



**REQUEST FOR AN ASSIGNMENT OF LEI – FUND**

**1. FUND DATA:**

<b>Legal Name:</b>	
<b>Other Fund Names:</b>	
<b>Business Register Number:</b>	
<b>ID for VAT:</b>	
<b>Legal Form:</b>	
<b>Business Register Data (Name and Country):</b>	
<b>Fund Creation Date:</b>	

<b>LEGAL ADDRESS</b>	
<b>Street and House Number:</b>	
<b>City:</b>	
<b>ZIP:</b>	
<b>Country:</b>	
<b>HEADQUARTERS ADDRESS</b>	
<b>Street and House Number:</b>	
<b>City:</b>	
<b>ZIP:</b>	
<b>Country:</b>	
<b>OTHER ADDRESS</b>	
<b>Street and House Number:</b>	
<b>City:</b>	
<b>ZIP:</b>	
<b>Country:</b>	

**2. CONTACT PERSON DATA:**

<b>Name and Surname:</b>	
<b>Position:</b>	
<b>Phone Number:</b>	
<b>e-mail:</b>	
<b>Street and House Number:</b>	
<b>City:</b>	
<b>ZIP:</b>	
<b>Country:</b>	



### 3 . DATA OF THE DIRECT PARENT-CHILD RELATIONSHIP

#### 3.1. *Fund is not in Parent-Child relationship*

Fund does not have a Direct Parent according to the definition used or the Parent Company doesn't have an LEI yet, due to one of the following reasons (mark with a cross):

<input type="checkbox"/> Fund is controlled by legal entities not subject to preparing consolidated financial statements.
<input type="checkbox"/> There is no known person controlling the fund (e.g., diversified shareholding).
<input type="checkbox"/> Fund is controlled by natural person(s) without any intermediate legal entity meeting the definition of accounting consolidating parent.
<input type="checkbox"/> Parent company does not have an LEI.

#### 3.2. *Fund is in Parent-Child relationship*

DIRECT and ULTIMATE Parent are the same Entity (please choose)  YES  NO

(If they are different Entity please provide information on both, Direct and Ultimate Parent below.)

##### (a) Provide the data of the Parent-Child relationship or

<b>LEI:</b>	
<b>Legal Name:</b>	
<b>Legal Address:</b>	
<b>Headquarters Address:</b>	
<b>Business Register Number:</b>	
<b>Business Register Data (Name and Country):</b>	
<b>Relationship period (start date):</b>	
<b>% of ownership:</b>	

##### ***Enclosed documents***

List the titles of the document(s) stating that the Parent-Child relationship exists and enclose a copy of the said document(s) (consolidated financial statements, regulatory filings, Contracts, or other documents supporting the said relationship).

##### (b) select an opt-out reason preventing you to disclose said data and briefly explain

<input type="checkbox"/> The parent does not consent to have an LEI.
<input type="checkbox"/> Obstacles in the laws or regulations of a jurisdiction prevent providing or publishing this information. This does not include cases where, under the applicable legal framework disclosing the parent relationship would require the consent of one of the entities in the relationship, or both, and such consent could not be obtained.
<input type="checkbox"/> The consent of the parent was necessary to provide or publish said information under the applicable legal framework and the parent did not consent or could not be contacted.
<input type="checkbox"/> Binding legal commitments (other than the laws or regulations of a jurisdiction) preventing providing or publishing this information, e.g. articles governing the legal entity or a contract.
<input type="checkbox"/> The disclosure of this information would be detrimental to the legal entity or the relevant parent.
<input type="checkbox"/> Detriment to the legal entity or the relevant parent is not excluded in case of disclosure of this information.



#### 4. DATA OF THE ULTIMATE PARENT-CHILD RELATIONSHIP

##### 4.1. Fund is not in Parent-Child relationship

<input type="checkbox"/> Fund is controlled by legal entities not subject to preparing consolidated financial statements.
<input type="checkbox"/> There is no known person controlling the fund(e.g.,diversified shareholding).
<input type="checkbox"/> Fund is controlled by natural person(s) without any intermediate legal entity meeting the definition of accounting consolidating parent.
<input type="checkbox"/> Parent company does not have an LEI.

