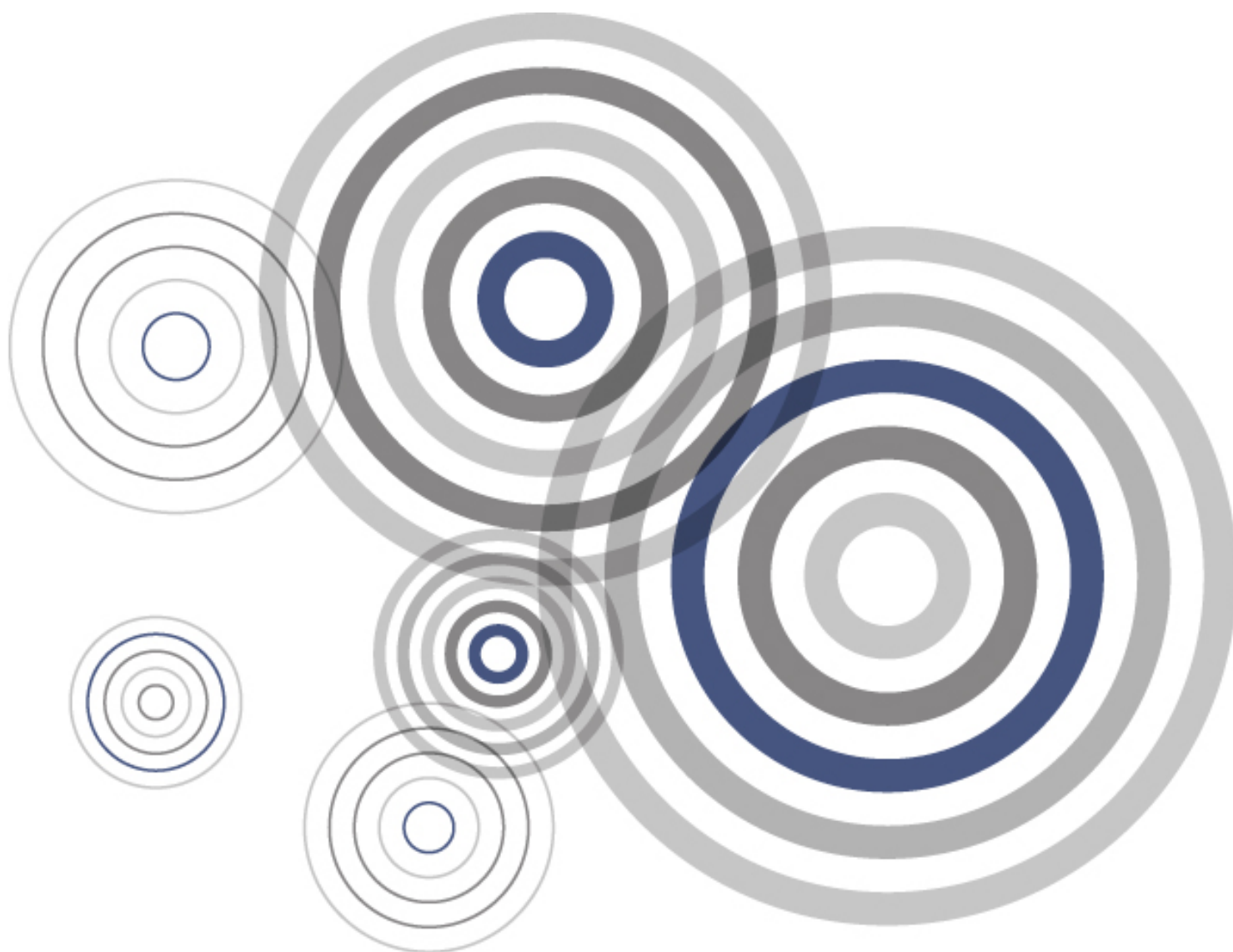


Global LEI System Business Reporting Data Dictionary

Version 1.1



About this Document

This document defines formulas and pseudo codes for reporting on Global LEI System Business Report.



