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## Frequently Asked Questions

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### **There is no LEI issuer in my country; how do I get an LEI?**

Entities can use the services of LEI issuers located in other countries that offer cross-border services, which is the case of most issuers. Please see "How to obtain an LEI".

### **Where can I find a complete list of LEI codes?**

The Global LEI Foundation (foundation) gives access to a [centralised database](#) of LEIs and corresponding reference data since end-March 2015, including file history from 27 October 2014 and original files from individual Local Operating Unit (LOU) of the Global LEI System from 16 February 2015. The LOU files can also be found on the website of the LOU (see the list of LOU websites here: [http://www.leiroc.org/publications/gls/lou\\_20131003\\_2.pdf](http://www.leiroc.org/publications/gls/lou_20131003_2.pdf)).

### **Does the LEI include a country code?**

The LEI code does not include a country code. The prefix made of the first four characters at the beginning of the LEI code only identifies (in most cases) the LEI issuer or Local Operating Unit (LOU) that first issued the LEI. The prefix helps prevent different LOUs from issuing duplicate LEIs. The list of prefixes can be found here: [http://www.leiroc.org/publications/gls/lou\\_20131003\\_2.pdf](http://www.leiroc.org/publications/gls/lou_20131003_2.pdf).

However, the entity might have subsequently ported the maintenance of its LEI to a different LOU. To know which operator is maintaining an LEI, you should check the reference data associated with the LEI ("ManagingLOU" data field in the Common Data File Format).

Information on the country where the head office of the entity is located and the jurisdiction of legal formation and registration of the entity can also be found in the LEI reference data (respectively "HeadquartersAddress" and "LegalJurisdiction" data fields in the Common Data File Format).

### **Which entities can obtain an LEI?**

The LEI is not only for companies. Funds or government entities, for example, can also obtain an LEI. Please see the definition of legal entities eligible to obtain an LEI in the [About LEIs](#) page as well as the [ROC statement](#) on the conditions of LEI eligibility for individuals acting in a business capacity.

### **Who can obtain an LEI for an entity?**

Only an entity eligible to receive an LEI or its authorized representative may obtain an LEI code. The system promotes self-registration and Local Operating Units (LOUs) that issue LEIs usually offer registration services on their internet websites. Various languages are available across all LOUs (the list of registries endorsed by the ROC can be found here: [http://www.leiroc.org/publications/gls/lou\\_20131003\\_2.pdf](http://www.leiroc.org/publications/gls/lou_20131003_2.pdf)). The permission of the LEI registrant to perform an LEI registration on its behalf by a third party is considered to satisfy the requirements of self-registration only if the registrant has provided explicit permission for such a registration to be performed.

### **How do I know if I should get an LEI?**

The legal requirements to use LEIs are not determined by the ROC but by competent authorities in each country. These requirements vary depending on the country. Please see "[Use of the LEI](#)". Even when not legally required to have an LEI, eligible entities may obtain an LEI (Please see the definition of legal entities eligible to an LEI in the page on [LEIs](#)).

### **My entity has changed its name/changed address/merged with another company, how do I update the record of the entity?**

The ROC does not manage LEIs. Use the [GLEIF search function](#) to check which Local Operating Unit of the Global LEI System (LOU) is maintaining an LEI ("Managing LOU" field) and go to this LOU's website to update the reference data of the entity or certify that it is still up-to-date. The person within your entity who requested the LEI or last recertified the record of the entity

should know how to proceed (e.g. username and password to access the website of the LOU). The original LEI record certified by the entity and validated by the LOU can be found on the LOU's website (see the list of LOU websites here: [http://www.leiroc.org/publications/gls/lou\\_20131003\\_2.pdf](http://www.leiroc.org/publications/gls/lou_20131003_2.pdf)).

#### **My entity already has an LEI. Can I port its maintenance to a different operator?**

An entity may "port" the maintenance of its LEI from one Local Operating Unit (LOU) to another. To do so, the authorised representative of the entity should contact the new LOU, specifying its existing LEI number and providing any other documents required by the new LOU. The new LOU will contact the original LOU. The LEI remains unchanged in the process. The original pre-LOU should not charge any porting fee.

#### **What is the difference between an "LEI" and a "pre-LEI"?**

Following the establishment of the Global LEI Foundation, the ROC announced on 30 June 2014 that: "all LEIs issued to date will move unchanged into the system managed by the GLEIF. The establishment of the GLEIF and the beginning of the transition means that all codes issued by endorsed pre-LOUs should no longer be considered interim and henceforth will be called "Legal Entity Identifiers" or "LEIs." They are no longer pre-LEIs." ([http://www.leiroc.org/publications/gls/gleif\\_20140629\\_1.pdf](http://www.leiroc.org/publications/gls/gleif_20140629_1.pdf))

Entities that have already obtained an interim identifier from endorsed pre-LOUs, such as the CICI from the CICI utility (now GMEI) or a General Entity Identifier (GEI) from WM Datenservice, should NOT request a new LEI. Their interim identifier is valid as an LEI, provided its registration status is "issued." If the registration status of the entity is "lapsed," the entity has failed to recertify its data in time and should contact the managing LOU to recertify their data (unless they chose to port their LEI to a new LOU).

#### **How do I become a Local Operating Unit (LOU) of the Global LEI System?**

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. Applications should be made to the GLEIF: those interested will find on the GLEIF website a description of the [accreditation process](#). Applicants do not need any more to be sponsored by a ROC member, although ROC members will be informed of applications from applicants within their jurisdictions.

#### **Who supports this initiative?**

The founding principles of the Global LEI System were developed through extensive public and private sector collaboration and will continue to evolve in this spirit. At their Cannes Summit in November 2011, the G-20 leaders supported "the creation of a global legal entity identifier (LEI) which uniquely identifies parties to financial transactions." The leaders also called on the Financial Stability Board (FSB) to take the lead in helping coordinate work among the regulatory community on the governance framework of the Global LEI System, complementing efforts by the private sector to develop a technical solution, including through the International Organisation for Standardisation.

The Global LEI System high level principles and recommendations contained in the FSB's 8 June 2012 report, "[A Global Legal Entity Identifier for Financial Markets](#)," were endorsed by G-20 at Los Cabos, Mexico on [19 June 2012](#).

The G-20 encouraged "global adoption of the LEI to support authorities and market participants in identifying and managing financial risks and also endorsed the establishment of a Regulatory Oversight Committee (ROC). The ROC, established in January 2013 to oversee the Global LEI System in the broad public interest, took over full responsibility from the FSB for the implementation of the system, with the FSB continuing to provide active support to the initiative.

Over [60 public authorities](#) from more than 40 countries that assented to the ROC Charter have committed to support the introduction of the Global LEI System for official or international identification purposes.

Several authorities have promulgated recordkeeping and regulatory reporting rules that require counterparties to be identified by LEIs (see [Use of the LEI here](#)).

The financial services industry fully supports the growth of the LEI system as a means to simplify current and future global regulatory reporting requirements across all asset classes with a single entity identification standard. Importantly, firms support the LEI as a tool to streamline and make more efficient client identification across a number of processes and services.

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