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Contents

27. Progress tracker: Step 2: Issuer 4
28. Issuer details 4
29. Identify who you are in relation to the fund 5
30. If the issuer is a company 6
31. Enter registered address of company 7
32. If issuer is a limited liability partnership (LLP) 8
33. Enter registered address of partnership 9
34. Upload company documents 10
35. Upload partnership documents 11
36. Document upload 12
37. Secure encryption 13
38. pTools notarisation 14
39. Confirmation of document uploads 15
40. Enter details of beneficial ownership 16
41. Enter details of beneficial ownership (continued) 17
42. Select type of beneficial owner 18
43. Details of ownership by a company 19
44. Enter company details (continued) 20
45. Upload company documents 21
46. pTools notarisation 22
47. Confirmation of document uploads 23
48. Confirmation of beneficial ownership by a company 24
49. Details of ownership by a person of significant control (PSC) 25
50. Confirmation of document uploads 26
51. Confirmation of beneficial ownership by a PSC 27
52. Registrar name 28
53. Details of the issue 29
54. Details of the issue (continued) 30
55. Details of the issue (continued) 31
56. Progress tracker: Step 3 31
27. Progress tracker: Step 2: Issuer

Figure 4.1

The tracker appears at the top of Step 2, to indicate that you have moved to Step 2 in the application process.

28. Issuer details

Figure 4.3

If the Issuer is a fund, click the radio button for “Yes”. If not, select “No”.

If you select “No”, go directly to sub-step 30 (see page 6).
29. Identify who you are in relation to the fund

Figure 4.4

If you selected “Yes”, a drop-down menu will appear that enables you to select your role in relation to the fund. Select the appropriate option from the drop-down menu.
30. If the issuer is a company

If the Issuer is a company, click on the “Company” radio button. The page will expand and populate as above in Figure 4.5.

- Enter the registered company name.
- Enter the Issuer LEI.
- Select the Country of Incorporation/Registration from the drop-down menu.
- Enter the company registration number.
- Select the Date of Incorporation/Registration from the pop-up calendar.
- Select the company’s status from the drop-down menu.
- Select the legal form from the drop-down menu.
- If the Issuer is an LLP, click the "Limited Liability Partnership (LLP)" button, which will direct you to sub-step 32 (see page 8).
31. Enter the company’s registered address

Enter the company’s registered address in the appropriate fields.

If the place of business is the same as the registered address, you don’t need to add the details twice. Tick the box – the second set of address fields will collapse and details will be copied from the registered address you entered.
32. If issuer is a limited liability partnership (LLP)

If the Issuer is a limited liability partnership (LLP), click on the appropriate radio button. The page will expand and populate as above in Figure 4.7.

Select the jurisdiction in which the partnership was formed — Great Britain, Jersey, Guernsey or the Isle of Man — from the drop-down menu.

Enter the registered partnership name and the limited liability partnership LEI.

Select the Country of Incorporation/Registration from the drop-down menu.

Enter the partnership registration number.

Select the Date of Incorporation/Registration from the pop-up calendar.

Select the LLP's status from the drop-down menu and its legal form from the drop-down menu.

If the Issuer is a company, go directly to sub-step 30 (see page 6).
33. Enter the partnership’s registered address

Enter the partnership’s registered address in the appropriate fields.

If the place of business is the same as the registered address, you don’t need to add the details twice. Tick the box – the second set of address fields will collapse and details will be copied from the registered address you entered.
34. Upload company documents

If the Issuer is a Company, you must upload the following documents:

- Certificate of Incorporation
- Statement of Issued Share Capital
- Memorandum of Association/Articles of Association/Model Articles

Click the + sign to the right of each respective document to upload and have it notarised.
35. Upload partnership documents

If the Issuer is a Limited Liability Partnership (LLP), you must upload the following documents:

- Partnership Agreement
- Incorporation Documents
- Certificate of Registration of Partnership

Click the + sign to the right of each respective document to upload and have it notarised.
36. Document upload

Figure 4.11

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.
37. Secure encryption

Figure 4.12

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.
38. pTools notarisation

Figure 4.13

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.
39. Confirmation of document uploads

Repeat the File Upload and pTools Notarisation process for each required document.