a. Terms

Term	Description	Pseudo code or LEI CDF data element
Country	The country of the address of the entity as recorded in the registration of the entity	The field in CDF 1.0 which refers to Entity.LegalAddress.Country
LEI issuer	An organization authorized to issue LEIs to legal entities. It includes Pre-LOUs and Accredited LOUs	The field in CDF 1.0 which refers to Registration.ManagingLOU.
LEI issuer’s name	The marketing or short name of the LEI issuer	Refers to internal reference data
File date	End date of the current quarter based on concatenated file	FileDate IN [ContentDate] of the concatenated file

b 1. Definitions for level 1 report metrics

Term	Total LEI
Description	The total number of LEIs issued as of File Date.
Pseudo Code	COUNT(LEI) WHERE Registration.RegistrationStatus IN ['ISSUED', 'LAPSED', 'PENDING_TRANSFER', 'PENDING_ARCHIVAL', 'MERGED', 'RETIRED']

Term	Active LEI
Description	The number of LEIs for active legal entities as of the File Date.

Pseudo Code	COUNT(LEI) WHERE Registration.RegistrationStatus IN ['ISSUED', 'LAPSED', 'PENDING_TRANSFER', 'PENDING_ARCHIVAL'] and Entity.Status = 'ACTIVE'
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Term	Active and verified LEI
Description	The number of LEIs for active legal entities which are newly issued or, duly renewing the contract as of the File Date.
Pseudo Code	COUNT(LEI) WHERE Registration.RegistrationStatus IN ['ISSUED', 'PENDING_TRANSFER', 'PENDING_ARCHIVAL'] and Entity.Status = 'ACTIVE'

Term	Quarterly LEI Growth Rate
Description	Percentage of new issuance in a given quarter.
Formula	$\frac{\text{Number of New Issuance in the present Quarter}}{\text{Active LEI in the last Quarter}}$
Pseudo Code for the number of New Issuance in the present Quarter	IF (Registration.InitialRegistrationDate > "last quarter end date") AND IF LEI IN (Active LEI Count file) THEN COUNT(LEI)
Pseudo Code for total number of Active LEI in the last Quarter	IF (Registration.InitialRegistrationDate ≤ "last quarter end date") AND IF LEI IN (Active LEI Count file) THEN COUNT(LEI)

Term	LEI Renewal Ratio
Description	Ratio of active and verified LEIs to Active LEIs
Formula	$\frac{\text{Active and verified LEIs having at least 1 renewal event}}{\text{Active LEIs having at least 1 renewal event}}$

Pseudo Code for Active and verified LEIs having at least 1 renewal event	IF (Registration.InitialRegistrationDate) < "present quarter start date" – 1 year) and LEI in (Active and verified LEI Count file) THEN COUNT (LEI)
Pseudo Code for Total Active LEIs having at least 1 renewal event	IF (Registration.InitialRegistration.Date) < "present quarter start date" – 1 year) and LEI in (Active LEI Count file) THEN COUNT (LEI)

Term	LEI Non-Renewal Ratio
Description	Ratio of Non-Renewal (Lapsed) LEIs to Active LEIs
Formula	<i>Lapsed LEIs</i> ----- <i>Active LEIs having at least 1 renewal event</i>
Pseudo Code for Lapsed LEIs	IF (Registration.RegistrationStatus) = "LAPSED" THEN COUNT (LEI)
Pseudo Code for Total Active LEIs having at least 1 renewal event	IF (Registration.InitialRegistration.Date) < "present quarter start date" – 1 year) and LEI in (Active LEI Count file) THEN COUNT (LEI)

Term	Concentration Score (competition amongst LEI issuers)
Description	The degree of competition between LEI issuers in a jurisdiction. The concept of calculation is the Herfindahl-Hirschman Index (HHI) where a score of more than 50 refers to a less competitive market. Here jurisdictions having more than 1000 LEIs in the last quarter are considered.
Formula	$S_j = \sum_{k=1 \dots n} M_{jk}^2$ <p>Where, S_j = concentration score of jurisdiction j</p>



	<p>n = number of LEI issuer in a given jurisdiction</p> <p>M_{jk} = market share of an LEI issuer k in the jurisdiction j</p>
Example	<p>There are three LEI issuers in UK and the corresponding market shares are 70%, 27% and 3%. Hence, the concentration score of UK = $0.7^2 + 0.27^2 + 0.3^2 = 0.56$ or 56%</p>

