

Response of GLEIF to the Organization Identifier Working Group (ORCID) on the Survey on Registry Product Definition

April 2017

The Global Legal Entity Identifier Foundation (GLEIF) is pleased to provide you with its comments on the survey, entitled ‘Survey on Registry Product Definition’ published by ORCID in April 2017. GLEIF will limit its comments specifically to the GLEIF’s views on the use of Legal Entity Identifier (LEI) in the consultation.

1. What standard metadata do you have for organizations? Please provide a list of the metadata elements (and a link to the schema if appropriate).

GLEIF offers following metadata for organizations (“Level 1 Entity Data”) attached to the Legal Entity Identifier (“LEI”): The LEI-Common Data File format defines how Level 1 data, i.e. the information on ‘who is who’, is reported, the technical specification and schema are available at the GLEIF website: <https://www.gleif.org/en/about-lei/common-data-file-format/lei-cdf-format>

LEI Data			
LEI File Header			
ContentDate	lei:LEIDateTimeProfile	(1,1)	
Originator	lei:LEIType	(0,1)	
FileContent	lei:FileContentEnum	(1,1)	
DeltaStart	lei:LEIDateTimeProfile	(0,1)	
RecordCount	xs:nonNegativeInteger	(1,1)	
Extension	lei:ExtensionType	(0,1)	
LEI Data Record			
LEI	lei:LEIType	(1,1)	
Entity			
LegalName	lei:NameType	(1,1)	
OtherEntityNames	lei:OtherEntityNamesType	(0,1)	
TransliteratedOtherEntityNames	lei:TransliteratedOtherEntityNamesType	(0,1)	
LegalAddress	lei:AddressType	(1,1)	
HeadquartersAddress	lei:AddressType	(1,1)	
OtherAddresses	lei:OtherAddressesType	(0,1)	
TransliteratedOtherAddresses	lei:TransliteratedOtherAddressesType	(0,1)	
RegistrationAuthority	lei:RegistrationAuthorityType	(0,1)	
LegalJurisdiction	lei:JurisdictionCodeType	(0,1)	
EntityCategory	lei:EntityCategoryTypeEnum	(0,1)	
LegalForm	lei:LegalFormType	(0,1)	
AssociatedEntity	lei:AssociatedEntityType	(0,1)	
EntityStatus	lei:EntityStatusEnum	(1,1)	
EntityExpirationDate	lei:LEIDateTimeProfile	(0,1)	
EntityExpirationReason	lei:EntityExpirationReasonEnum	(0,1)	
SuccessorEntity	lei:SuccessorEntityType	(0,1)	
Registration			
InitialRegistrationDate	lei:LEIDateTimeProfile	(1,1)	
LastUpdateDate	lei:LEIDateTimeProfile	(1,1)	
RegistrationStatus	lei:RegistrationStatusEnum	(1,1)	
NextRenewalDate	lei:LEIDateTimeProfile	(1,1)	
ManagingLOU	lei:LEIType	(1,1)	
ValidationSources	lei:ValidationSourcesEnum	(0,1)	
ValidationAuthority	lei:ValidationAuthorityType	(0,1)	
OtherValidationAuthorities	lei:OtherValidationAuthoritiesType	(0,1)	
Extension			
		(0,1)	

2. What metadata is publicly available and under what license?

All LEI data is publicly available under a Creative Commons (CC0) license, find more details at the GLEIF website:

Terms of Use

<https://www.gleif.org/en/meta/lei-data-terms-of-use>

Open Data Charter

<https://www.gleif.org/en/newsroom/blog/global-legal-entity-identifier-foundation- endorses-the-new-international-open-data-charter>

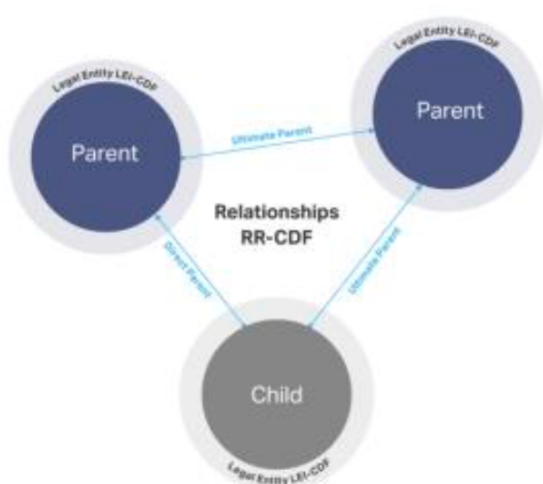
Current barrier free download of data

<https://www.gleif.org/en/lei-data/gleif-concatenated-file/download-the-concatenated-file>

3. What relationships between organizations do you capture (e.g. parent/child, affiliated institute, etc.)?

Relationship data, beginning with ultimate and direct parent information according to accounting consolidation principles, as well as international branches, is being added to the LEI records, with planned expansion for coverage of additional relationship types.

