



LSEG

Pegasus

The online ISIN application system

Step 1: Requester Details

June 2017 – Version 1.1

Disclaimer

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LSE Plc shall conduct appropriate due diligence on any request for an ISIN. The determination of whether a security is eligible for an ISIN and whether the requestor has supplied appropriate documentation shall be made by LSE Plc in its sole discretion and any such determination shall be final.

LSE Plc shall have no liability in connection with a determination that a security is or is not eligible for an ISIN. The allocation of an ISIN to a particular security is not intended to be and should not be construed as an endorsement of such security or an opinion as to the legal validity of such security.

LSE Plc does not guarantee the accuracy, adequateness or completeness of any data associated with the ISIN and shall not be liable or responsible for any errors or omissions or for the results obtained from the use of any ISIN.

By submitting a request for an ISIN, the applicant: (a) warrants that it has the legal authority to request an identifier on behalf of the issuer of the security that is the subject of the ISIN; (b) warrants that all information supplied shall be true and correct in all material respects; and (c) acknowledges and agrees to this disclaimer.

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1. Creating an initial ISIN application account through UnaVista

Sign in to UnaVista here:

<https://www.unavista.londonstockexchange.com/datasolutions/login.html>

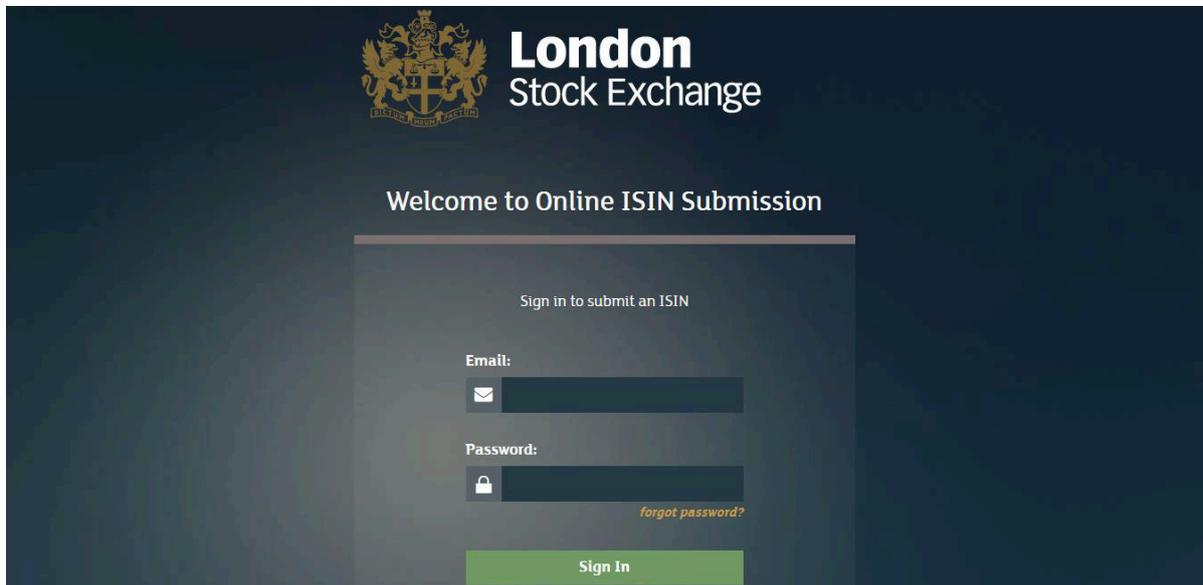
Figure 1.0

Options	Filters	View Details	Update Request	Request UK ISIN						
<input type="checkbox"/>	SEDOL	SecurityDescription	ISIN	CFICode	COR	OPOL	Status	Event		
<input type="checkbox"/>	1	B95H5C5	0.016 RFD 01/01/13	FR0011388305	EMVTFN	XX	XPAR	Inactive	Ranks Pari Pas	
<input type="checkbox"/>	2	B1KKG77	A DKK1 (RFD 01/07/2006)	DK0060055788	ESVUFN	DK	XCSE	Inactive	Ranks Pari Pas	
<input type="checkbox"/>	3	B0DR0X0	ABERTIS INFRA SA BONUS RIGHT A SH5	ES0111045618		ZZ	XMAD	Inactive	Call paid	
<input type="checkbox"/>	4	B06NMF8	AEGON CHOICE DIVIDEND RIGHT 2005	NL0000398683		ZZ	XAMS	Inactive	Ranks Pari Pas	
<input type="checkbox"/>	5	7748079	'A'EUR4(RFD 1/1/04)	FR0010045153		ZZ	XPAR	Inactive	Ranks Pari Pas	
<input type="checkbox"/>	6	B7LR4X9	'A'NPV(NTERIM SHARES)	FI4000038112	ESVUFR	FI	XHEL	Inactive	Ranks Pari Pas	
<input type="checkbox"/>	7	B3DCB00	AUDO RFD 30/6/08	AU000004PHN4		AU	XASX	Inactive	Ranks Pari Pas	
<input type="checkbox"/>	8	B4ZQ000	B NPV (ISSUE 2010)	SE0003331719		SE	XXXX	Tradeable	Name change	
<input type="checkbox"/>	9	B4ZPXG4	B NPV(FPD 01/01/2010)	SE0003360791		SE	XNGM	Inactive	Ranks Pari Pas	
<input type="checkbox"/>	10	B3DUNC3	BH00 RFD			BH	XBAB	Inactive	Duplicate	
<input type="checkbox"/>	11	B3DWRL3	BH00 RFD			BH	XBAB	Inactive	No adequate ir	
<input type="checkbox"/>	12	B06NNK3	BOSKALIS WESTMINSTER - RIGHT MAY05	NL0000398725		ZZ	XAMS	Inactive	No longer reno	
<input type="checkbox"/>	13	B46GQD4	BRIK (EX-DIVID)	DK0060272292		EU015N	DK	XCSE	Inactive	Ranks Pari Pas
<input type="checkbox"/>	14	B64TH92	BRL0 RFD	BRLPRR01OR2		BR	BVMF	Inactive	No adequate ir	