Term	Percentage of Fully Corroborated LEIs
Description	Ratio of Fully Corroborated LEIs to Active LEIs
Formula	<u><i>Active LEIs that are Fully Corroborated</i></u> <i>Active LEIs</i>
Pseudo Code for Active LEIs that are fully corroborated	<p>IF (Registration.ValidationSources) = "FULLY_CORROBORATED" and LEI in (Active LEI Count file)</p> <p>THEN COUNT (LEI)</p>

Description	Transfers out of LEI
Pseudo Code	<p>IF ManagingLOU(in Active LEI file of previous quarter File Date) \neq ManagingLOU(in Active LEI file of current quarter File Date)</p> <p>THEN COUNT (LEI) per ManagingLOU(in Active LEI file of previous quarter File Date)</p>

Description	Transfers in of LEI
Pseudo Code	<p>IF ManagingLOU(in Active LEI file of previous quarter File Date) \neq ManagingLOU(in Active LEI file of current quarter File Date)</p> <p>THEN COUNT (LEI) per ManagingLOU(in Active LEI file of current quarter File Date)</p>

b 2. Definitions for level 2 report metrics

Description	Legal entities reported level 2 data
Pseudo Code	JOIN (LEIs from relationship record file and LEIs from reporting exceptions file) THEN COUNT UNIQUE(LEI)

Description	Legal entites reported ultimate parents having an LEI
Pseudo Code	IF LEI in (relationship record file) and IF EndNodeIDType = "LEI" and IF RelationshipType = "IS_ULTIMATELY_CONSOLIDATED_BY" THEN COUNT (LEI)

Description	Legal entites reported direct parents having an LEI
Pseudo Code	IF LEI in (relationship record file) and IF EndNodeIDType = "LEI" and IF RelationshipType = "IS_DIRECTLY_CONSOLIDATED_BY" THEN COUNT (LEI)

Description	Legal entities reported having no ultimate parent according to the definition used
Pseudo Code	IF (ExceptionCategory from reporting exceptions file) = "ULTIMATE_ACCOUNTING_CONSOLIDATION_PARENT" and IF (ExceptionReason from exception reason file) = ["NATURAL_PERSONS","NON_CONSOLIDATING","NO_KNOWN_PERSON"] THEN COUNT (LEI)



Description	Legal entities reported having no direct parent according to the definition used
Pseudo Code	IF (ExceptionCategory from exception file) = "DIRECT_ACCOUNTING_CONSOLIDATION_PARENT" and IF (ExceptionReason from exception reason file) = ["NATURAL_PERSONS","NON_CONSOLIDATING","NO_KNOWN_PERSON"] THEN COUNT (LEI)

Description	Legal entities reported ultimate parents who do not have an LEI
Pseudo Code	IF (ExceptionCategory from exception file) = "ULTIMATE_ACCOUNTING_CONSOLIDATION_PARENT" and IF (ExceptionReason from exception reason file) = "NO_LEI" THEN COUNT (LEI)

Description	Legal entities reported direct parents who do not have an LEI
Pseudo Code	IF (ExceptionCategory from exception file) = "DIRECT_ACCOUNTING_CONSOLIDATION_PARENT" and IF (ExceptionReason from exception reason file) = "NO_LEI" THEN COUNT (LEI)

Description	Legal entities cited legal obstacles preventing them from providing or publishing ultimate parent information
Pseudo Code	IF (ExceptionCategory from exception file) = "ULTIMATE_ACCOUNTING_CONSOLIDATION_PARENT" and IF (ExceptionReason from exception reason file) = ["LEGAL_OBSACLES","CONSENT_NOT_OBTAINED","BINDING_LEGAL_CO MMITMENTS","DETRIMENT_NOT_EXCLUDED","DISCLOSURE_DETRIMEN TAL"]



	THEN COUNT (LEI)
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Description	Legal entities cited legal obstacles preventing them from providing or publishing direct parent information
Pseudo Code	<p>IF (ExceptionCategory from exception file) = "DIRECT_ACCOUNTING_CONSOLIDATION_PARENT" and</p> <p>IF (ExceptionReason from exception reason file) = ["LEGAL_OBSTACLES","CONSENT_NOT_OBTAINED","BINDING_LEGAL_COMMITMENTS","DETRIMENT_NOT_EXCLUDED","DISCLOSURE_DETRIMENTAL"]</p> <p>THEN COUNT (LEI)</p>