Practical Guide
Accreditation Communication Tools
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Information for new or existing Global Legal Entity Identification System Participants
Purpose

Support the Applicant/Candidate with a practical guide that explains how to use the communication tools required for the GLEIF Accreditation Process.
Agenda

1. Overview of Tools

2. Using the Communication Tools

3. Important Points to Remember

4. Q&A / AOB
Key Terms

A few key terms you will find throughout this document include:

- LEI = Legal Entity Identifier
- LE = Legal Entity
- LOU = Local Operating Unit
- Applicant LOU = This is your organization at the onset of the process prior to signing the Master Agreement.
- Candidate LOU = This is your organization during the post-Master Agreement phase of Accreditation.
Accreditation Tools

GLEIF Website

The GLEIF website is the **primary tool** for accessing information on how the Accreditation process works. All required documentation for completing the Accreditation Process is on the GLEIF Website:  [www.gleif.org](http://www.gleif.org)

Navigate to the menu item in the top banner ‘LEI System’ and then the left side menu ‘GLEIF Accreditation of LEI Issuers’. An example is on the next page.

The sub-menu pages provide detailed information on

- Accreditation Process:
  *What are the 6 steps required to achieve Accreditation?*

- Support:
  *Who do I contact if I have a general question on GLEIF Accreditation?*

- Required Documents:
  *Where do I find the required documentation for Accreditation?*
GLEIF Accreditation of LEI Issuers

Accreditation is the process by which the Global Legal Entity Identifier Foundation (GLEIF) evaluates the suitability of organizations seeking to operate within the Global LEI System as issuers of Legal Entity Identifiers (LEIs) and custodians of LEI Reference Data. Becoming a member of the Global LEI System via GLEIF accreditation is a globally recognized designation of commitment to data quality and customer service.

An organization authorized to issue LEIs to legal entities participating in financial transactions is referred to as a Local Operating Unit (LOU). LOUs supply registration, renewal and other services, and act as the primary interface with registrants for LEIs. An LOU may issue LEIs to legal entities in any country where it is accredited to do so.

This section of the GLEIF website makes available all documentation and information relevant to the GLEIF accreditation process. The six steps, which an organization seeking to become a GLEIF accredited LOU must complete, are detailed, on this dedicated GLEIF website page: Accreditation Process.

Step 1: Click on the menu item ‘LEI System’
Step 2: Click on the side menu ‘GLEIF Accreditation of LEI Issuers’
Step 3: Be sure to review the detailed information
Accreditation Tools

Overview

There are 3 primary tools for communicating and exchanging documentation during the Accreditation process.

Email

- Email is used to initiate your request to participate in the Accreditation Process and to provide your signed Non-Disclosure Agreement (NDA).
- Throughout the accreditation process, automated notifications from the Service Portal and Data Room are received via email and provide information regarding your application status and required actions.

Service Portal (portal.gleif.org)

- The Service Portal is a workflow tool. You will use it to formally notify GLEIF of the completion of certain tasks including submission of your Accreditation Plan and Accreditation Documentation.
- It is also the permanent record of communications with GLEIF during accreditation.

Data Room (dataroom.gleif.org)

- The Data Room is a file management system. You will upload your Accreditation Plan, completed Accreditation Checklist, and all supporting documentation in pre-defined folders.
Accreditation Tools
Service Portal Reference Page

The Service Portal provides you a ‘ticket number’. You will reference this ticket number when you want to check the status of your application in the Service Portal. The possible application statuses are below.

<table>
<thead>
<tr>
<th>Portal Status Message</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>NDA</td>
<td>NDA is received and uploaded to Data Room; accounts are activated</td>
</tr>
<tr>
<td>Assess Plan</td>
<td>Triggered by Applicant LOU, indicates that the Applicant LOU has submitted its Accreditation Plan for GLEIF review</td>
</tr>
<tr>
<td>Assess Plan; Plan Rework</td>
<td>GLEIF has requested additional information in order to complete review</td>
</tr>
<tr>
<td>Rejected</td>
<td>Materials submitted were not approved</td>
</tr>
<tr>
<td>Master Agreement</td>
<td>Triggered by Candidate LOU, indicates the Master Agreement has been uploaded for GLEIF counter signature</td>
</tr>
<tr>
<td>Prepare Documentation</td>
<td>Countersigned Master Agreement is available in the Data Room</td>
</tr>
<tr>
<td>Assess Documentation</td>
<td>Triggered by Candidate LOU, indicates that the Accreditation Documentation has been submitted for GLEIF review</td>
</tr>
<tr>
<td>Accredited</td>
<td>GLEIF has reviewed all materials and has granted Accreditation</td>
</tr>
</tbody>
</table>
Accreditation Tools
Data Room Reference Page

The Applicant/Candidate LOU will have different user rights in the Data Room based on where the Applicant/Candidate LOU is in the Accreditation Process.

