

Provisional Legal Entity Identifier File Definitions

Publication-level Fields

PublicationDateTime – Provides a date and time for when the file was created. Please note that all entries requiring a DateTime value will utilize the ISO 8601 standard.

Content – It is envisaged that two types of files will be created to meet industry requirements. An enumerated value of “Full” indicates that the file includes a complete listing of LEI-assigned records. An enumerated value of “Delta” indicates that the file includes the records that have changes since the previous file.

PublicationId – Provides a value that is iterated every publication. Note that the initial file included a value of “1”.

Record-level Fields

LEI – Denotes the provisional legal entity identifier associated with a record. This is a 20-character code that complies with the Draft ISO 17442 standard.

Legal Names – The “Legal Names” attribute is a complex type for which each entry must include three fields:

- **Legal Name** – Defines the registered legal name (or an applicable alternative) for the legal entity.
- **Type** – Indicates whether the legal name is the entity’s current legal name or another name – see Other Names below
- **ValidToDateTime** – Indicates when a record review indicated that the current legal name became a previous legal name.

Other Name Types –

- **Previous Legal** – any former registered legal name for the legal entity. Multiple previous legal names may be held.
- **Anglicized** – this field is mandatory when the ‘Legal Name’ field is populated with non-ASCII characters

Legal Form – This will contain one of the accepted legal forms that relate to the (registered) country of the legal entity. e.g. ‘Kommanditgesellschaft’ – a Limited Partnership registered in Germany

Address - These fields denote the **registered** address associated with a legal entity. This includes the following fields:

- **Address Line One to AddressLineFour** – The registered street address of the entity which will also incorporate PO Box, Building & Floor where applicable.
- **City** – The city of the entity is a mandatory field. This attribute is at least partially dependent upon the jurisdiction of the entity.
- **State** – The state, province, or prefecture of the entity, if applicable. This attribute is at least partially dependent upon the jurisdiction of the entity.
- **Country** – The country of the entity is mandatory. This field complies with the ISO 3166 country specification standard.
- **PostCode** - The post code of the entity, if applicable.

EntityStatus –Indicates whether the entity is active or inactive.

- **Active** - Assigned to any entity that has independent legal status. Active covers both solvent companies in BAU operation and those which are in administration, in receivership, bankrupt etc. but still have legal status.
- **Inactive** – Is used for entities which no longer have independent legal status as a result of dissolution.

RecordState – Indicates the current process status of the record (rather than the entity). Applicable fields include “Under Review”, “Validated”, “Inadequate Sources”, “Conflicting Sources”, “Duplicate”, and “Removed by Request”.

- **Under Review** – This status is used when an entity is in a registration or validation queue for review by an internal analyst. This lets the user know that changes may be forthcoming on this record. Please note that challenges should not cause a record to enter an “Under Review” status, only registration and validation attempts.
- **Duplicate** – The record receives this status if, after registration is complete and an LEI has already been assigned, an analyst identifies that the information submitted is a duplicate of an existing record.
- **Conflicting Sources** – If the record is not a duplicate of an existing record, an analyst may determine that the data conflicts with publicly available information.
- **Inadequate Sources** – If the record is not a duplicate of an existing record and does not conflict with publicly available sources, the information may not be able to be found via publicly available sources. In this case, “Inadequate Sources” is noted.
- **Validated (previously “Sourced”)** – If the information for a record can be found via authoritative sources, an analyst may review the data, make minor corrections for spelling, punctuation, and consistency, and return the record as “Validated”.
- **Removed by Request** - The ISO requirements note that a process should be defined for entity to request that their record be removed. This process remains undetermined, and may be handled ad hoc initially.

Note that because all entities in the test file have undergone review by operational personnel, the Record State has consistently been listed as “Validated”. Information submitted by third-parties may receive a different attribute.

Certification State (previously ValidationState) – Indicates whether the record has been certified as accurate by the party that the record refers to.

- **Certified (previously Validated)** – The “Certified” state indicates that the record was reviewed by a party within the organizational structure of the entity in question that is responsible for registering the entity. This status is also referred to as the entity being “self-certified”. A record can be certified at the time of registration (if it is the party themselves who is submitting their own record), or at a later date after the record has already been registered.
- **Not Certified (previously Not Validated)** – If the user submitting the record is not the party within the organizational structure responsible for registering the entity, it is considered registered by a third-party and is “Not Certified”.
- **Stale** – A record should be certified on an annual basis to ensure that the information is relatively up-to-date. If a record is not updated on a timely basis, the record will become stale until such time that the entity certifies the information again.

RelatedLEIs – References to other legal entity identifiers are included in this section.

- **Ultimate Parent ID** - LEIs will be listed when those details are provided by a self-registrant or certifier. There may be multiple Ultimate parent values added to a single LEI.
- **Duplicate Reference ID** – where an LEI is identified as a duplicate record and RecordState is set to *duplicate*, the LEI of the remaining active LEI will be applied in this field (commonly referred to as the successor).

NextCertificationDate – Outlines the next date upon which certification by the entity themselves is required for the entity to maintain its “Certified” State.

Event – Outlines major milestones in processing the record. Acceptable entries include:

- **Assigned** – The time at which the LEI was first assigned by the registration authority.
- **Requested** – The time at which the request for assignment was made on the registration portal.
- **Certified** – The time at which the entity was certified by the primary party.
- **Disabled** – The time at which the entity record was disabled. Note that this process has not yet been defined.
- **Reviewed** – The time at which the entity was reviewed by Operations analysts.
- **Processed** – The time at which a system process evaluated the record.
- **Updated** – The most recent timestamp among the previously assigned events.