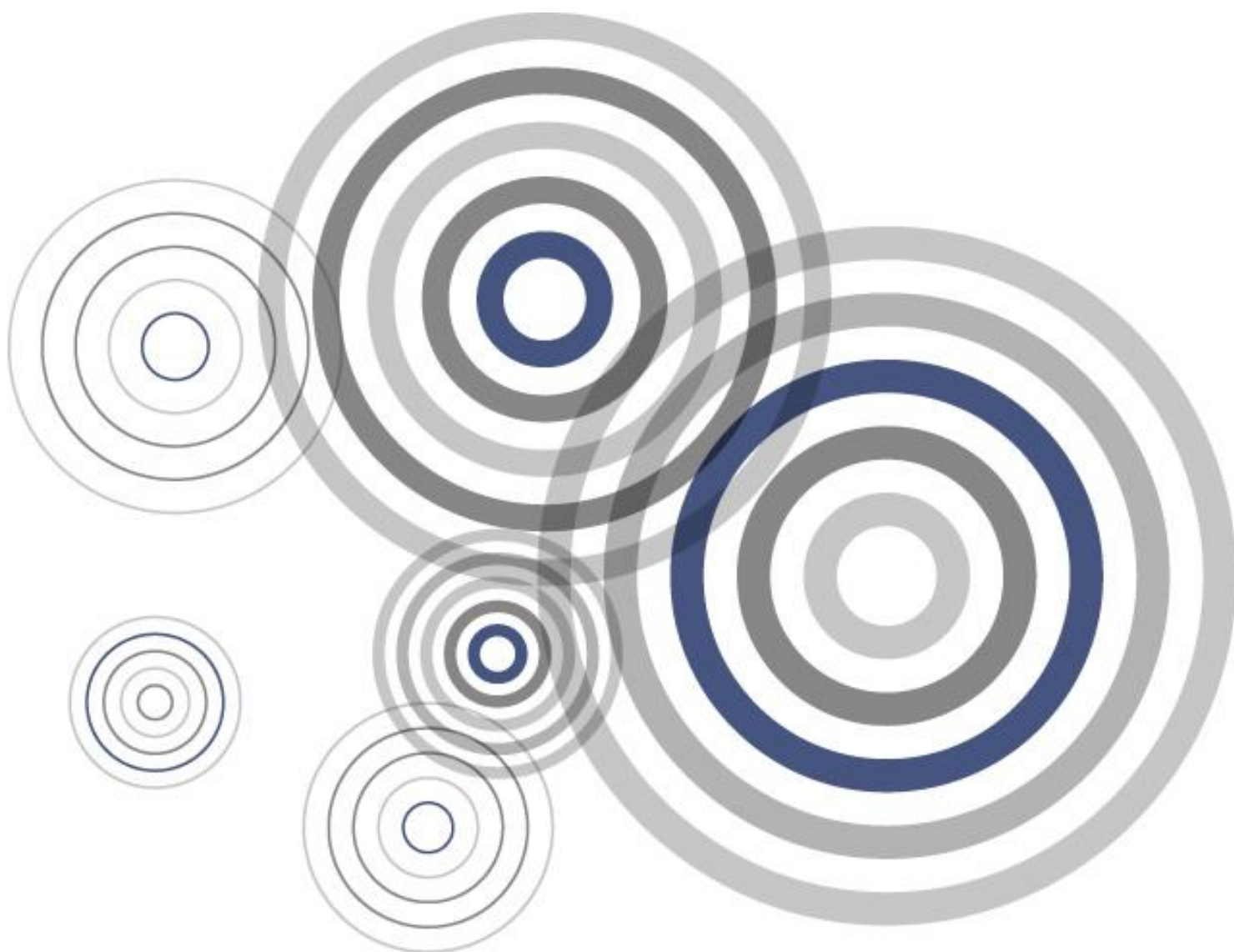


Public

Upcoming CDF XML Comprehensive Example – Description

Version 1.0 Final, 2022-02-09





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About this Document

This document is related to the introduction of the upcoming LEI-CDF format version 3.1, RR-CDF format version 2.1, and REPEX-CDF format version 2.1. It provides additional information for the xml samples provided together with this document.

Change History

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

Date	Version	Description of change	Author
2022-02-09	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.

GLEIF Contact

Business Operations	GLEIF Service Desk
E-Mail	info@gleif.org

Acknowledgements

The following description and samples, together with the accompanying XML files, are intended to showcase LEI Record Sets compliant with the upcoming CDF versions (LEI-CDF 3.1, RR-CDF 2.1, Reporting Exceptions (Repex) CDF 2.1). The samples cover use cases related to the addition of Fund Relationships, Legal Entity Events and Government Entities/International Organizations to the Global LEI System and may not include all changes in the updated CDF formats. All samples are illustrative and do not represent any 'real' data. The set of LEI Records in the three files is complete in the sense that every LEI included as part of a relationship record, as a successor entity or as an LEI Issuer is present with an LEI Record.

