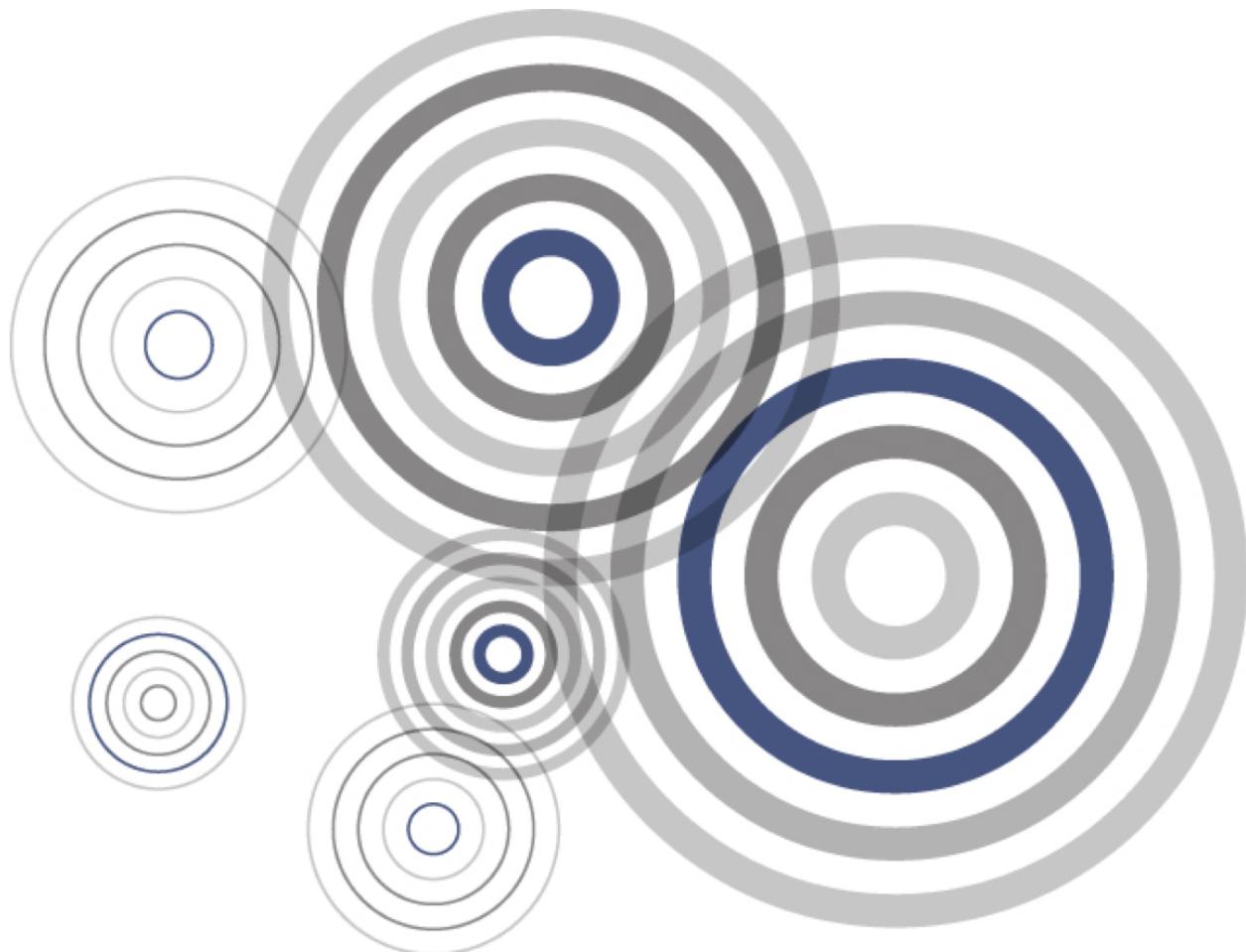




Public

# Relationship Record Common Data File (RR-CDF) Format V1.0

DRAFT, 0.9    2016-09-27



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Created by	GLEIF IT
Confidentiality level	Public
Approved by	GLEIF CEO

## About this Document

This document describes the draft Relationship Record Common Data File (RR-CDF) V1.0 format.

The document forms the basis for consultation with the LOUs on RR-CDF V1.0.

## Change History

Date	Version	Description of change	Author
2016-09-27	DRAFT, 0.9	Version for consultation	GLEIF IT

Public

## 1. Introduction

Documentation updated: 2016-09-06

This draft XML schema defines a reporting format for Relationship Records for Global Legal Entity Identifier System (GLEIS) Local Operating Units (LOUs) to report relationships between two legal entities (one relationship per Relationship Record).

Types of relationship supported:

- LEI to LEI relationships
- LEI to provisional (GLEIS-internal) node ID for reporting parent entities which do not yet have an LEI

Please note:

- Values of all elements with a restricted list of possible values must be taken strictly from those in the documented enumerated values / code list for that element.
- The cardinality of each element (the number of times it must or may appear in an XML data file conforming to this schema) is expressed in words in the notes for each element, and as a number range in the format {minimum occurrences, maximum occurrences} in the XML examples shown below the notes of its containing element.

The two are equivalent:

- Mandatory, unique: {1,1} - the element must appear, exactly once.
- Mandatory, repeatable: {1,unbounded} - the element must appear at least once. It may be repeated any number of times.
- Optional, unique: {0,1} - the element does not have to appear; it may appear once at most.
- Optional, repeatable: {0,unbounded} the element does not have to appear. It may be repeated any number of times.

This documentation specifies "business rules" where applicable for each element. These are rules that are not enforced by validating against the XML schema, but are still mandatory for all Relationship Record (RR) files.

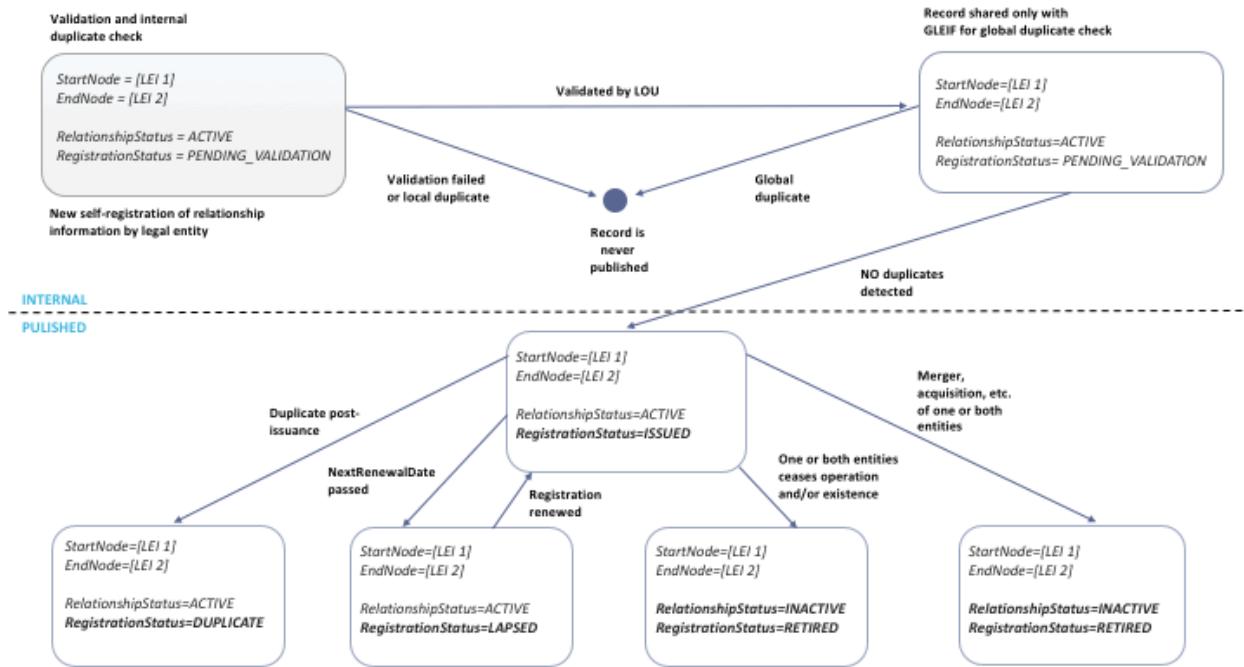
General Business Rules (apply to more than one element each):

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- Elements of type **xs:dateTime** must conform to ISO 8601 with the format: **YYYY-MM-DDThh:mm:ss.sssTZ**. This adds the restrictions:
  - The time zone (TZ) must be present.
  - Only 3 decimal places maximum are allowed in the seconds section (ss.sss).
- Elements of type **rr:LEIType** must additionally have correct check digits as specified in the ISO 17442 standard.

## 2. Abstract Data Content

### 2.1. Relationship Registration State Transitions (Informative)



### 2.2. XML Schema

The complete XML schema definitions for the RR-CDF format are as follows.

```

<?xml version="1.0" encoding="utf-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema"
  xmlns:rr="http://www.gleif.org/data/schema/rr/2016"
  elementFormDefault="unqualified"
  attributeFormDefault="unqualified"
  targetNamespace="http://www.gleif.org/data/schema/rr/2016">

  <xs:import namespace="http://www.w3.org/XML/1998/namespace"
    schemaLocation="http://www.w3.org/2001/xml.xsd"/>

  <xs:element name="RelationshipData" type="rr:RelationshipDataType"/>

  <xs:complexType name="RelationshipDataType">
    <xs:sequence>

```

```
<xs:element name="Header" type="rr:RRHeaderType"> </xs:element>

<xs:element name="RelationshipRecords" type="rr:RelationshipRecordsType">
</xs:element>

</xs:sequence>
</xs:complexType>
<xs:complexType name="RRHeaderType">
<xs:sequence>

<xs:element name="ContentDate" type="xs:dateTime"> </xs:element>

<xs:element name="Originator" type="rr:LEIType"> </xs:element>

<xs:element name="FileContent" type="rr:FileContentEnum"> </xs:element>

<xs:element name="DeltaStart" type="xs:dateTime" minOccurs="0">
</xs:element>

<xs:element name="RecordCount" type="xs:int"> </xs:element>

<xs:element name="Extension" type="rr:ExtensionType"> </xs:element>

</xs:sequence>
</xs:complexType>
<xs:simpleType name="LEIType">
<xs:restriction base="xs:string">
<xs:minLength value="20"/>
<xs:maxLength value="20"/>
<xs:pattern value="([0-9A-Z]{18}[0-9]{2})"/>
</xs:restriction>
</xs:simpleType>
<xs:simpleType name="FileContentEnum">
<xs:restriction base="xs:string">

<xs:enumeration value="LOU_FULL_INTERNAL"> </xs:enumeration>
<xs:enumeration value="GLEIF_FULL_INTERNAL"> </xs:enumeration>
<xs:enumeration value="GLEIF_DELTA_INTERNAL"> </xs:enumeration>
<xs:enumeration value="LOU_DELTA_INTERNAL"> </xs:enumeration>
```

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```
<xs:enumeration value="LOU_FULL_PUBLISHED"> </xs:enumeration>
<xs:enumeration value="LOU_DELTA_PUBLISHED"> </xs:enumeration>
<xs:enumeration value="GLEIF_FULL_PUBLISHED"> </xs:enumeration>
<xs:enumeration value="GLEIF_DELTA_PUBLISHED"> </xs:enumeration>
<xs:enumeration value="QUERY_RESPONSE"> </xs:enumeration>
</xs:restriction>
</xs:simpleType>
<xs:complexType name="ExtensionType">
  <xs:sequence>
    <xs:any minOccurs="0" maxOccurs="unbounded" processContents="lax"
    namespace="#other"/>
  </xs:sequence>
</xs:complexType>

<xs:complexType name="RelationshipRecordsType">
  <xs:sequence>

    <xs:element name="RelationshipRecord" type="rr:RelationshipRecordType"
    minOccurs="0"
    maxOccurs="unbounded"> </xs:element>

  </xs:sequence>
</xs:complexType>

<xs:complexType name="RelationshipRecordType">
  <xs:sequence>

    <xs:element name="Relationship" type="rr:RelationshipContainerType">
</xs:element>

    <xs:element name="Registration" type="rr:RegistrationContainerType">
</xs:element>

    <xs:element name="Extension" type="rr:ExtensionType"> </xs:element>

  </xs:sequence>
</xs:complexType>

<xs:complexType name="RelationshipContainerType">
  <xs:sequence>
```

Public

```
<xs:element name="StartNode" type="rr:NodeType"> </xs:element>

<xs:element name="EndNode" type="rr:NodeType"> </xs:element>

</xs:element>

<xs:element name="RelationshipType" type="rr:RelationshipCategoryType">
</xs:element>

<xs:element name="RelationshipPeriods" type="rr:RelationshipPeriodsType"
minOccurs="0"> </xs:element>

</xs:element>

<xs:element name="RelationshipStatus" type="rr:RelationshipStatusEnum">
</xs:element>

<xs:element name="RelationshipQualifiers"
type="rr:RelationshipQualifiersType"
minOccurs="0" maxOccurs="unbounded"> </xs:element>

<xs:element name="RelationshipQuantifiers"
type="rr:RelationshipQuantifiersType"
minOccurs="0" maxOccurs="unbounded"> </xs:element>

<xs:element name="Extension" type="rr:ExtensionType" minOccurs="0">
</xs:element>

</xs:sequence>
</xs:complexType>

<xs:complexType name="NodeType">
<xs:sequence>

<xs:element name="NodeID" type="rr:LEIType"> </xs:element>

<xs:element name="NodeIDType" type="rr:NodeIDTypeEnum"> </xs:element>

</xs:sequence>
</xs:complexType>

<xs:simpleType name="NodeIDTypeEnum">
<xs:restriction base="xs:string">
```

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```
<xs:enumeration value="LEI"> </xs:enumeration>
<xs:enumeration value="ISO_17442_COMPATIBLE"> </xs:enumeration>
</xs:restriction>
</xs:simpleType>

<xs:simpleType name="RelationshipCategoryType">
    <xs:restriction base="xs:string">

        <xs:enumeration value="IS_DIRECTLY_CONSOLIDATED_BY"> </xs:enumeration>
        <xs:enumeration value="IS_ULTIMATELY_CONSOLIDATED_BY"> </xs:enumeration>

        <xs:enumeration value="IS_INTERNATIONAL_BRANCH_OF"> </xs:enumeration>
        <xs:enumeration value="HAS_DIRECT_MANAGER"> </xs:enumeration>

    </xs:restriction>
</xs:simpleType>

<xs:complexType name="RelationshipPeriodsType">
    <xs:sequence>
        <xs:element name="RelationshipPeriod" type="rr:RelationshipPeriodType"
minOccurs="0"
            maxOccurs="unbounded"> </xs:element>
    </xs:sequence>
</xs:complexType>

<xs:complexType name="RelationshipPeriodType">
    <xs:sequence>
        <xs:element name="StartDate" type="xs:dateTime" minOccurs="0">
</xs:element>
        <xs:element name="EndDate" type="xs:dateTime" minOccurs="0"> </xs:element>

        <xs:element name="PeriodType" type="rr:PeriodTypeEnum"> </xs:element>
    </xs:sequence>
</xs:complexType>

</xs:complexType>
```

