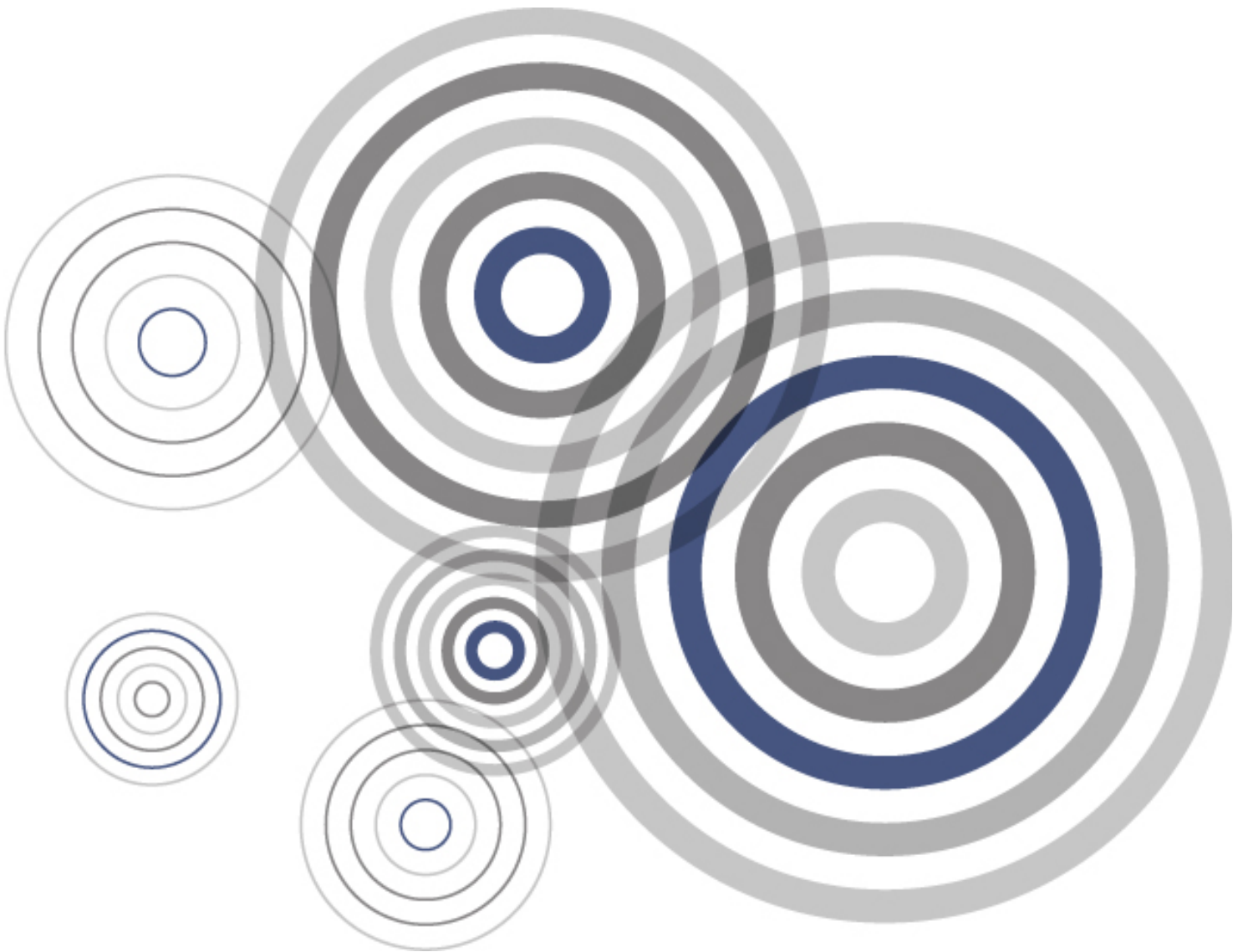


Public

# State Transition Rules for RR-CDF

Draft, Version 0.9 , 2016-09-27



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## About this Document

This document describes business rules for the collection, updating, management and publication of Level 2 LEI data according to the Relationship Record Common Data File (RR-CDF) format.