- You'll only need to complete this process once.
- Click on the number next to the “SEDOL Masterfile Issuers” or “SEDOL Masterfile Securities” on the left-hand side of the screen, as highlighted in red in Figure 1.0 above.
- Select the **IssuerName** required in the centre of the screen by using the corresponding tick box.
- Click on the “Request UK ISIN” button, as highlighted in red in Figure 1.0 above.
- You will be directed to the “Create Password” page, where you need to create a password for the ISIN application submission process.
- From now on, you can access the ISIN Application submission:
 - via “Request UK ISIN” button in UnaVista as above
 - or
 - directly on the following link <https://isinrequest.lseg.com>

2. Sign in

Figure 1.1



The screenshot shows the London Stock Exchange logo and the text "London Stock Exchange" in the top left. Below it, the heading "Welcome to Online ISIN Submission" is centered. A central form box contains the text "Sign in to submit an ISIN". The form has two input fields: "Email:" with an envelope icon and "Password:" with a lock icon. A "forgot password?" link is positioned below the password field. A green "Sign In" button is at the bottom of the form.

- Enter your email address.
- Enter your password.
- Click the “Sign In” button.
- Proceed to sub-step 7 (see page 10).
- If you have forgotten your password, click “*Forgot password?*” and proceed to sub-step 3 (see page 6).

3. Forgot password

Figure 1.2



The screenshot shows the London Stock Exchange logo and name at the top left. Below it, the text "Forgot Password" is centered. A central form box contains the instruction: "Please enter your email address below for instructions on how to change your password." Underneath, the label "Email:" is followed by a text input field with a placeholder "Enter Your Email Address" and a green "Send" button with a checkmark icon.

- If you clicked “*Forgot password?*”, you’ll be directed to this screen.
- Enter your email address.
- Click “Send”.
- Proceed to sub-step 4 on page 7.

4. Confirmation of email sent

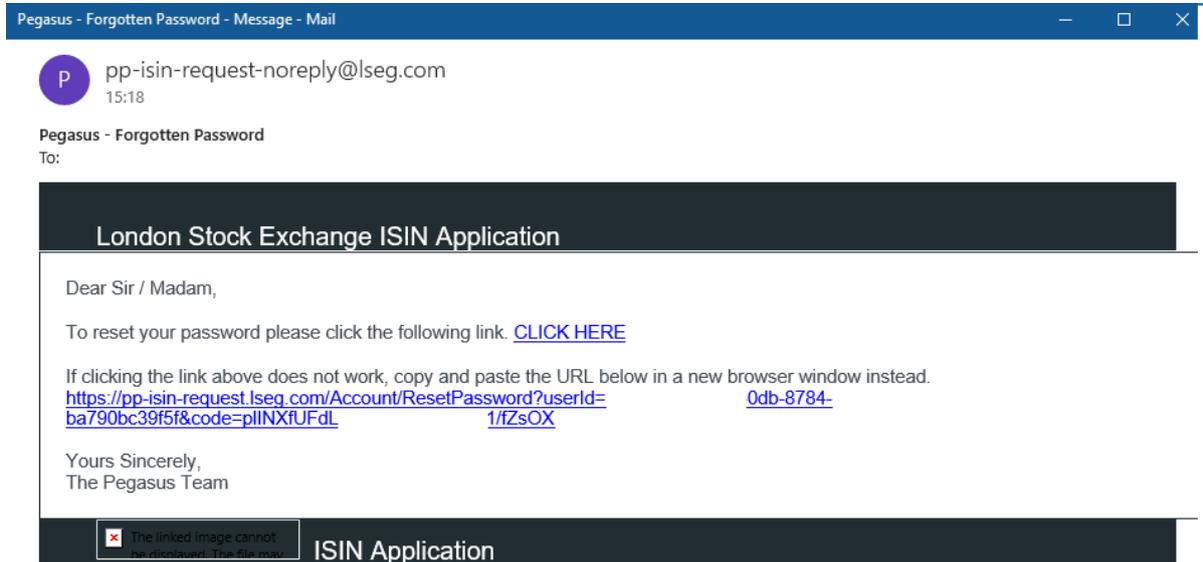
Figure 1.3



- You'll be directed to this page.
- If your email address is recognised, you will receive an email with a link enabling you to reset your password.
- Check your email.
- Proceed to sub-step 5 on page 8.

5. Email for password reset

Figure 1.4



Please read these warnings and restrictions:

This e-mail transmission is strictly confidential and intended solely for the ordinary user of the e-mail address to which it was addressed. It may contain legally privileged and/or CONFIDENTIAL information.

- You should receive an email like this one.
- Click the link to reset your password.
- Proceed to sub-step 6 on page 9.