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```
<xs:simpleType name="PeriodTypeEnum">
    <xs:restriction base="xs:string">

        <xs:enumeration value="ACCOUNTING_PERIOD"> </xs:enumeration>
        <xs:enumeration value="RELATIONSHIP_PERIOD"> </xs:enumeration>
        <xs:enumeration value="DOCUMENT_FILING_PERIOD"> </xs:enumeration>
    </xs:restriction>
</xs:simpleType>

<xs:simpleType name="RelationshipStatusEnum">
    <xs:restriction base="xs:string">

        <xs:enumeration value="ACTIVE"> </xs:enumeration>
        <xs:enumeration value="INACTIVE"> </xs:enumeration>
    </xs:restriction>
</xs:simpleType>

<xs:complexType name="RelationshipQualifiersType">
    <xs:sequence>
        <xs:element name="RelationshipQualifier"
type="rr:RelationshipQualifierType"
            minOccurs="0" maxOccurs="unbounded"> </xs:element>
    </xs:sequence>
</xs:complexType>

<xs:complexType name="RelationshipQualifierType">
    <xs:sequence>
        <xs:element name="QualifierDimension" type="rr:QualifierDimensionEnum">
</xs:element>
        <xs:element name="QualifierCategory" type="rr:QualifierCategoryTypeEnum"
minOccurs="0"
            > </xs:element>
    </xs:sequence>
</xs:complexType>

<xs:simpleType name="QualifierDimensionEnum">
    <xs:restriction base="xs:string">
```

```
<xs:enumeration value="ACCOUNTING_STANDARD"> </xs:enumeration>

</xs:restriction>
</xs:simpleType>

<xs:simpleType name="QualifierCategoryTypeEnum">
    <xs:restriction base="xs:string">

        <xs:enumeration value="US_GAAP"> </xs:enumeration>
        <xs:enumeration value="IFRS"> </xs:enumeration>

    </xs:restriction>
</xs:simpleType>

<xs:complexType name="RelationshipQuantifiersType">
    <xs:sequence>
        <xs:element name="RelationshipQuantifier"
type="rr:RelationshipQuantifierType"
            minOccurs="0" maxOccurs="unbounded"> </xs:element>
    </xs:sequence>
</xs:complexType>

<xs:complexType name="RelationshipQuantifierType">
    <xs:sequence>
        <xs:element name="MeasurementMethod" type="rr:MeasurementMethodTypeEnum">
</xs:element>
        <xs:element name="QuantifierAmount" type="xs:decimal"> </xs:element>
        <xs:element name="QuantifierUnits" type="rr:QuantifierUnitsTypeEnum"
minOccurs="0"> </xs:element>

    </xs:sequence>
</xs:complexType>
```

```
<xs:simpleType name="MeasurementMethodTypeEnum">
    <xs:restriction base="xs:string">

        <xs:enumeration value="ACCOUNTING_CONSOLIDATION"> </xs:enumeration>

    </xs:restriction>
</xs:simpleType>

<xs:simpleType name="QuantifierUnitsTypeEnum">
    <xs:restriction base="xs:string">

        <xs:enumeration value="PERCENTAGE"/>

    </xs:restriction>
</xs:simpleType>

<xs:complexType name="RegistrationContainerType">
    <xs:sequence>
        <xs:element name="InitialRegistrationDate" type="xs:dateTime">
</xs:element>
        <xs:element name="LastUpdateDate" type="xs:dateTime"> </xs:element>
        <xs:element name="RegistrationStatus" type="rr:RegistrationStatusEnum">
</xs:element>
        <xs:element name="NextRenewalDate" type="xs:dateTime" minOccurs="0">
</xs:element>
        <xs:element name="ManagingLOU" type="rr:LEIType"> </xs:element>
        <xs:element name="ValidationDocuments" type="rr:ValidationDocumentsTypeEnum"
minOccurs="0"> </xs:element>
        <xs:element name="ValidationSources" type="rr:ValidationSourcesTypeEnum">
</xs:element>
        <xs:element name="ValidationReference" type="xs:string" minOccurs="0">
</xs:element>

        <xs:element name="Extension" type="rr:ExtensionType" minOccurs="0">
</xs:element>
    </xs:sequence>
</xs:complexType>
```

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```
<xs:simpleType name="RegistrationStatusEnum">
  <xs:restriction base="xs:string">

    <xs:enumeration value="PENDING_VALIDATION"> </xs:enumeration>
    <xs:enumeration value="ISSUED"> </xs:enumeration>
    <xs:enumeration value="DUPLICATE"> </xs:enumeration>
    <xs:enumeration value="LAPSED"> </xs:enumeration>

    <xs:enumeration value="RETIRED"> </xs:enumeration>
    <xs:enumeration value="ANNULLED"> </xs:enumeration>
    <xs:enumeration value="CANCELLED"> </xs:enumeration>
    <xs:enumeration value="TRANSFERRED"> </xs:enumeration>
    <xs:enumeration value="PENDING_TRANSFER"> </xs:enumeration>
    <xs:enumeration value="PENDING_ARCHIVAL"> </xs:enumeration>
  </xs:restriction>
</xs:simpleType>

<xs:simpleType name="ValidationDocumentsTypeEnum">
  <xs:restriction base="xs:string">

    <xs:enumeration value="ANNUAL_ACCOUNTS_FILING"> </xs:enumeration>
    <xs:enumeration value="QUARTERLY_ACCOUNTS_FILING"> </xs:enumeration>
  </xs:restriction>
</xs:simpleType>

<xs:simpleType name="ValidationSourcesTypeEnum">
  <xs:restriction base="xs:string">

    <xs:enumeration value="PENDING"> </xs:enumeration>
```

```
<xs:enumeration value="ENTITY_SUPPLIED_ONLY"> </xs:enumeration>
<xs:enumeration value="PARTIALLY_CORROBORATED"> </xs:enumeration>
<xs:enumeration value="FULLY_CORROBORATED"> </xs:enumeration>
</xs:restriction>
</xs:simpleType>

</xs:schema>
```

## 2.3. Data Element and Type Definitions

The sections below describe the data elements, enumeration values and XML data types. For ease of reading, each element is presented starting on a new page.

### 2.3.1. Element rr:RelationshipData

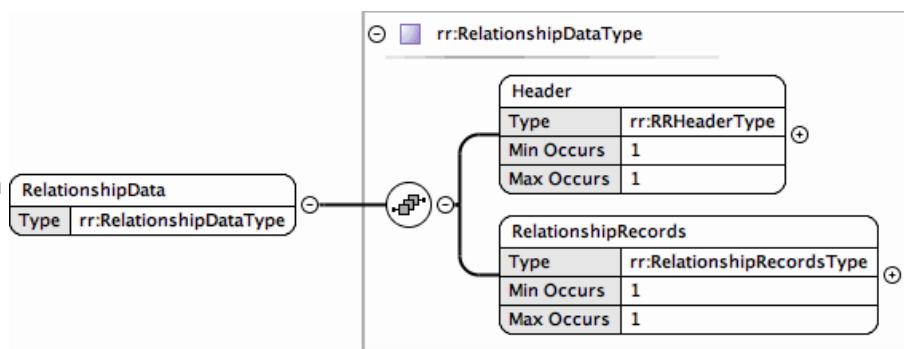
**Notes**

Element name: RelationshipData

Cardinality: Mandatory, unique

Content specification: Contains the file structure for the whole Relationship Records file as specified in the XML datatypes below

Business rules: N/A

**Diagram**

**Instance**

```

<rr:RelationshipData
  xmlns:rr="http://www.gleif.org/data/schema/rr/2016">

```

```

  <Header>{1,1}</Header>

```

```

  <RelationshipRecords>{1,1}</RelationshipRecords>

```

```

</rr:RelationshipData>

```

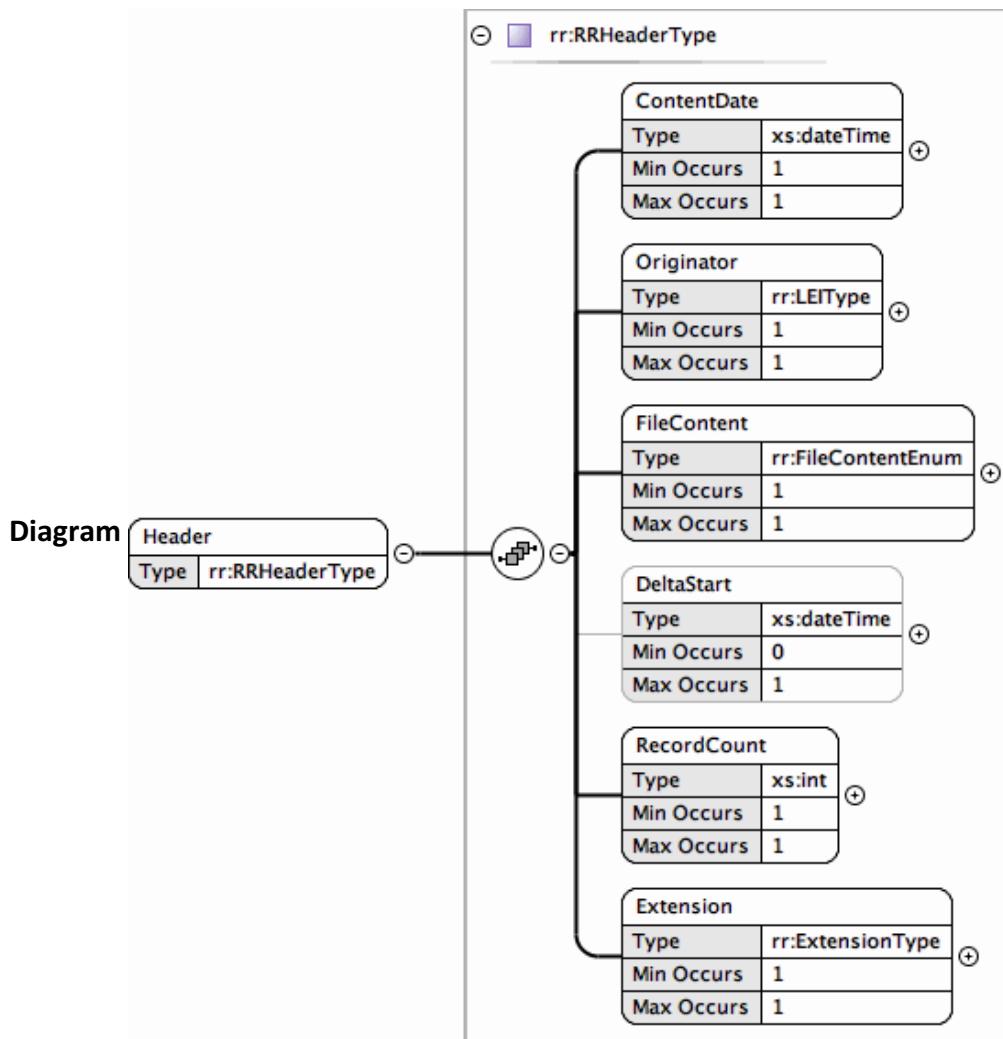
### 2.3.2. Element [rr:RelationshipDataType / Header](#)

Element name: Header

Cardinality: Mandatory, unique

Content specification: Contains the file upload information for this RelationshipData file

**Notes** Business rules: Must contain at least the Elements ContentDate, Originator, FileContent and RecordCount. If Header contains the DeltaStart Element, then FileContent must be "LOU\_DELTA\_PUBLISHED", "LOU\_DELTA\_INTERNAL", "GLEIF\_DELTA\_INTERNAL" or "GLEIF\_DELTA\_PUBLISHED"



```
<Header>
  <ContentDate>{1,1}</ContentDate>
  <Originator>{1,1}</Originator>
  <FileContent>{1,1}</FileContent>
Instance
  <DeltaStart>{0,1}</DeltaStart>
  <RecordCount>{1,1}</RecordCount>
  <Extension>{1,1}</Extension>
</Header>
```

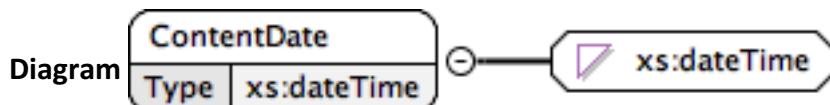
### 2.3.3. Element [rr:RRHeaderType / ContentDate](#)

Element name: ContentDate

Cardinality: Mandatory, unique

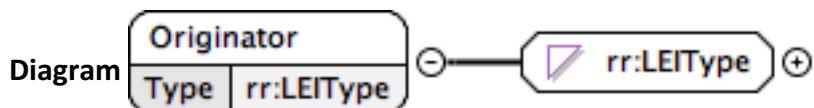
Content specification: The date and time as of which the data contained in the file is valid

**Notes** Business rules: The ContentDate must be equal to or later than the latest InitialRegistrationDate in the file. The ContentDate must be equal to or later than the latest LastUpdateDate in the file. The ContentDate must be later than the DeltaStart date



### 2.3.4. Element rr:RRHeaderType / Originator

Element name: Originator  
Cardinality: Mandatory, unique  
**Notes** Content specification: The LEI of the entity that created the content of this file  
Business rules: N/A



	minLength	20
<b>Facets</b>	maxLength	20
	pattern	([0-9A-Z]{18}[0-9]{2})

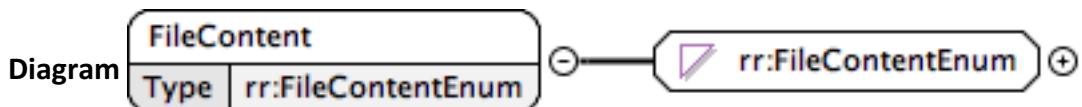
### 2.3.5. Element [rr:RRHeaderType / FileContent](#)

