

Business registries that have provided written confirmation to the Regulatory Oversight Committee (ROC) that there are no impediments to the use of business registry number and information as set out in the open letter of November 3 2013¹

Jurisdiction	Name of Business Registry	Date included²
Argentina	Federal Administration of Public Revenue, AFIP	December 11, 2013
Australia	Australian Business Register	December 23, 2013
Australia	Australian Securities and Investment Commission: Register of Companies (Australia)	December 15, 2013
Australia	Australian Securities and Investment Commission: Register of Financial Services Licensees (Australia)	December 15, 2013
Austria	Firmenbuch	January 10, 2014
Belgium	in Dutch: Kruispuntbank van Ondernemingen in French: Banque-Carrefour des Entreprises in German: Zentrale Unternehmensdatenbank	December 11, 2013
Brazil Rio de Janeiro	Rio de Janeiro Trade Board	December 11, 2013
Canada	Corporations Canada	December 11, 2013
Canada Alberta	Province of Alberta – Corporate Registry	March 5, 2014
Canada British Columbia	Province of British Columbia – Corporate Registry	April 24, 2014
Canada Manitoba	Province of Manitoba – Corporate Registry	December 23, 2013
Canada New Brunswick	Province of New Brunswick – SNB Corporate Registry	December 11, 2013

¹ See Annex and http://www.leiroc.org/publications/gls/lou_20131103.pdf

² The list of business registries will be regularly updated as additional responses are received from business registries to the open letter. Pre-LOUs will be notified when the table is updated.

Canada Newfoundland and Labrador	Province of Newfoundland and Labrador – Registry of Companies	February 20, 2014
Canada Nova Scotia	Province of Nova Scotia – Registry of Joint Stock Companies	February 20, 2014
Canada Nunavut	Nunavut Legal Registries	February 20, 2014
Canada Ontario	Province of Ontario – Corporate Registry	March 5, 2014
Canada Quebec	Registraire des Entreprises	December 11, 2013
China	In English: State Administration for Industry & Commerce of the People's Republic of China In Chinese: 中华人民共和国国家工商行政管理局	September 14, 2014
Czech Republic	Veřejný rejstřík comprising: - Obchodní rejstřík - Spolkový rejstřík - Nadační rejstřík - Rejstřík ústavů - Rejstřík obecně prospěšných společností	February 20, 2014
Denmark	Danish Business Authority	December 11, 2013
Estonia	Centre of Registers and Information Systems	December 11, 2013
Finland	in Finnish: Kaupparekisteri in Swedish: Handelsregistret	December 15, 2013
France	RNCS-INPI	January 10, 2014
Germany	German Commercial Register ³	December 11, 2013
Hong Kong	in Chinese: 香港公司註冊處 in English: Companies Registry, Hong Kong	December 11, 2013
Hong Kong	Business Registration Office of the Inland Revenue Department, The Government of the Hong Kong Special Administrative Region	December 11, 2013
Hungary	National Company Register and Company Information System	December 11, 2013
Iceland	The Register of Enterprises	December 11, 2013
Ireland	Companies Registration Office	February 5, 2014

³ Name of commercial registry (e.g. “Amtsgericht Frankfurt”) and registration numbers (e.g. “HRB 2513”) as provided by the German Commercial Register (sometimes also referred to as “companies' register”), which are assigned by the respective district courts (Handelsregister).

Italy	Registro Delle Imprese	December 11, 2013
Japan	Legal Affairs Bureaus ⁴	December 11, 2013
Jersey	Jersey Financial Services Commission Commercial Registry	December 11, 2013
Korea	Korean Business Registry	February 5, 2014
Latvia	Register of Enterprises of the Republic of Latvia	December 11, 2013
Liechtenstein	Office of Justice Commercial Registry	December 11, 2013
Luxembourg	Registre de Commerce et des Sociétés	December 11, 2013
Luxembourg	CSSF – Supervised entities	April 2, 2015
Malta	Registry of Companies of Malta	February 20, 2014
Netherlands	Kamer van Koophandel	December 23, 2013
Norway	Foretaksregisteret (the Register of Business Enterprises)	May 26, 2014
Norway	Enhetsregisteret (the Central Coordinating Register for Legal Entities)	May 26, 2014
Pakistan	Securities and Exchange Commission Corporate Registry	March 5, 2014
Poland	in Polish: Krajowy Rejestr Sądowy in English: National Court Register (KRS)	December 23, 2013
Portugal	Commercial Registry (in Portuguese: registo comercial) managed by the Institute of Registries and Notary (Instituto dos Registos e do Notariado) (http://www.irm.mj.pt and http://www.empresaonline.pt)	August 13, 2015
Russia	in Russian: Единый Государственный Реестр Юридических Лиц (ЕГРЮЛ) in English: Unified State Register of Legal Entities	December 15, 2013
Saudi Arabia	Kingdom of Saudi Arabia Commercial Register	December 11, 2013
Singapore	Accounting and Corporate Regulatory Authority (ACRA)	December 11, 2013
Slovakia	Obchodný register	March 5, 2014
Slovenia	Slovenian Business Register	January 26, 2014
South Africa	Companies and Intellectual Property Commission Business Register	March 5, 2014
Spain	Registro Mercantil del Reino de España	December 11, 2013
Sweden	<u>Bolagsverket (Swedish Companies Registration Office)</u>	December 11, 2013
Switzerland	Office fédéral de la statistique Registre UID	December 11, 2013

⁴ Local branch offices of the Ministry of Justice of Japan.