6. Password reset

Figure 1.5

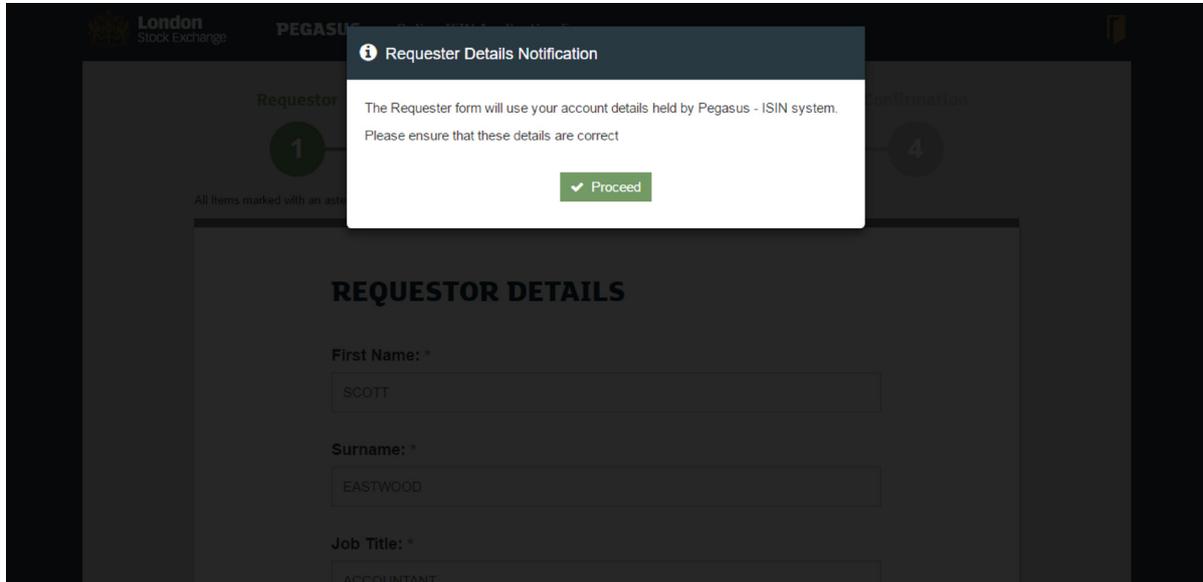


The screenshot shows the London Stock Exchange logo at the top left. The main heading is "Forgotten Password". Below this, a central form box contains the instruction "Please enter your new password below." followed by two password input fields: "Password:" with a "Choose Password" placeholder and "Confirm Password:" with a "Confirm Password" placeholder. A green "Reset" button with a checkmark icon is positioned at the bottom of the form.

- You will be directed to this screen.
- Enter your new password.
- Confirm your new password.
- Click “Reset”.

7. Requester details notification

Figure 2.1

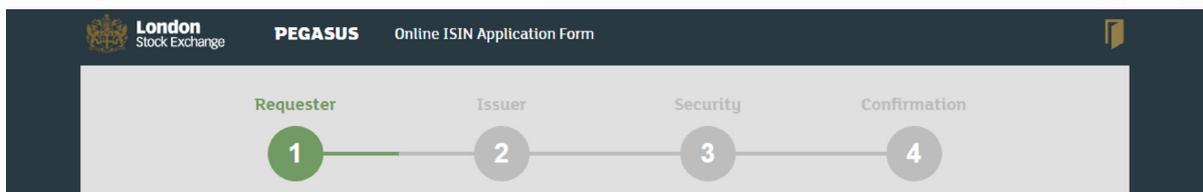


This notification informs you that the Requester form will use the details associated with your account held by pTools Pegasus ISIN system.

Please ensure that these details are correct.

8. Progress tracker: Step 1: Requester

Figure 3.1

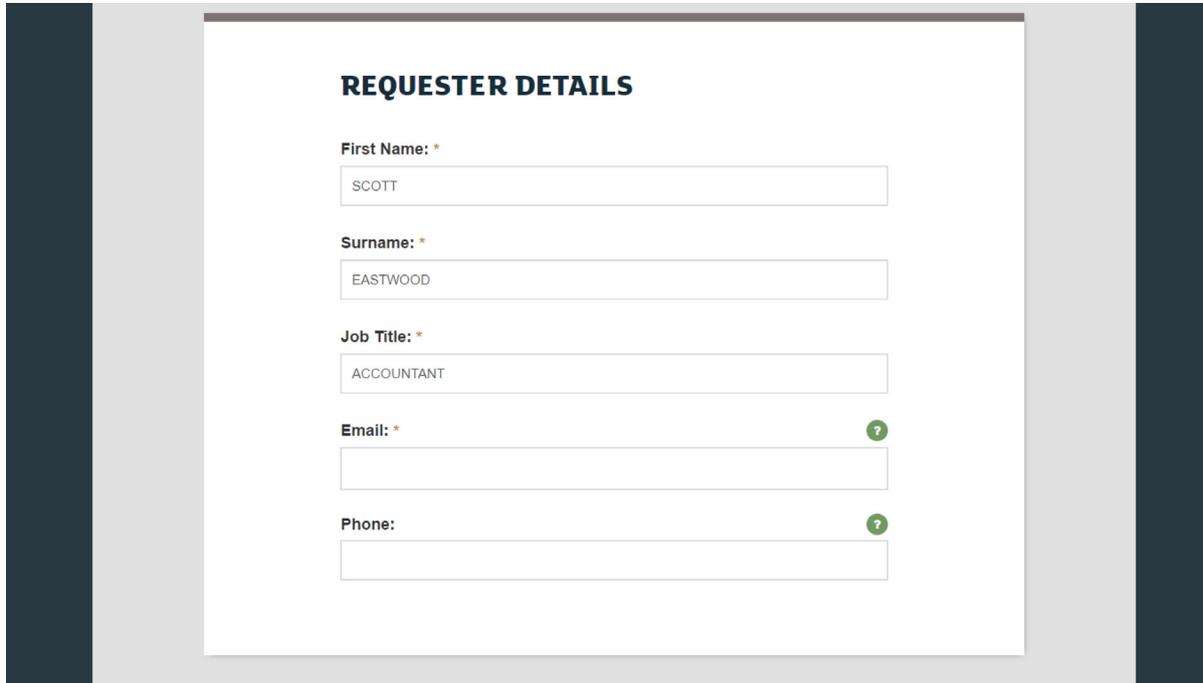


This tracker appears at the top of each page in the process.

It enables you to keep track of where you are in the application process.