##### 4.2. Fund is in Parent-Child relationship (has an Ultimate parent)

###### (a) Provide the data of the Parent-Child relationship or

LEI:	
Legal Name:	
Legal Address:	
Headquarters Address:	
Business Register Number:	
Business Register Data (Name and Country):	
Relationship period (start date):	
% of ownership:	

###### **Enclosed documents**

List the titles of the document(s) stating that the Parent-Child relationship exist and enclose a copy of the said document(s) (consolidated financial statements, regulatory filings, Contracts, or other documents supporting the said relationship).

###### (b) select an opt-out reason preventing you to disclose said data and briefly explain

<input type="checkbox"/> The parent does not consent to have an LEI.
<input type="checkbox"/> Obstacles in the laws or regulations of a jurisdiction prevent providing or publishing this information. This does not include cases where, under the applicable legal framework disclosing the parent relationship would require the consent of one of the entities in the relationship, or both, and such consent could not be obtained.
<input type="checkbox"/> The consent of the parent was necessary to provide or publish said information under the applicable legal framework and the parent did not consent or could not be contacted.
<input type="checkbox"/> Binding legal commitments (other than the laws or regulations of a jurisdiction) preventing providing or publishing this information, e.g. articles governing the legal entity or a contract.
<input type="checkbox"/> The disclosure of this information would be detrimental to the legal entity or the relevant parent.
<input type="checkbox"/> Detriment to the legal entity or the relevant parent is not excluded in case of disclosure of this information.



## 5. FUND MANAGING ENTITY INFORMATION

A Legal Entity that is considered as the main management entity of a fund when it is legally responsible for the constitution and operation of the fund. Such responsibility will include the day-to-day management of a fund's investments and management of a fund's risks, or the appointment of others for that purpose. In the latter case, the entity to which these functions may have been delegated is not considered to be a Fund Management Entity.

<b>LEI:</b>	
<b>Legal Name:</b>	
<b>Legal Address:</b>	
<b>Headquarters Address:</b>	
<b>Business Register Number:</b>	
<b>Business Register Data (Name and Country):</b>	
<b>Relationship period (start date):</b>	

## 6. FUND TYPE INFORMATION

If the fund fits one of the below type structures, please fill the needed information. (If it does not fit below structure and is a standalone fund, leave empty).

### 6.1 Umbrella structure

An Umbrella Structure is a Legal Entity with one or more than one sub funds/compartments where each sub-fund/compartment has its own investment objectives, separate investment policies and strategies, segregation of assets, separate investors and which has segregated liability between sub-funds/compartments.

<b>LEI of Umbrella Fund:</b>	
<b>Relationship period (start date):</b>	

(Umbrella Fund must have a valid LEI issued, if it does not have one, one must be applied for.)

### 6.2 Master – Feeder structure

A relationship, where a Feeder Fund is exclusively, or almost exclusively, invested in a single other fund (e.g. U.S, EU UCITS), or several funds that have identical investment strategies (for the latter, provided this situation is qualified as a Master-Feeder Relationship under the applicable laws and regulations, e.g. some alternative Investment Funds in the EU) referred to as a Master Fund (or Master Funds).

<b>LEI of Master Fund:</b>	
<b>Relationship period (start date):</b>	

(Master Fund must have a valid LEI issued, if it does not have one, one must be applied for.)



**STATEMENT (all fields are *mandatory*):**

With my signature I hereby (mark with a cross):

- guarantee for the accuracy and veracity of all the above stated data and accept KDDLEI - General Terms and Conditions which I have read;
- give permission to KDD to transmit data, collected in this LEI porting and maintenance procedure, to third persons if a disclosure of this data is needed for GLEIS performance due to the ISO 17442, ROC instructions or other documents or if a disclosure of this data is required due to the Law of the Republic of Slovenia;
- confirm that fund with the above stated data has not been assigned LEI in the Republic of Slovenia nor in any other country and that no other request for the assignment of an LEI has been submitted.

**The scan of the request should be sent to: [kddlei@kdd.si](mailto:kddlei@kdd.si) or in physical form to KDD d.d., Tivolska cesta 48, 1000 Ljubljana, Slovenija**

Date:

Name and surname of the authorised person and his signature: