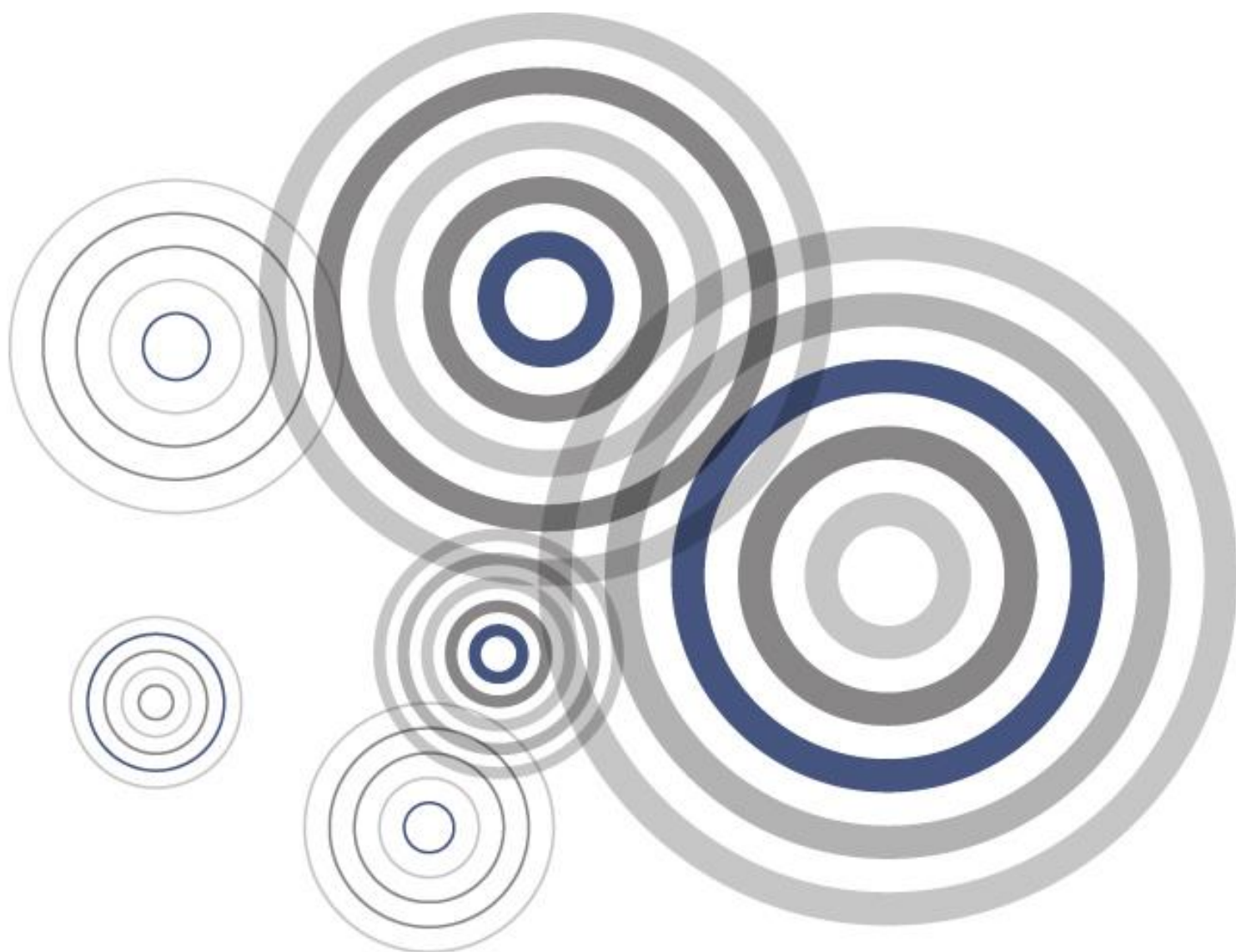


Global LEI System Business Reporting Data Dictionary

Version 1.4





About this Document

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

Change History

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

Date	Version	Description of change	Author
2019-10-28	1.4	Fifth version of the data dictionary with updated definitions of New Issuance, Lapsed LEIs, Transfers in, and Transfers out.	GLEIF
2019-01-10	1.3	Fourth version of the data dictionary with updated definitions	GLEIF
2018-05-18	1.2	Third version of the data dictionary with updated definitions	GLEIF
2017-11-14	1.1	Second version of the data dictionary containing the level 2 reporting definitions for the first time	GLEIF
2017-04-12	1.0	First version of the data dictionary published to GLEIF website	GLEIF



