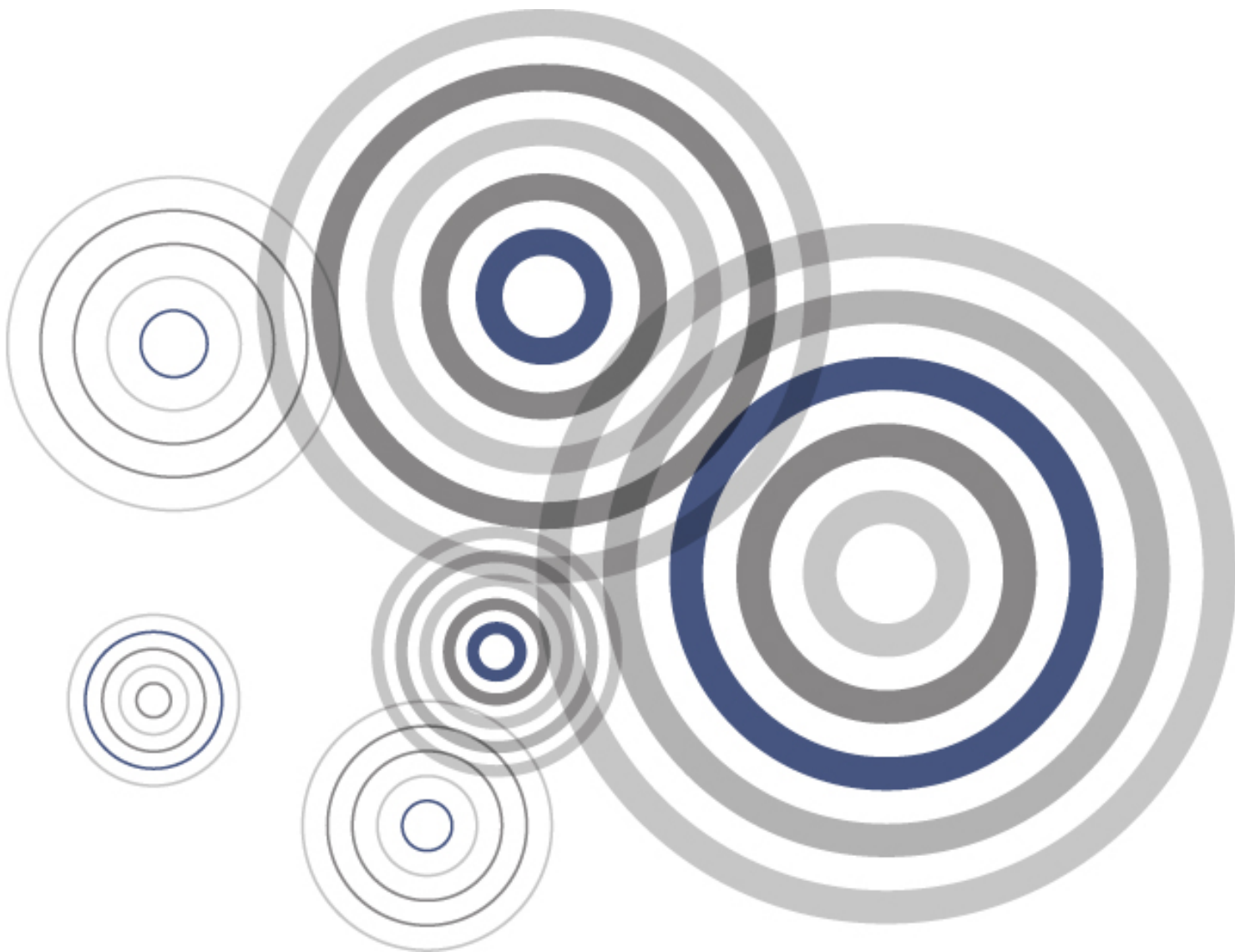Public

XSLT for LEI-CDF 3.1 -> 2.1, RR-CDF 2.1 -> 1.1, Reporting Exceptions Format 2.1 -> 1.1 Documentation

Version 1.1 Final, 2021-09-30

Contents

Version	1.1 Final
Date of version	2021-09-30
Created by	GLEIF
Approved by	GLEIF Head of IT Development & Operations
Confidentiality level	Public

About this Document

This document is related to the introduction of the upcoming LEI-CDF format version 3.1 and RR-CDF format version 2.1. It provides documentation of the XSLT files which can be used to technically transform XML files from the new versions to the previous versions.

