Public

State Transition Rules for RR-CDF

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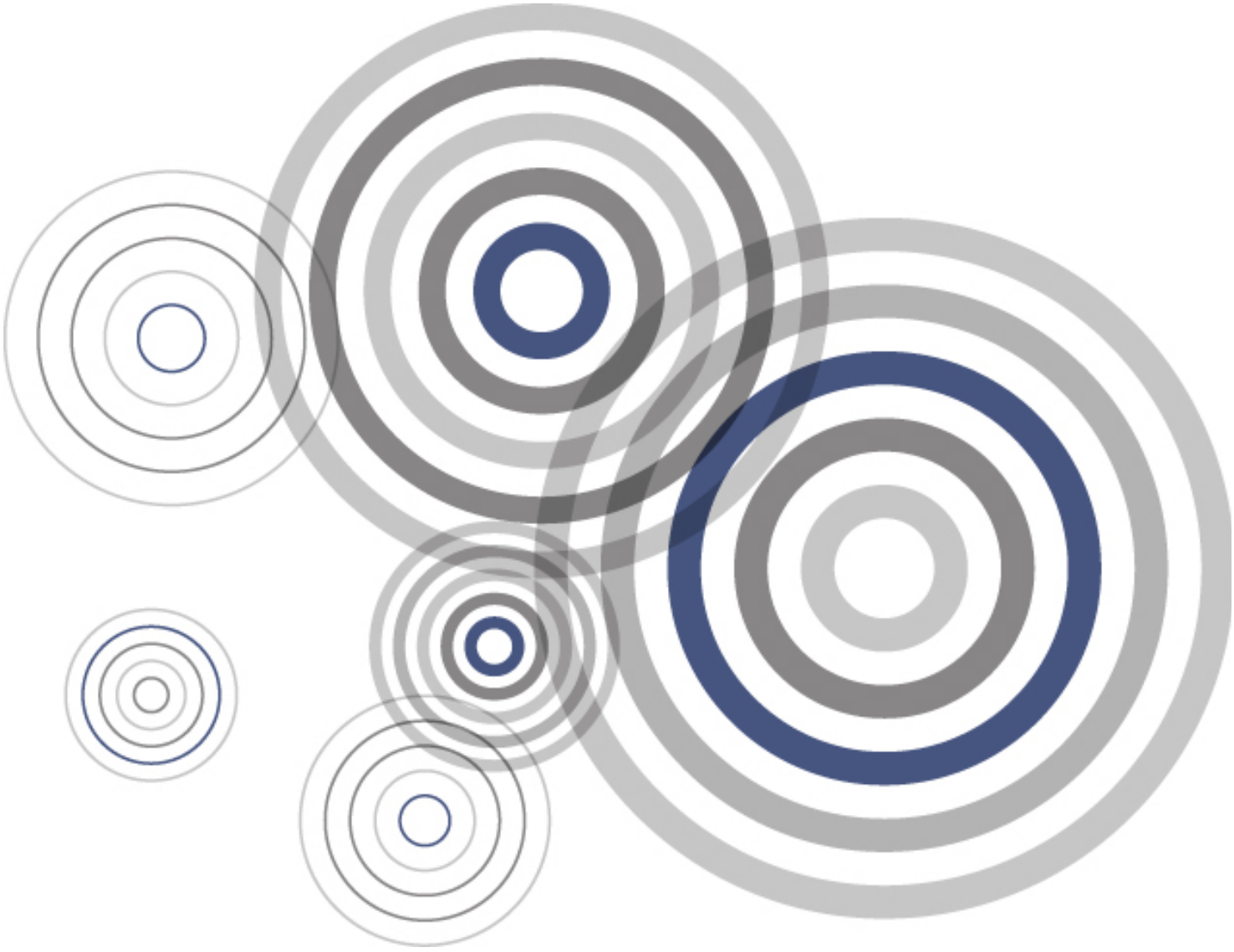

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About this Document

This document describes business rules for the collection, updating, management and publication of Level 2 LEI data according to the Relationship Record Common Data File (RR-CDF) format.

Change History

Date	Version	Description of change	Author
2017-05-04	1.1	Replaced “ISSUED” with “PUBLISHED” for relationship registration status 2.8 #1: added “and the relationship is updated (PNI replaced by LEI)” 2.9: replaced “may” with “must 2.9 #2: added “or DUPLICATE” 2.11 #1: added table 2.11 #2: explanation for parents without an LEI added 2.19 – updated 3.1.2: exception handling added 3.1.3 – RelationshipPeriods updated 3.4 – RelationshipPeriods updated 3.6: added “entity” for clarification 3.7: updated New - 3.15 Head office retiring New - 3.16 Head office merging or acquired 3.17 - description updated 3.22 - Head office added New - 3.24 Head office lapses 3.28 - Head office added	GLEIF
2016-11-30	1.0	Final version	GLEIF
2016-09-09	1.0	Draft version for consultation	GLEIF

1. Terms and Definitions

Term	Definition
Business Rule	GLEIF's legal, organizational and technical rules for implementation of the LEI-ROC's high level policies for Level 2 data.
LEI Record	An XML data record in LEI-CDF format describing one legal entity.
Non-LEI parent	A (direct or ultimate) consolidated accounting parent according to the applicable accounting rules, which therefore must be reported, but does not yet have an LEI.
Provisional Node Identifier (PNI)	A code conforming to the technical standards (without reference data) of ISO 17442 and with a separate prefix not assigned to any LOU for LEI issuance.
Reference Data	The entity description and registration information (where applicable) associated with an LEI or PNI (could be an LEI-CDF record or a record in the provisional "Parent Reference Data format").
Relationship Record (RR)	An XML data record in RR-CDF format detailing one relationship between two legal entities, as reported by (initially) the child entity to their LOU, and by the LOU to GLEIF.
Transition Rule	A rule stipulating what LOUs, GLEIF and legal entities must do when a relationship record changes from one allowed state to another.
Use Case	A specific operation scenario which applies one or more Business Rules.