9. Requester details

Figure 3.3



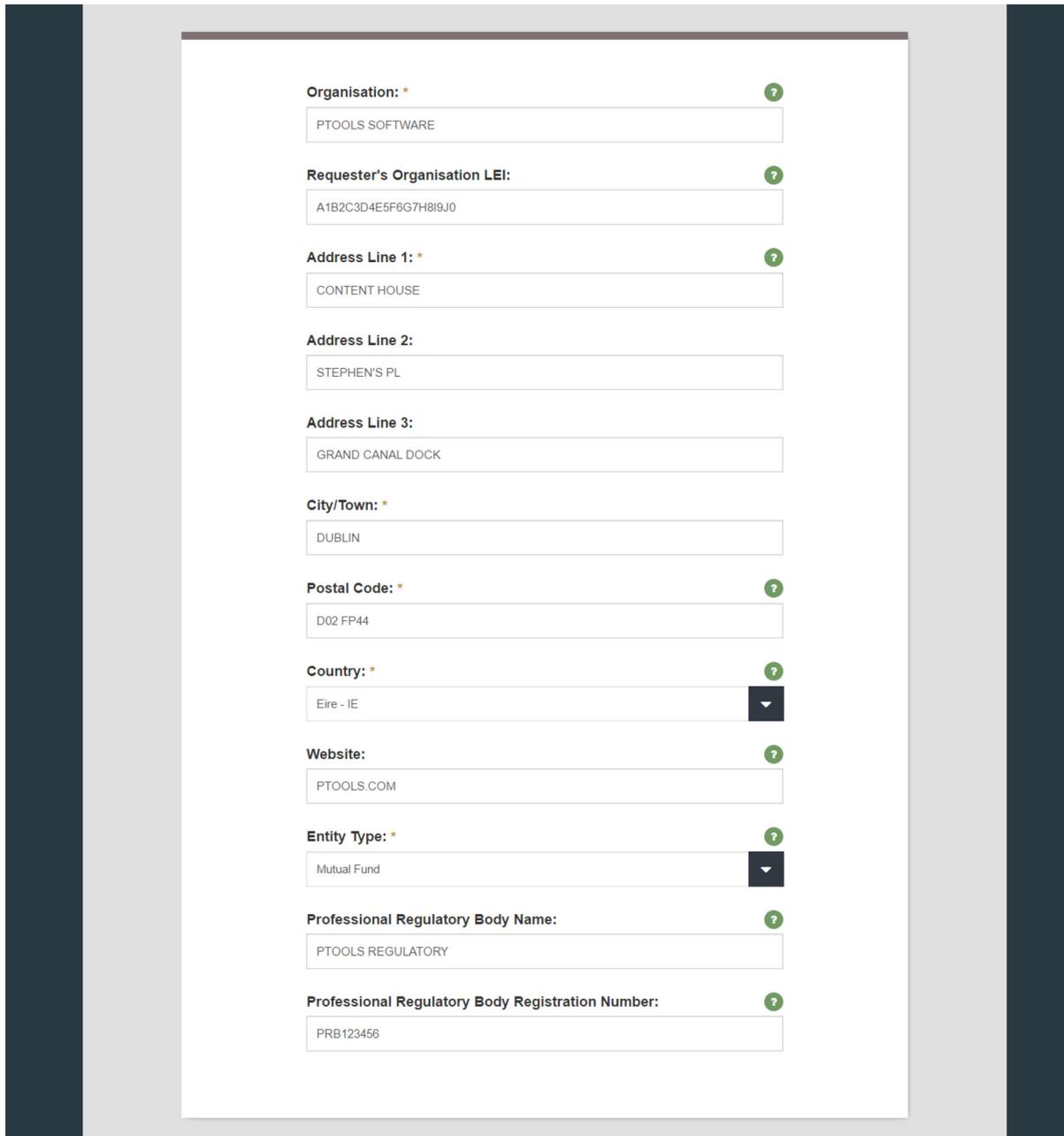
The screenshot shows a web form titled "REQUESTER DETAILS" with the following fields:

- First Name: *** (Mandatory): Input field containing "SCOTT".
- Surname: *** (Mandatory): Input field containing "EASTWOOD".
- Job Title: *** (Mandatory): Input field containing "ACCOUNTANT".
- Email: *** (Mandatory): Empty input field with a green question mark icon to its right.
- Phone:** (Optional): Empty input field with a green question mark icon to its right.

- Enter your first name (mandatory).
- Enter your surname (mandatory).
- Enter your job title (mandatory).
- Enter your email address (mandatory).
- Enter your phone number (optional).

10. Organisation details

Figure 3.4



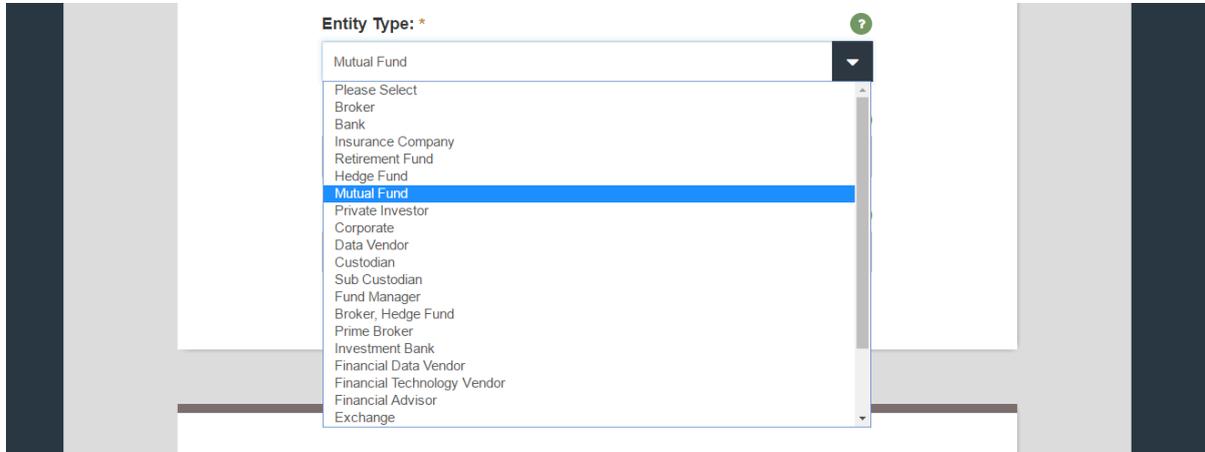
The screenshot displays a form for entering organisation details. The form consists of several fields, each with a label, a value, and a green question mark icon in a circle. The fields are: Organisation: * (PTOOLS SOFTWARE), Requester's Organisation LEI: (A1B2C3D4E5F6G7H8I9J0), Address Line 1: * (CONTENT HOUSE), Address Line 2: (STEPHEN'S PL), Address Line 3: (GRAND CANAL DOCK), City/Town: * (DUBLIN), Postal Code: * (D02 FP44), Country: * (Eire - IE), Website: (PTOOLS.COM), Entity Type: * (Mutual Fund), Professional Regulatory Body Name: (PTOOLS REGULATORY), and Professional Regulatory Body Registration Number: (PRB123456).