## Change History

Date	Version	Description of change	Author
2016-09-27	0.9	Draft version	GLEIF

## 1. Terms and Definitions

Term	Definition
Business Rule	GLEIF's legal, organizational and technical rules for implementation of the LEI-ROC's high level policies for Level 2 data
LEI Record	An XML data record in LEI-CDF format describing one legal entity
Non-LEI parent	A (direct or ultimate) consolidated accounting parent according to the applicable accounting rules, which therefore must be reported, but does not yet have an LEI
Provisional Node Identifier (PNI)	A code conforming to the technical standards (without reference data) of ISO 17442 and with a separate prefix not assigned to any LOU for LEI issuance
Reference Data	The entity description and registration information (where applicable) associated with an LEI or PNI (could be an LEI-CDF record or a record in the provisional "Parent Reference Data format")
Relationship Record (RR)	An XML data record in RR-CDF format detailing one relationship between two legal entities, as reported by (initially) the child entity to their LOU, and by the LOU to GLEIF
Transition Rule	A rule stipulating what LOUs, GLEIF and legal entities must do when a relationship record changes from one allowed state to another
Use Case	A specific operation scenario which applies one or more Business Rules

## 2. General State Transition Rules

NOTE: These are transitional business rules, applicable in the first phase (phase 1) of the Level 2 data collection activities of the GLEIS. All rules will be re-evaluated in the course of phase 1 implementation.

### 2.1.1. Child Only Reporting

Initially only child entities may report level 2 data to minimize difficulties arising from complex business rules dependent on the reporting entity and de-duplication. This also covers a parent entity instructing its child entity or entities to report parent information, and also delegated reporting by a parent entity on behalf of any child entities.

Given this rule, reporting of child entities without an LEI is NOT possible under any circumstance.

### 2.1.2. Renewal of LEI-CDF and RR-CDF

The renewal of the relationship record is dependent on the child entity's registration status. If the child LEI is renewed, the relationship is renewed as well.

### 2.1.3. Unique Relationships

Only one parent entity per child may be reported per unique relationship type. The unique relationship is identified by the child's NodeID (always an LEI and always in the StartNode), the parent's NodeID (always in the EndNode), and the RelationshipType.

The parent entity's NodeID is:

- an LEI for those parent legal entities with an LEI;
- a PNI (Provisional Node Identifier) for those parent Legal Entities without an LEI.

The relationship types allowed initially include:

- the 2 new **mandatory required** relationship types introduced by Level 2:
  - Direct accounting consolidating parent
  - Ultimate accounting consolidating parent
- the 2 **optional (where applicable)** relationship types carried over from other work streams:
  - International branch headquarters (new with Level 2)
  - Fund family (formerly part of Level 1 LEI-CDF reference data)

#### 2.1.4. Application of a PNI

In the case a child entity reports a relationship with a parent legal entity that does not have an LEI, the LOU creates a Parent Reference Data record with a PNI for the parent Legal Entity. This PNI and its associated reference data is shared only with GLEIF.

#### 2.1.5. De-duplication

The LOU is responsible for checking for duplicate relationships (see “Unique Relationships” above) in all cases where both the child and the parent have an LEI.

#### 2.1.6. Mandatory Relationship Reporting

All Legal Entities must report one of

- a relationship,
- no relationship or
- an opt out reason.

It is not possible for an LEI to exist without this information. This information is reported at the time of LEI Issuance, LEI Renewal, or LEI Transfer, whichever happens first.

**Opt out reason reporting:** Given the legal entity is aware that it has a relationship of the relevant type BUT withholds the details, it must give an opt-out reason. Reasons are recorded in a manner specified by the LEI-ROC. No relationship information is recorded by LOU. The opt out reason is collected as part of the LEI record of the reporting entity. The Regulator is responsible to pursue further this information.

**No Relationship Exists (negative reporting):** Given the Legal Entity reports it has no relationship, this information is collected as part of the LEI record of the reporting entity.