1.1. Terminology and Typographical Conventions

Within this document, the terms, as will be SHALL and MAY, are to be interpreted as specified in Annex G of the ISO/IEC Directives, Part 2, 2001, 4th edition:

Term	Meaning
SHALL / MUST (NOT)	Requirement
MAY	Permission / Possibility

When used in this way, these terms will always be shown in ALL CAPS; when these words appear in ordinary typeface they are intended to have their ordinary English meaning. All sections of this document, with the exception of the Introduction, are normative, except where explicitly noted as non-normative. The following typographical conventions are used throughout the document:

- ALL CAPS type is used for the special terms enumerated above.

Monospace type is used to denote programming language, UML, and XML identifiers, as well as for the text of XML documents.

2. General State Transition Rules

NOTE: These are transitional business rules, applicable in the first phase (phase 1) of the Level 2 data collection activities of the GLEIS. All rules will be re-evaluated in the course of phase 1 implementation.

2.1. Relationship Header

The Relationship Header describes the context for the Relationship Records contained in the main body of the file.

- If Header contains DeltaStart, then FileContent MUST be LOU_DELTA_PUBLISHED, LOU_DELTA_INTERNAL, GLEIF_DELTA_INTERNAL or GLEIF_DELTA_PUBLISHED.
- The ContentDate MUST be equal to or later than the latest InitialRegistrationDate in the file. The ContentDate MUST be equal to or later than the latest LastUpdateDate in the file. The ContentDate MUST be later than the DeltaStart date.
- If GLEIF created the file, Originator is omitted.
- Use the code LOU_FULL_PUBLISHED to designate a file containing all up-to-date relationship records that you publish.
- Use the code LOU_DELTA_PUBLISHED to designate a file containing only relationship records newly added or changed since your last upload.
- Only if DeltaStart is present, then FileContent MUST be LOU_DELTA_PUBLISHED, LOU_DELTA_INTERNAL, GLEIF_DELTA_INTERNAL or GLEIF_DELTA_PUBLISHED.
- RecordCount MUST be a positive whole (integer) number, or zero (0).

2.2. Date Plausibility

The dates and times as of which the data contained in the file is valid.

- The InitialRegistrationDate MUST not be later than any of the LastUpdateDate, ContentDate or NextRenewalDate.
- The LastUpdateDate MUST not be before the InitialRegistrationDate, or later than any of the current date or ContentDate.
- StartDate MUST contain an earlier or equal date than that in EndDate (where both are included).
- EndDate MUST contain a later or equal date than that in StartDate (where both are included).
- NextRenewalDate MUST not be before the InitialRegistrationDate.

2.3. Use of Extension fields

There are no restrictions on the contents of Extension. For this reason, it is recommended to inform recipients which elements to expect here.

2.4. Distinguishing Parent and Child Entities (where applicable)

- The StartNode identifies the entity which is, where applicable, the "child" or "lower" node of a hierarchical relationship.
- The EndNode identifies the entity which is, where applicable, the "parent" or "higher" node of a hierarchical relationship.

2.5. Child Only Reporting

Initially only child entities may report level 2 data to minimize difficulties arising from complex business rules dependent on the reporting entity and de-duplication. This also covers a parent entity instructing its child entity or entities to report parent information, and also delegated reporting by a parent entity on behalf of any child entities.

Given this rule, reporting of child entities without an LEI is NOT possible under any circumstance.

2.6. Renewal of LEI-CDF and RR-CDF

The child and relationship record share the same renewal cycle. If the child LEI is renewed, the relationship is renewed as well. If the child record lapses, the relationship record lapses as well and may only be reactivated given the child record is reactivated.

- The NextRenewalDate for relationships with RelationshipType IS_DIRECTLY_CONSOLIDATED_BY or IS_ULTIMATELY_CONSOLIDATED_BY is the same for the child LEI and the relationship record.

2.7. Unique Relationships

Only one parent entity per child may be reported per unique relationship type with RegistrationStatus PUBLISHED.

The parent entity's NodeID is:

- an LEI for those parent legal entities with an LEI;
- a PNI (Provisional Node Identifier) for those parent Legal Entities without an LEI.

The relationship types allowed initially include:

- the 2 new **mandatory required** relationship types introduced by Level 2:
  - Direct accounting consolidating parent ("IS_DIRECTLY_CONSOLIDATED_BY")
  - Ultimate accounting consolidating parent ("IS_ULTIMATELY_CONSOLIDATED_BY")

- an **optional (where applicable)** relationship type is:
  - International branch headquarters (new with Level 2)

2.8. Application of a PNI

In the case a child entity reports a relationship with a parent legal entity that does not have an LEI, the LOU creates a Parent Reference Data record with a PNI for the parent Legal Entity. This PNI and its associated reference data is shared only with GLEIF (GLEIF will also share with the LEI ROC; this information is internal use only for the Managing LOU, GLEIF, and the LEI ROC).

Parent Reference Data records with PNIs are updated on request of the child legal entity.

- If the parent gets an LEI, the parent reference data record is removed and the relationship is updated (PNI replaced by LEI).
- If the NodeIDType is set to ISO_17442_COMPATIBLE (PNI), then the NodeID MUST be taken from the PNI issuing prefix namespace of a GLEIS LOU.
- If it is an LEI, then the NodeID MUST NOT be taken from the PNI issuing prefix namespace of a GLEIS LOU.

2.9. Application of an Exception Report

The LEI ROC has specified scenarios where the child entity may decline to provide parent information. The Managing LOU must remove the exception record given:

- the child subsequently reports the respective direct or the ultimate parent.
- the child entity subsequently ends (LEI RegistrationStatus of RETIRED, MERGED, ANNULLED, or DUPLICATE).

2.10. Updates to Parent Reference Data

Any update to the parent reference data could impact the relationship between the parent and the child. These updates require a review of the relationship record from the child legal entity.

