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LEI Statistics Dashboard Data Dictionary

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About this Document

This document defines formulas and pseudo code for metrics in the Global LEI System Statistics dashboard.

Change History

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

Date	Version	Description of change	Author
2022-07-19	1.1	Updating the CDF version	GLEIF
2020-12-01	1.0	First version of the data dictionary published to LEI Statistics website	GLEIF

a. Terms

Term	Description	Pseudo code or LEI CDF data element
Jurisdiction	The jurisdiction of legal formation and registration of the entity	The field in CDF 3.1 which refers to LegalJurisdiction
LEI issuer	An organization authorized to issue LEIs to legal entities, It includes only Accredited LOUs	The field in CDF 3.1 which refers to ManagingLOU
LEI issuer's name	The short name of the LEI issuer	Refers to internal reference data

Region	Geographical region that is defined by UNSD (https://unstats.un.org/unsd/methodology/m49/)	

b1. 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 THEN COUNT(UNIQUE(LEI)) WHERE RegistrationStatus IN [“ISSUED”, “LAPSED”, “PENDING_TRANSFER”, “PENDING_ARCHIVAL”, “RETIRED”] IF LEI IN (LEI file) AND initialRegistrationDate ≥ 2012-01-01

Term	**Active LEI**
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	**Monthly LEI Growth Rate**
Description	Percentage of Newly Registered LEIs in the last month.
Formula	$\frac{\textit{Number of Newly Registered LEIs in the last month}}{\textit{Number of Active LEI in the month before last}}$
Pseudo Code for the number of Newly	IF LEI IN current day file AND LEI NOT IN (current day – 1 day) file

Registered LEIs in the last month	THEN COUNT(LEI) between month start date and month end date
Pseudo Code for the number of Active LEIs in the month before last	IF day equals “month before last end date” THEN COUNT(Active LEI)

Term	**LEI Renewal Rate**
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	$$\frac{\textit{Number of Active LEIs renewed in the last one year}}{\textit{Number of Active LEIs having at least one renewal event to date}}$$
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	IF (InitialRegistration.Date) ≤ "last quarter end date" – 1 year) and LEI IN (Active LEI file) THEN COUNT (LEI)

Term	**Concentration Score by jurisdiction (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	$S_j = \sum_{k=1...n} M_{jk}^2$ Where, S_j = concentration score of jurisdiction j n = number of LEI issuer in a given jurisdiction M_{jk} = market share of an LEI issuer k in the jusrisdiction j
Example	There are three LEI issuers in UK and the corresponding market shares are 70%, 27% and 3%. Hence, the concentration score of UK = 0.72 + 0.272 + 0.032 = 0.56 or 56%

Term	**Concentration Score by LEI issuers**
Description	The degree of market concentration by an LEI issuer. The concept of calculation is the Herfindahl-Hirschman Index (HHI) where a score of more than 50 refers to LEI issuers concentrating more in one jurisdiction. Here LEI issuers having more than 1000 LEIs in the month before last are considered.
Formula	$S_j = \sum_{k=1...n} M_{jk}^2$ Where, S_j = concentration score of LEI issuer j n = number of jurisdictions operated by the LEI issuer M_{jk} = jurisdictional share of an LEI issuer j in the jurisdiction k
Example	There are three jurisdictions one LEI issuer operates in, and the corresponding jurisdictional shares are 70%, 27% and 3%. Hence, the concentration score of the LEI issuer = 0.72 + 0.272 + 0.032 = 0.56 or 56%

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

b 2. Definitions for level 2 report metrics

Description	**Legal entites reported ultimate parents having an LEI**
Pseudo Code	IF LEI in (relationship record file) AND EndNodeIDType = “LEI” AND RelationshipType = “IS_ULTIMATELY_CONSOLIDATED_BY” AND relationship.status = ACTIVE AND relationship.registration.status IN (PUBLISHED, LAPSED, PENDING TARNSFER, PENDING ARCHIVAL) THEN COUNT(UNIQUE(LEI))

Description	**Legal entites reported direct parents having an LEI**
Pseudo Code	IF LEI in (relationship record file) AND EndNodeIDType = “LEI” AND RelationshipType = “IS_DIRECTLY_CONSOLIDATED_BY” AND relationship.status = ACTIVE AND relationship.registration.status IN (PUBLISHED, LAPSED, PENDING TARNSFER, PENDING ARCHIVAL) THEN COUNT(UNIQUE(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 child LEI is not unique AND different exception reason for the same LEI THEN DELETE LEI AND (ExceptionReason from exception reason file) = ["NATURAL_PERSONS","NON_CONSOLIDATING","NO_KNOWN_PERSON"] THEN COUNT (UNIQUE(LEI))

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

Description	**Legal entities' ultimate parent relationship information is non-public and therefore creates obstacles to releasing this information**
Pseudo Code	IF (ExceptionCategory from exception file) = "ULTIMATE_ACCOUNTING_CONSOLIDATION_PARENT" AND IF child LEI is not unique AND different exception reason for the same LEI THEN DELETE LEI AND (ExceptionReason from exception reason file) = "NON_PUBLIC" THEN COUNT (UNIQUE(LEI))

Description	**Legal entities' direct parent relationship information is non-public and therefore creates obstacles to releasing this information**
Pseudo Code	IF (ExceptionCategory from exception file) = "DIRECT_ACCOUNTING_CONSOLIDATION_PARENT" AND IF child LEI is not unique AND different exception reason for the same LEI THEN DELETE LEI AND (ExceptionReason from exception reason file) = "NON_PUBLIC"

	THEN COUNT (UNIQUE(LEI))

b 3. Definitions of metrics for new ROC policies implementation

Term	**Government entities**
Description	The number of LEIs that is identified as government entities
Pseudo Code	IF EntityCategory = "RESIDENT_GOVERNMENT_ENTITY" and LEI in (Active LEI file) THEN COUNT (LEI)

Term	**International organizations**
Description	The number of LEIs that is identified as international organizations
Pseudo Code	IF EntityCategory = "INTERNATIONAL_ORGANIZATION" and LEI in (Active LEI file) THEN COUNT (LEI)

Description	**Legal entities reported fund relationship**
Pseudo Code	IF LEI in (relationship record file) AND EndNodeIDType = “LEI” AND RelationshipType IS IN [“IS_FUND-MANAGED_BY”, “IS_SUBFUND_OF”, “IS_FEEDER_TO”] AND relationship.status = ACTIVE AND relationship.registration.status IN (PUBLISHED, LAPSED, PENDING TARNSFER, PENDING ARCHIVAL) THEN COUNT(UNIQUE(LEI))