#### 2.1.7. Transfer Relationship Record if Child LEI is Transferred

A Relationship Record must always be managed by the LOU that manages the LEI of the child entity.

When transferring a child LEI-CDF record, the LOU must check if Relationship Records exist.

### **2.1.8. Validation**

The LOU is responsible for validating the Relationship Record.

The LOU is not responsible for validating opt out reasons reported.

The LOU is not responsible for validating a legal entity's statement that no relationship exists (negative reporting).

The LOU validates the Relationship Record based on the source provided by the Legal Entity or other reliable public sources.

The LOU accepts or denies a Relationship Record based on the result of its validation.

The LOU notes the level of validation in the Relationship Record Reference Data.

The LOU is responsible to validate changed (includes RegistrationStatus RETIRED) Relationship Records.

### **2.1.9. Types of Validation Documents**

Non-proprietary primary sources are required for the validation of documents. Consolidated financial statements are a key source to validate parent relationships. Such reports may be prepared and submitted to the relevant authority quarterly or annually.

Regulatory filings are another important source. When validating using a regulatory filing the filing name and path must be provided.

Other types of allowable sources include other documents supporting the preparation of consolidated financial statements, contracts, and other official documents.

Proprietary products containing secondary data derived from a variety of sources are not considered a valid source for validation of relationship data.

### **2.1.10. Assign Relevant Accounting Convention to Define Parent & Child Entities**

Definitions of accounting consolidation and other relationship types could vary by jurisdiction. The Legal Entity reports the accounting consolidation. The LOU verifies this.

International standards overrule local GAAPs.

### 3. Use Cases

This section lists the various use cases and the distinct states that need to be set in the Relationship Record for this use case. Only the fields that need to be changed are displayed.

#### 3.1. Issue New LEI – allowed states

This section lists allowed states for the basic expected results of most Level 2 data collection, giving restrictions per use case beyond those for all records generally in the RR-CDF.

##### 3.1.1. Issue New LEI to a child Legal Entity having a parent with an LEI

When a Legal Entity requests an LEI, that has a parent with an LEI, the Managing LOU of the child entity creates the parent Relationship Records as follows (for direct and ultimate parent, if both have an LEI).

Element Name	States
StartNode	NodeID SHALL be the LEI of the child NodeIDType SHALL be "LEI"
EndNode	NodeID SHALL be the LEI of the parent NodeIDType SHALL be "LEI"
RelationshipType	RelationshipType SHALL include either "IS_DIRECTLY_CONSOLIDATED_BY" or "IS_ULTIMATELY_CONSOLIDATED_BY"
RelationshipPeriods	RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate
RelationshipStatus	RelationshipStatus SHALL be "ACTIVE"



Element Name	States
RelationshipQualifiers	QualifierDimension SHALL be "ACCOUNTING_STANDARD" and QualifierCategory SHALL be either "US GAAP" or "IFRS"
RelationshipQuantifiers	MeasurementMethod SHALL be "ACCOUNTING_CONSOLIDATION"
InitialRegistrationDate	Date/time the Relationship record was created
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "ISSUED"
NextRenewalDate	The next date by which the relationship information must be renewed and re-certified by the legal entity
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record
ValidationDocuments	ValidationDocuments SHALL include either "ANNUAL_ACCOUNTS_FILING", "QUARTERLY_ACCOUNTS_FILING", "ANNUAL_REGULATORY_FILING" or „QUARTERLY_REGULATORY_FILING“
ValidationSources	ValidationSources SHALL be either "ENTITY_SUPPLIED_ONLY", "PARTIALLY_CORROBORATED" or "FULLY_CORROBORATED"

### 3.1.2. Issue New LEI to a child Legal Entity having (a) parent(s) without an LEI

When a Legal Entity requests an LEI with a parent without an LEI, the Managing LOU of the child entity creates the Relationship Record as follows.