2.11. De-duplication

The LOU is responsible for checking for duplicate relationships (see “Unique Relationships” above). Duplication refers to a case where:

- 2 direct or ultimate parent records with the following registration statuses exist:

Relationship 1	**Relationship 2**
RegistrationStatus PUBLISHED	RegistrationStatus PUBLISHED

RegistrationStatus PUBLISHED	RegistrationStatus PENDING_TRANSFER
RegistrationStatus PENDING_TRANSFER	RegistrationStatus PENDING_TRANSFER
RegistrationStatus PENDING_TRANSFER	RegistrationStatus PENDING_ARCHIVAL
RegistrationStatus PENDING_ARCHIVAL	RegistrationStatus PENDING_ARCHIVAL
RegistrationStatus PUBLISHED	RegistrationStatus LAPSED
RegistrationStatus LAPSED	RegistrationStatus LAPSED

- An active exception report and direct or ultimate parent relationship record with a RegistrationStatus of one of the above exists. For parents without an LEI please refer to section “Parent without LEI”.

- If RegistrationStatus is set to DUPLICATE, then the DUPLICATE status is assigned to the non-surviving relationship record and no further updates of the DUPLICATE relationship record MAY occur.

2.12. Mandatory Relationship Reporting

All Legal Entities must report, for their direct and ultimate accounting consolidating parent each, one of

- a relationship record or
- a reporting exception.

Reporting for EntityCategory of FUND will be clarified after further policy guidance from the LEI ROC. Legal Entities with EntityCategory FUND that are consolidated, may report their direct and ultimate accounting consolidating parents.

It is not possible for an LEI to exist without the above mentioned information. This information is reported at the time of LEI Issuance, LEI Renewal, or LEI Transfer, whichever happens first. As long as the child has a RegistrationStatus of ISSUED it must have a report for both the direct and ultimate parent.

All LEIs shall have a minimum of 2 records. These records could be a direct parent relationship record, an ultimate parent relationship record, or an exception report. The table below demonstrates the possible combinations:

Direct Parent	**Ultimate Parent**
Relationship Record	Relationship Record

Direct Parent	Ultimate Parent
Relationship Record	Exception Record
Exception Record	Relationship Record
Exception Record	Exception Record

Opt out reason reporting: Given the legal entity is aware that it has a relationship of the relevant type BUT withholds the details, it must give an opt-out reason. Reasons are recorded in a manner specified by the LEI-ROC and reported in the Reporting Exception file. No relationship information is recorded by LOU. The opt out reason is collected as part of the LEI record of the reporting entity. As noted by the ROC, it will be for instance for any competent regulator requiring this information to determine whether the opting out was justified.

No Relationship Exists (negative reporting): Given the Legal Entity reports it has no relationship, this information is collected and reported in the Reporting Exception file.

Parent without LEI: In case that (a) relationship record(s) are reported including parent(s) without an LEI (this data is only reported to GLEIF), this information is also reported in the Reporting Exception file for publication.

2.13. Transfer Relationship Records if Child LEI is Transferred

- Relationship Records (including inactive relationships) with RelationshipType IS_DIRECTLY_CONSOLIDATED_BY or IS_ULTIMATELY_CONSOLIDATED_BY MUST always be managed by the LOU that manages the LEI of the child entity.
- When transferring a child LEI-CDF record, the LOU must check if Relationship Records exist. All Relationship Records with the child LEI as the StartNode are transferred.
- If the parent is identified with a PNI then only the parent reference data is transferred. The Receiving LOU will create a new PNI code for the parent reference data, if the parent entity did not receive an LEI in the meantime.
- If the parent is identified with an exception record, then the exception record is transferred.

2.14. Validation

- The Managing LOU of the child entity is responsible to validate the reference data of the child LEI record and that the relationship between the child LEI and the parent LEI exists.
- The Managing LOU of the child entity is not responsible for validating opt out reasons reported.
- The Managing LOU of the child entity is not responsible for validating a legal entity's statement that no relationship exists (negative reporting) but should respond to a challenge to that status.
- The Managing LOU of the child entity is not expected to validate the reference data associated with the parent unless the Managing LOU of the child entity is also the Managing LOU of the parent entity having an LEI.
- The Managing LOU of the child entity ensures that a relationship is made to an active entity. This means the parent LEI should not have a RegistrationStatus of Duplicate, Retired, Merged, or Annulled at the time of the initial Relationship Record issuance.
- The Managing LOU of the child entity validates via the documents provided by the child legal entity that the parent entity is indeed the legal entity represented by the LEI.
- The Managing LOU of the child entity validates the Relationship Record based on the source provided by the Legal Entity or other reliable public sources.
- The Managing LOU of the child entity accepts or denies a Relationship Record based on the result of its validation.
- The Managing LOU of the child entity notes the level of validation in the Relationship Record Reference Data.
- The Managing LOU of the child entity is responsible to validate the Relationship Records at each renewal, as well as to validate changed (includes RegistrationStatus RETIRED) Relationship Records.

2.15. Types of Validation Documents

Primary sources are required for the validation of documents. These include only:

1) Consolidated financial statements are a key source to validate parent relationships. Such reports may be prepared and submitted to the relevant authority quarterly or annually or attested to by a third party auditor and not submitted to an authority.
2) Regulatory filings (i.e. reports to a securities regulator or a bank supervisor) are another important source. When validating using a regulatory filing the filing name must be provided (as well as the path if available). Best practice would be to include the DOI of the document.
3) Other types of allowable sources include other documents supporting the preparation of consolidated financial statements, contracts, and other official documents.

Proprietary products containing secondary data derived from a variety of sources are not considered a valid source for validation of relationship data (derived databases available for a fee from a service provider; they are not the original source).

- The ValidationSources is FULLY_CORROBORATED if (i) there are consolidated financial statements; other documents supporting the preparation of consolidated financial statements coming from or otherwise confirmed by the external auditor; regulatory filings; AND (ii) these documents establish the consolidation relationship and mention the name of both related entities.
- The ValidationSources is PARTIALLY_CORROBORATED, if (i) The definition of parent used in regulatory filings differs from the accounting consolidation definition, but filings assist in corroborating the information provided by the registrant that the conditions of consolidation are met. Only accounting consolidation relationships are expected to be reported but the LOU is not expected to conduct an analysis of differences between the regulatory sources and the accounting standard. Generally, the type of source, or the fact that the source does not refer to accounting standards will inform the LOU that this category should be used

  OR (ii) Official documents such as regulatory filings or contracts make it likely that the conditions of accounting consolidation are met, or have ceased to be met, when consolidated accounts reflecting the new situation have not been established yet.
- If ValidationSources is ENTITY_SUPPLIED_ONLY the ValidationDocuments are none of the sources admitted for FULLY_CORROBORATED and PARTIALLY_CORROBORATED.
- If ValidationDocuments is REGULATORY_FILING, the ValidationReference element MUST be present and contain, if available, the filing URL (including name and full path). The filing URL MAY contain other standard identifiers e.g. DOI.