Once this is completed for an LLP, you should see the uploads confirmed along with corresponding HASH and Public Keys as demonstrated above in Figure 4.14.

It will appear similar for a company document upload.

The names of the documents, however, will differ accordingly.
40. Enter details of beneficial ownership

If the Issuer is a subsidiary or a wholly owned subsidiary, click the radio button for "Yes". If not, select "No". If you select "No", go directly to sub-step 52 (see page 28).
41. Enter details of beneficial ownership (continued)

Figure 4.16

If you select “Yes”, a blue “+ Add Owner” button will appear. Click the blue “+ Add Owner” button to add a beneficial owner.
42. Select type of beneficial owner

Figure 4.17

Click on the appropriate radio button to indicate whether the beneficial owner is a company or a person of significant control (PSC).

If you select "Company", go directly to sub-step 43 (see page 19).

If you select "Person of Significant Control (PSC)", go directly to sub-step 51 (see page 27).
43. Details of ownership by a company

Figure 4.18

If you selected “Company”, fields will appear as in Figure 4.18 above.
Populate the appropriate fields with the parent company name, the ownership percentage and the address.
44. Enter company details (continued)

Figure 4.19

If the Issuer is a listed company, click the “Yes” radio button.
Select the appropriate exchange from the drop-down menu.
45. Upload company documents

Figure 4.20

You must upload the following documents:

- Shareholder list
- PSC register or other legitimate document
- Proof of listing
- Statement of Beneficial Ownership

Click the + sign to the right of each respective document to upload and have it notarised.

Go directly to sub-steps 36 and 37 (see pages 12 and 13 respectively) and follow the instructions for Document Upload.
46. pTools notarisation

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.
47. Confirmation of document uploads

Repeat the File Upload and pTools Notarisation process for each required document.

You will see the uploads confirmed along with corresponding HASH and Public Keys as demonstrated above in Figure 4.24.
48. Confirmation of beneficial ownership by a company

Figure 4.25

The Company will now be listed as an owner along with its percentage ownership, as demonstrated in Figure 4.25 above.
49. Details of ownership by a person of significant control (PSC)

Figure 4.26

Enter Name of “Person of Significant Control (PSC)”. Enter Ownership percentage. Select Country of Residence from the drop down menu. Continue onto the Documents Upload, go directly to 36 on Page 12 and follow the upload process through to 37 on Page 13.
50. Confirmation of document uploads

Repeat the File Upload and pTools Notarisation process for each required document.

You will see the uploads confirmed along with corresponding HASH and Public Keys as demonstrated above in Figure 4.27.
51. Confirmation of beneficial ownership by a PSC

Figure 4.28

The PSC will now be listed as an owner along with their percentage ownership, as demonstrated in Figure 4.28 above.
52. Registrar name

Figure 4.29

Select the appropriate Registrar from the drop down menu.
53. Details of the issue

Select the Depository for the Issue by clicking on the appropriate radio button.

Enter the name of the Transfer/Paying Agent for the Issue in the appropriate field.

Click the “Yes” or “No” radio button to indicate whether the issue is an Initial Public Offering (IPO) or not.
54. Details of the issue (continued)

Figure 4.31

Select the Exchange/Trading venue to which the application has been from the drop-down menu.
55. Details of the issue (continued)

Figure 4.32

- Select the Proposed Listing Date from the pop-up calendar.
- Enter the Proposed Exchange/Trading Symbol in the appropriate field.
- Click “Next” to proceed.

You have successfully completed Step 2: Issuer.

56. Progress tracker: Step 3

Figure 4.33

You are now on Step 3: Security.