Element Name	States
StartNode	NodeID SHALL be the LEI of the child NodeIDType SHALL be "LEI"
EndNode	NodeID SHALL be the PNI of the parent NodeIDType SHALL be "ISO_17442_COMPATIBLE"

Element Name	States
RelationshipType	RelationshipType SHALL include either "IS_DIRECTLY_CONSOLIDATED_BY" or "IS_ULTIMATELY_CONSOLIDATED_BY"
RelationshipPeriods	RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available  RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate  RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate
RelationshipStatus	RelationshipStatus SHALL be "ACTIVE"
RelationshipQualifiers	QualifierDimension SHALL be "ACCOUNTING_STANDARD" and QualifierCategory SHALL be either "US GAAP" or "IFRS"
RelationshipQuantifiers	MeasurementMethod SHALL be "ACCOUNTING_CONSOLIDATION"
InitialRegistrationDate	Date/time the Relationship record was created
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "ISSUED"
NextRenewalDate	The next date by which the relationship information must be renewed and re-certified by the legal entity
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record
ValidationDocuments	ValidationDocuments SHALL include either "ANNUAL_ACCOUNTS_FILING", "QUARTERLY_ACCOUNTS_FILING", "ANNUAL_REGULATORY_FILING" or "QUARTERLY_REGULATORY_FILING"
ValidationSources	ValidationSources SHALL be either "ENTITY_SUPPLIED_ONLY", "PARTIALLY_CORROBORATED" or "FULLY_CORROBORATED"

### 3.1.3. Issue New LEI to a child Legal Entity giving opt-out reasons

When a Legal Entity requests an LEI giving opt-out reasons, the appropriate reason from “ExceptionReason” enumeration in the LEI-CDF is selected and no Relationship Record is created.

### 3.2. Renewal of child LEI having a parent with an LEI

When a child entity renews its LEI-CDF record and the parent relationship still exists, the Managing LOU of the child entity renews the Relationship Record as follows.

Element Name	States
RelationshipType	RelationshipType SHALL include either “IS_DIRECTLY_CONSOLIDATED_BY” or “IS_ULTIMATELY_CONSOLIDATED_BY”
RelationshipPeriods	RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available  RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate  RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate
RelationshipStatus	RelationshipStatus SHALL be “ACTIVE”
RelationshipQualifiers	QualifierDimension SHALL be “ACCOUNTING_STANDARD” and QualifierCategory SHALL be either “US GAAP” or “IFRS”
RelationshipQuantifiers	MeasurementMethod SHALL be “ACCOUNTING_CONSOLIDATION”
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “ISSUED”
NextRenewalDate	The next date by which the relationship information must be renewed and re-certified by the legal entity

Element Name	States
ValidationDocuments	ValidationDocuments SHALL be either “ANNUAL_ACCOUNTS_FILING”, “QUARTERLY_ACCOUNTS_FILING”, “ANNUAL_REGULATORY_FILING” or „QUARTERLY_REGULATORY_FILING“
ValidationSources	ValidationSources SHALL be either “ENTITY_SUPPLIED_ONLY”, “PARTIALLY_CORROBORATED” or “FULLY_CORROBORATED”

### 3.3. Renewal of child LEI having had a parent with an LEI

When a child entity renews its LEI-CDF record and the parent relationship does not exist anymore, the Managing LOU of the child entity renews the Relationship Record as follows.

Element Name	States
RelationshipPeriods	RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available and EndDate if applicable  RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate  RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate
RelationshipStatus	RelationshipStatus SHALL be “INACTIVE”
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “RETIRED”

### 3.4. Update of child LEI-CDF record

Changes to the entity section except for EntityStatus, EntityExpirationDate, EntityExpirationReason and SuccessorEntity (see Use Cases “Child merging or retiring” and “Child has been acquired”) of a LEI-CDF record do not lead to a change of the Relationship Record.

### 3.5. Update of parent LEI-CDF record

Changes to the entity section of a parent LEI-CDF record may influence or change the relationship to the child. The Managing LOU of the child entity updates the Relationship Record as follows.