Element name: FileContent

Cardinality: Mandatory, unique

Content specification: A code describing the content of this RelationshipRecords file

**Notes** Business rules: Use the code "LOU\_FULL\_PUBLISHED" to designate a file containing all up-to-date relationship records that you publish. Use the code "LOU\_DELTA\_PUBLISHED" to designate a file containing only relationship records newly added or changed since your last upload



		The file contains all LEI Data Records created for internal use by an LOU (all internal LEI Data Records for which the LOU is the ManagingLOU) as of the date/time the file is created
Facets	enumeration <b>LOU_FULL_INTERNAL</b> enumeration <b>GLEIF_FULL_INTERNAL</b> enumeration <b>GLEIF_DELTA_INTERNAL</b>	The file contains all LEI Data Records GLEIF manages internally to the GLEIS (including all internal LEI Data Records from all LOUs) as of the date/time the file is created
		The file contains those LEI Data Records GLEIF manages internally to the GLEIS (including all internal LEI Data Records from all LOUs) which are new or changed since the DeltaStart date specified in the Header, as of the date/time the file is created

enumeration **LOU\_DELTA\_INTERNAL**

The file contains those LEI Data Records created by an LOU for internal use (all internal LEI Data Records for which the LOU is the ManagingLOU) which are new or changed since the DeltaStart specified in the header, as of the date/time the file is created

enumeration **LOU\_FULL\_PUBLISHED**

The file contains all LEI Data Records published by an LOU (all LEI Data Records for which the LOU is the ManagingLOU) as of the date/time the file is created

enumeration **LOU\_DELTA\_PUBLISHED**

The file contains those LEI Data Records published by an LOU (all LEI Data Records for which the LOU is the ManagingLOU) which are new or changed since the DeltaStart specified in the header, as of the date/time the file is created

enumeration **GLEIF\_FULL\_PUBLISHED**

The file contains all LEI Data Records published by GLEIF (including all LEI Data Records from all LOUs) as of the date/time the file is created

enumeration **GLEIF\_DELTA\_PUBLISHED**

The file contains those LEI Data Records published by GLEIF (including all LEI Data Records from all LOUs) which are new or changed since the DeltaStart date specified in the Header, as of the date/time the file is created

enumeration **QUERY\_RESPONSE**

The file contains records matching criteria specified in a query

### 2.3.6. Element [rr:RRHeaderType](#) / DeltaStart

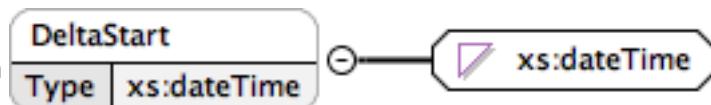
**Notes**

Element name: DeltaStart

Cardinality: Optional, unique

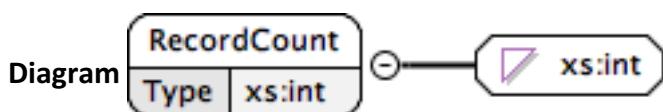
Content specification: The date and time of the baseline relative to which this file contains new or changed Relationship Records

Business rules: If DeltaStart is present, then FileContent must be "LOU\_DELTA\_PUBLISHED", "LOU\_DELTA\_INTERNAL", "GLEIF\_DELTA\_INTERNAL" or "GLEIF\_DELTA\_PUBLISHED"

**Diagram**

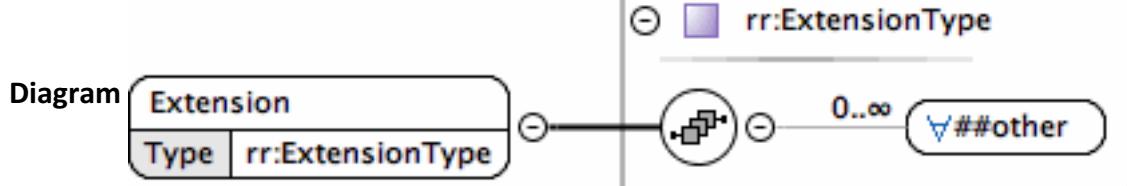
### 2.3.7. Element [rr:RRHeaderType / RecordCount](#)

**Notes**  
Element name: RecordCount  
Cardinality: Mandatory, unique  
Content specification: The number of Relationship Records (RR) in the file. Must be a positive whole (integer) number, or zero (0)  
Business rules: N/A



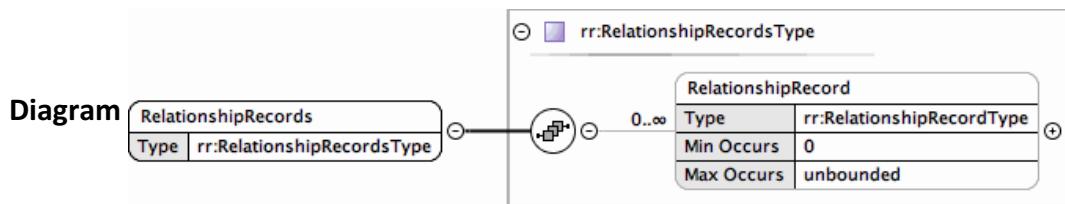
### 2.3.8. Element rr:RRHeaderType / Extension

- Notes**
- Element name: Extension
  - Cardinality: Optional, unique
  - Content: This rr:Extension element may contain any additional elements required to extend the Header container element
  - Business rules: There are no restrictions on the contents of rr:Extension. For this reason it is recommended to inform recipients which elements to expect here



### 2.3.9. Element [rr:RelationshipDataType / RelationshipRecords](#)

- Element name: RelationshipRecords  
Cardinality: Mandatory, unique  
Content specification: Container for all of the relationship record container  
**Notes** Elements (RelationshipRecord) submitted with this file  
Business rules: If the RelationshipRecords container is empty, then RecordCount must be "0"



<RelationshipRecords>

**Instance**

```
<RelationshipRecord>{ 0, unbounded }</RelationshipRecord>
</RelationshipRecords>
```

### 2.3.10. Element [rr:RelationshipRecordsType / RelationshipRecord](#)

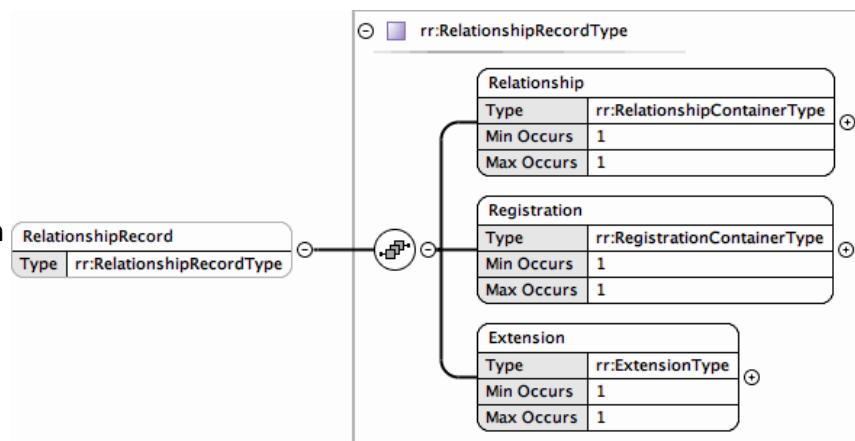
**Notes**

Element name: RelationshipRecord

Cardinality: Optional, repeatable

Content: Contains all relationship information including identifiers referring to the related entities, the specific type and other attributes of the relationship itself, and details of the relationship's registration with the ManagingLOU

Business rules: The number of instances of RelationshipRecord contained in this file must equal the value of RecordCount

**Diagram**


**Instance**

```

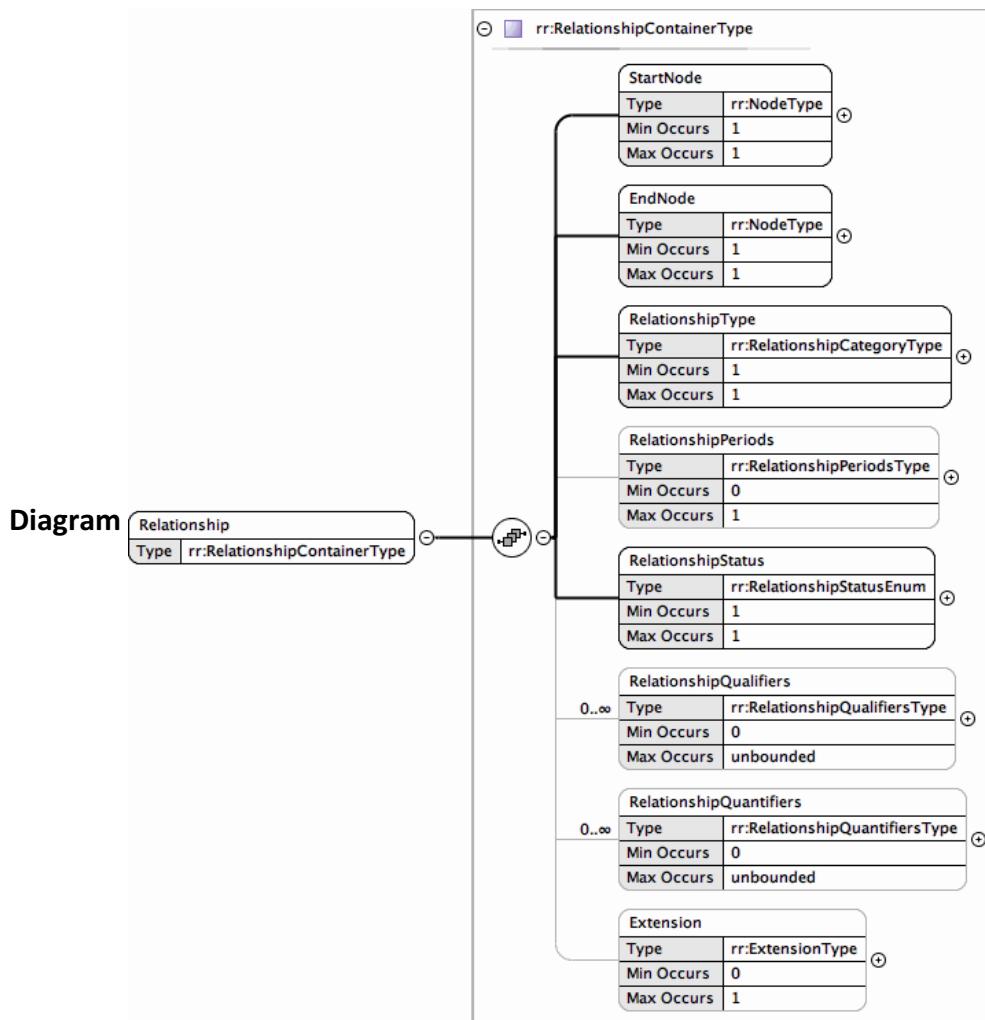
<RelationshipRecord>
  <Relationship>{1,1}</Relationship>
  <Registration>{1,1}</Registration>
  <Extension>{1,1}</Extension>
</RelationshipRecord>
  
```

### 2.3.11. Element [rr:RelationshipRecordType](#) / Relationship

**Element name:** Relationship  
**Cardinality:** Mandatory, unique  
**Content:** The Relationship container Element contains the two entities related by the reported relationship, as well as the type of relationship, dates related to the relationship and other relationship quantifiers and qualifiers

**Notes**

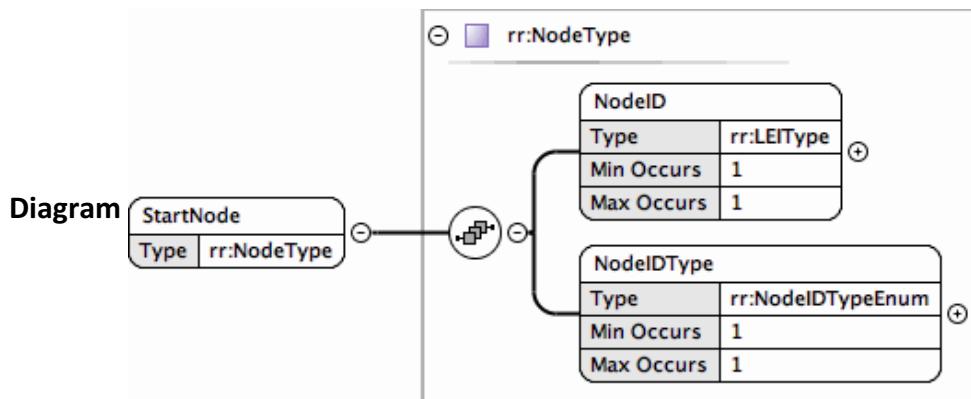
**Business rules:** The Relationship container element must always contain at least a StartNode, EndNode, RelationshipType, RelationshipStatus and at least one type of RelationshipPeriods date



```
<Relationship>
  <StartNode>{1,1}</StartNode>
  <EndNode>{1,1}</EndNode>
  <RelationshipType>{1,1}</RelationshipType>
  <RelationshipPeriods>{0,1}</RelationshipPeriods>
Instance
  <RelationshipStatus>{1,1}</RelationshipStatus>
  <RelationshipQualifiers>{0,unbounded}</RelationshipQualifiers>
  <RelationshipQuantifiers>{0,unbounded}</RelationshipQuantifiers>
  <Extension>{0,1}</Extension>
</Relationship>
```

### 2.3.12. Element [rr:RelationshipContainerType / StartNode](#)

- Notes**
- Element name: StartNode
  - Cardinality: Mandatory, unique
  - Content: An LEI or ISO 17442-compatible ID for the entity at the "start" of a directional relationship
  - Business rules: The StartNode identifies the entity which is, where applicable, the "child" or "lower" node of a hierarchical relationship



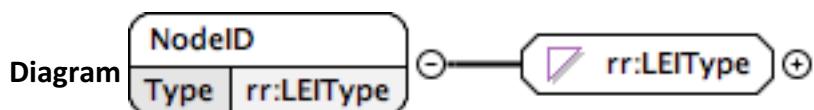
**Instance**

```

<StartNode>
  <NodeID>{1,1}</NodeID>
  <NodeIDType>{1,1}</NodeIDType>
</StartNode>
  