2.16. Reporting dates associated with Validation Documents

Where RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD: this is intended to indicate the duration of validity of the relationship itself, as distinct from any administrative or reporting aspects. This information is the broadest view of the relationship and the StartDate would indicate the earliest date at which the relationship existed or the first date it is known.

- The StartDate MAY be the date at which the relationship was recorded in GLEIS given other information is not known. Given the direct or ultimate parent relationship persists the StartDate would not generally be updated after initial registration. Exceptions may apply given the StartDate was originally recorded as the first date the relationship was recorded in GLEIS and more information becomes available.

Where RelationshipPeriod with PeriodType = ACCOUNTING_PERIOD: this is the date of the situation reflected in the source document (generally distinct from the date of the document)

and is intended to indicate the accounting period covered by the most recent validation documents.

- Given all relationships are based on accounting consolidation the accounting period SHALL be reported for all relationship records.

Where RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD: this is intended to indicate the date of the document filing or publication. This only applies where the validation documents are filed or publicly available. The StartDate is the date of document filing or publication.

- If the validation documents also indicate the period over which the filing applies, the EndDate is the end date of this period. Although entities should be encouraged to provide the exact dates when known, start and end dates may be approximated by the date of the situation described in the first accounting statement showing consolidation or the end of consolidation, respectively. For instance, what is sought here is not that the accounting statement used for validation is for the year 2016, but that the relationship was valid at least as of 31 December 2016.

2.17. Assign Relevant Accounting Convention to Define Parent & Child Entities

Definitions of accounting consolidation and other relationship types could vary by jurisdiction. The Legal Entity reports the accounting consolidation. The LOU verifies this. International standards overrule local GAAPs.

2.18. Authorization for field changes

The following table lists the authority of data changes per RR-CDF field.

Section	RR-CDF field	Authority
Relationship	StartNode	LOU
Relationship	EndNode	Child entity
Relationship	RelationshipType	Child entity
Relationship	RelationshipPeriods	Child entity
Relationship	RelationshipStatus	LOU
Relationship	RelationshipQualifiers	LOU

Section	RR-CDF field	Authority
Relationship	RelationshipQuantifiers	LOU
Registration	InitialRegistrationDate	LOU
Registration	LastUpdateDate	LOU
Registration	RegistrationStatus	LOU
Registration	NextRenewalDate	LOU
Registration	ManagingLOU	LOU
Registration	ValidationSources	LOU
Registration	ValidationDocuments	LOU
Registration	ValidationReference	LOU

The applicable authority must approve the change prior to data publication by the LOU.

2.19. Recording of Branches in RR-CDF

The relationship type 'IS_INTERNATIONAL_BRANCH_OF' is recorded for a branch entity when connecting to its headquarters. No other relationship types are reported for the branch entity.

2.20. Validation for RR-CDF for Branches

One branch in per host country may receive an LEI. To insure that only one branch LEI is issued per host country, the LOUs is responsible to work with the parent entity to validate that the branch entity registering for the LEI is indeed the designated 'international branch' of the organizational structure.

3. Use Cases

This section lists the various use cases and the distinct states that need to be set in the Relationship Record for this use case. Only the fields that need to be changed are displayed.

3.1. Issue New LEI – allowed states

This section lists allowed states for the basic expected results of most Level 2 data collection, giving restrictions per use case beyond those for all records generally in the RR-CDF.

3.1.1. Issue New LEI to a child Legal Entity having a parent with an LEI

When a Legal Entity requests an LEI, that has a parent with an LEI, the Managing LOU of the child entity creates the parent Relationship Records as follows (for direct and ultimate parent, if both have an LEI).

Element Name	States
StartNode	NodeID SHALL be the LEI of the child NodeIDType SHALL be “LEI”
EndNode	NodeID SHALL be the LEI of the parent NodeIDType SHALL be “LEI”
RelationshipType	RelationshipType SHALL include either “IS_DIRECTLY_CONSOLIDATED_BY” or “IS_ULTIMATELY_CONSOLIDATED_BY”
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and SHALL not include EndDate RelationshipPeriod with PeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate If ValidationDocuments = REGULATORY_FILING then RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate and it MAY include EndDate

Element Name	States
	For all other ValidationDocuments enumerations, RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD MAY include StartDate and it MAY include EndDate
RelationshipStatus	RelationshipStatus SHALL be “ACTIVE”
RelationshipQualifiers	QualifierDimension SHALL be “ACCOUNTING_STANDARD” and QualifierCategory SHALL be either “US_GAAP”, “IFRS” or “OTHER_ACCOUNTING_STANDARD”.
RelationshipQuantifiers	MeasurementMethod SHALL be “ACCOUNTING_CONSOLIDATION”
InitialRegistrationDate	Date/time the Relationship record was created
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “PUBLISHED”
NextRenewalDate	Renewal Date of the child LEI record
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record
ValidationDocuments	ValidationDocuments SHALL include either “ACCOUNTS_FILING” “REGULATORY_FILING” “OTHER_OFFICIAL_DOCUMENTS “ “SUPPORTING_DOCUMENTS” “CONTRACTS”
ValidationSources	ValidationSources SHALL be either “ENTITY_SUPPLIED_ONLY”, “PARTIALLY_CORROBORATED” or “FULLY_CORROBORATED”
ValidationReference	If ValidationDocuments is either “ACCOUNTS_FILING” or “REGULATORY_FILING” and ValidationSources is FULLY_CORROBORATED or PARTIALLY_CORROBORATED” then the ValidationReference element MUST contain the filing URL (including name and full path), if available. ValidationReference MAY be present if ValidationDocuments are publicly available.

