



**Committee on Derivative
Identifiers and Data Elements**

ROC Publishes Proposed Changes to CDE Technical Guidance for Consultation

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Press Inquiries:

ROCSecretariat@OFR.Treasury.gov

The Regulatory Oversight Committee (ROC) for the Legal Entity Identifier (LEI), Unique Product Identifier (UPI), Unique Transaction Identifier (UTI), and other critical data elements publishes today a consultation on the revision to the ROC's [CDE Technical Guidance \(Version 4\)](#). The consultation on the CDE Technical Guidance has been developed by the ROC Committee on Derivative Identifiers and Data Elements (CDIDE).

The CDE Technical Guidance (Version 4) consultative document proposes revisions and additions designed to further improve the standardization and understanding of Critical Data Elements (CDE) used in the reporting of certain over-the-counter derivatives transactions. These proposed revisions include changes to existing data elements (*e.g.*, Effective date, Counterparty 1/2, Notional amount, Underlier ID (Other), *etc.*) and proposals for new data elements (*e.g.*, Barrier levels, Submitter identifier, Option premium schedules, *etc.*) to be added to the CDE Technical Guidance (Version 3) from September 2023. Many of the proposals have been updated to reflect feedback from respondents to the previous consultation. Additional questions were included to receive additional information from the industry, including but not limited to the Collateral portfolio code, Valuation amount, Variation margin, Call/Put amount.

The ROC invites input on the consultative document by 6 December 2024. Written responses should be sent to ROCSecretariat@OFR.Treasury.gov with the subject line "CDIDE: CDE Technical Guidance (Version 4)." The responses will be published on the ROC's website unless respondents expressly request otherwise.

Notes to editors

The [ROC was established in November 2012](#) to coordinate and oversee a worldwide framework of legal entity identification through the Global Legal Entity Identifier (LEI) System. Since October 2020 [the ROC has expanded its mandate to also become the International Governance Body](#) of the globally harmonized Unique Transaction Identifier (UTI), the Unique Product Identifier (UPI), and the Critical Data Elements (CDE) for derivatives transactions. The Committee on Derivative Identifiers and Data Elements (CDIDE) is a sub-committee of the ROC and evaluates and proposes standards and protocols for UTIs, UPIs, and CDEs.