

# LEI – mandatory for securities transactions from 2018.

Get your Legal Entity Identifier code now.

## WHAT IS THE LEI?

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The Legal Entity Identifier (LEI) is an internationally standardised unique code which applies worldwide to financial market participants (for securities and OTC derivative transactions). It is used to identify business partners (such as companies) and for specific regulatory reporting.

The purpose of the LEI is to make the financial market more secure and transparent.

## FROM WHEN WILL THE LEI BE REQUIRED AND WHY IS IT NEEDED?

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As from 3 January 2018 (pursuant to the Markets in Financial Instruments Regulation (EU) No 600/2014 – MiFIR) companies (legal entities) may conduct securities transactions only if they provide their executing bank with the standard LEI code.

Please note that the LEI is required for both the purchase and sale of securities.

The LEI has been required for OTC derivative transactions for quite a long time; you can use an LEI you may already have for your securities transactions as from 2018.

## WHERE CAN THE LEI BE OBTAINED?

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Information on the procedure for applying for or extending the validity of an LEI is provided on the website of the Austrian Economic Chambers (available in German only): <https://www.wko.at/service/unternehmensfuehrung-finanzierung-foerderungen/legal-entity-identifier-voraussetzung-wertpapiergeschaefte.html>

## WHAT IDENTIFICATION DO YOU NEED AS A NATURAL PERSON?

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For **natural persons**, and **sole proprietorships/independent professionals which/who are not registered**, there is a list of identification possibilities, based on a person's nationality (**national client identifier**). Wherever possible, this identifier code is created automatically based on data that are already available (name, date of birth). The bank will send you a letter if it requires any further information.

## FURTHER DETAILS

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Please contact your relationship manager for further details .

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