<table>
<thead>
<tr>
<th>Status</th>
<th>Upload File</th>
<th>Delete File</th>
<th>Read File</th>
</tr>
</thead>
<tbody>
<tr>
<td>LOU In-Process</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>LOU Final</td>
<td></td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

Only applies when you are in the status of:
- Assess Plan
- Assess Documentation
- Accredited
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Develop Accreditation Plan

After reviewing the materials on the GLEIF website, the Applicant LOU decides it would like to prepare an Accreditation Plan.

Applicant LOU downloads Appendix 01 – NDA from the GLEIF website, completes the NDA, and sends the signed NDA to accreditationrequest@gleif.org.

The Applicant LOU receives a confirmation email.
Important Points to Note

In the email to accreditationrequest@gleif.org, please make sure to specify:

• Your preferred language for the interface (English is the default)
• The contact name, job title, and email address to which automated emails from the Service Portal and Data Room should be directed
• The contact name and job title of the individual signing the NDA

Note: GLEIF policy requires that the individual signing the NDA and the Master Agreement is an authorized agent of the organization. This needs to be verified via public records or an alternative source if public records are not available. You are encouraged to submit this information with the executed NDA in order to avoid any delays in the Accreditation process.
The Applicant LOU receives by email:

1. its assigned prefix
2. its Service Portal & Data Room credentials (user name and password)
3. instructions for next steps

Dear Applicant:

Per your request, GLEIF has set up a user account on our customer portal and data room for your use. Your user account is USERXXXX. The initial password is XXXXXXXX.

This user account will work on both systems. You may share this user account with anyone you deem appropriate within your organization who is participating in the Accreditation process.

If you have any problems with this account, please respond to this email.

Thanks and best regards.

This communication is logged in the Service Portal
The Applicant LOU logs in and tests its Service Portal credentials.

Click on the ticket & access the NDA correspondence.

Note the status.
The Applicant LOU logs-in and tests its Data Room credentials. The Applicant LOU should see and be able to access the following:

**First View of Data Room**

- **Homepage**: The main page with file shares and search functionality.
- **Subfolders**: Structured folders under the homepage.

Note: The folder structure follows the organization of the Accreditation Checklist to facilitate easy identification of documents submitted.
Data Room Subfolder Definition & Review

The folders below are intended for:

- **1 - Plan**
  - supporting documentation for the Accreditation Plan

- **2 - Documentation**
  - supporting documentation for the Accreditation Documentation

- **3 - Master Agreement and NDA**
  - signed MA and NDA

- **4 - Accreditation Checklist**
  - signed and completed Accreditation Checklist

- **5 - Conference call Materials**
  - materials for optional conference calls

**Folder 3 – Master Agreement and NDA**

- 9999-2October2015-NDA.pdf
  - Size: 1.3 MB
  - Modified: a day ago

Note the system generated details in red
Agree on Accreditation Plan

The Applicant LOU uploads its Accreditation Plan and supporting documentation to the Data Room.

The Applicant LOU notifies GLEIF via the Service Portal when the Accreditation Plan and supporting documentation is fully complete and ready for review.

Following review of the materials, you may receive questions from GLEIF on your submission. These communications will be logged in the Service Portal.

All submitted documents must conform to GLEIF’s naming convention!

XXXX-YYMMDD-<filename>
Prefix-Document Date-Your chosen filename
Example: 9999-151028-Accreditation Plan
Data Room

The Applicant LOU uploads the Accreditation Plan and supporting documentation

- 1 - Plan
- 2 - Documentation
- 3 - Master Agreement and NDA
- 4 - Accreditation Checklist
The Applicant LOU notifies GLEIF when the Accreditation Plan is fully complete and ready for review.