Element Name	States
RelationshipPeriods	RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available and EndDate if applicable  RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate  RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate
RelationshipStatus	RelationshipStatus SHALL be "ACTIVE"
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "ISSUED"

### 3.6. Transfer of child LEI-CDF record having a parent with an LEI

Legal Entity transfers its LEI-CDF record from one Managing LOU to another Managing LOU. With the transfer, the relationship record is also transferred and updated.

Element Name	States
RelationshipType	RelationshipType SHALL include either "IS_DIRECTLY_CONSOLIDATED_BY" or "IS_ULTIMATELY_CONSOLIDATED_BY"
RelationshipPeriods	RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available and EndDate if applicable  RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate  RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate
RelationshipStatus	RelationshipStatus SHALL be either "ACTIVE" or "INACTIVE"
RelationshipQualifiers	QualifierDimension SHALL be "ACCOUNTING_STANDARD" and QualifierCategory SHALL be either "US GAAP" or "IFRS"
RelationshipQuantifiers	MeasurementMethod SHALL be "ACCOUNTING_CONSOLIDATION"
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "PENDING_TRANSFER" for the sending LOU's copy of Relationship Record.  When the receiving LOU has finished its validation and verification, the sending LOU changes to "PENDING_ARCHIVAL".  The receiving LOU sets the status of its RR-CDF to "ISSUED" (when RelationshipStatus is ACTIVE) and to "RETIRED" (when RelationshipStatus is INACTIVE) and the sending LOU removes this record from its file.

Element Name	States
NextRenewalDate	The next date by which the relationship information must be renewed and re-certified by the legal entity. If the Relationship Record is retired this field is not changed.
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record
ValidationDocuments	ValidationDocuments SHALL be either "ANNUAL_ACCOUNTS_FILING", "QUARTERLY_ACCOUNTS_FILING", "ANNUAL_REGULATORY_FILING" or "QUARTERLY_REGULATORY_FILING"
ValidationSources	ValidationSources SHALL be either "ENTITY_SUPPLIED_ONLY", "PARTIALLY_CORROBORATED" or "FULLY_CORROBORATED"

### 3.7. Transfer of child LEI-CDF record having a parent without an LEI

Child Legal Entity transfers its LEI-CDF record from one Managing LOU to another Managing LOU. With the transfer, the Parent Reference Data record is also transferred and updated.

If only a parent legal entity’s LEI-CDF record is transferred, this case does not apply.

Element Name	States
RelationshipType	RelationshipType SHALL be either "IS_DIRECTLY_CONSOLIDATED_BY" or "IS_ULTIMATELY_CONSOLIDATED_BY"
RelationshipPeriods	RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available and EndDate if applicable  RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate  RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate
RelationshipStatus	RelationshipStatus SHALL be either "ACTIVE" or "INACTIVE"

Element Name	States
RelationshipQualifiers	QualifierDimension SHALL be "ACCOUNTING_STANDARD" and QualifierCategory SHALL be either "US GAAP" or "IFRS"
RelationshipQuantifiers	MeasurementMethod SHALL be "ACCOUNTING_CONSOLIDATION"
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	<p>RegistrationStatus SHALL be "PENDING_TRANSFER" for the sending LOU.</p> <p>When the receiving LOU has finished its validation and verification, the sending LOU changes to "PENDING_ARCHIVAL".</p> <p>The receiving LOU sets the status of its RR-CDF record to "ISSUED" (when RelationshipStatus is ACTIVE) and to "RETIRED" (when RelationshipStatus is INACTIVE) and the sending LOU removes this record from its file.</p>
NextRenewalDate	The next date by which the relationship information must be renewed and re-certified by the legal entity. If the Relationship Record is retired this field is not changed.
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record
ValidationDocuments	ValidationDocuments SHALL be either "ANNUAL_ACCOUNTS_FILING", "QUARTERLY_ACCOUNTS_FILING", "ANNUAL_REGULATORY_FILING" or "QUARTERLY_REGULATORY_FILING"
ValidationSources	ValidationSources SHALL be either "ENTITY_SUPPLIED_ONLY", "PARTIALLY_CORROBORATED" or "FULLY_CORROBORATED"



### 3.8. Child reported no parent, but parent exists

If a relationship is communicated after the creation of an LEI, the Managing LOU of the child entity updates the LEI-CDF accordingly and creates the following Relationship Record.