Organisation: *	PTOOLS SOFTWARE	?
Requester's Organisation LEI:	A1B2C3D4E5F6G7H8I9J0	?
Address Line 1: *	CONTENT HOUSE	?
Address Line 2:	STEPHEN'S PL	
Address Line 3:	GRAND CANAL DOCK	
City/Town: *	DUBLIN	
Postal Code: *	D02 FP44	?
Country: *	Eire - IE	?
Website:	PTOOLS.COM	?
Entity Type: *	Mutual Fund	?
Professional Regulatory Body Name:	PTOOLS REGULATORY	?
Professional Regulatory Body Registration Number:	PRB123456	?

- Enter organisation name (required).
- Enter Requester's organisation LEI (optional).
- Enter organisation address (required)

11. Entity type drop-down menu

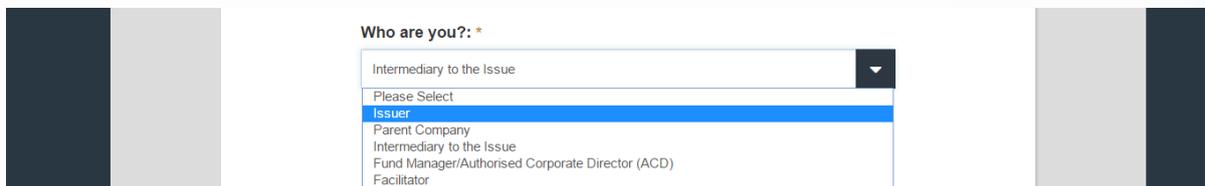
Figure 3.5



Select the “Entity Type” of your organisation from the drop-down menu.

12. User category drop-down menu

Figure 3.6

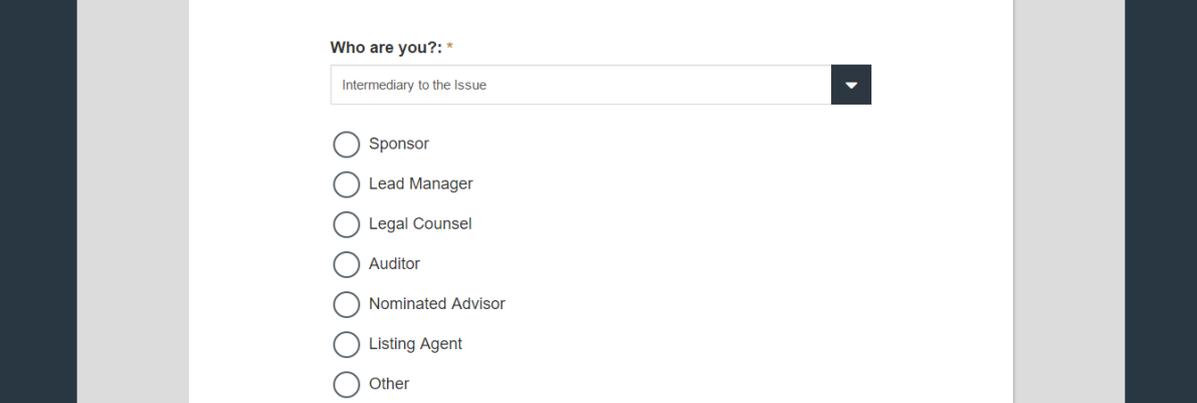


Select the appropriate description of your role from the drop-down menu.

“Issuer” and “Parent company” require no further information.

13. Intermediary to the issue

Figure 3.7



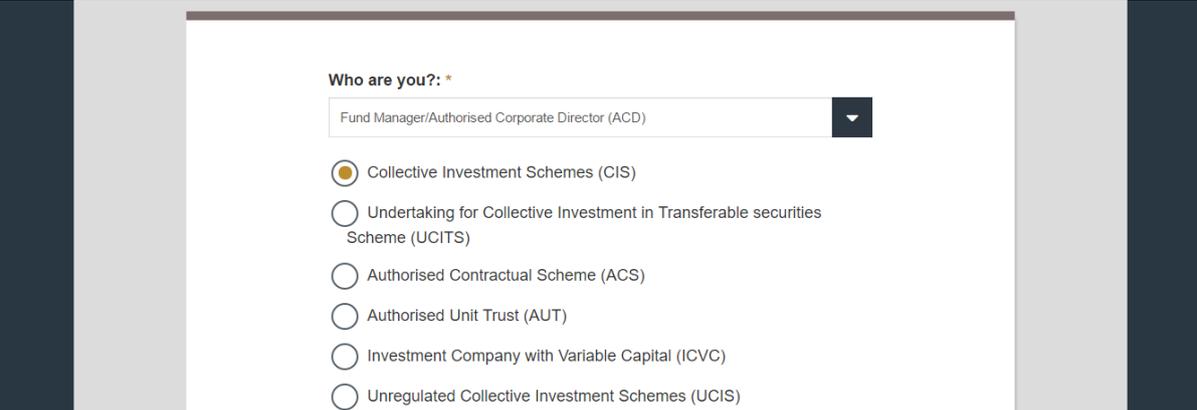
The screenshot shows a form titled "Who are you?: *". At the top, there is a dropdown menu with "Intermediary to the Issue" selected. Below the dropdown are seven radio button options:

- Sponsor
- Lead Manager
- Legal Counsel
- Auditor
- Nominated Advisor
- Listing Agent
- Other

If you have selected "Intermediary to the Issue" from the "Who are you?" drop-down menu, you must also click a radio button to select one of the above options.