While every care has been taken in the compilation of this information, the sample data is meant to be used only for testing purposes and GLEIF will not be held responsible for any loss, damage, or inconvenience caused by inaccuracy of the related example data.

File Reference

LEI-CDF 3.1: Level 1 Data (18 Records)

- 2022-02-09_upcoming-cdf-xml-concatenated-comprehensive-example-lei.xml

RR-CDF 2.1: Relationship Data (5 Records)

- 2022-02-09_upcoming-cdf-xml-concatenated-comprehensive-example-rr.xml

REPEX-CDF 2.1: Reporting Exceptions Data (34 Records)

- 2022-02-09_upcoming-cdf-xml-concatenated-comprehensive-example-repex.xml

Sample Description

The samples provided in these files showcase a state during the transition period in March 2022, when some LEI Issuers have already made the transition and provide their data in the ‘new’ CDF formats while others still provide data in the ‘old’ formats (including deprecated elements).

The sample set includes two LEI Issuers (ManagingLOUs):

- TEST00OMTOGX9Z6IN826 – Already using the new CDF formats
- TEST00HRVYC4JFTR1624 – Still using the old CDF formats

The LEI records for the successor entities are included in this set of samples to provide a complete set of related LEI records. These records are kept to the minimum required information, to keep complexity low.

The following use cases are included in the samples:

TEST000TASYDG4PVGX76 – CDF 3.1 Full Sample

- Following the new CDF formats
- Most of the elements are populated, including several Successor Entities and Legal Entity Events, OtherNames and OtherAddresses, additional ValidationAuthorities

TEST00CFPLJNM9ZT5A04 – CDF 3.1 Sample with Multiple Successor Entities

- Following the new CDF formats
- Another sample with multiple Successor Entities created by different Legal Entity Events
- Affected Fields indicate which Successor Entity is linked to which event
- In the old CDF formats, this LEI Record would have RegistrationStatus MERGED and would include an EntityExpirationDate and EntityExpirationReason as CORPORATE_ACTION
- With the new formats, RegistrationStatus is RETIRED, EntityExpirationReason is included as Legal Entity Event Type MERGERS_AND_ACQUISITIONS, and EntityExpirationDate is the EffectiveDate of that Legal Entity Event

TEST000308Z10Q2ILT13 – Duplicate Record of LEI TEST00CFPLJNM9ZT5A04

- Following the new CDF formats
- This LEI Record represents a duplicate (Exclusivity Violation) of another LEI
- The Successor Entity pointing to the surviving LEI Record is the one not included in the Legal Entity Event Affected Fields

TEST00MWUV12VP51SD83 – CDF 3.1 Sample with Extensions

- Following the new CDF formats
- This LEI Record includes Extensions with Geocode information added by GLEIF and additional data provided by LEI Issuers
- This LEI Record also represents an International Organization, using the new reserved Registration Authority Code ‘RA777777’ as ValidationAuthorityID and ‘XX’ as LegalJurisdiction (i.e., not governed by national laws and not part of the EU or UN)

TEST00FX1EZXRJDLZ25 – Sub-Fund Name Two (CDF 3.1)

- Following the new CDF formats
- Fund manager is TEST00CMZ8YXZLN58Z28 (included as relationship)
- Umbrella fund is TEST00PTM582Z8F2S919 (included as relationship)

TEST00KMU5Y1N9KOLO09 – Umbrella Fund Name - Sub-Fund Name One (CDF 2.1)

- Following the old CDF formats
- Fund manager is TEST00CMZ8YXZLN58Z28 (included as AssociatedEntity)
- This represents a second sub-fund (beside TEST00FX1EZXRJDLZ25) of the same umbrella fund (TEST00PTM582Z8F2S919); this is only shown in the concatenated name of the umbrella and name of the sub-fund

TEST00PYMIZZ9B75I024 – Merged Entity Name (CDF 2.1)

- Following the old CDF formats
- RegistrationStatus, EntityExpirationDate, and EntityExpirationReason of this LEI Record will be replaced once the LEI Issuer of this record makes the transition
- TEST00CFPLJNM9ZT5A04 is the sample that shows a similar case after the transition

There are additional LEI Records included that are used in the above samples to complete the set of LEI Records in this repository:

Successor Entities created by TEST000TASYDG4PVGX76:

- TEST00TMK9T49CEL2767
- TEST00R8J7OTMF1AQX48
- TEST0033WLIZ5R2IE259

Direct and Ultimate parent of TEST000TASYDG4PVGX76:

- TEST00MQAW5HO72MA343

Successor Entities created by TEST00CFPLJNM9ZT5A04:

- TEST00NLEUNOT4RLHG91
- TEST00TRLGPML17ONA17
- TEST00DKTUNCA5A7N881

Fund manager for all fund entities:

- TEST00CMZ8YXZLN58Z28

Umbrella fund for the two sub-funds:

- TEST00PTM582Z8F2S919