Change History

This section records the history of all changes to this document.

Date	Version	Description of change	Author
2021-09-30	1.1	Added information about Reporting Exceptions Format transformation	GLEIF
2021-05-31	1.0	Final version published on GLEIF website	GLEIF

All changes made during creation (for clarity and reading ease as well as significant changes), increase the version number by 0.1 The final version of the document gets version number 1.0.

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Acknowledgements

The XSLT files described in this document are intended to help LEI data consumers, who did not have the opportunity to update their data consumption procedures to the new formats before March 1st, 2022, to transform XML files (LEI-CDF 3.1, RR-CDF 2.1 and Reporting Exceptions Format 2.1) into the respective previous version of the XML schemas (LEI-CDF 2.1, RR-CDF 1.1 and Reporting Exceptions Format 1.1). The transformation of the content is on technical basis and fully automated. Therefore, certain transformations are not possible to be performed, i.e., information which cannot be represented in the previous formats gets lost during the transformation.

While every care has been taken in the preparation of the XSLT files, they are meant to be used at the own risk of the user and GLEIF will not be held responsible for any loss, damage, or inconvenience caused by inaccuracy of the related result file from any transformation performed with the provided XSLT files.

XSL Transformation: LEI-CDF 3.1 -> 2.1

The XSLT file for LEI-CDF transforms LEI-CDF source files version 3.1 into LEI-CDF result files version 2.1. Most fields remain unchanged or have only a slightly different representation in the two versions of the format.

However, there are some elements in the newer version 3.1 which cannot be represented in version 2.1. These exceptions are listed below:

- The following new V3.1 enumerated values for the element `lei:EntityCategory` have no equivalent in V2.1 and elements with these values must therefore be ignored (will be removed during transformation):
  - GENERAL
  - RESIDENT_GOVERNMENT_ENTITY
  - INTERNATIONAL_ORGANIZATION

- The following new V3.1 elements have no equivalent in V2.1 and therefore cannot be mapped to any defined LEI-CDF V2.1 element (will be removed during transformation):
  - EntitySubCategory
  - EntityCreationDate
  - LegalEntityEvents

- The new V3.1 enumerated value 'NULL' for element `lei:EntityStatus` has no equivalent in V2.1 and thus is mapped to the value 'INACTIVE'.

- The cardinality of element `SuccessorEntity` was {0,1} in V2.1 and is now {0,unbounded} in V3.1. Therefore, any additional element `SuccessorEntity` other than the first appearance is removed during transformation.

- Unnecessary and potentially problematic attributes starting with 'xsi:', like xsi:type="AddressType" or xsi:type="NameType", will be removed during transformation.

XSL Transformation: RR-CDF 2.1 -> 1.1

The XSLT file for RR-CDF transforms RR-CDF source files version 2.1 into RR-CDF result files version 1.1. Most fields remain unchanged or have only a slightly different representation in the two versions of the format.

However, there are some elements in the newer version 2.1 which cannot be represented in version 1.1. These exceptions are listed below:

- The following new V2.1 enumerated values for element `rr:RelationshipType` have no equivalent in V1.1 and ancestor elements `rr:RelationshipRecord` with these values are therefore removed during transition:
    - IS_FUND-MANAGED_BY
    - IS_SUBFUND_OF
    - IS_FEEDER_TO

- The new V2.1 enumerated value 'NULL' for element `rr:RelationshipStatus` has no equivalent in V1.1 and is mapped to the value 'INACTIVE' during transformation.

- The new V2.1 enumerated value 'GOVERNMENT_ACCOUNTING_STANDARD' for element `rr:QualifierCategory` has no equivalent in V1.1, thus the (optional) element is removed during transformation.

XSL Transformation: Reporting Exceptions Format 2.1 -> 1.1

The XSLT file for Reporting Exceptions Format transforms Reporting Exceptions Format source files version 2.1 into Reporting Exceptions Format result files version 1.1. Most fields remain unchanged or have only a slightly different representation in the two versions of the format.

However, there is one value in the newer version 2.1 which cannot be precisely represented in version 1.1. This exception is listed below:

- The new V2.1 enumerated value 'NON_PUBLIC' for element `repex:ExceptionReason` has no precise equivalent in V1.1 and is mapped to the value 'CONSENT_NOT_OBTAINED' during transformation.