Element Name	States
StartNode	NodeID SHALL be the LEI of the child NodeIDType SHALL be "LEI"
EndNode	NodeID SHALL be the LEI of the parent NodeIDType SHALL be "LEI" or NodeID SHALL be the PNI of the parent NodeIDType SHALL be "ISO_17442_COMPATIBLE"
RelationshipType	RelationshipType SHALL be either "IS_DIRECTLY_CONSOLIDATED_BY" or "IS_ULTIMATELY_CONSOLIDATED_BY"
RelationshipPeriods	RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available  RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate  RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate
RelationshipStatus	RelationshipStatus SHALL be "ACTIVE"
RelationshipQualifiers	QualifierDimension SHALL be "ACCOUNTING_STANDARD" and QualifierCategory SHALL be either "US GAAP" or "IFRS"
RelationshipQuantifiers	MeasurementMethod SHALL be "ACCOUNTING_CONSOLIDATION"
InitialRegistrationDate	Date/time the Relationship record was created

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "ISSUED"
NextRenewalDate	Renewal date of the child LEI record
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record
ValidationDocuments	ValidationDocuments SHALL be either "ANNUAL_ACCOUNTS_FILING", "QUARTERLY_ACCOUNTS_FILING", "ANNUAL_REGULATORY_FILING" or „QUARTERLY_REGULATORY_FILING“
ValidationSources	ValidationSources SHALL be either "ENTITY_SUPPLIED_ONLY", "PARTIALLY_CORROBORATED" or "FULLY_CORROBORATED"

### 3.9. Child reports parent after initial opt-out reporting

After the opt-out reporting has been changed, a Relationship Record is created.

StartNode	NodeID SHALL be the LEI of the child NodeIDType SHALL be "LEI"
EndNode	NodeID SHALL be the LEI of the parent NodeIDType SHALL be "LEI" or NodeID SHALL be the PNI of the parent NodeIDType SHALL be "ISO_17442_COMPATIBLE"
RelationshipType	RelationshipType SHALL be either "IS_DIRECTLY_CONSOLIDATED_BY" or "IS_ULTIMATELY_CONSOLIDATED_BY"
RelationshipPeriods	RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available

	<p>RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate</p> <p>RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate</p>
RelationshipStatus	RelationshipStatus SHALL be "ACTIVE"
RelationshipQualifiers	QualifierDimension SHALL be "ACCOUNTING_STANDARD" and QualifierCategory SHALL be either "US GAAP" or "IFRS"
RelationshipQuantifiers	MeasurementMethod SHALL be "ACCOUNTING_CONSOLIDATION"
InitialRegistrationDate	Date/time the Relationship record was created
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "ISSUED"
NextRenewalDate	The next date by which the relationship information must be renewed and re-certified by the legal entity
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record
ValidationDocuments	ValidationDocuments SHALL be either "ANNUAL_ACCOUNTS_FILING", "QUARTERLY_ACCOUNTS_FILING", "ANNUAL_REGULATORY_FILING" or „QUARTERLY_REGULATORY_FILING“
ValidationSources	ValidationSources SHALL be either "ENTITY_SUPPLIED_ONLY", "PARTIALLY_CORROBORATED" or "FULLY_CORROBORATED"

### 3.10. Parent without an LEI requests an LEI

Parent without an LEI requests an LEI. The Managing LOU of the child removes the Parent Reference Data record and updates the Relationship Record as follows.

Element Name	States
EndNode	NodeID SHALL be the LEI of the parent NodeIDType SHALL be "LEI"
LastUpdateDate	Date/time the Relationship record was most recently updated

### 3.11. Child merging or retiring

If the child legal entity merges or retires, the Managing LOU of the child entity updates the LEI-CDF accordingly and adjusts the Relationship Record as follows.