3.1.2. Issue New LEI to a child Legal Entity having (a) parent(s) without an LEI

When a Legal Entity requests an LEI with a parent without an LEI, the Managing LOU of the child entity creates the Relationship Record as follows. Also an exception record has to be created (see section “Parent without LEI”).

Element Name	States
StartNode	NodeID SHALL be the LEI of the child NodeIDType SHALL be “LEI”
EndNode	NodeID SHALL be the PNI of the parent NodeIDType SHALL be “ISO_17442_COMPATIBLE“
RelationshipType	RelationshipType SHALL include either “IS_DIRECTLY_CONSOLIDATED_BY” or “IS_ULTIMATELY_CONSOLIDATED_BY”
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and SHALL not include EndDate RelationshipPeriod with PeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate If ValidationDocuments = REGULATORY_FILING then RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate and it MAY include EndDate For all other ValidationDocuments enumerations, RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD MAY include StartDate and it MAY include EndDate
RelationshipStatus	RelationshipStatus SHALL be “ACTIVE”
RelationshipQualifiers	QualifierDimension SHALL be “ACCOUNTING_STANDARD” and QualifierCategory SHALL be either “US_GAAP”, “IFRS” or “OTHER_ACCOUNTING_STANDARD”.
RelationshipQuantifiers	MeasurementMethod SHALL be “ACCOUNTING_CONSOLIDATION”

Element Name	States
InitialRegistrationDate	Date/time the Relationship record was created
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “PUBLISHED”
NextRenewalDate	Renewal Date of the child LEI record
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record
ValidationDocuments	ValidationDocuments SHALL include either “ACCOUNTS_FILING” “REGULATORY_FILING” “OTHER_OFFICIAL_DOCUMENTS “ “SUPPORTING_DOCUMENTS” “CONTRACTS”
ValidationSources	ValidationSources SHALL be either “ENTITY_SUPPLIED_ONLY”, “PARTIALLY_CORROBORATED” or “FULLY_CORROBORATED”
ValidationReference	If ValidationDocuments is either “ACCOUNTS_FILING” or “REGULATORY_FILING” and ValidationSources is FULLY_CORROBORATED or PARTIALLY_CORROBORATED” then the ValidationReference element MUST contain the filing URL (including name and full path), if available. ValidationReference MAY be present if ValidationDocuments are publicly available.

3.1.3. Issue New LEI to Branch/International Branch Relationship in RR-CDF

When a Branch/International Branch requests an LEI, the Managing LOU of the entity creates the branch Relationship Record as follows. It is a requirement that the headquarters entity have an LEI.

Element Name	States
StartNode	NodeID SHALL be the LEI of the branch NodeIDType SHALL be “LEI”
EndNode	NodeID SHALL be the LEI of the headquarters NodeIDType SHALL be “LEI”
RelationshipType	RelationshipType SHALL be “IS_INTERNATIONAL_BRANCH_OF”
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and SHALL not include EndDate
RelationshipStatus	RelationshipStatus SHALL be “ACTIVE”
InitialRegistrationDate	Date/time the Relationship record was created
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “PUBLISHED”
NextRenewalDate	Renewal Date of the child LEI record
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record
ValidationDocuments	ValidationDocuments SHALL include [These will have to be specified based on the validations to be used. See the section regarding Validations for Branches/International Branches for the suggested options identified to date.]
ValidationSources	ValidationSources SHALL be “FULLY_CORROBORATED”

3.1.4. Issue New LEI to a child Legal Entity giving opt-out reasons

When a Legal Entity requests an LEI giving opt-out reasons, a relationship record is not created. The LOU creates a Reporting Exception record for the LEI direct or ultimate parent.

3.2. Renewal of child LEI having a parent with an LEI or PNI

When a child entity renews its LEI-CDF record and the parent relationship still exists, the Managing LOU of the child entity renews the Relationship Record as detailed below. If the parent entity is identified by a PNI the child confirms the existing parent reference data.

It is not possible to renew the relationship given the parent has a Registration Status of MERGED, RETIRED, DUPLICATE, or ANNULLED. Please see the related use cases.

The child could report that the relationship no longer applies due to a change in control. Please see the related use case for more detail.

Element Name	States
RelationshipType	RelationshipType SHALL include either “IS_DIRECTLY_CONSOLIDATED_BY” or “IS_ULTIMATELY_CONSOLIDATED_BY”
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and SHALL not include EndDate RelationshipPeriod with PeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate If ValidationDocuments = REGULATORY_FILING then RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate and it MAY include EndDate For all other ValidationDocuments enumerations, RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD MAY include StartDate and it MAY include EndDate
RelationshipStatus	RelationshipStatus SHALL be “ACTIVE”

Element Name	States
RelationshipQualifiers	QualifierDimension SHALL be “ACCOUNTING_STANDARD” and QualifierCategory SHALL be either “US_GAAP”, “IFRS” or “OTHER_ACCOUNTING_STANDARD”.
RelationshipQuantifiers	MeasurementMethod SHALL be “ACCOUNTING_CONSOLIDATION”
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “PUBLISHED”
NextRenewalDate	Renewal Date of the child LEI record
ValidationDocuments	ValidationDocuments SHALL include either “ACCOUNTS_FILING” “REGULATORY_FILING” “OTHER_OFFICIAL_DOCUMENTS “ “SUPPORTING_DOCUMENTS” “CONTRACTS”
ValidationSources	ValidationSources SHALL be either “ENTITY_SUPPLIED_ONLY”, “PARTIALLY_CORROBORATED” or “FULLY_CORROBORATED”
ValidationReference	If ValidationDocuments is either “ACCOUNTS_FILING” or “REGULATORY_FILING” and ValidationSources is FULLY_CORROBORATED or PARTIALLY_CORROBORATED” then the ValidationReference element MUST contain the filing URL (including name and full path), if available. ValidationReference MAY be present if ValidationDocuments are publicly available.

