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GB/T 42495.1-2023

Financial services - Global legal entity identifier(LEI) - Part 1: Assignment

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foreword

This document is in accordance with the provisions of GB/T 1:1-2020 "Guidelines for Standardization Work Part 1: Structure and Drafting Rules for Standardization Documents"

drafting:

This document is equivalent to ISO 17442-1:2020 "Global Legal Entity Identification Code for Financial Services Part 1: Code Description":

Compared with ISO 17442-1:2020, this document has made the following minimal editorial changes:

---Add notes, note 1 shows that the legal persons and unincorporated organizations stipulated in the "Civil Code of the People's Republic of China" all conform to the global legal person identification

Persons or other organizations are eligible for LEI assignment (see 3:1);

--- Add notes to explain the four situations defined in this document that international branches acquire and hold LEIs (see 3:5);

---Modify the example fallacy of LEI code verification, according to the calculation and verification rules of the verification code in Chapter 5 of this document

If the check digit is not in the valid range, it can be concluded that the LEI encoding format

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error, so this document deletes the subsequent check digit

Other verification steps (see Appendix A:2:3):

Please note that some contents of this document may refer to patents: The issuing agency of this document assumes no responsibility for identifying patents:

Introduction

After the financial crisis in:2008, countries and international organizations around the world have paid more and more attention to financial supervision: In:2011, supported by the G20

The ability to identify systematic financial risks, improve the information transparency of financial market entities, and support the construction of an internationally unified financial regulatory framework:

At present, my country has established a legal person identification system with a unified social credit code as the core, but it is still unable to effectively meet the needs of cross-border businesses of legal entities:

business needs: LEI is an international standard legal person identification tool, compared with other international financial institution identification codes, it has a wider range of applicable subjects:

body: The use of LEI helps to build a business environment that is in line with international standards, reduces information asymmetry in domestic and international markets, and facilitates trade exchanges:

Come and support cross-border transactions of enterprises: At the same time, the use of LEI can break down cross-country, cross-market, and cross-departmental data barriers, and improve the global financial market data:

According to the comprehensiveness, accuracy and systematicness of statistics and analysis, it supports the effective prevention of financial risks and the maintenance of financial stability:

The main provisions of this document are intended to:

---Provide the global unique code for legal entities that require LEI;

--- Define the meaningless LEI that does not contain other embedded information;

---Define the LEI that interacts with other standards and existing data records, and the code can be used globally to support cross-border finance

Serve;

---Define and maintain coding standards in accordance with the provisions of the International Organization for Standardization Financial Services Technical Committee (ISO

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/TC68);

---Define the LEI coding scheme to ensure the reliability and durability of the LEI, so that the LEI can be expanded and not restricted by use and redistribution;

---Define the data attributes that should be recorded for the LEI:

Financial Services Global Legal Entity Identifier

Part 1: Coding Description

1 Scope

The legal entity involved in the transaction:

This document applies to legal entities, including but not limited to specific parties legally or financially responsible for the performance of financial transactions, or specific

A specified party, whether incorporated or otherwise (e:g:, trust, partnership, contract) that has the independent right to enter into a legal contract:

This document also applies to government agencies, international organizations, individuals engaged in commercial activities and international affiliates (see 3:5):

This document does not apply to natural persons:

The LEI is designed for automated procedures: Where appropriate, the LEI may also be used for information exchange in other media (e:g: exchange of paper documents):

Note: Eligible legal entities include but are not limited to:

---Banks and financial companies;

---International branches;

--- All institutions that issue shares, bonds or other securities for other capital structures;

---Other financial intermediaries;

--- All companies listed on the exchange;

---All institutions that conduct financial instrument transactions or legal entities involved in financial transactions, financial transactions include commercial entities, pension funds, investment vehicles

(such as collective investment funds at the umbrella or sub-fund level) and other special purpose entities with legal form;

--- All legal entities included in the scope of financial supervision and their affiliates, subsidiaries and holding companies;

--- Self-employed (as an example of an individual engaged in business activities);

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--- Financial transaction counterparty:

2 Normative references

The contents of the following documents constitute the essential provisions of this document through normative references in the text: Among them, dated references

For documents, only the version corresponding to the date is applicable to this document; for undated reference documents, the latest version (including all amendments) is applicable to

this document:

Note: GB/T 2659:1-2022 Codes of names of countries and regions and their administrative divisions in the world Part 1: Country and region codes (ISO 3166-1:

2020, MOD)

GB/T 2659:2-2022 Codes for the names of countries and regions in the world and their administrative divisions Part 2: Administrative division codes (ISO 3166-2:

2020, MOD)

ISO 8601 (all parts) Data elements and interchange formats Information exchange date and time representation (Dataelements

Note: GB/T 7408-2005 Data elements and exchange formats Information exchange date and time representation (ISO 8601:2000, IDT)

Note: GB/T 42182-2022 Financial Services Global Organization Legal Form (ISO 20275:2017, IDT)

Note: GB/T 17710-2008 Information Technology Security Technology Check Character System (ISO /IEC 7064:2003, IDT)

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