14. Fund manager/authorised corporate director (ACD)

Figure 3.8



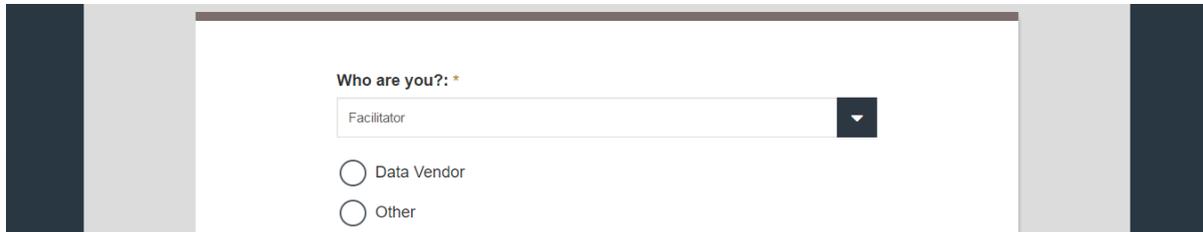
The screenshot shows a form titled "Who are you?: *". At the top, there is a dropdown menu with "Fund Manager/Authorised Corporate Director (ACD)" selected. Below the dropdown are six radio button options:

- Collective Investment Schemes (CIS)
- Undertaking for Collective Investment in Transferable securities Scheme (UCITS)
- Authorised Contractual Scheme (ACS)
- Authorised Unit Trust (AUT)
- Investment Company with Variable Capital (ICVC)
- Unregulated Collective Investment Schemes (UCIS)

If you have selected "Fund Manager/Authorised Corporate Director (ACD)" from the "Who are you?" drop-down menu, you must also click a radio button to select one of the above options.

15. Facilitator

Figure 3.9

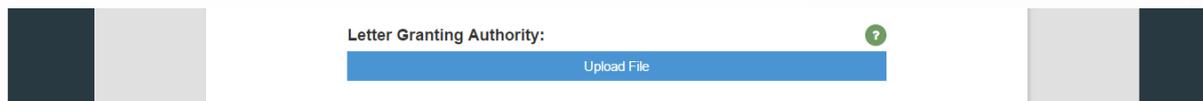


The screenshot shows a form titled "Who are you?: *". It features a dropdown menu with "Facilitator" selected. Below the dropdown are two radio buttons: "Data Vendor" and "Other".

If you have selected "Facilitator" from the "Who are you?" drop-down menu, you must also click a radio button to select one of the above options.

16. Upload letter granting authority

Figure 3.10



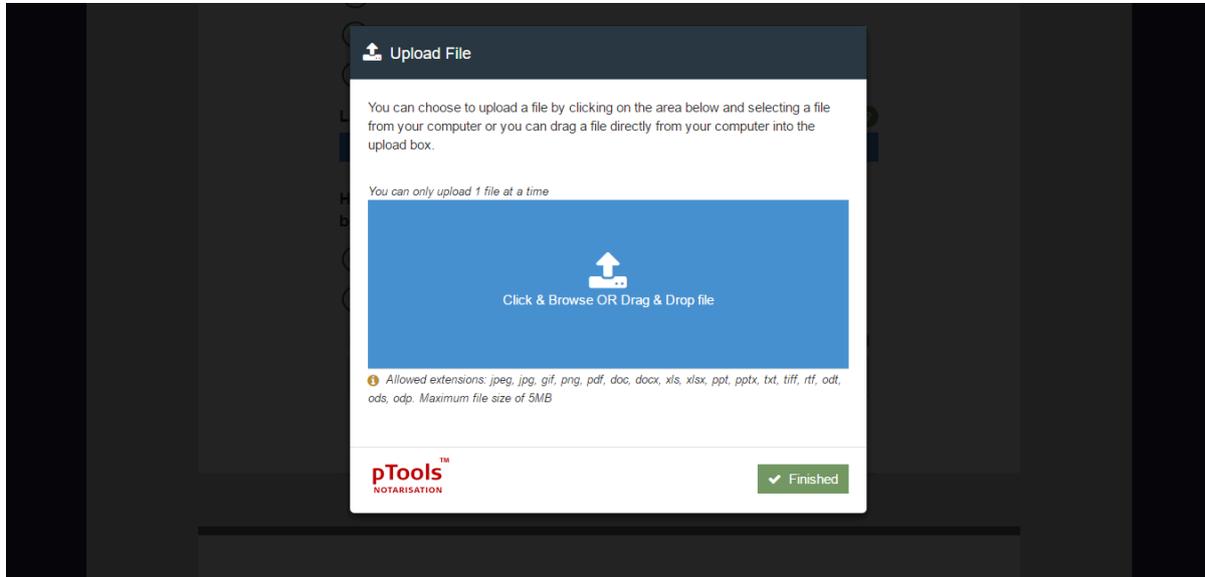
The screenshot shows a section titled "Letter Granting Authority:" with a green question mark icon. Below the title is a blue button labeled "Upload File".