3.3. Renewal of child LEI having had a parent with an LEI or PNI

When a child entity renews its LEI-CDF record and the parent relationship does not exist anymore, the Managing LOU of the child entity renews the Relationship Record as follows.

Element Name	States
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and EndDate RelationshipPeriod with PeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate If ValidationDocuments = REGULATORY_FILING then RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate and it MAY include EndDate For all other ValidationDocuments enumerations, RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD MAY include StartDate and it MAY include EndDate
RelationshipStatus	RelationshipStatus SHALL be “INACTIVE”
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “RETIRED”

3.4. Renewal of the head office LEI having a branch

When the head office entity renews its LEI-CDF record, the Managing LOU of the head office entity renews the Relationship Record as follows.

Element Name	States
RelationshipType	RelationshipType SHALL be "IS_INTERNATIONAL_BRANCH_OF"
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and SHALL not include EndDate
RelationshipStatus	RelationshipStatus SHALL be "ACTIVE"
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "PUBLISHED"
NextRenewalDate	The next date by which the relationship information must be renewed and re-certified by the legal entity
ValidationSources	ValidationSources SHALL be "FULLY_CORROBORATED"

3.5. Update of child LEI-CDF record

Changes to the entity section except for EntityStatus, EntityExpirationDate, EntityExpirationReason and SuccessorEntity (see Use Cases “Child merging or retiring” and “Child has been acquired”) of a LEI-CDF record do not necessarily lead to a change of the Relationship Record. Given the child changes reference data in the entity section, the child is also expected to evaluate the impact on its Relationship Records.

Changes to the RegistrationStatus of a LEI-CDF record from ISSUED to LAPSED, lead also to a lapsed Relationship Record.

3.6. Update of parent LEI-CDF record

Changes to the entity section of a parent LEI-CDF record may influence or change the relationship to the child. This could include a change of legal form, a change of legal jurisdiction, etc.

If the Managing LOU of the child entity becomes aware of changes to the parent reference data during the course of normal business the Managing LOU of the child entity should notify the child entity and request the child entity to verify if changes have occurred to the Relationship Record.

The Managing LOU of the child entity evaluates the changes and outreaches to the legal entity to determine if a change to the relationship has occurred.

In the cases of change of control or that the parent is merged, etc. the subsequent use cases apply.

3.7. Transfer of child LEI-CDF record having relationship reporting

Legal Entity transfers its LEI-CDF record from one Managing LOU to another Managing LOU. With the transfer, all relationship records (active and inactive relationship records) are also transferred. Active relationship records are updated as follows. If a parent does not have an LEI, the Parent Reference Data record(s) is/are transferred excluding the PNI code. The sending LOU updates the relationship record as follows. The receiving LOU processes the record as detailed in the supporting document for transfer of LEIs and LE-RD.

If only a parent legal entity's LEI-CDF record is transferred, this case does not apply.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be "PENDING_TRANSFER" for the sending LOU's copy of Relationship Record. When the receiving LOU has finished its validation and verification, the sending LOU changes to "PENDING_ARCHIVAL". The receiving LOU sets the status of its RR-CDF as defined in the supporting document for transfer of LEIs and LE-RD. The sending LOU removes this record from its file.

3.8. Transfer of child LEI-CDF record having an inactive relationship record

Child Legal Entity transfers its LEI-CDF record from one Managing LOU to another Managing LOU. With the transfer, the inactive relationship record is also transferred and updated as follows.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record

3.9. Transfer of child LEI-CDF record not yet having any parent information

Legal Entity transfers its LEI-CDF record from one Managing LOU to another Managing LOU and has no relationship records yet. With the transfer, the receiving LOU creates relationship records only for active relationships (see use case 3.1.1, 3.1.2, and 3.1.3).

3.10. Child reported no parent, but parent exists

If a relationship is communicated or approved by the child entity after the creation of an LEI, the Managing LOU of the child entity updates the LEI-CDF record accordingly and creates the following Relationship Records.

Element Name	States
StartNode	NodeID SHALL be the LEI of the child NodeIDType SHALL be “LEI”
EndNode	NodeID SHALL be the LEI of the parent NodeIDType SHALL be “LEI“ or NodeID SHALL be the PNI of the parent NodeIDType SHALL be “ISO_17442_COMPATIBLE“
RelationshipType	RelationshipType SHALL be either “IS_DIRECTLY_CONSOLIDATED_BY” or “IS_ULTIMATELY_CONSOLIDATED_BY”

Element Name	States
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and SHALL not include EndDate RelationshipPeriod with PeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate If ValidationDocuments = REGULATORY_FILING then RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate and it MAY include EndDate For all other ValidationDocuments enumerations, RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD MAY include StartDate and it MAY include EndDate
RelationshipStatus	RelationshipStatus SHALL be “ACTIVE”
RelationshipQualifiers	QualifierDimension SHALL be “ACCOUNTING_STANDARD” and QualifierCategory SHALL be either “US_GAAP”, “IFRS” or “OTHER_ACCOUNTING_STANDARD”.
RelationshipQuantifiers	MeasurementMethod SHALL be “ACCOUNTING_CONSOLIDATION”
InitialRegistrationDate	Date/time the Relationship record was created
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “PUBLISHED”
NextRenewalDate	Renewal date of the child LEI record
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record
ValidationDocuments	ValidationDocuments SHALL include either “ACCOUNTS_FILING” “REGULATORY_FILING” “OTHER_OFFICIAL_DOCUMENTS “ “SUPPORTING_DOCUMENTS” “CONTRACTS”

Element Name	States
ValidationSources	ValidationSources SHALL be either “ENTITY_SUPPLIED_ONLY”, “PARTIALLY_CORROBORATED” or “FULLY_CORROBORATED”
ValidationReference	If ValidationDocuments is either “ACCOUNTS_FILING” or “REGULATORY_FILING” and ValidationSources is FULLY_CORROBORATED or PARTIALLY_CORROBORATED” then the ValidationReference element MUST contain the filing URL (including name and full path), if available. ValidationReference MAY be present if ValidationDocuments are publicly available.