a. Terms

Term	Description	Pseudo code or LEI CDF data element
Country	The jurisdiction of legal formation and registration of the entity	The field in CDF 2.1 which refers to LegalJurisdiction
LEI issuer	An organization authorized to issue LEIs to legal entities. It includes only Accredited LOUs	The field in CDF 2.1 which refers to ManagingLOU.
LEI issuer’s name	The short name of the LEI issuer	Refers to internal reference data

b 1. Definitions for level 1 report metrics

Term	Total LEI
Description	The total number of LEIs issued from the LEI File.
Pseudo Code	IF LEI is not unique THEN KEEP LEI WITH RegistrationStatus = ISSUED AND THEN COUNT(UNIQUE(LEI)) WHERE RegistrationStatus IN ['ISSUED', 'LAPSED', 'PENDING_TRANSFER', 'PENDING_ARCHIVAL', 'MERGED', 'RETIRED'] IF LEI IN (LEI file) AND initialRegistrationDate ≥ 2012-01-01

Term	Active LEI
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Description	The number of LEIs for active legal entities from the LEI File.
Pseudo Code	COUNT(LEI) WHERE RegistrationStatus IN ['ISSUED', 'LAPSED', 'PENDING_TRANSFER', 'PENDING_ARCHIVAL'] and Entity.Status = 'ACTIVE' IF LEI IN (Total LEI file)

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 RegistrationStatus IN ['ISSUED', 'PENDING_TRANSFER', 'PENDING_ARCHIVAL'] and IF LEI IN (Active LEI file)

Term	Quarterly LEI Growth Rate
Description	Percentage of Newly Registered LEIs in the last quarter.
Formula	$\frac{\text{Number of Newly Registered LEIs in the last quarter}}{\text{Number of Active LEI in the quarter before last}}$
Pseudo Code for the number of <u>Newly Registered LEIs</u> in the last quarter	IF LEI IN current day file AND LEI NOT IN (current day – 1 day) file THEN COUNT(LEI) between quarter start date and quarter end date

Term	LEI Renewal Ratio
Description	The percentage of the LEIs which renewed in the last one year among the LEIs which had at least one renewal event to date.
Formula	$\frac{\text{Number of Active LEIs renewed in the last one year}}{\text{Number of Active LEIs having at least one renewal event to date}}$
Number of Active LEIs renewed in the last one year	IF (NextRenewalDate) BETWEEN ("last quarter end date") AND ("last quarter end date" + 1 year) AND (InitialRegistration.Date) ≤ "last quarter end date" – 1 year) AND and LEI IN (Active and verified LEI file) THEN COUNT (LEI)

Pseudo Code for Total Active LEIs having at least 1 renewal event	<p>IF (InitialRegistration.Date) ≤ "last quarter end date" – 1 year) and LEI IN (Active LEI file)</p> <p>THEN COUNT (LEI)</p>
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Term	LEI Non-Renewal Ratio
Description	The percentage of the LEIs which did not renew (Lapsed) in the last one year among the LEIs which had at least one renewal event to date.
Formula	<i>Number of Active LEIs did not renew in the last one year</i> <i>Number of Active LEIs having at least one renewal event to date</i>
Pseudo Code for Lapsed LEIs	<p>IF (NextRenewalDate) ≤ "last quarter end date" and LEI IN (Active file) OR (NextRenewalDate) > "last quarter end date" and LEI RegistrationStatus = "LAPSED"</p> <p>THEN COUNT (LEI)</p>

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 quarter before last are considered.
Formula	$S_j = \sum_{k=1 \dots n} M_{jk}^2$ <p>Where,</p> <p>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	There are three LEI issuers in UK and the corresponding market shares are 70%, 27% and 3%. Hence, the concentration score of UK = $0.7^2 + 0.27^2 + 0.03^2 = 0.56$ or 56%

Term	Percentage of Fully Corroborated LEIs
Description	Ratio of Fully Corroborated LEIs to Active LEIs
Formula	$\frac{\text{Number of Active LEIs that are Fully Corroborated}}{\text{Number of Active LEIs}}$
Pseudo Code for Active LEIs that are fully corroborated	IF ValidationSources = "FULLY_CORROBORATED" and LEI in (Active LEI file) THEN COUNT (LEI)

Description	Transfers out of LEI
Pseudo Code	IF ManagingLOU.LEI (in Active LEI file of the current day file) \neq ManagingLOU.LEI (in Active LEI file of the (current day – 1 day) file) THEN COUNT (LEI) per ManagingLOU (in Active LEI file of the quarter before last) between quarter start date and quarter end date