```

### 2.3.13. Element rr:NodeType / NodeID

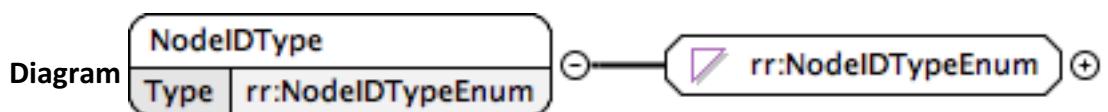
	Element name: NodeID
	Cardinality: Mandatory, unique
	Content: The identifier for the entity designated by this node
<b>Notes</b>	Business rules: If the NodeID is taken from the LEI issuing prefix namespace of a GLEIS LOU, then the NodeIDType must be "LEI". Otherwise it must be "ISO_17442_COMPATIBLE"



	minLength	20
<b>Facets</b>	maxLength	20
	pattern	([0-9A-Z]{18}[0-9]{2})

### 2.3.14. Element [rr:NodeType / NodeIDType](#)

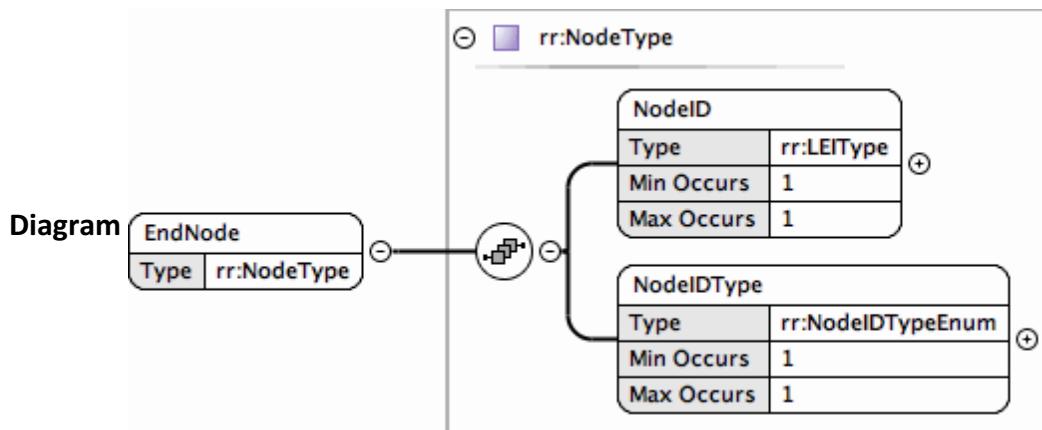
	<p>Element name: NodeIDType</p> <p>Cardinality: Mandatory, unique</p> <p>Content: The type of identifier used to designate this node's entity</p> <p><b>Notes</b> Business rules: If the NodeIDType is "LEI" then the NodeID must be taken from the LEI issuing prefix namespace of a GLEIS LOU. If it is "ISO_17442_COMPATIBLE", then the NodeID may not be taken from the LEI issuing prefix namespace of a GLEIS LOU</p>
--	---



enumeration <b>LEI</b>	An LEI code taken from the LEI issuing prefix namespace of a GLEIS LOU
<b>Facets</b>	An ISO 17442 compatible code, not taken from the LEI issuing prefix namespace of a GLEIS LOU

### 2.3.15. Element [rr:RelationshipContainerType / EndNode](#)

- Notes**
- Element name: EndNode
  - Cardinality: Mandatory, unique
  - Content: An LEI or ISO 17442-compatible ID for the entity at the "end" of a directional relationship
  - Business rules: The EndNode identifies the entity which is, where applicable, the "parent" or "higher" node of a hierarchical relationship



**Instance**

```

<EndNode>
  <NodeID>{1,1}</NodeID>
  <NodeIDType>{1,1}</NodeIDType>
</EndNode>
  
```

### 2.3.16. Element [rr:RelationshipContainerType / RelationshipType](#)

enumeration **IS\_DIRECTLY\_CONSOLIDATED\_BY**

StartNode is directly consolidated by EndNode. The StartNode "child" entity has its accounts fully consolidated by the EndNode "parent" entity, in the sense given by the accounting standard(s) specified in RelationshipQualifiers; the EndNode entity is the closest fully consolidating parent to the StartNode entity in any applicable hierarchical ownership structure

#### Notes

enumeration **IS\_ULTIMATELY\_CONSOLIDATED\_BY**

StartNode is ultimately consolidated by EndNode. The StartNode "child" entity has its accounts fully consolidated by the EndNode "parent" entity, in the sense given by the accounting standard(s) specified in RelationshipQualifiers; the EndNode entity is the most distant fully consolidating parent from the StartNode entity in any applicable hierarchical ownership structure

enumeration **IS\_INTERNATIONAL\_BRANCH\_OF**

StartNode is an international branch of the legal entity designated by EndNode (in jurisdiction country of StartNode). The EndNode is the LEI of the Head Office

enumeration **HAS\_DIRECT\_MANAGER**

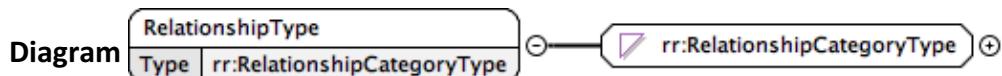
StartNode is a fund either belonging to the fund family or managed by the asset management company identified by EndNode.

Element name: RelationshipType

Cardinality: Mandatory, unique

Content: A unique code designating the specific category of a directional relationship between two legal entities

Business rules: If RelationshipType is "IS\_DIRECTLY CONSOLIDATED\_BY" or "IS\_ULTIMATELY CONSOLIDATED\_BY", the ManagingLOU must be the issuer of the StartNode LEI



## Facets

Public

### 2.3.17. Element [rr:RelationshipContainerType / RelationshipPeriods](#)

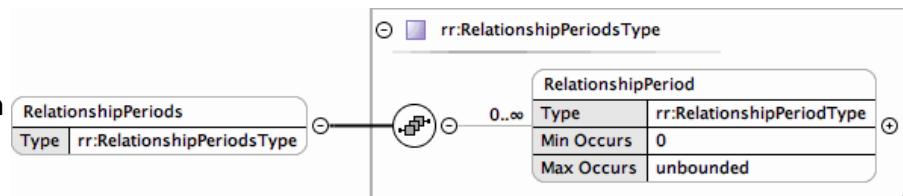
**Notes**

Element name: RelationshipPeriods

Cardinality: Optional, unique

Content: A collection of paired beginning and end dates relating to: the relationship itself, periods (e.g. accounting cycles) covered by documents demonstrating the relationship, or the filing date(s) of those documents

Business rules: At least one set of dates must be provided. If ValidationDocuments is present, at least the document filing date(s) must be provided

**Diagram**


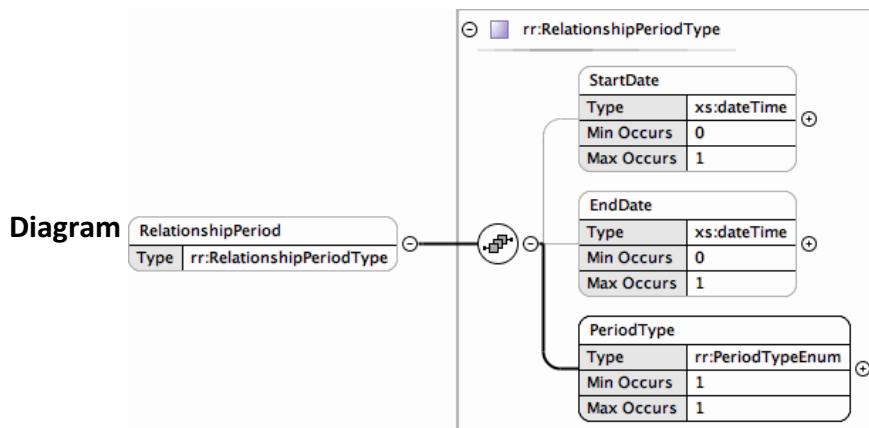
<RelationshipPeriods>

**Instance**    <RelationshipPeriod>{ 0,unbounded }</RelationshipPeriod>  
 </RelationshipPeriods>

### 2.3.18. Element [rr:RelationshipPeriodType](#) / RelationshipPeriod

**Notes**

Element name: RelationshipPeriod  
 Cardinality: Optional, repeatable  
 Content: Contains one set of start and end dates for a particular type of period, for example, the duration of the relationship itself, the filing or validity period of any documents demonstrating the relationship, or the accounting period they refer to  
 Business rules: A RelationshipPeriod must contain at least one of StartDate or EndDate. Some types of RelationshipPeriod are mandatory for a given RelationshipType and validation document type

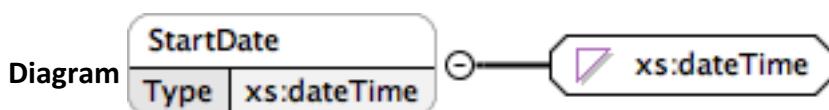


<RelationshipPeriod>  
 <StartDate>{0,1}</StartDate>  
**Instance**    <EndDate>{0,1}</EndDate>  
               <PeriodType>{1,1}</PeriodType>  
 </RelationshipPeriod>

### 2.3.19. Element [rr:RelationshipPeriodType](#) / [StartDate](#)

**Notes**

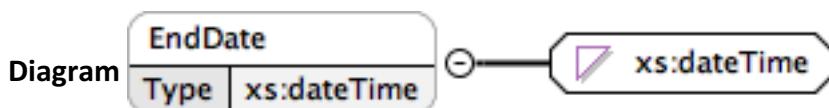
Element name: StartDate  
Cardinality: Optional, unique  
Content: The start date for a particular period relevant to the relationship  
Business rules: StartDate must contain an earlier date than that in EndDate (where both are present)



### 2.3.20. Element [rr:RelationshipPeriodType](#) / EndDate

**Notes**

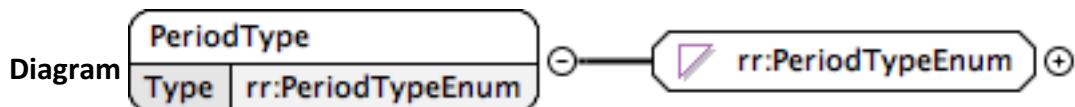
Element name: EndDate  
Cardinality: Optional, unique  
Content: The end date for a particular period relevant to the relationship  
Business rules: EndDate must contain a later date than that in StartDate (where both are present)



### 2.3.21. Element [rr:RelationshipPeriodType / PeriodType](#)

**Notes**

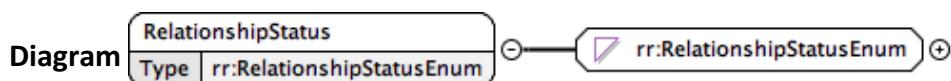
Element name: PeriodType  
 Cardinality: Mandatory, unique  
 Content: The particular type of period, for example, the duration of the relationship itself, the filing or validity period of any documents demonstrating the relationship, or the accounting period they refer to  
 Business rules: Some types of period (e.g. RELATIONSHIP\_PERIOD) may only be specified once per relationship record. Some types of time period may require StartDate and/or EndDate as mandatory



Facets	enumeration <b>ACCOUNTING_PERIOD</b>	The dates in this instance of RelationshipPeriod indicate the accounting period covered by the most recent validation documents for this relationship
	enumeration <b>RELATIONSHIP_PERIOD</b>	The dates in this instance of RelationshipPeriod indicate the duration of validity of the relationship itself, as distinct from any administrative or reporting aspects
	enumeration <b>DOCUMENT_FILING_PERIOD</b>	The dates in this instance of RelationshipPeriod indicate the validity period of a regulatory filing demonstrating the relationship's validity

### 2.3.22. Element [rr:RelationshipContainerType / RelationshipStatus](#)

	<p>Element name: RelationshipStatus</p> <p>Cardinality: Mandatory, unique</p> <p>Content: The status of the legal entities' relationship itself: ACTIVE or INACTIVE</p>
<b>Notes</b>	<p>Business rules: If one or both of the legal entities related by this relationship has <code>lei:EntityStatus="INACTIVE"</code>, this relationship's rr:RelationshipStatus must be set to "INACTIVE"</p>



<p>enumeration <b>ACTIVE</b></p> <p><b>Facets</b></p> <p>enumeration <b>INACTIVE</b></p>	<p>As of the last report or update, the reporting legal entity reported that it was legally registered and operating, and that the relationship detailed in this RelationshipRecord is still valid</p> <p>It has been determined that the entity that reported the relationship detailed in this RelationshipRecord is no longer legally registered and/or operating, and that this relationship is no longer valid</p>
--	---

### 2.3.23. Element [rr:RelationshipContainerType / RelationshipQualifiers](#)

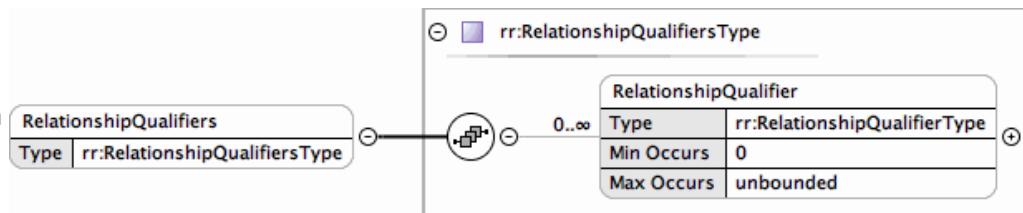
**Notes**

Element name: RelationshipQualifiers

Cardinality: Optional, repeatable

Content: Any additional qualitative attributes that help to categorize the relationship

Business rules: If RelationshipType is "IS\_DIRECTLY CONSOLIDATED\_BY" or "IS\_ULTIMATELY CONSOLIDATED\_BY", then a RelationshipQualifier with QualifierDimension="ACCOUNTING\_STANDARD" must be present

**Diagram**


<RelationshipQualifiers>

**Instance**    <RelationshipQualifier>{0,unbounded}</RelationshipQualifier>  
</RelationshipQualifiers>

### 2.3.24. Element [rr:RelationshipQualifiersType / RelationshipQualifier](#)

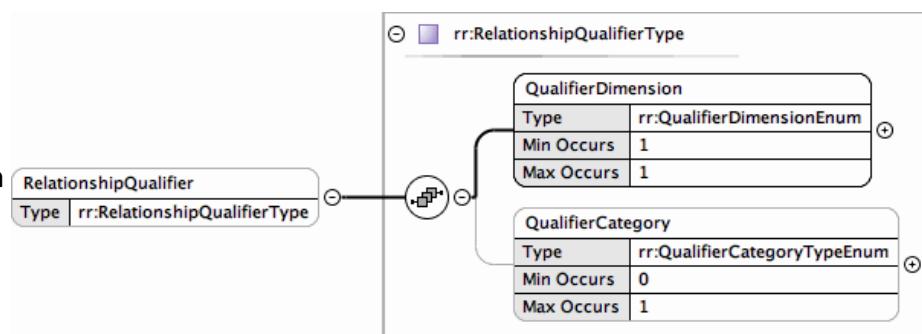
Element name: RelationshipQualifier

Cardinality: Optional, Repeatable

**Notes** Content: Container for all sets of relationship qualifier information

Business rules: N/A

**Diagram**



**Instance**

```
<RelationshipQualifier>
  <QualifierDimension>{1,1}</QualifierDimension>
  <QualifierCategory>{0,1}</QualifierCategory>
</RelationshipQualifier>
```

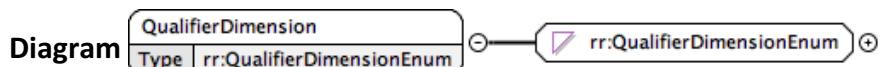
### 2.3.25. Element [rr:RelationshipQualifierType / QualifierDimension](#)

Element name: QualifierDimension

Cardinality: Mandatory, Unique

Content: Designates the list of possible additional qualitative attributes that help to categorize the relationship

**Notes** Business rules: The additional qualitative attributes contained in QualifierCategory must be taken from the set of categories designated in QualifierDimension; e.g. if QualifierDimension="ACCOUNTING\_STANDARD", then QualifierCategory may only be "US\_GAAP", "UK\_GAAP", "IFRS", etc.