Now you must upload the letter that grants you the authority to complete the ISIN application.

Click the blue "Upload File" button to begin the process.

17. Document upload

Figure 3.11



The pTools Notarisation Upload File window will appear.

You may choose to upload by clicking on the blue upload box and selecting a file from your computer or by dragging it directly from your computer into the blue upload box.

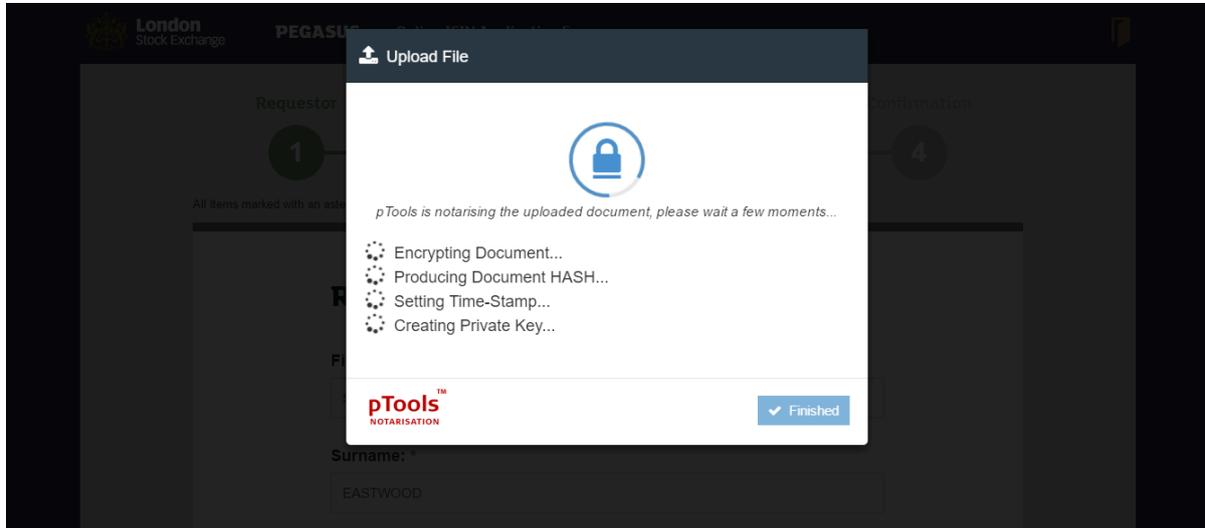
You can only upload one file at a time.

Compatible file extensions: jpeg, jpg, gif, png, pdf, doc, docx, xls, xlsx, ppt, pptx, txt, tiff, rtf, odt, ods, odp.

Maximum file size: 5MB.

18. Secure encryption

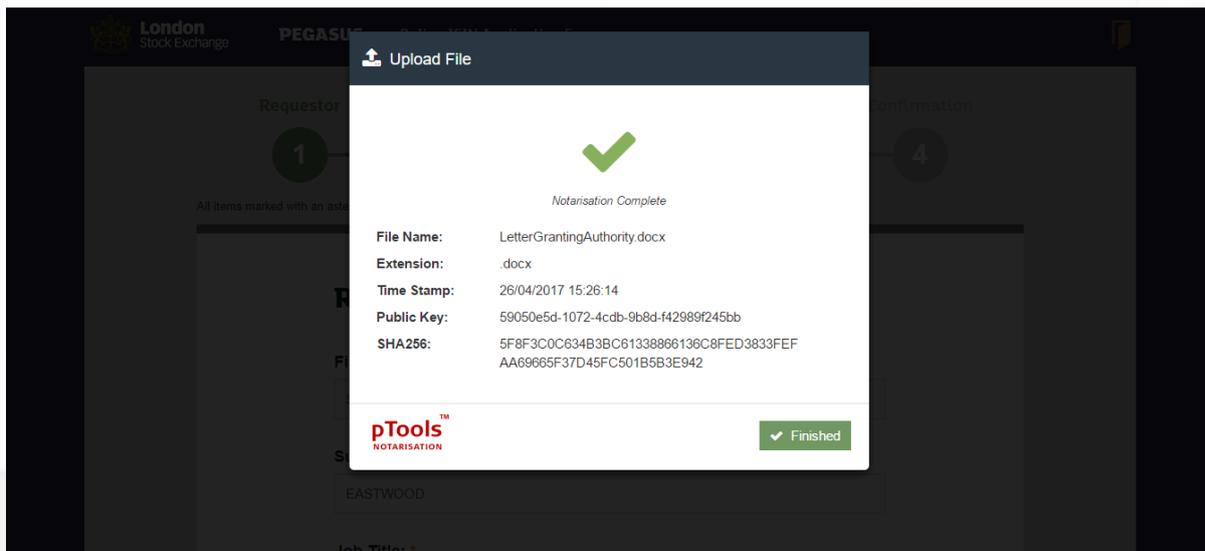
Figure 3.12



pTools Notarisation tool will now encrypt the document, produce a document HASH, set a Time Stamp and creates a Private Key to ensure the highest levels of security.

19. pTools notarisation

Figure 3.13

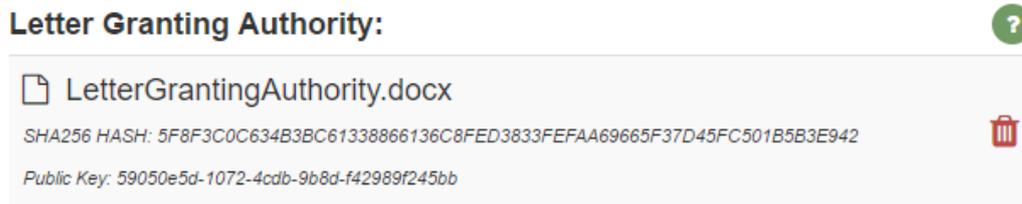


The pTools Notarisation tool will notify you once the Notarisation is complete.