Click the hyperlink and complete form

Receive confirmation of submission
The Service Portal now reflects that GLEIF is reviewing the Accreditation Plan submission.

Information

- Ticket#: 201500610000156
- Process state: Assess plan

Next Steps

There are no dialogs available at this point in the process.

Please note, the Applicant LOU no longer has the ability to upload or delete files in the Data Room given the status 'Assess Plan'. Please exercise all due care when closing your submission for review.
Upon completion of the review, GLEIF notifies the Applicant LOU either:

- the Accreditation Plan is approved and asks for signed Master Agreement (*documentation accessible via the GLEIF website*)

- Additional work is needed

[See next pages]

Status updated

Link to notify GLEIF of Accreditation Plan submission is reactivated
Data Room

Applicant LOU uploads signed Master Agreement to the Data Room.
Applicant LOU informs GLEIF via the Service Portal.

Service Portal

Information
Ticket#: 2015100610000576
Process state: Master agreement

Next Steps
Confirm upload of signed master agreement

Send signed master agreement - Form to upload signed master agreement.

Subject: MA uploaded
Text:

Please see Data Room.

Attachment:

Submit
GLEIF - Data Room

GLEIF uploads the countersigned Master Agreement to the Data Room.

GLEIF uploads the test cases to the Data Room.
GLEIF – Service Portal

GLEIF notifies of the signed Master Agreement via the Service Portal.

The Service Portal automatically maintains a history of all communications.
Data Room

When ready, the Candidate LOU uploads its Accreditation Documentation (including test case responses) to the Data Room.

Example: Records Management

- D - Financial Data, Audits & General Governance
- E - Cost Recovery Requirements
- F - LOU Services
- G - Required Website Items
- H - Records Management
- I - Software Development
- J - Networks & Infrastructure
- K - Security & Compliance
- L - Data Quality Management
- Test Data

Example file: 9999-151201-Records Retention Policy.pdf
The Candidate LOU notifies GLEIF via the Service Portal when the Accreditation Documentation is complete.
Service Portal

The Service Portal now demonstrates that GLEIF is reviewing the Accreditation Documentation submission

Please note, the Candidate LOU no longer has the ability to upload, edit or delete files in the Data Room given the status 'Assess Documentation’. Please exercise all due care when closing your submission for review.
Assess Accreditation Documentation

GLEIF logs-in to the Data Room and accesses the Accreditation Documentation and test case data.

The Candidate LOU may receive questions from GLEIF on the Accreditation Documentation or test cases. These will be logged in the Service Portal.

Upon completion of the review, GLEIF notifies the Candidate LOU either:

- the Accreditation Documentation is approved, an LOU Relationship Manager is assigned, and onboarding will commence immediately through the GLEIF Business Operations Team
- Additional work is needed
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Optional Conference Calls

• The Applicant/Candidate LOU may, upon request, schedule up to 3 review conference calls or videoconferences with GLEIF during the Accreditation Process.

**How do I schedule a call?**

- Log-in to the Data Room and upload the documents you would like to discuss to the folder ‘Conference call materials’.

- Log-in to the Service Portal and submit your request. Make sure to specify:
  - References to the document(s) in the Data Room for discussion
  - Specific questions relative to the Accreditation Plan or Accreditation Checklist
  - Dates and times when the Applicant/Candidate is available to participate in a call

Please note: Questions/answers of general interest will be posted to the GLEIF website in an unattributed manner.
Reminders!

- Remember your user name and password – User is always “userXXXX” where XXXX is your established prefix or, if you are new to the system, GLEIF will provide you with a prefix to use.

- Remember the file naming convention (XXXX-YYMMDD-<filename>)

- *Communication with Service Portal:* Your email responses to the Service Portal notifications are logged. This is an excellent way to respond to and to preserve the accreditation communication.

- **Email Address** accreditationrequests@gleif.org: Only send one email to this address. You must attach your signed NDA to this email. Upon receipt of this email, your accreditation ticket number is created and you should make note of it for future reference – it is your identifier for the entire Accreditation process.

- **Email Address** accreditation@gleif.org: Use this email address for all general accreditation questions.

- Verify and ensure that the person signing your NDA and Master Agreement is your organization’s authorized representative. GLEIF cannot enter into the Master Agreement without clarity on this point.
Limitations

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