**Facets** enumeration **ACCOUNTING\_STANDARD** The accounting standard applied to determine the definition of e.g. ultimate or direct accounting consolidating parent for the relationship detailed in this RelationshipRecord. The relevant accounting standard is normally that applicable to the EndNode (the "parent" entity)

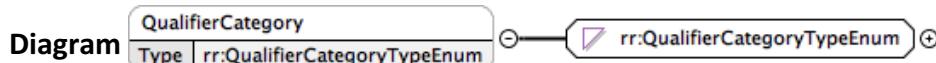
### 2.3.26. Element [rr:RelationshipQualifierType / QualifierCategory](#)

Element name: QualifierCategory

Cardinality: Optional, unique

Content: Specifies the additional qualitative attributes that help to categorize the relationship

**Notes** Business rules: The additional qualitative attributes contained in QualifierCategory must be taken from the set of categories designated in QualifierDimension, e.g. if QualifierCategory is "US\_GAAP", "UK\_GAAP", "IFRS", etc. then QualifierDimension="ACCOUNTING\_STANDARD"



enumeration **US\_GAAP**

United States-Generally Accepted Accounting Principles

**Facets**

enumeration **IFRS**

International Financial Reporting Standard (developed by the International Accounting Standards Board – IASB see <http://www.ifrs.org>)

### 2.3.27. Element [rr:RelationshipContainerType / RelationshipQuantifiers](#)

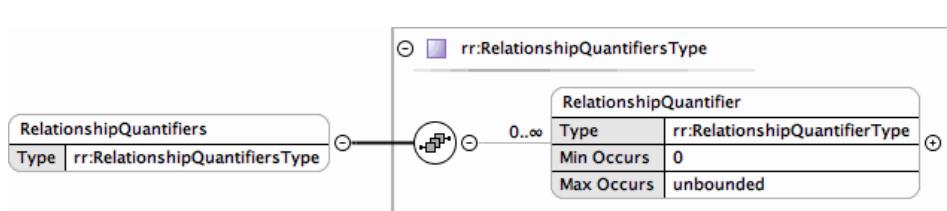
**Notes**

Element name: RelationshipQuantifiers

Cardinality: Optional, repeatable

Content: Any additional quantitative attributes that help to categorize the relationship

Business rules: N/A

**Diagram**

<RelationshipQuantifiers>

**Instance**    <RelationshipQuantifier>{0,unbounded}</RelationshipQuantifier>  
</RelationshipQuantifiers>

### 2.3.28. Element [rr:RelationshipQuantifiersType](#) / RelationshipQuantifier

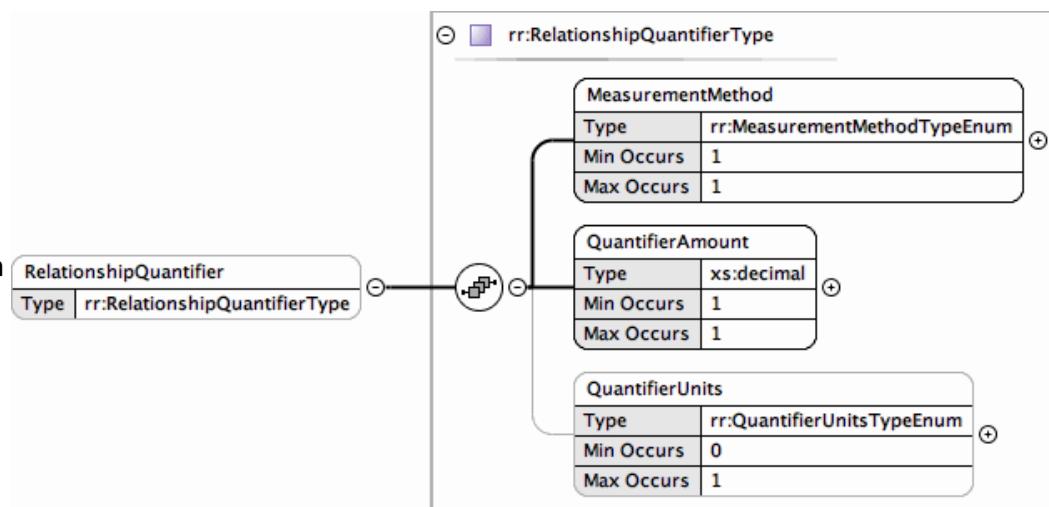
**Notes**

Element name: RelationshipQuantifier

Cardinality: Optional, repeatable

Content: Specifies one additional qualitative attribute of the relationship, according to a particular measurement method

Business rules: N/A

**Diagram**


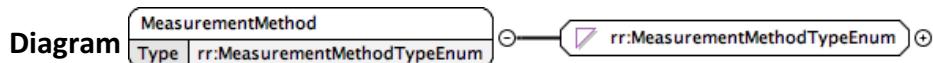
**Instance**

```

<RelationshipQuantifier>
  <MeasurementMethod>{1,1}</MeasurementMethod>
  <QuantifierAmount>{1,1}</QuantifierAmount>
  <QuantifierUnits>{0,1}</QuantifierUnits>
</RelationshipQuantifier>
  
```

### 2.3.29. Element [rr:RelationshipQuantifierType / MeasurementMethod](#)

	<p>Element name: MeasurementMethod</p> <p>Cardinality: Mandatory, unique</p> <p>Content: Specifies the method of measurement (or set of rules) used to quantitatively categorize the relationship</p>
<b>Notes</b>	<p>Business rules: Some values of MeasurementMethod require the use of units to make sense of the quantity specified by QuantifierAmount</p>

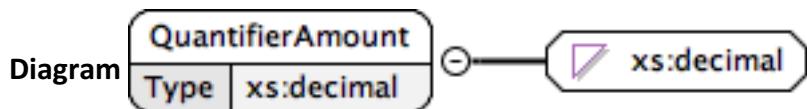


<b>Facets</b>	enumeration <b>ACCOUNTING_CONsolidATION</b>	Accounting consolidation holds when "[in the] financial statements of a group [...] the assets, liabilities, equity, income, expenses and cash flows of the parent and its subsidiaries are presented as those of a single economic entity <sup>1</sup>
---------------	---	---

<sup>1</sup> Please see <http://www.iasplus.com/en/standards/ias/ias27-2011>

### 2.3.30. Element [rr:RelationshipQuantifierType / QuantifierAmount](#)

Element name: QuantifierAmount  
Cardinality: Mandatory, unique  
Content: Specifies the quantity measured as a decimal (positive or negative) number, using a "." as the decimal point, with no spaces, and without thousand separators (e.g. ",")  
**Notes** Business rules: N/A



### 2.3.31. Element [rr:RelationshipQuantifierType / QuantifierUnits](#)

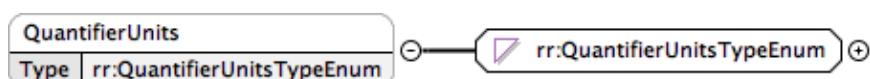
**Notes**

Element name: QuantifierUnits

Cardinality: Optional, unique

Content: Specifies the units, where applicable, of a measurement made on a relationship

Business rules: The units given in QuantifierUnits must match the method of measurement given in MeasurementMethod. For unitless measures (e.g. accounting consolidation percentages) QuantifierUnits is not required

**Diagram****Facets**

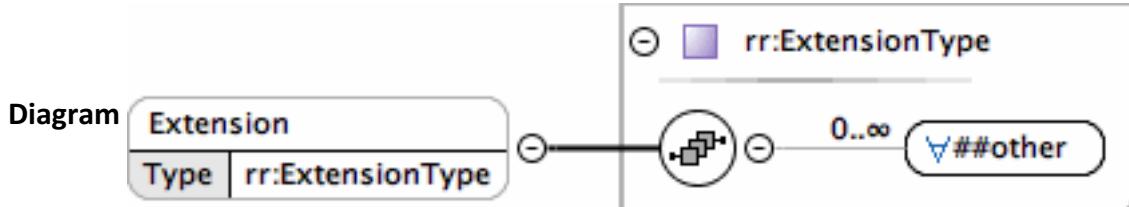
enumeration

**PERCENTAGE**

### 2.3.32. Element [rr:RelationshipContainerType / Extension](#)

**Notes**

Element name: Extension  
Cardinality: Optional, unique  
Content: This rr:Extension element may contain any additional elements required to extend the Relationship container element  
Business rules: There are no restrictions on the contents of rr:Extension. For this reason it is recommended to inform recipients which elements to expect here



### 2.3.33. Element [rr:RelationshipRecordType](#) / Registration

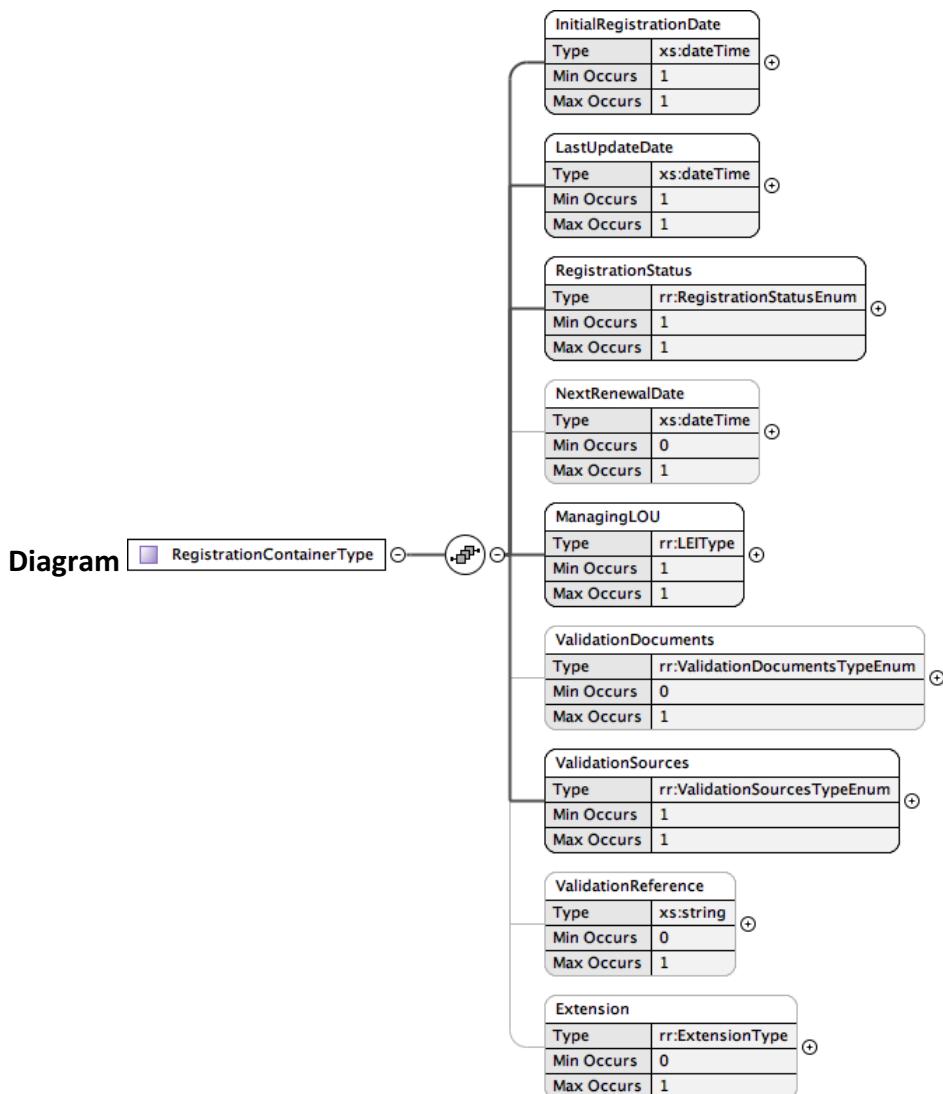
**Notes**

Element name: Registration

Cardinality: Mandatory, unique

Content: The Registration container element contains information specifying the LOU's administration of the relationship report

Business rules: The Registration container Element must always contain at least a RegistrationStatus, InitialRegistrationDate, LastUpdateDate, ValidationSources and a ManagingLOU. It may also contain an optional ValidationDocuments element.