3.11. Child reports parent after initial opt-out reporting

After the opt-out reporting has been changed, a Relationship Record is created.

Reporting Exceptions that had been reported for this situation are removed.

StartNode	NodeID SHALL be the LEI of the child NodeIDType SHALL be “LEI”
EndNode	NodeID SHALL be the LEI of the parent NodeIDType SHALL be “LEI” or NodeID SHALL be the PNI of the parent NodeIDType SHALL be “ISO_17442_COMPATIBLE“
RelationshipType	RelationshipType SHALL be either “IS_DIRECTLY_CONSOLIDATED_BY” or “IS_ULTIMATELY_CONSOLIDATED_BY”
RelationshipPeriods	RelationshipPeriod with RelationshipPeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and SHALL not include EndDate RelationshipPeriod with RelationshipPeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate RelationshipPeriod with RelationshipPeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate and it MAY include EndDate
RelationshipStatus	RelationshipStatus SHALL be “ACTIVE”
RelationshipQualifiers	QualifierDimension SHALL be “ACCOUNTING_STANDARD” and QualifierCategory SHALL be either “US_GAAP”, “IFRS” or “OTHER_ACCOUNTING_STANDARD”.
RelationshipQuantifiers	MeasurementMethod SHALL be “ACCOUNTING_CONSOLIDATION”
InitialRegistrationDate	Date/time the Relationship record was created

LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “PUBLISHED”
NextRenewalDate	Renewal Date of the child LEI record
ManagingLOU	The LEI of the LOU that is responsible for administering this Relationship Record
ValidationDocuments	ValidationDocuments SHALL include either “ACCOUNTS_FILING” “REGULATORY_FILING” “OTHER_OFFICIAL_DOCUMENTS “ “SUPPORTING_DOCUMENTS” “CONTRACTS”
ValidationSources	ValidationSources SHALL be either “ENTITY_SUPPLIED_ONLY”, “PARTIALLY_CORROBORATED” or “FULLY_CORROBORATED”
ValidationReference	If ValidationDocuments is either “ACCOUNTS_FILING” or “REGULATORY_FILING” and ValidationSources is FULLY_CORROBORATED or PARTIALLY_CORROBORATED” then the ValidationReference element MUST contain the filing URL (including name and full path), if available. ValidationReference MAY be present if ValidationDocuments are publicly available.

3.12. Parent without an LEI requests an LEI

Parent without an LEI requests an LEI. As soon as the child legal entity is aware of this information, it needs to inform the Managing LOU. The Managing LOU of the child removes the Parent Reference Data record and updates the Relationship Record as follows.

Element Name	States
EndNode	NodeID SHALL be the LEI of the parent NodeIDType SHALL be “LEI”
LastUpdateDate	Date/time the Relationship record was most recently updated

3.13. Child merging, retiring, or is acquired

If the child legal entity merges or retires, the Managing LOU of the child entity updates the LEI-CDF record accordingly and adjusts the Relationship Record as follows. This use case applies where the child LEI has a RegistrationStatus of MERGED or RETIRED. No further relationship records are recorded by the Managing LOU.

Element Name	States
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and EndDate RelationshipPeriod with PeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate
RelationshipStatus	RelationshipStatus SHALL be “INACTIVE”
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “RETIRED”

3.14. Parent merging, retiring, or is acquired

If the parent legal entity merges or retires, the Managing LOU of the child entity adjusts the Relationship Record as follows. This use case applies where the parent LEI has a RegistrationStatus of MERGED or RETIRED and the parent entity is no longer active. The Managing LOU works with the child legal entity to record the new direct or ultimate parent relationship.

Either the child legal entity notifies the Managing LOU at the time of renewal, the Managing LOU is made aware via the challenge process, or the Managing LOU becomes aware of the parent with an LEI merging or retiring during the course of normal business. Given the Managing LOU becomes aware of this change to the parent entity via the challenge process or during the course of normal business, the Managing LOU should notify the child LOU and request the child LOU to provide updated information on the direct or ultimate parent.

Given the parent entity is identified with a PNI the Managing LOU updates the parent reference data.

Element Name	States
EndNode	This field is not changed when the parent entity ceased to exist. If the parent entity merged, a new Relationship Record for the child entity needs to be created.
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and EndDate.
RelationshipStatus	RelationshipStatus SHALL be “INACTIVE”
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “RETIRED”

3.15. Head office retiring

If the head office retires, the Managing LOU of the branch entity adjusts the Relationship Record as follows. This use case applies where the head office LEI has a RegistrationStatus of RETIRED and the head office is no longer active. The Managing LOU changes the branch entity LEI record to the RegistrationStatus of RETIRED.

Either the head office or branch entity notifies their Managing LOU at the time of renewal, the Managing LOU is made aware via the challenge process, or the Managing LOU becomes aware of the head office retiring during the course of normal business.

Element Name	States
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and EndDate.
RelationshipStatus	RelationshipStatus SHALL be “INACTIVE”
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “RETIRED”

3.16. Head office merging or acquired

If the head office merges or is acquired, the Managing LOU of the branch entity adjusts the Relationship Record as follows. This use case applies where the head office LEI has a RegistrationStatus of MERGED and the head office is no longer active. The Managing LOU changes the branch entity LEI record to the RegistrationStatus of MERGED.

In the case that the authoritative source requires a new legal entity registration, then the relationship record of the branch entity retires as follows:

Element Name	States
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and EndDate.
RelationshipStatus	RelationshipStatus SHALL be “INACTIVE”

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “RETIRED”

In the case that the authoritative source does not require a new legal entity registration, then the existing relationship record of the branch entity retires as above and the new head office registers a new relationship record for the branch entity.

3.17. Branch/International Branch merging, retiring, or is acquired

If the branch legal entity merges or retires, the Managing LOU of the branch entity updates the LEI-CDF record accordingly and adjusts the Relationship Record as follows. This use case applies where the branch LEI-CDF record has a RegistrationStatus of MERGED or RETIRED and the parent entity is no longer active.

