

Documents by year

Select... ▼

Publications by category

[Global LEI Foundation \(GLEIF\)](#)
[Legal Entity Identifier \(LEI\)](#)
[Local Operating Units \(LOUs\)](#)
[Regulatory Oversight Committee \(ROC\)](#)

[Home](#) [About the ROC](#) [Home](#)

The Legal Entity Identifier Regulatory Oversight Committee - LEI ROC

The Regulatory Oversight Committee (ROC) is a group of over 70 public authorities from more than 40 countries established in January 2013 to coordinate and oversee a worldwide framework of legal entity identification, the Global LEI System. Read more about the ROC [organization](#), [membership](#) and [objectives](#).

The **Legal Entity Identifier (LEI)** is a 20-character, alpha-numeric code, to uniquely identify legally distinct entities that engage in financial transactions.

The ROC was established as a stand-alone committee after [recommendations](#) by the international Financial Stability Board (FSB) and endorsement of the [ROC Charter](#) by the Group of Twenty (G-20) nations in November 2012.

LEIs are issued by "**Local Operating Units**" (LOUs) of the Global LEI System (see [how to obtain an LEI](#)). As of 4 January 2017, over 480,000 entities from 195 countries had obtained LEIs from 29 operational issuers endorsed by the ROC or accredited by the GLEIF. .

A result of joint public and private sectors efforts, the LEI supports authorities and market participants in identifying and managing financial risks. In particular, LEIs may be used for reporting and other regulatory purposes in the various jurisdictions represented in the ROC (more about [LEI uses](#)). The LEI code is associated with reference data for each entity, currently including core identification information, such as the official name of the legal entity, the address of its headquarters and address of legal formation (more about the [LEI and ROC work on reference data expansion](#)).

The **Global LEI Foundation** (GLEIF) was established in June 2014 as a not-for-profit organization overseen by the ROC to act as the operational arm of the Global LEI System. The foundation provides on their website a [centralized database](#) of LEIs and corresponding reference data. A [search function](#) was added in October 2015, where you can check if an entity has an LEI, or access the reference data associated with an LEI, including verifying whether the LEI is current and can be used in regulatory reporting (registration status: "issued" or "pending transfer"). From 7 October 2015, new institutions that wish to become LEI issuers need to be accredited by the GLEIF, which will monitor their compliance with the standards of the Global LEI System. As of this date, the GLEIF also assumed the tasks of defining and maintaining the operational and technical standards of the system. The GLEIF also publishes the [combined list of authorised LEI issuers](#). Find out more about the Global LEI Foundation [here](#) and on their website [www.gleif.org](#).

The ROC will continue to uphold the governance principles of and to oversee the Global LEI System, in the broad public interest, including the development of policy standards for the LEI.

Latest updates (Please [register here](#) to be notified of new publications)

- **12 January 2017:** The LEI ROC publishes an [update on its activities and on the Global LEI System](#), including information on upcoming public consultations.
- **11 July 2016** The LEI ROC publishes today the final version of its policy document on [Including data on international/foreign branches in the Global LEI System](#), including a summary of responses to the public consultation.
- **10 March 2016** The LEI ROC publishes the final version of its report on [Collecting data on direct and ultimate parents of legal entities in the Global LEI System - Phase 1](#). The LEI ROC thanks the contributors to its public consultation. A summary of responses received is attached to the report.
- **10 February 2016** [ROC endorsement note - IRN \(Portugal\)](#)
- **5 February 2016** [New Chairmanship for LEI ROC](#): Joseph Tracy was elected Chair of the LEI ROC, with Michael Ritter and Daisuke Yamazaki as Vice-Chairs.