Public

```
<Registration>
  <InitialRegistrationDate>{1,1}</InitialRegistrationDate>
  <LastUpdateDate>{1,1}</LastUpdateDate>
  <RegistrationStatus>{1,1}</RegistrationStatus>
  <NextRenewalDate>{0,1}</NextRenewalDate>
Instance  <ManagingLOU>{1,1}</ManagingLOU>
  <ValidationDocuments>{0,1}</ValidationDocuments>
  <ValidationSources>{1,1}</ValidationSources>
  <ValidationReference>{0,1}</ValidationReference>
  <Extension>{0,1}</Extension>
</Registration>
```

### 2.3.34. Element [rr:RegistrationContainerType / InitialRegistrationDate](#)

**Notes**

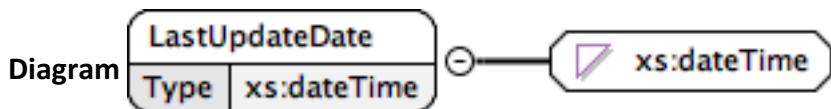
Element name: InitialRegistrationDate  
Cardinality: Mandatory, unique  
Content: The date at which the information was first collected by the ManagingLOU  
Business rules: The InitialRegistrationDate may not be later than any of the current date, the LastUpdateDate, ContentDate or NextRenewalDate



### 2.3.35. Element [rr:RegistrationContainerType / LastUpdateDate](#)

**Notes**

Element name: LastUpdateDate  
Cardinality: Mandatory, unique  
Content: The date at which the information was most recently updated by the ManagingLOU  
Business rules: The LastUpdateDate may not be before the InitialRegistrationDate, or later than any of the current date, ContentDate or NextRenewalDate



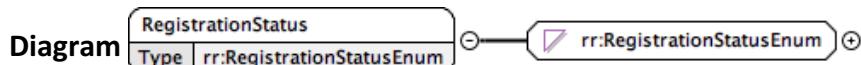
### 2.3.36. Element [rr:RegistrationContainerType / RegistrationStatus](#)

Element name: RegistrationStatus

Cardinality: Mandatory, unique

Content: The status of the legal entity's Relationship Record registration with the ManagingLOU

**Notes** Business rules: If RegistrationStatus="RETIRED" then RelationshipStatus must be "INACTIVE". If RegistrationStatus="DUPLICATE" then the DUPLICATE status is assigned to the non-surviving registration and no further updates of the DUPLICATE registration record may occur



enumeration **PENDING\_VALIDATION** A relationship data report that has been submitted and which is being processed and validated

enumeration **ISSUED** A relationship data report that has been validated and issued, and which is reported by an entity that was an operating legal entity as of the last update

**Facets** enumeration **DUPLICATE** A relationship data report that has been determined to be a duplicate registration of the same relationship (i.e. with the same 2 entity IDs, the same relationship type and the same relationship date(s)).

enumeration **LAPSED** A relationship data report that has not been renewed by the NextRenewalDate

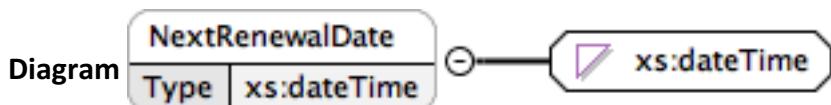
enumeration **RETIRED** A relationship data report for one or more entities that have ceased operation (goes out of business and/or dissolves its legal standing) or been merged into another

	entity or entities. The relationship is considered to have ended
enumeration <b>ANNULLED</b>	A relationship data report that was marked as erroneous or invalid after it was issued
enumeration <b>CANCELLED</b>	A relationship data report that was abandoned prior to issuance. A record in this state is not published, but may be exchanged internally with GLEIF
enumeration <b>TRANSFERRED</b>	A relationship data report that has been transferred to a different LOU as the ManagingLOU. A record in this state is not published, but may be used internally by the prior LOU for audit trail purposes
enumeration <b>PENDING_TRANSFER</b>	A relationship data report for which a transfer to another LOU has been requested. The request is being processed at the sending LOU. When the receiving LOU is ready, the status will be changed to PENDING_ARCHIVAL by the sending LOU prior to completion of the transfer
enumeration <b>PENDING_ARCHIVAL</b>	This relationship data report is about to be transferred to a different LOU, after which its registration status will revert to a non-pending status. The PENDING_ARCHIVAL status serves to inform recipients of LOU-provided data files that a relationship record will be removed from that LOU's published file after the transfer is complete

### 2.3.37. Element [rr:RegistrationContainerType / NextRenewalDate](#)

**Notes**

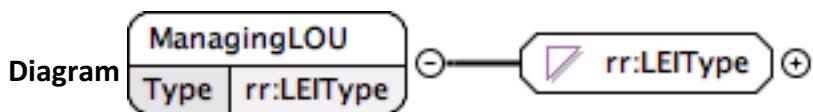
Element name: NextRenewalDate  
Cardinality: Optional, unique  
Content: The next date by which the relationship information must be renewed and re-certified by the legal entity  
Business rules: The NextRenewalDate may not be before the InitialRegistrationDate



### 2.3.38. Element [rr:RegistrationContainerType / ManagingLOU](#)

**Notes**  
Element name: ManagingLOU  
Cardinality: Mandatory, unique  
Content: The LEI of the LOU that is responsible for administering this Relationship Record

Business rules: N/A



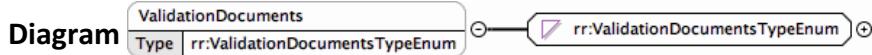
	minLength	20
<b>Facets</b>	maxLength	20
	pattern	([0-9A-Z]{18}[0-9]{2})

### 2.3.39. Element [rr:RegistrationContainerType / ValidationDocuments](#)

Element name: ValidationDocuments

Cardinality: Optional, unique

**Notes** Content: Type of source document(s) used for validating the relationship  
Business rules: N/A



enumeration **ANNUAL\_ACCOUNTS\_FILING**

A consolidated financial (accounting) statement, prepared and submitted annually to the relevant authority

**Facets**

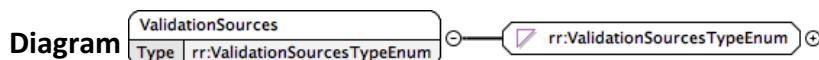
enumeration **QUARTERLY\_ACCOUNTS\_FILING**

A consolidated financial (accounting) statement, prepared and submitted quarterly to the relevant authority

### 2.3.40. Element [rr:RegistrationContainerType / ValidationSources](#)

**Notes**

- Element name: ValidationSources
- Cardinality: Mandatory, unique
- Content: Level of relationship validation
- Business rules: N/A



enumeration **PENDING**

The validation of the relationship data provided by the registrant has not yet occurred. Records with this ValidationSources value MUST not be published

enumeration **ENTITY\_SUPPLIED\_ONLY**

Based on the validation procedures in use by the LOU responsible for the record, the information associated with this record has significant reliance on the information that a submitter provided due to the unavailability of corroborating information.

**Facets**

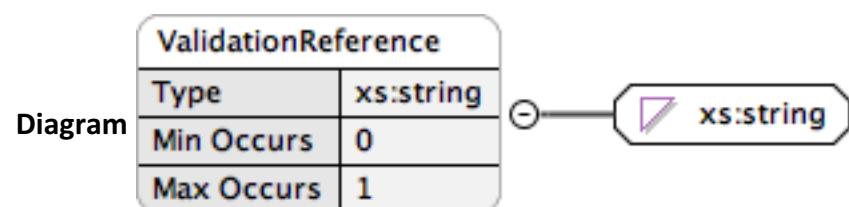
enumeration **PARTIALLY\_CORROBORATED** (e.g. financial statements with other definitions of the relevant relationship type; quarterly or annual regulatory filings, contracts and other documents used in preparing financial statements)

enumeration **FULLY\_CORROBORATED**

The relationship data provided by the registrant has been validated against an explicit relationship statement found in key sources (e.g. consolidated financial statements)

### 2.3.41. Element [rr:RegistrationContainerType / ValidationReference](#)

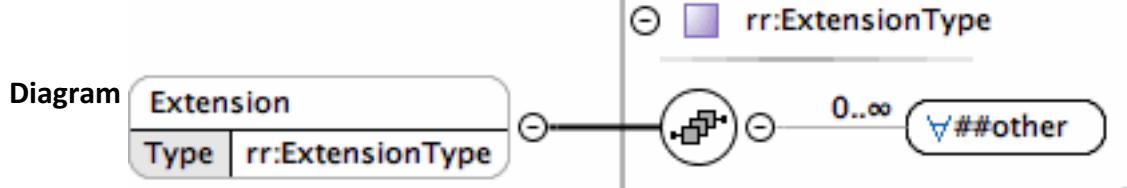
	<p>Element name: ValidationReference</p> <p>Cardinality: Optional, unique</p> <p>Content: A reference to a specific document or other source used as the basis of relationship validation for this relationship record</p>
Notes	<p>Business rules: If ValidationDocuments is QUARTERLY_REGULATORY_FILING or REGULATORY_FILING, the ValidationReference element MUST be present, MUST contain the filing URL (including name and full path)</p>



### 2.3.42. Element rr:RegistrationContainerType / Extension

**Notes**

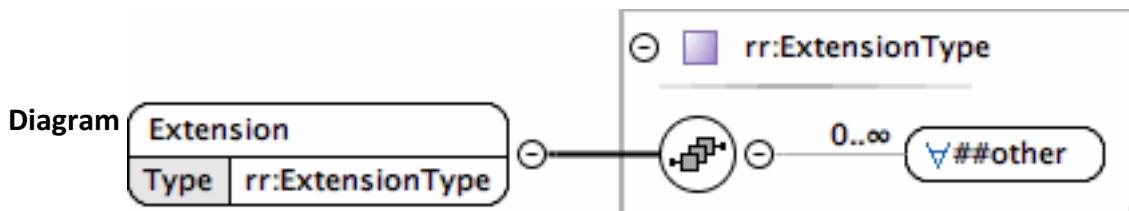
Element name: Extension  
Cardinality: Optional, unique  
Content: This rr:Extension element may contain any additional elements required to extend the Registration container element  
Business rules: There are no restrictions on the contents of rr:Extension. For this reason it is recommended to inform recipients which elements to expect here



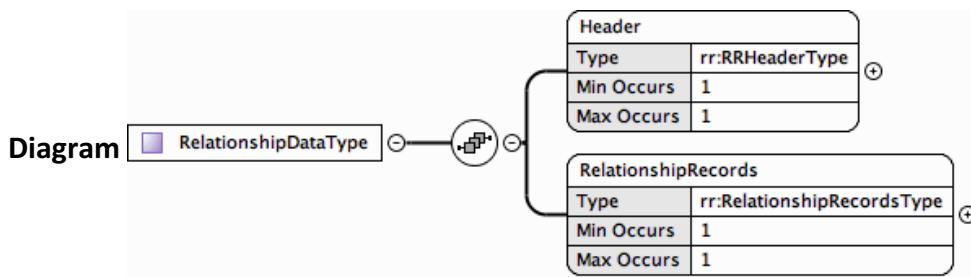
### 2.3.43. Element [rr:RelationshipRecordType / Extension](#)

**Notes**

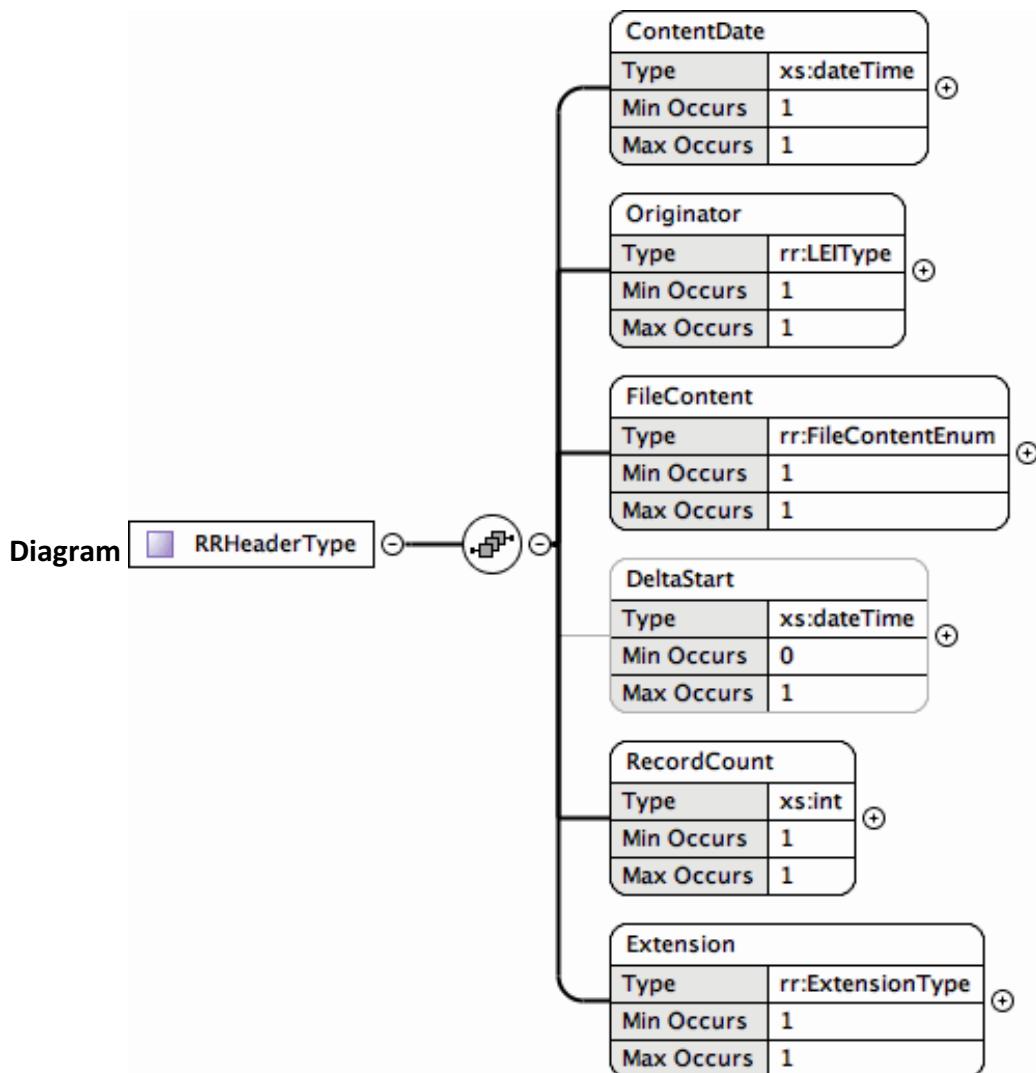
Element name: Extension  
Cardinality: Optional, unique  
Content: This rr:Extension Element may contain any additional elements required to extend the RelationshipRecord  
Business rules: There are no restrictions on the contents of rr:Extension. For this reason it is recommended to inform recipients which Elements to expect here