Turkey	Gumruk ve Ticaret Bakanligi Ic Ticaret Genel Mudurlugu	December 11, 2013
UK England and Wales	Companies House	December 11, 2013
UK Northern Ireland	Companies House	December 11, 2013
UK Scotland	Companies House	December 11, 2013
USA Alaska	State of Alaska Corporations Registry	December 11, 2013
USA California	Secretary of State Business Entity Records	December 15, 2013
USA Montana	Secretary of State Corporate Records	December 11, 2013
USA Nebraska	Secretary of State Business Services Division	January 3, 2014
USA Utah	Division of Corporations and Commercial Code	December 11, 2013

November 3 2013

Annex: Global Legal Entity Identifier Initiative – Business Registry Information

Dear Sir/Madam,

We are writing on behalf of the Regulatory Oversight Committee (ROC) of the Global Legal Entity Identifier System (GLEIS), which is a G20 and Financial Stability Board (FSB) endorsed global initiative to deliver unique identification of parties to financial transactions across the world, other than natural persons. Business registries are an important source of information to support the unique identification of entities. For that reason, business registry name and registry identification numbers were included by G20 and the FSB in the LEI reference data at the system launch, as set out in the International Organisation for Standardisation (ISO) 17442 standard⁵. Recognising the role of national business registries in this global initiative, we are writing to you to seek your confirmation that there are no impediments or obstacles to the use of such numbers in the specific case proposed, which is set out below. We should be grateful for your response by Monday 2 December 2013.

The GLEIS system of identification will be used widely throughout the public and private sectors. The legislation and regulation of many countries have already requested, or will request in the near future, the use of the LEI for identifying entities in the reporting of some financial transactions. It will bring widespread benefits. In particular, such a system will provide a valuable ‘building block’ to contribute to and facilitate many financial stability objectives, including: improved risk management in firms; better assessment of micro and macroprudential risks; facilitation of orderly resolution of financial firms; containing market abuse and curbing financial fraud; and enabling higher quality and accuracy of financial data overall. It will reduce operational risks within firms by mitigating the need for tailored systems to reconcile the identification of entities and to support aggregation of risk positions. The lack of a common global identification system proved very costly in the financial crisis.

Given the manifold benefits of such a system, the G20 leaders in 2011 mandated the global regulatory community through the FSB to undertake the necessary preparatory work. The FSB prepared a report in June 2012 setting out recommendations and principles for a 3-tier federated system. The report was endorsed by the G20⁶ and the recommendations have subsequently been taken forward to implementation by the global regulatory community, working in close consultation with major private sector stakeholders. The ROC is the first tier, responsible for the governance of the GLEIS in the broad public interest. It currently has 55 member authorities from the regulatory community across the globe, as well as 19 observer authorities. The second tier is the Global LEI Foundation (GLEIF), a non-for-profit body operating the Central Operating Unit of the system which will undertake the central operational functions. The GLEIF is expected to be established by the FSB as a not-for-profit foundation in Switzerland shortly. The third leg of the system will be provided by a federated group of Local Operating Units (LOUs)⁷ which will provide the interface to entities registering in the GLEIS. There are 14 already in place, and more are expected soon, and such “pre-LOUs” have already begun assigning pre-LEIs and publishing reference data.

⁵ See Recommendation 9 of the FSB LEI report at http://www.leiroc.org/publications/gls/roc_20120608.pdf

⁶ http://www.leiroc.org/publications/gls/roc_20120608.pdf

⁷ Before the full global system is launched these are labelled and known as pre-LOUs.

Under the global LEI initiative, each registered entity is allocated a unique 20-digit code, which is linked to a minimal set of information necessary to provide unique identification of the entity. Alongside elements such as the name and legal address, a vital role in the global identification system is also envisaged for the business registration number of the entity and the business registry reference where the entity is formed, as in many jurisdictions such registration defines and provides the proof of the existence of the legal entity. The proposed approach is that each entity applying for an LEI code would supply the required reference data to their preferred LOU, including their business registration number and name of the business registry, where available⁸⁹. The information supplied by the entity seeking an LEI code would then be validated by the LOU, and the resultant LEI code and reference data for the entity would then be published as part of the GLEIS. The published information would be available to anyone free of charge, and without restrictions on republication or use.

To provide clarification that this proposed use of the business registry number is compatible with the conditions of use for your business registry, we are writing to seek your confirmation that: (1) there are no impediments to entities themselves with official business registry numbers in your registry providing their business registry numbers to LOUs, or the pre-LOUs, as part of their self-submitted reference data; (2) there are no impediments to the LOUs, or the pre-LOUs, freely publishing such registration numbers, as supplied by the entities; and (3) there are no impediments to the free use of such business registration numbers by users of the GLEIS. The ROC will maintain and publish a list of business registries that have provided written clarification/confirmation that there are no such impediments. Following publication of this list, entities registered in business registries on the list will be asked to supply their business registry numbers to pre-LOUs and LOUs as a key element of the reference data for publication in the GLEIS.

We should be very grateful, if you could respond to the ROC Secretariat Irina Leonova and Nigel Jenkinson (irina.leonova@bis.org; nigel.jenkinson@bis.org), by 2 December 2013, stating your confirmation of the above. Please could you also provide the official name of the registry for inclusion on the list so we can request all pre-LOUs and LOUs to use this exact name of your business registry.

Please do not hesitate to contact us if you have any questions. We look forward to hearing from you.

Yours sincerely

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⁸ Some entities acquiring LEIs are not registered with business registries.

⁹ According to the guideline adopted by the ISO TC68 Standards Advisory Group (SAG) in September 2013, the only exceptions will arise where the necessary data does not exist, or it is subject to legal constraints imposed by the data owner in the context of business registries.