Description	Transfers in of LEI
Pseudo Code	IF ManagingLOU.LEI (in Active LEI file of the current day file) \neq ManagingLOU.LEI (in Active LEI file of the (current day – 1 day) file) THEN COUNT (LEI) per ManagingLOU (in Active LEI file of last quarter) between quarter start date and quarter end date

b 2. Definitions for level 2 report metrics

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

	<p>THEN COUNT(UNIQUE(LEI)) WHERE COUNT(relationshipType or ExceptionType per LEI)>1</p> <p>WHERE (relationshipType) IS NOT (IS_INTERNATIONAL_BRANCH_OF) AND</p> <p>relationship.status = ACTIVE AND relationship.registration.status IN (PUBLISHED, LAPSED, PENDING TARNSEFER, PENDING ARCHIVAL)</p>
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Description	Legal entites reported ultimate parents having an LEI
Pseudo Code	<p>IF LEI in (relationship record file) AND EndNodeIDType = "LEI" AND RelationshipType = "IS_ULTIMATELY_CONSOLIDATED_BY" AND</p> <p>relationship.status = ACTIVE AND relationship.registration.status IN (PUBLISHED, LAPSED, PENDING TARNSEFER, PENDING ARCHIVAL)</p> <p>THEN COUNT(UNIQUE(LEI))</p>

Description	Legal entites reported direct parents having an LEI
Pseudo Code	<p>IF LEI in (relationship record file) AND EndNodeIDType = "LEI" AND RelationshipType = "IS_DIRECTLY_CONSOLIDATED_BY" AND</p> <p>relationship.status = ACTIVE AND relationship.registration.status IN (PUBLISHED, LAPSED, PENDING TARNSEFER, PENDING ARCHIVAL)</p> <p>THEN COUNT(UNIQUE(LEI))</p>

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"

	<p>AND IF child LEI is not unique AND different exception reason for the same LEI THEN DELETE LEI</p> <p>AND (ExceptionReason from exception reason file) = ["NATURAL_PERSONS","NON_CONSOLIDATING","NO_KNOWN_PERSON"]</p> <p>THEN COUNT (UNIQUE(LEI))</p>
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Description	Legal entities reported having no direct parent according to the definition used
Pseudo Code	<p>IF (ExceptionCategory from reporting exceptions file) = "DIRECT_ACCOUNTING_CONSOLIDATION_PARENT"</p> <p>AND IF child LEI is not unique AND different exception reason for the same LEI THEN DELETE LEI</p> <p>AND (ExceptionReason from exception reason file) = ["NATURAL_PERSONS","NON_CONSOLIDATING","NO_KNOWN_PERSON"]</p> <p>THEN COUNT (UNIQUE(LEI))</p>

Description	Legal entities reported ultimate parents who do not have an LEI
Pseudo Code	<p>IF (ExceptionCategory from exception file) = "ULTIMATE_ACCOUNTING_CONSOLIDATION_PARENT"</p> <p>AND IF child LEI is not unique AND different exception reason for the same LEI THEN DELETE LEI</p> <p>AND (ExceptionReason from exception reason file) = "NO_LEI"</p> <p>THEN COUNT (UNIQUE(LEI))</p>

Description	Legal entities reported direct parents who do not have an LEI
Pseudo Code	<p>IF (ExceptionCategory from exception file) = "DIRECT_ACCOUNTING_CONSOLIDATION_PARENT"</p>

	<p>AND IF child LEI is not unique AND different exception reason for the same LEI THEN DELETE LEI</p> <p>AND (ExceptionReason from exception reason file) = "NO_LEI"</p> <p>THEN COUNT (UNIQUE(LEI))</p>
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Description	Legal entities cited legal obstacles preventing them from providing or publishing ultimate parent information
Pseudo Code	<p>IF (ExceptionCategory from exception file) = "ULTIMATE_ACCOUNTING_CONSOLIDATION_PARENT"</p> <p>AND IF child LEI is not unique AND different exception reason for the same LEI THEN DELETE LEI</p> <p>AND (ExceptionReason from exception reason file) = ["LEGAL_OBSTACLES", "CONSENT_NOT_OBTAINED", "BINDING_LEGAL_COMMITMENTS", "DETRIMENT_NOT_EXCLUDED", "DISCLOSURE_DETRIMENTAL"]</p> <p>THEN COUNT (UNIQUE(LEI))</p>

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"</p> <p>AND IF child LEI is not unique AND different exception reason for the same LEI THEN DELETE LEI</p> <p>AND (ExceptionReason from exception reason file) = ["LEGAL_OBSTACLES", "CONSENT_NOT_OBTAINED", "BINDING_LEGAL_COMMITMENTS", "DETRIMENT_NOT_EXCLUDED", "DISCLOSURE_DETRIMENTAL"]</p> <p>THEN COUNT (UNIQUE(LEI))</p>