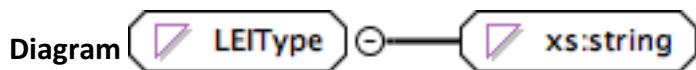
### 2.3.44. Complex Type rr:RelationshipDataType



### 2.3.45. Complex Type rr:RRHeaderType



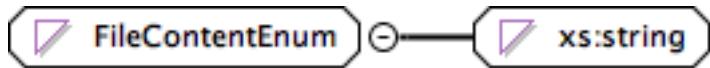
### 2.3.46. Simple Type rr:LEIType



	minLength	20
Facets	maxLength	20
	pattern	([0-9A-Z]{18}[0-9]{2})

### 2.3.47. Simple Type rr:FileContentEnum

Diagram



#### Facets

enumeration **LOU\_FULL\_INTERNAL**

The file contains all LEI Data Records created for internal use by an LOU (all internal LEI Data Records for which the LOU is the ManagingLOU) as of the date/time the file is created

enumeration **GLEIF\_FULL\_INTERNAL**

The file contains all LEI Data Records GLEIF manages internally to the GLEIS (including all internal LEI Data Records from all LOUs) as of the date/time the file is created

enumeration **GLEIF\_DELTA\_INTERNAL**

The file contains those LEI Data Records GLEIF manages internally to the GLEIS (including all internal LEI Data Records from all LOUs) which are new or changed since the DeltaStart date specified in the Header, as of the date/time the file is created

enumeration **LOU\_DELTA\_INTERNAL**

The file contains those LEI Data Records created by an LOU for internal use (all internal LEI Data Records for which the LOU is the ManagingLOU) which are new or changed since the DeltaStart specified in the header, as of the date/time the file is created

enumeration **LOU\_FULL\_PUBLISHED**

The file contains all LEI Data Records published by an LOU (all LEI Data Records for which the LOU is the ManagingLOU) as of the date/time the file is created

enumeration **LOU\_DELTA\_PUBLISHED**

The file contains those LEI Data Records published by an LOU (all LEI Data Records for which the LOU is the ManagingLOU) which are new or changed since the DeltaStart specified in the header, as of the date/time the file is created

enumeration **GLEIF\_FULL\_PUBLISHED**

The file contains all LEI Data Records published by GLEIF (including all LEI Data Records from all LOUs) as of the date/time the file is created

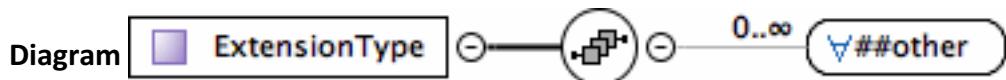
enumeration **GLEIF\_DELTA\_PUBLISHED**

The file contains those LEI Data Records published by GLEIF (including all LEI Data Records from all LOUs) which are new or changed since the DeltaStart date specified in the Header, as of the date/time the file is created

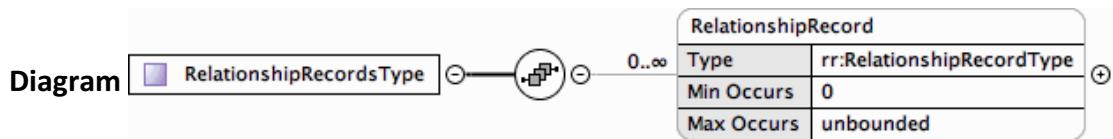
enumeration **QUERY\_RESPONSE**

The file contains records matching criteria specified in a query

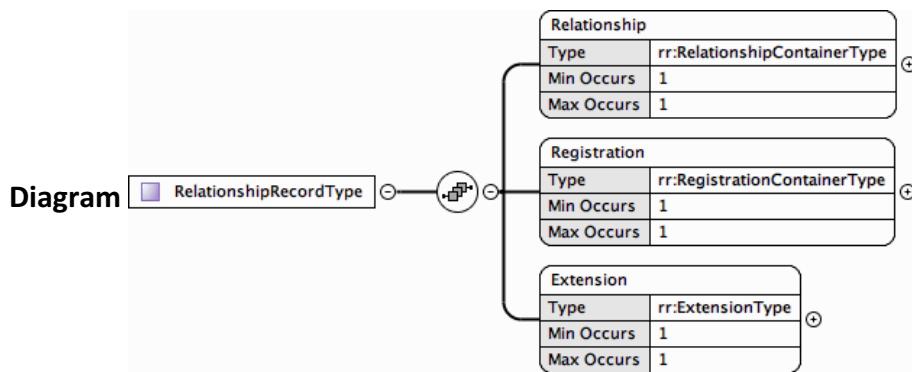
### 2.3.48. Complex Type rr:ExtensionType



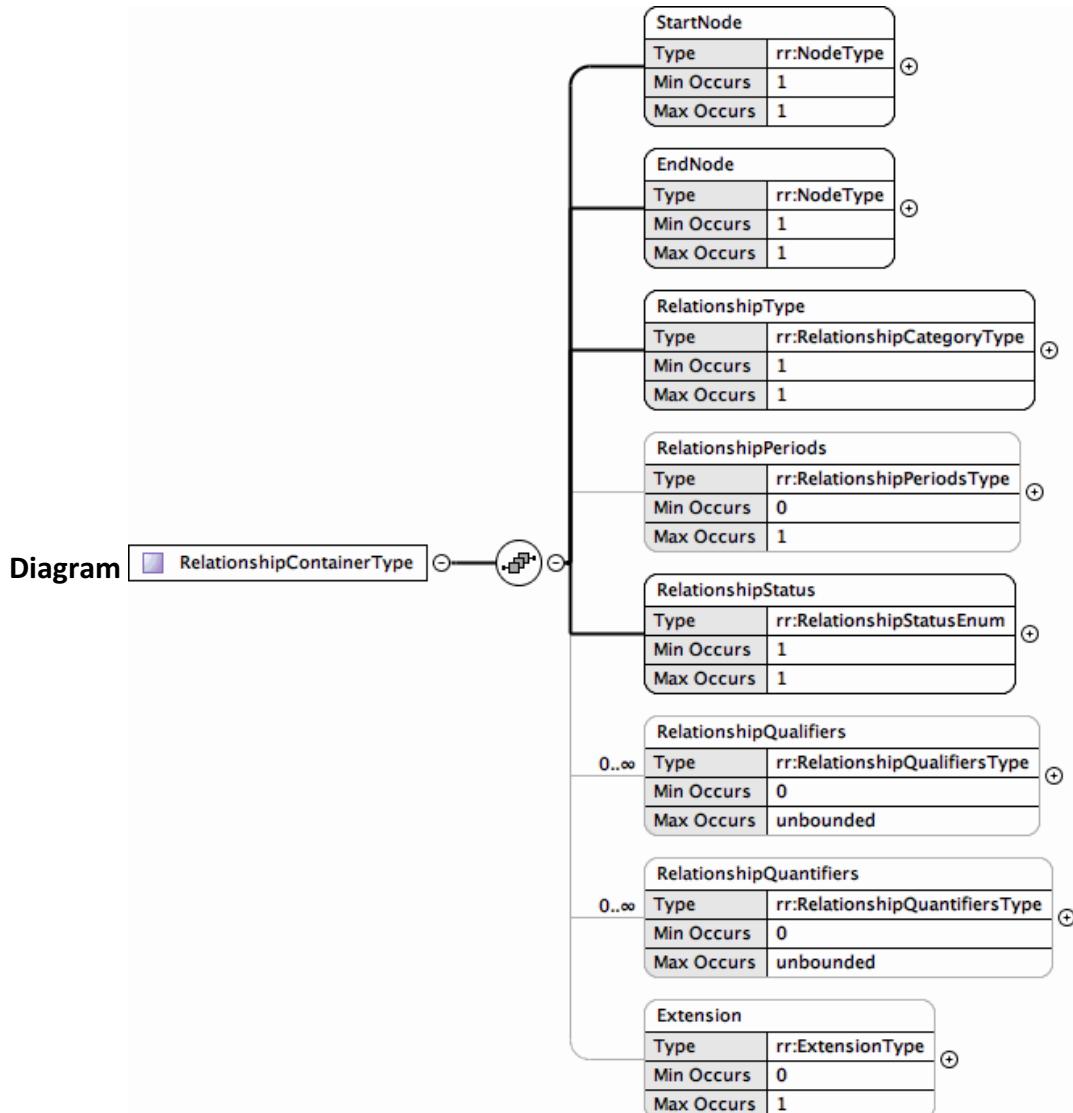
### 2.3.49. Complex Type rr:RelationshipRecordsType



### 2.3.50. Complex Type rr:RelationshipRecordType

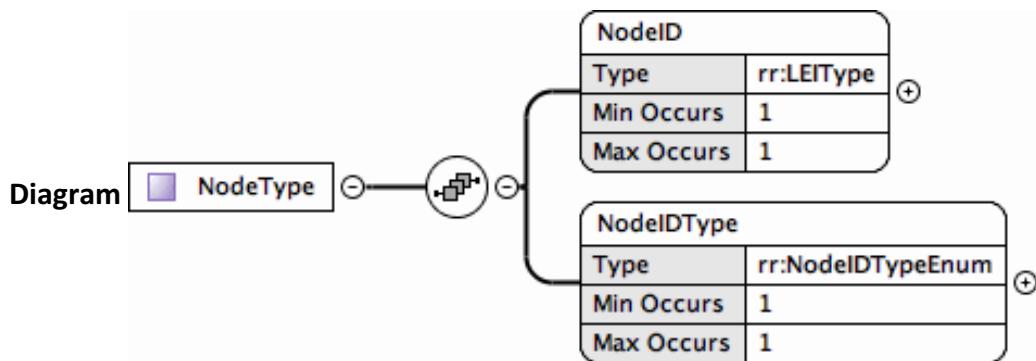


### 2.3.51. Complex Type rr:RelationshipContainerType

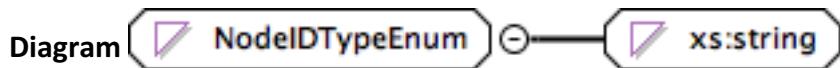


Public

### 2.3.52. Complex Type rr:NodeType



### 2.3.53. Simple Type rr:NodeIDTypeEnum



enumeration **LEI**

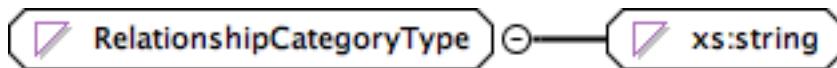
An LEI code taken from the LEI issuing prefix namespace of a GLEIS LOU

#### Facets

An ISO 17442 compatible code, not taken  
enumeration **ISO\_17442\_COMPATIBLE** from the LEI issuing prefix namespace of a  
GLEIS LOU

### 2.3.54. Simple Type rr:RelationshipCategoryType

Diagram



enumeration **IS\_DIRECTLY CONSOLIDATED\_BY**

StartNode is directly consolidated by EndNode. The StartNode "child" entity has its accounts fully consolidated by the EndNode "parent" entity, in the sense given by the accounting standard(s) specified in RelationshipQualifiers; the EndNode entity is the closest fully consolidating parent to the StartNode entity in any applicable hierarchical ownership structure

#### Facets

enumeration **IS\_ULTIMATELY CONSOLIDATED\_BY**

StartNode is ultimately consolidated by EndNode. The StartNode "child" entity has its accounts fully consolidated by the EndNode "parent" entity, in the sense given by the accounting standard(s) specified in RelationshipQualifiers; the EndNode entity is the most distant fully consolidating parent from the StartNode entity in any applicable hierarchical ownership structure

Public

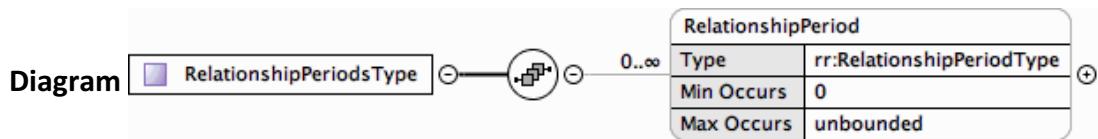
enumeration **IS\_INTERNATIONAL\_BRANCH\_OF**

StartNode is an international branch of the legal entity designated by EndNode (in jurisdiction country of StartNode). The EndNode is the LEI of the Head Office

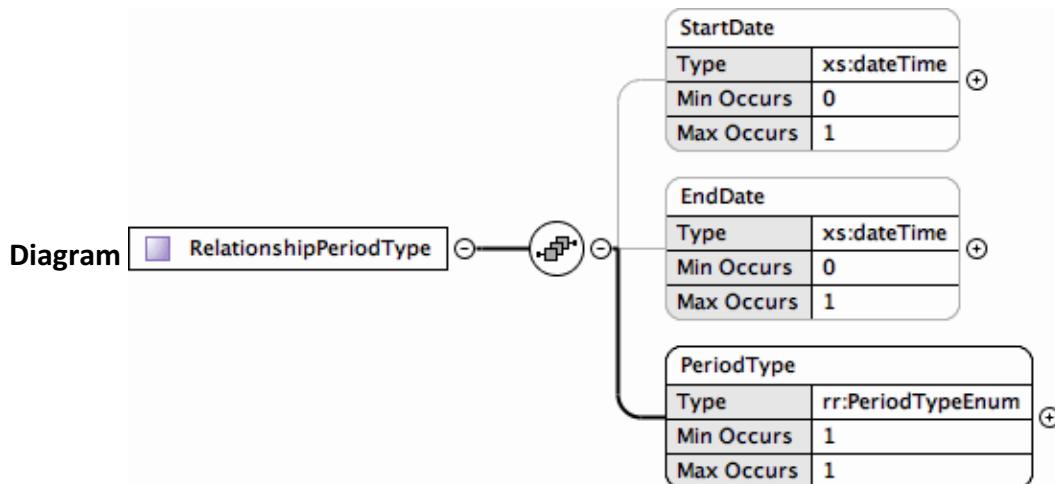
enumeration **HAS\_DIRECT\_MANAGER**

StartNode is a fund either belonging to the fund family or managed by the asset management company identified by EndNode.