Each legal entity would provide information on its direct and ultimate accounting consolidation parent on registration or annual renewal of its reference data:



For more information, the following links are provided: LEI ROC policy on hierarchy information:

http://www.leiroc.org/publications/gls/LEI_issuer_20161003-1.pdf

The Relationship Record-CDF (RR-CDF) format defines how Level 2 data, i.e. information on ‘who owns whom’, is reported for LEI registrants whose direct and ultimate parents have an LEI, the technical specification and schema are available at the GLEIF website: <https://www.gleif.org/en/about-lei/common-data-file-format/relationship-record-cdf-forma>

RelationshipData			
Header			[1,1]
ContentDate	LEIDateTimeProfile		[1,1]
Originator	LEIType		[0,1]
FileContent	FileContentEnum		[1,1]
DeltaStart	LEIDateTimeProfile		[0,1]
RecordCount	xs:nonNegativeInteger		[1,1]
Extension	ExtensionType		[0,1]
Record			[0,*]
Relationship			[1,1]
StartNode	NodeType		[1,1]
EndNode	NodeType		[1,1]
RelationshipType	RelationshipCategoryType		[1,1]
RelationshipPeriods	RelationshipPeriodsType		[0,1]
RelationshipStatus	RelationshipStatusEnum		[1,1]
RelationshipQualifiers	RelationshipQualifiersType		[0,*]
RelationshipQuantifiers	RelationshipQuantifiersType		[0,*]
Extension	ExtensionType		[0,1]
Registration			[1,1]
InitialRegistrationDate	LEIDateTimeProfile		[1,1]
LastUpdateDate	LEIDateTimeProfile		[1,1]
RegistrationStatus	RegistrationStatusEnum		[1,1]
NextRenewalDate	LEIDateTimeProfile		[0,1]
ManagingLOU	LEIType		[1,1]
ValidationSources	ValidationSourcesTypeEnum		[1,1]
ValidationDocuments	ValidationDocumentsTypeEnum		[1,1]
ValidationReference	Tokenized500Type		[0,1]
Extension	ExtensionType		[0,1]
Extension			[0,1]

4. Do you include other organization identifiers in your registry? If so, which ones?

Yes, the LEI organizational data records can include local or national business or other related registry numbers or codes, as applicable.

GLEIF also is working with organizations to provide mapping tables to resolve other identifier systems to LEIs and LEI Reference Data.

5. Do you have an API? Is it available for public use? If so, please provide a link to information about your API.

GLEIF is currently preparing a beta test and invites any public user to participate. Registrations are welcome via leidata@gleif.org. The API will be available for public use.

6. How many organizations are in your registry?

As of 14th April 2017, 503,444 LEIs have been issued.

For more detailed statistics regarding LEI issuance: <https://www.gleif.org/en/lei-data/global-lei-index/lei-statistics#>

7. Does your registry have resolvable identifiers? If so, please provide an example

GLEIF also is working with organizations to provide mapping tables to resolve other identifier systems to LEIs and LEI Reference Data.

Examples are SWIFT (Society for Worldwide Interbank Financial Telecommunication) for the mapping of the LEI to the BIC (Business Identifier Code, ISO 9362) and ANNA (Association of National Numbering Agencies) for the mapping of the LEI to Issuers of any financial instruments having an ISIN (International Securities Identification Number, ISO 6166).

8. What is your process for updating and correcting records (e.g. can institutions edit records or can then send requests for changes)?

LEI records are updated in the following three ways:

First, legal entities report updates to their reference data (organizational and relationship data) any time to their LEI issuing organization which updates the records daily.

Second, LEI organizational and relationship data are validated annually at the time of renewal of the LEI.

Third, GLEIF offers a central LEI Data Challenge Facility: Each LEI issuer as well as GLEIF provides a challenge facility to trigger updates of Legal Entity Identifier (LEI) data to all interested parties. Specifically, the GLEIF utility offers a centralized, easy, convenient, and consistent means to trigger the verification and, where required, speedy update of LEI records including related reference data. The GLEIF data challenge facility provides any user of LEI data with the opportunity to substantiate doubts regarding the uniqueness of an LEI code, the referential integrity between LEI records, or the accuracy and completeness of the related reference data. It also allows the indication of possible duplicate entries or any lack of timely response to LEI related corporate actions. Once a challenge has been logged using the online form available on the GLEIF website, GLEIF immediately conveys the information

to the relevant LEI issuing organization for follow-up. The LEI ISSUER ensures the adjustments are made, and uploads the adjusted LEI record to GLEIF.

For more information, the following link is provided:

GLEIF's public challenge facility

<https://www.gleif.org/en/lei-data/challenge-lei-data>

9. What metadata would you be willing to provide to an open, independent registry as open data (e.g. CC0)?

GLEIF offers all LEI data to an open, independent registry as open data under a Creative Commons (CC0) license, see also response to question "What metadata is publicly available and under what license?" above.

Current barrier free download of data

<https://www.gleif.org/en/lei-data/gleif-concatenated-file/download-the-concatenated-file>

10. Would your organization be willing to provide updates and new records on an ongoing basis?

Yes, downloads of LEI data including updates and new records are available daily at the GLEIF website:

<https://www.gleif.org/en/lei-data/gleif-concatenated-file/download-the-concatenated-file>

11. As a follow on to the last question - on what basis might you provide updates, new records and/or ongoing maintenance?

GLEIF provides this daily, for free, without any access restrictions at the GLEIF website:

<https://www.gleif.org/en/lei-data/gleif-concatenated-file/download-the-concatenated-file>

12. Are you willing for the information you provided in this survey to be shared with the main Working Group?

Yes