It includes the file name, the extension type, the Time Stamp, the Public Key and the HASH.

20. Confirmation of secure, encrypted upload

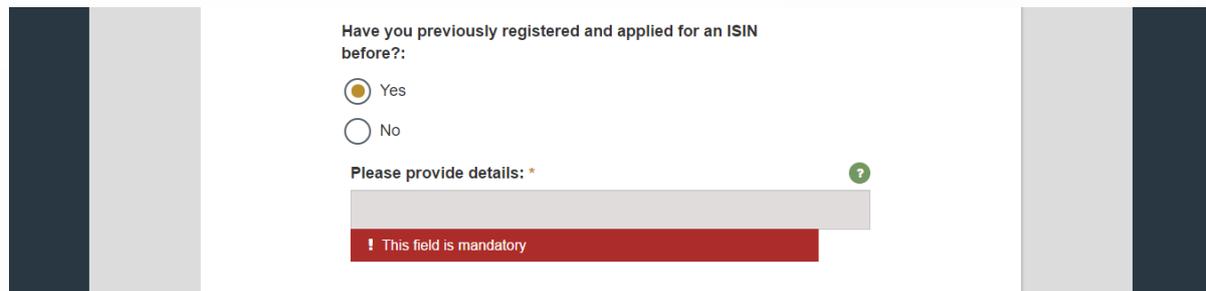
Figure 3.14



The uploaded file will appear as above (Figure 3.14). It includes details of the HASH and the Public Key.

21. Previous ISIN applications

Figure 3.16



Please click a “Yes” or “No” radio button to indicate if you have previously registered and applied for an ISIN. Disclosure of previous ISIN applications is a mandatory field.

22. Select asset type

Figure 3.18



Please select the Security Asset Type from the drop-down menu – “debt”, “equity” or “other”.

23. Select asset sub-type (debt)

Figure 3.19

The screenshot shows a web form with two dropdown menus. The first dropdown, labeled 'Security Asset Type: *', has 'Debt' selected. The second dropdown, labeled 'Security Asset Sub Type: *', is open, showing a list of options: Bonds, Notes, Equity Linked Notes, Floating Rate Notes, Mortgage Bonds, Medium Term Notes, Convertible Bonds/Notes, Guaranteed, Index Linked Notes, Undated Bonds, Undated Notes/Loan Stock, Commercial Paper, Treasury Bills/Strips/Notes, and Loan Stock. The 'Bonds' option is highlighted in blue. At the bottom left of the form, there are links for 'PRIVACY AND COOKIE POLICY' and 'DISCLAIMER'.

Please select the appropriate asset sub-type for debt securities from the drop-down menu as shown above.

24. Select asset sub-type (equity)

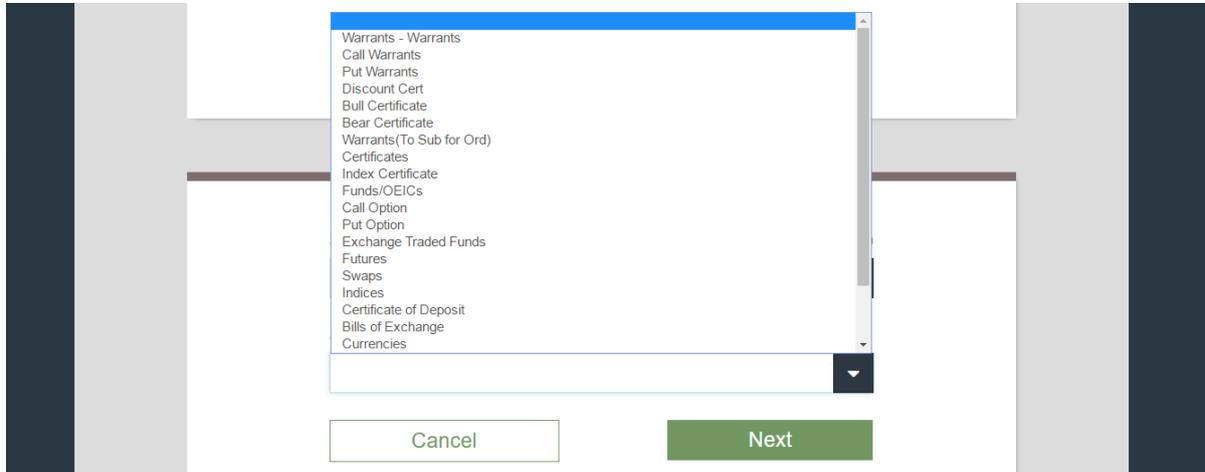
Figure 3.19

The screenshot shows a web form with two dropdown menus. The first dropdown, labeled 'Security Asset Type: *', has 'Equity' selected. The second dropdown, labeled 'Security Asset Sub Type: *', is open, showing a list of options: Ranking for Dividend, Sub Rights/Receipts, Convertible Ordinary, Deferred Ordinary, Par Value, Depository Receipt/Shares, NPV, Preference Shares/Preferred Stock, Performance Linked Equity Securities, and Units. The 'Ranking for Dividend' option is highlighted in blue. At the bottom left of the form, there are links for 'PRIVACY AND COOKIE POLICY', 'DISCLAIMER', and 'ACCESSIBILITY'. At the bottom center, there is a copyright notice: '© 2017 London Stock Exchange Group plc. All rights reserved'.

Please select the appropriate asset sub-type for equity securities from the drop-down menu as shown above.

25. Select asset sub-type (other)

Figure 3.20



Please select the appropriate asset sub-type for other securities from the drop-down menu as shown above.

26. Validation notification

Figure 3.21



You will be directed to the next page; Step 2.

A "Validation Successful" pop-up appears temporarily at the bottom of the screen to indicate that you have now successfully completed Step 1: Requester Details.



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