### 2.3.55. Complex Type rr:RelationshipPeriodsType

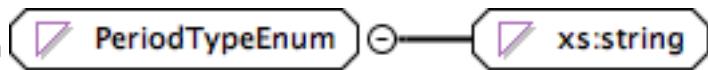


### 2.3.56. Complex Type rr:RelationshipPeriodType



### 2.3.57. Simple Type rr:PeriodTypeEnum

Diagram



enumeration **ACCOUNTING\_PERIOD**

The dates in this instance of RelationshipPeriod indicate the accounting period covered by the most recent validation documents for this relationship

Facets enumeration **RELATIONSHIP\_PERIOD**

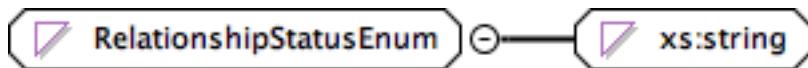
The dates in this instance of RelationshipPeriod indicate the duration of validity of the relationship itself, as distinct from any administrative or reporting aspects

enumeration **DOCUMENT\_FILING\_PERIOD**

The dates in this instance of RelationshipPeriod indicate the validity period of a regulatory filing demonstrating the relationship's validity

### 2.3.58. Simple Type rr:RelationshipStatusEnum

Diagram



enumeration **ACTIVE**

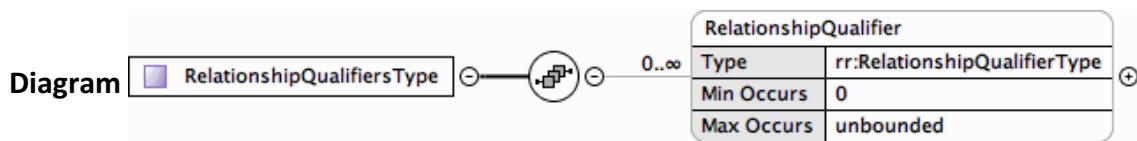
Facets

enumeration **INACTIVE**

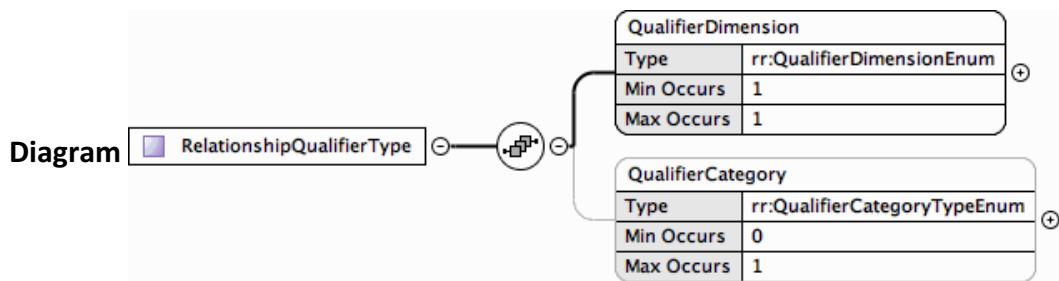
As of the last report or update, the reporting legal entity reported that it was legally registered and operating, and that the relationship detailed in this RelationshipRecord is still valid

It has been determined that this relationship is no longer valid

### 2.3.59. Complex Type rr:RelationshipQualifiersType

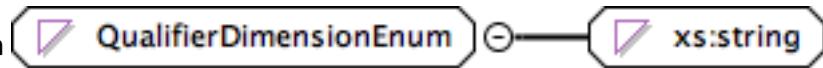


### 2.3.60. Complex Type rr:RelationshipQualifierType



### 2.3.61. Simple Type rr:QualifierDimensionEnum

Diagram



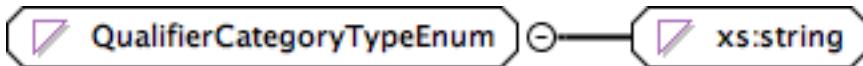
Facets

enumeration **ACCOUNTING\_STANDARD**

The accounting standard applied to determine the definition of e.g. ultimate or direct accounting consolidating parent for the relationship detailed in this RelationshipRecord. The relevant accounting standard is normally that applicable to the EndNode (the "parent" entity)

### 2.3.62. Simple Type rr:QualifierCategoryTypeEnum

Diagram

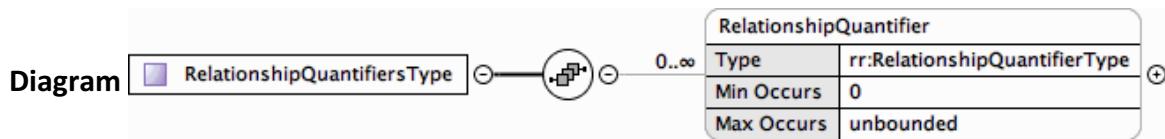


#### Facets

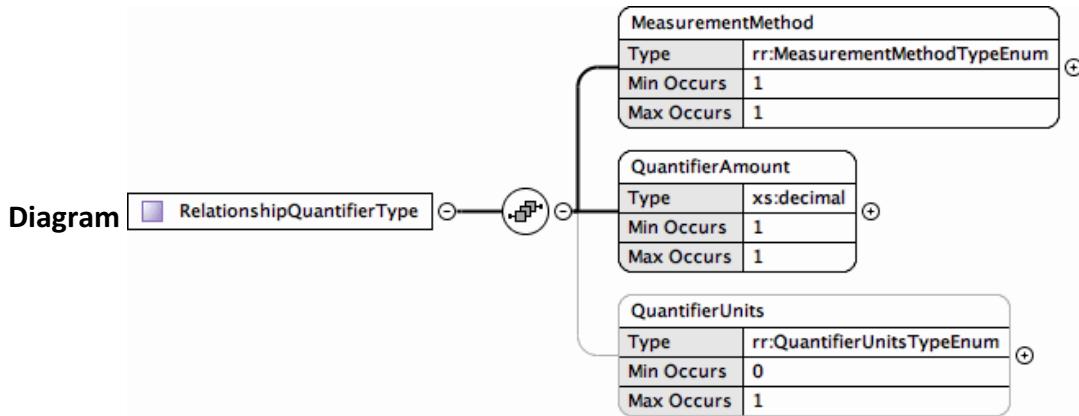
enumeration **US\_GAAP**United States-Generally Accepted  
Accounting Principlesenumeration **IFRS**International Financial Reporting Standard<sup>2</sup>

<sup>2</sup> Developed by the International Accounting Standards Board – IASB see <http://www.ifrs.org>  
Public

### 2.3.63. Complex Type rr:RelationshipQuantifiersType

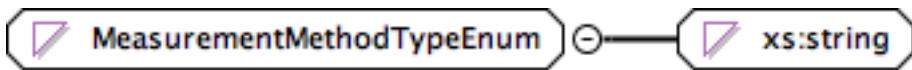


### 2.3.64. Complex Type rr:RelationshipQuantifierType



### 2.3.65. Simple Type rr:MeasurementMethodTypeEnum

Diagram



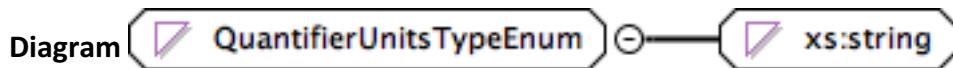
Facets

enumeration **ACCOUNTING\_CONsolidation** Accounting consolidation holds when "[in the] financial statements of a group [...] the assets, liabilities, equity, income, expenses and cash flows of the parent and its subsidiaries are presented as those of a single economic entity<sup>3</sup>

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<sup>3</sup> Please see <http://www.iasplus.com/en/standards/ias/ias27-2011>

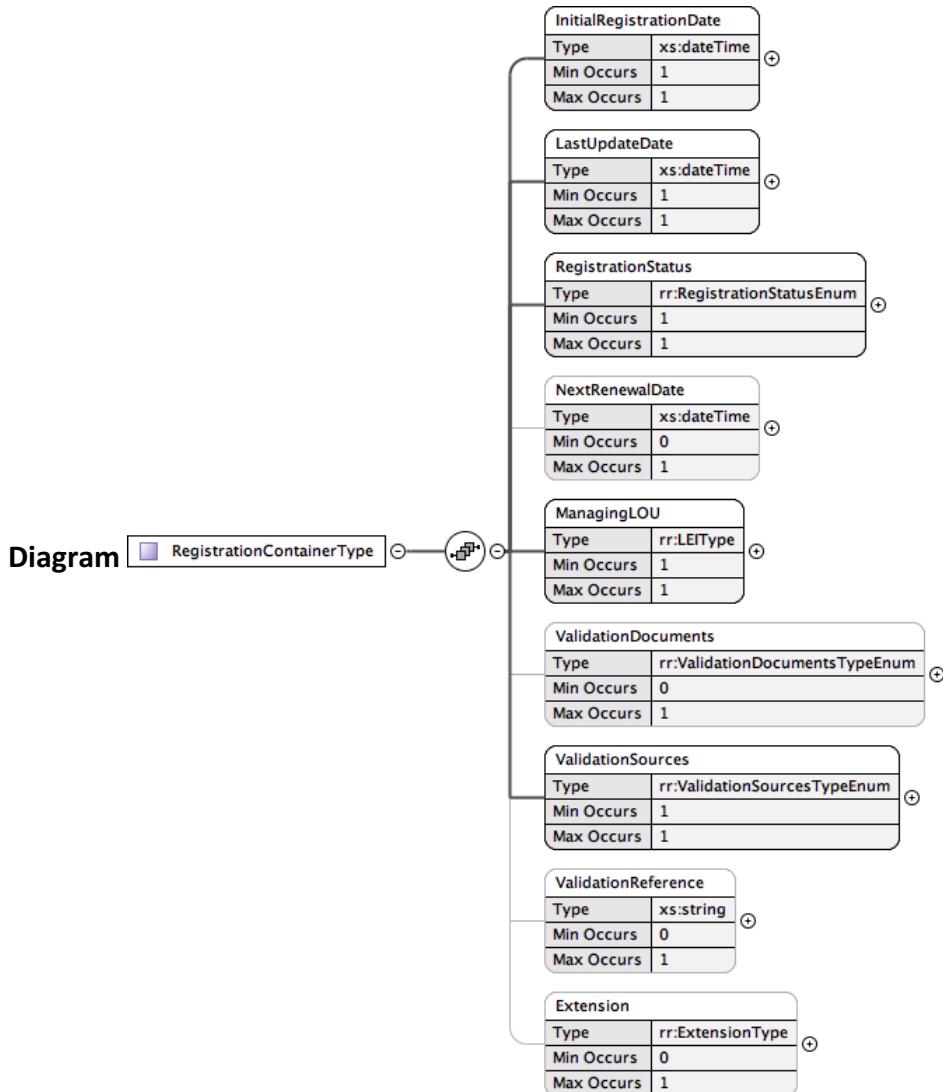
### 2.3.66. Simple Type rr:QuantifierUnitsTypeEnum



Facets    enumeration

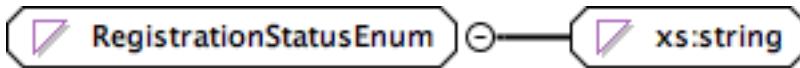
PERCENTAGE

### 2.3.67. Complex Type rr:RegistrationContainerType



### 2.3.68. Simple Type rr:RegistrationStatusEnum

Diagram



enumeration **PENDING\_VALIDATION** A relationship data report that has been submitted and which is being processed and validated

enumeration **ISSUED** A relationship data report that has been validated and issued, and which is reported by an entity that was an operating legal entity as of the last update

enumeration **DUPLICATE** A relationship data report that has been determined to be a duplicate registration of the same relationship (i.e. with the same 2 entity IDs, the same relationship type and the same relationship date(s)).

**Facets** enumeration **LAPSED**

A relationship data report that has not been renewed by the NextRenewalDate

enumeration **RETIRED** A relationship data report for one or more entities that have ceased operation (goes out of business and/or dissolves its legal standing) or been merged into another entity or entities. The relationship is considered to have ended

enumeration **ANNULLED**

A relationship data report that was marked as erroneous or invalid after it was issued

enumeration **CANCELLED**

A relationship data report that was abandoned prior to issuance. A record in this state is not published, but may be exchanged internally with GLEIF

enumeration **TRANSFERRED**

A relationship data report that has been transferred to a different LOU as the ManagingLOU. A record in this state is not published, but may be used internally by the prior LOU for audit trail purposes

enumeration **PENDING\_TRANSFER**

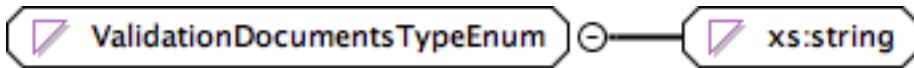
A relationship data report for which a transfer to another LOU has been requested. The request is being processed at the sending LOU. When the receiving LOU is ready, the status will be changed to PENDING\_ARCHIVAL by the sending LOU prior to completion of the transfer

enumeration **PENDING\_ARCHIVAL**

This relationship data report is about to be transferred to a different LOU, after which its registration status will revert to a non-pending status. The PENDING\_ARCHIVAL status serves to inform recipients of LOU-provided data files that a relationship record will be removed from that LOU's published file after the transfer is complete

### 2.3.69. Simple Type rr:ValidationDocumentsTypeEnum

Diagram



enumeration **ANNUAL\_ACCOUNTS\_FILING**

A consolidated financial (accounting) statement, prepared and submitted annually to the relevant authority

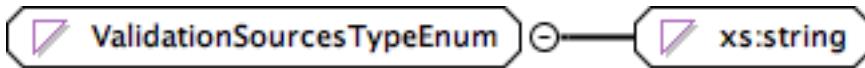
Facets

enumeration **QUARTERLY\_ACCOUNTS\_FILING**

A consolidated financial (accounting) statement, prepared and submitted quarterly to the relevant authority

### 2.3.70. Simple Type rr:ValidationSourcesTypeEnum

Diagram



enumeration **PENDING**

The validation of the relationship data provided by the registrant has not yet occurred

enumeration **ENTITY\_SUPPLIED\_ONLY**

Based on the validation procedures in use by the LOU responsible for the record, the information associated with this record has significant reliance on the information that a submitter provided due to the unavailability of corroborating information.

Facets

enumeration **PARTIALLY\_CORROBORATED**

Based on the validation procedures in use by the LOU responsible for the record, the information supplied by the registrant can be partially corroborated by supporting sources (e.g. financial statements with other definitions of the relevant relationship type; quarterly or annual regulatory filings, contracts and other documents used in preparing financial statements)

enumeration **FULLY\_CORROBORATED**

The relationship data provided by the registrant has been validated against an explicit relationship statement found in key sources (e.g. consolidated financial statements)