Element Name	States
RelationshipPeriods	RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available and EndDate RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate
RelationshipStatus	RelationshipStatus SHALL be "INACTIVE"
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "RETIRED"

### 3.12. Parent with an LEI merging or retiring

If the parent legal entity merges or retires, the Managing LOU of the child entity adjusts the Relationship Record as follows.

Element Name	States
EndNode	<p>This field is not changed when the parent entity ceased to exist.</p> <p>If the parent entity merged, a new Relationship Record for the child entity needs to be created.</p>
RelationshipPeriods	<p>RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available and EndDate</p> <p>RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate</p> <p>RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate</p>
RelationshipStatus	RelationshipStatus SHALL be "INACTIVE"
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "RETIRED"

### 3.13. Child has been acquired

If the child legal entity has been acquired, the Managing LOU of the child entity updates the Relationship Record as follows.

Element Name	States
RelationshipPeriods	<p>RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available and EndDate</p> <p>RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate</p> <p>RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate</p>
RelationshipStatus	RelationshipStatus SHALL be "INACTIVE"
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "RETIRED"

### 3.14. Parent has been acquired

If the parent legal entity has been acquired, the Managing LOU of the child entity updates the Relationship Record as follows.

Element Name	States
RelationshipPeriods	<p>RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available and EndDate</p> <p>RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate</p> <p>RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate</p>
RelationshipStatus	RelationshipStatus SHALL be "INACTIVE"
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "RETIRED"

### 3.15. Child is a duplicate

If a child LEI-CDF is a duplicate, the Managing LOU of the child entity adjusts the Relationship Record as follows and creates a new Relationship Record with the surviving StartNode. No further updates of the DUPLICATE Relationship Record will occur.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "DUPLICATE"

### 3.16. Parent is duplicate

If a parent LEI-CDF is a duplicate, the Managing LOU of the child entity adjusts the Relationship Record as follows and creates a new Relationship Record with the surviving EndNode. No further updates of the DUPLICATE Relationship Record will occur.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "DUPLICATE"

### 3.17. Child lapses

If a child LEI-CDF does not renew in time, the LEI-CDF lapses and the Managing LOU of the child entity needs to update the Relationship Record as follows.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "LAPSED"

### 3.18. Child is annulled

If a child LEI-CDF is annulled, the Managing LOU of the child entity updates the Relationship Record as follows and creates a new Relationship Record with the valid child LEI as StartNode.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "ANNULLED"



### 3.19. Parent is annulled

If a parent LEI-CDF is annulled, the Managing LOU of the child entity updates the Relationship Record as follows and creates a new Relationship Record with the valid parent LEI as EndNode.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "ANNULLED"

### 3.20. Relationship is annulled

An erroneous or invalid Relationship Record is detected and the Managing LOU of the child entity updates the Relationship Record as follows.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "ANNULLED"

### 3.21. Relationship is duplicate

Duplicate registration of the same relationship. The Managing LOU of the child entity updates the Relationship Record as follows.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "DUPLICATE"

### 3.22. Relationship attribute changes

Changes to Relationship attributes are reported by the child entity. The Managing LOU of the child entity updates the Relationship Record as follows.

Element Name	States
RelationshipPeriods	<p>RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate if available and EndDate if applicable</p> <p>RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate</p> <p>RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate</p>
RelationshipQualifiers	QualifierDimension SHALL be "ACCOUNTING_STANDARD" and QualifierCategory SHALL be either "US GAAP" or "IFRS"
LastUpdateDate	Date/time the Relationship record was most recently updated
ValidationDocuments	ValidationDocuments SHALL be either "ANNUAL_ACCOUNTS_FILING", "QUARTERLY_ACCOUNTS_FILING", "ANNUAL_REGULATORY_FILING" or „QUARTERLY_REGULATORY_FILING“
ValidationSources	ValidationSources SHALL be either "ENTITY_SUPPLIED_ONLY", "PARTIALLY_CORROBORATED" or "FULLY_CORROBORATED"