

Julius Bär

JUNE 2016

1/2

HOW TO OBTAIN A LEGAL ENTITY IDENTIFIER („LEI“)

1. WHAT IS A LEI?

The Legal Entity Identifier (LEI) is a 20 digit code which is used to identify legal entities involved in financial transactions.

The implementation of a global LEI system was initiated by the G-20 in cooperation with the Financial Stability Board (FSB) to assess and monitor potential systemic risks and to preserve global financial stability. The range on the LEI usage is broad. For the report of derivative transactions the LEI is displayed by the reporting parties on each transaction. Some regulators have even made the provision of the LEI mandatory.

The LEI is unique and can only be assigned to a single legal entity. Once a legal entity has obtained a LEI, it is not allowed to obtain any further LEIs.

2. WHO MAY OBTAIN A LEI?

Every legal entity may obtain a LEI. This also includes legal structures that may conclude legally binding contracts, e.g. funds and trusts. Natural persons cannot obtain a LEI.

Legal entities that have already obtained a CFTC Interim Compliance Identifier (CICI) don't need to obtain a LEI. For reporting purposes the CICI will be displayed instead of the LEI.

3. HOW TO GET A LEI?

LEIs are issued by so called "Local Operating Units" (LOUs). A list of LOUs can be obtained on the following websites: www.gleif.org and www.leiroc.org.

LOUs are not established in each country. Legal entities may seek the services of a LOU which offers cross-border services.

Registration of a LEI is usually online. To assign a LEI to a legal entity, LOUs require a minimum amount of reference data (e.g. address, place of incorporation, legal name and legal form), which need to be provided by the applicant. LOUs compare the applications to linked reference data with reliable sources (e.g. commercial register). On a yearly basis legal entities need to reconfirm correctness of the provided data.

4. WHAT ARE THE COSTS OF A LEI?

LOUs usually raise a fee for the initial setup of a LEI and the yearly renewal. The amount depends on the LOU (approx. CHF 150 for the initial setup and CHF 100 for renewal).

5. ARE LEIS BEING PUBLISHED?

LOUs provide the LEIs as well as the related reference data to the public and to state authorities. Interested parties can look up the LEI as well as the reference data through the web based LEI-Search-Tool. A LEI-Search-Tool can be found under the following links: www.gleif.org or www.lei-lookup.com.

6. WHAT IS THE LEI OF BANK JULIUS BAER & CO. LTD.?

The LEI of Bank Julius Baer & Co. Ltd. is: PNWU8O0BLT17BBV61Y18

CONTACTS

BANK JULIUS BAER & CO. LTD.
Bahnhofstrasse 36
P.O. Box
8010 Zurich
Switzerland
Telephone +41 (0) 58 888 1111
Fax +41 (0) 58 888 1122
www.juliusbaer.com

IMPORTANT LEGAL INFORMATION

No representation, warranty, or assurance of any kind, express or implied, is made as to the accuracy or completeness of the information contained in this document. Neither Bank Julius Baer & Co. Ltd. nor any other entity of the Julius Baer Group accepts any obligation to any recipient to update or correct any information contained herein. The information and opinions expressed in these FAQs were produced by Bank Julius Baer & Co. Ltd., Zurich, as of the date of writing and are subject to change without notice. The information in these FAQs is published for information purposes only and does not constitute an analysis of all potentially material issues. These FAQs have been prepared without taking account of the objectives, financial situation or needs of any particular client. Julius Baer recommends that any client independently assesses, with a professional advisor, the specific legal, regulatory and other consequences.

NEITHER THESE FAQs NOR ANY COPY THEREOF MAY BE SENT, TAKEN INTO OR DISTRIBUTED IN THE UNITED STATES OR TO ANY US PERSON.

© Bank Julius Baer & Co. Ltd., 2016