of LEI registration and publication is equivalent to the procedures for Application for LEI Allocation. 	

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4. Change reference data (1) Apply for change	○ When there has been a change to the content of data submitted to TSE for LEI application after the registration of LEI, such entity needs to notify TSE in the manner prescribed by TSE as soon as possible.	○ Support document may be necessary to confirm the changes. ○ Data change is processed through JPX-LEI portal site by applicant.
(2) Register and Publish of change	○ When TSE receives notice of change from LEI registrant, TSE alters the data in data management system after validation. ○ If changes are made to reference data, TSE will publish it.	○ TSE stores all historical changes of reference data managed by TSE . ○ Changed reference data are published through JPX-LEI portal site.
5. Expiration (1) Application Form for Expiration	○ LEI registrant should submit Application Form for Expiration in the following cases. ① Liquidation based on the law, extinction by merger (In the case of entity) ② Redemption or dissolution (In the case of fund) ③ Cases equivalent to ① or ②	○ LEI registrant application is made through JPX-LEI portal site.
(2) Publishing Expiration	○ When TSE receives Application Form for Expiration, TSE registers it in data management system and publishes it.	○ Expiration data is published through JPX-LEI portal site.

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6. System		
(1) JPX-LEI portal site	○ Receiving applications and publication of LEI and its reference data are basically processed through JPX-LEI portal site managed by TSE.	○ The functions of JPX-LEI portal site includes dissemination and search of LEI / reference data (users can search from entity name, fund name and country, etc.), data file download (XML format), Application Form download and application. It has Japanese site and English site.
(2) Data management system	○ TSE basically uses its internal data management system regarding registration of LEI and its reference data and other administration.	○ LEI and its reference data registered in data management system are electronically connected with JPX-LEI portal site.
7. Fee		
(1) Fee	○ The following fees will be charged to the LEI applicant and registered LEI.. Consumption tax is also required. ① LEI Allocation Fee	○ The rate of the fee will be determined in consideration with expenses for the

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(2) Payment timing	<p>Initial Fee for Allocating LEI</p> <p>② Annual Renewal Fee Annual management fee for renewal</p> <p>○ The payment of the Fees should be made in the following time limit.</p> <p>① LEI Allocation Fee By the end of business day of the month that is two months after the allocation month</p> <p>② Annual Renewal Fee By the end of business day of the month that is eleven months after the allocation (renewal) month</p>	<p>administration of LEI.</p> <p>○ When entity does not pay the fee by payment time limit, TSE may charge additional late payment charge as provided for separately.</p>
8 . Implementation Date (Scheduled)	<p>○ TSE will initiate the LEI operation from August, 2014. (Approvals by FSA under revised Financial Instruments and Exchange Law and ROC are require) .</p>	