- **20 January 2016** ROC endorsement note - KDD (Slovenia)
 - **18 December 2015** ROC endorsement note - Strate (Pty) Ltd (Strate)
 - **5 November 2015** The LEI ROC publishes today a [Progress Report on the Global LEI System and regulatory uses of the LEI](#), which was sent to the FSB and G20.
 - **19 October 2015** The LEI ROC publishes today a [Consultation document on including data on branches in the Global LEI System](#). Responses to the questionnaire are invited by 16 November 2015.
 - **7 October 2015** The LEI ROC determined that the GLEIF was now [ready to assume the tasks of the central operating unit of the Global LEI System](#), including the accreditation of Local Operating Units as LEI issuers and publishes today a [Memorandum of Understanding between the LEI ROC and GLEIF](#) concerning the oversight of the Global LEI System. The ROC will continue to process applications received before that date and publish any resulting endorsement decisions.
 - **30 September 2015** The LEI ROC publishes today a [statement clarifying the conditions under which individuals acting in a business capacity are eligible to obtain LEIs](#)
 - **7 September 2015** The LEI ROC publishes today a [consultation document on collecting data on direct and ultimate parents of legal entities in the Global LEI System](#). Responses to the questionnaire are invited by 19 October 2015.
 - **3 September 2015** ROC Endorsement Note - APIR Systems Limited (APIR)
 - **20 July 2015** ROC Endorsement Note - Saudi Arabia Credit Bureau (SACB/MOA'RIF)
 - **13 May 2015** The LEI ROC is consulting in May 2015 its Private Sector Preparatory Group (PSPG), along with the GLEIF, pre-LOUs and the public sector, on the collection of data on direct and ultimate parents of legal entities in the Global LEI System, in view of preparing a public consultation expected to take place in the summer of 2015.
 - **22 April 2015** ROC Endorsement Note - Clearing Corporation of India Limited (CCIL) and Zagreb Stock Exchange (ZSE)
 - **5 March 2015** ROC Endorsement Note - Central Depository & Settlement Co Ltd (CDS), Mauritius
 - **29 January 2015** The ROC Committee on Evaluation and Standards publishes an [open document](#) intended as guidance to pre-LOUs in complying with the ROC [Principles](#) for the Interim Global LEI System published on 24 August 2014.
 - **28 January 2015** The ROC welcomes in its [2014 Year End Progress Note](#) the launch by the Global LEI Foundation of its website www.GLEIF.org and starts work on the collection in the Global LEI System of information on the direct and ultimate parents of legal entities
- [ROC Endorsement Note - Registro de Identificación de Entidades del BCRA \(Central Bank of Argentina Pre-LOU\)](#)
- **10 November 2014** The LEI ROC seeks comments by 30 November on a [draft list](#) of codes to harmonise the way business registries and other registration authorities are referred to in the Global LEI System
 - **20 October 2014** Regulatory Oversight Committee Endorsement Note - China Financial Standardization Technical Committee (CFSTC)
 - **9 October 2014** Regulatory Oversight Committee Endorsement Note - Korea Securities Depository (KSD)
 - **26 August 2014** Regulatory Oversight Committee Endorsement Note - Lux CSD
 - **24 August 2014** Statutes of the Global LEI Foundation
 - **24 August 2014** Updated Principles to be observed by Pre-LOUs that wish to integrate into the Interim Global Legal Entity Identifier System (GLEIS) (additional footnote 1)
 - **24 August 2014** Additional Guidance from the LEI ROC on Portability

- **10 August 2014** Regulatory Oversight Committee Endorsement Note - Central Securities Clearing System Plc of Nigeria
- **22 July 2014** Regulatory Oversight Committee Endorsement Note -Japan Exchange Group/Tokyo Stock Exchange (JPX/TSE)
- **30 June 2014** Regulatory Oversight Committee Welcomes First Meeting of the Global LEI Foundation
- **30 June 2014** Inaugural Meeting of Global Legal Entity Identifier Foundation: Press release from the GLEIF
- **19 June 2014** A Common Data File Format for Pre-LOUs, Part 2 : Framing Note
- **6 June 2014** Regulatory Oversight Committee Endorsement Note - Brønnøysund Register Centre
- **21 May 2014** Regulatory Oversight Committee Endorsement Note - Centrálny depozitár cenných papierov SR, a.s. (Central Securities Depository: Slovakia) and Bundesanzeiger Verlag GmbH (Bundesanzeiger)
- **5 March 2014** Regulatory Oversight Committee Endorsement Note - Registro Mercantil del Reino de España
- **24 February 2014** A Common Data Format for Pre-LOUs to Use for Sharing or Publication of Data, part 1
- **7 February 2014** Regulatory Oversight Committee Endorsement Note - Unione Italiana per le Camere di Commercio, Industria, Artigianato e Agricoltura (Unioncamere) : Italy
- **6 February 2014** Regulatory Oversight Committee Endorsement Note - Centrální depozitář cenných papírů, a.s. (the CSD Prague): Czech Republic
- **7 January 2014** Regulatory Oversight Committee Endorsement Note - Dutch Chamber of Commerce (KvK) and the National Board of Patents and Registration of Finland (PRH)
- **27 December 2013** Regulatory Oversight Committee Endorsement Note - Russia National Settlement Depository (NSD) and Poland Krajowy Depozyt Papierów Wartościowych S.A. (KDPW)
- **11 December 2013** Business registries that have provided written confirmation to the Regulatory Oversight Committee (ROC) that there are no impediments to the use of business registry number and information as set out in the open letter of November 3 2013
- **7 December 2013** Regulatory Oversight Committee Endorsement Note - Irish Stock Exchange
- **11 November 2013** Regulatory Oversight Committee Endorsement Note - Takasbank and the London Stock Exchange
- **3 November 2013** LEI ROC Letter to Business Registries
- **3 October 2013** Endorsed Pre-LOUs of the Interim Global Legal Entity Identifier System (GLEIS)
- **3 October 2013** Regulatory Oversight Committee Endorsement Note of 3 October 2013
- **14 August 2013** Extended deadline to 12 September - Call for applications to the Board of Directors of the Global Legal Entity Identifier Foundation (GLEIF)
- **19 June 2013** LEI ROC makes progress in the establishment of the GLEIS and produces key decisions for interim global system
- **3 May 2013** Nominations sought for a pre-LOU group to advise the Committee on Evaluation and Standards
- **25 April 2013** Draft guidance for potential candidates for the Board of Directors of the GLEIF
- **17 April 2013** LEI ROC Members' Statement Regarding the Launch of the GLEIS

- **18 March 2013** [LEI ROC list of Pre-LOU Prefixes and Operational Pre-LOUs](#)
- **8 March 2013** [1st Progress Note of the LEI ROC](#)
- **28 January 2013** [Inaugural meeting of the Global LEI Regulatory Oversight](#)

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