Element Name	States
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and EndDate.
RelationshipStatus	RelationshipStatus SHALL be “INACTIVE”
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “RETIRED”

3.18. Change of Control of child

If there is a change of control of the child legal entity but both the child LEI and the parent LEI remain active, the Managing LOU of the child entity updates the Relationship Record as follows. The Managing LOU works with the child legal entity to record the new direct or ultimate parent relationship.

Element Name	States
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and EndDate RelationshipPeriod with PeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate If ValidationDocuments = REGULATORY_FILING then RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate and EndDate For all other ValidationDocuments enumerations, RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate and EndDate
RelationshipStatus	RelationshipStatus SHALL be “INACTIVE”
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “RETIRED”

3.19. Change of Control of parent

A change of control of the parent may impact the relationship record with the child entity. Either the child legal entity notifies the Managing LOU at the time of renewal, the Managing LOU is made aware via the challenge process, or the Managing LOU becomes aware of the parent change of control during the course of normal business. Given the Managing LOU becomes aware of this change to the parent entity via the challenge process or during the course of normal business, the Managing LOU should notify the child LOU and request the child LOU to provide updated information on the direct or ultimate parent.

3.20. Child is a duplicate

If a child LEI record is a duplicate, the Managing LOU of the child entity adjusts the Relationship Record as follows and creates a new Relationship Record with the surviving StartNode. No further updates of the ANNULLED Relationship Record will occur with the exception of an update to the LastUpdateDate given the child LEI is transferred (see General State Transition Rules point 2.8).

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “ANNULLED”

3.21. Branch is a duplicate

If a branch LEI record is a duplicate, the Managing LOU of the head office adjusts the Relationship Record as follows and creates a new Relationship Record with the surviving StartNode. No further updates of the ANNULLED Relationship Record will occur with the exception of an update to the LastUpdateDate given the head office LEI is transferred (see General State Transition Rules point 2.8).

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “ANNULLED”

3.22. Parent or Head Office is a duplicate

If a parent or head office LEI-CDF record is a duplicate, the Managing LOU of the child entity adjusts the Relationship Record as follows and creates a new Relationship Record with the surviving EndNode. No further updates of the DUPLICATE Relationship Record will occur with the exception of an update to the LastUpdateDate given the child LEI is transferred (see General State Transition Rules point 2.8).

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated

Element Name	States
RegistrationStatus	RegistrationStatus SHALL be “ANNULLED”

3.23. Child lapses

If a child LEI record does not renew in time, the LEI record lapses and the Managing LOU of the child entity needs to update the Relationship Record as follows.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “LAPSED”

3.24. Head office lapses

If the head office LEI-CDF record of a branch entity lapses, the Relationship Record lapses as follows and the branch entity LEI-CDF lapses as well.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “LAPSED”

3.25. Parent lapses

If a parent LEI-CDF record does not renew in time, the parent LEI-CDF record lapses. The Relationship Record is not changed and will be renewed, when the child LEI-CDF record renews.

3.26. Child is annulled

If a child LEI-CDF record is annulled, the Managing LOU of the child entity updates the Relationship Record as follows and creates a new Relationship Record with the valid child LEI as StartNode given a new child LEI is created.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “ANNULLED”

3.27. Branch is annulled

If a branch LEI-CDF record is annulled, the Managing LOU of the head office updates the Relationship Record as follows and creates a new Relationship Record with the valid branch LEI as StartNode given a new branch LEI is created.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “ANNULLED”

3.28. Parent or head office is annulled

If a parent LEI-CDF record is annulled, the Managing LOU of the child entity updates the Relationship Record as follows and creates a new Relationship Record with the valid parent LEI as EndNode given a new parent LEI is created.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “ANNULLED”

3.29. Relationship is annulled

An erroneous or invalid Relationship Record is detected and the Managing LOU of the child entity updates the Relationship Record as follows.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “ANNULLED”

3.30. Relationship is duplicate

Duplicate registration of the same relationship (see General State Transition Rules 2.6). The Managing LOU of the child entity updates the Relationship Record as follows.

Element Name	States
LastUpdateDate	Date/time the Relationship record was most recently updated
RegistrationStatus	RegistrationStatus SHALL be “DUPLICATE”

3.31. Relationship attribute changes

Changes to Relationship attributes are reported by the child entity. The Managing LOU of the child entity updates the Relationship Record as follows.

Element Name	States
RelationshipPeriods	RelationshipPeriod with PeriodType = RELATIONSHIP_PERIOD SHALL include StartDate and SHALL not include EndDate. RelationshipPeriod with PeriodType = ACCOUNTING_PERIOD SHALL include StartDate and EndDate If ValidationDocuments = REGULATORY_FILING then RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD SHALL include StartDate and it MAY include EndDate

Element Name	States
	For all other ValidationDocuments enumerations, RelationshipPeriod with PeriodType = DOCUMENT_FILING_PERIOD MAY include StartDate and it MAY include EndDate
RelationshipQualifiers	QualifierDimension SHALL be “ACCOUNTING_STANDARD” and QualifierCategory SHALL be either “US_GAAP”, “IFRS” or “OTHER_ACCOUNTING_STANDARD”.
LastUpdateDate	Date/time the Relationship record was most recently updated
ValidationDocuments	ValidationDocuments SHALL include either “ACCOUNTS_FILING” “REGULATORY_FILING” “OTHER_OFFICIAL_DOCUMENTS “ “SUPPORTING_DOCUMENTS” “CONTRACTS”
ValidationSources	ValidationSources SHALL be either “ENTITY_SUPPLIED_ONLY”, “PARTIALLY_CORROBORATED” or “FULLY_CORROBORATED”
ValidationReference	If ValidationDocuments is either “ACCOUNTS_FILING” or “REGULATORY_FILING” and ValidationSources is FULLY_CORROBORATED or PARTIALLY_CORROBORATED” then the ValidationReference element MUST contain the filing URL (including name and full path), if available. ValidationReference MAY be present if ValidationDocuments are publicly available.

3.32. Relationship cannot be validated

The legal entity is obligated to provide validation documents for its parent relationships. If the legal entity cannot provide that, an LEI cannot be issued or renewed. Also, no relationship record is created.