Navigate to regulatory compliance with consistent, ready-to-consume data.

RISK

INVESTOR PROTECTION

REGULATORY REPORTING

TAX & COMPLIANCE

THIRD EDITION
In an increasingly complex financial system, data is at the heart of investor protection, tax, risk management and compliance. Analytics tools used to automate risk, pricing and reporting require consistent, accurate and timely data. However, new and increasingly diverse rules are adding a significant cost burden to regulatory reporting, particularly when it comes to pre-trade decision making. On top of this, new regulations and new business models are creating fresh data requirements.

The reactive rush to compliance, doing whatever it takes regardless of the expense, is no longer viable. We are in this for the long haul and compliance is not exempt from the automation and digitization agenda. Increasing complexity, exacerbated by the localization of regulation and the relentless pace of change, means that data must be regulation-ready in order to respond and achieve sustainable long-term compliance.

Regulations require overlapping sets of data. Firms need to address the siloed information scattered across the business and consolidate their approach. A standardized, scalable data service enabling firms to extract the reference and pricing information needed for each regulation is the way forward.

Welcome to SIX

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Our Regulatory Navigator provides a clear roadmap of today’s compliance landscape. With our consistent and granular regulatory data sets and services, SIX understands and supports the various complex challenges market participants face in their quest for compliance, effective risk management, automation and, ultimately, business advantage.
Compliance
That Drives Business

The arrival of MiFID II and PRIIPs, followed by Swiss FinSA, has coincided with the financial industry’s next great leap into the digital age. Banks need to respond to the challenge of fragmentation and design solutions that enhance their ability to meet regulatory demands flexibly and understand their impact quickly. We anticipate the need for manual controls to drop as business processes become less vulnerable to human intervention. Compliance is evolving, with automation and intelligent technologies transforming static processes into dynamic, flexible and proactive activities that drive business value. Regulatory data and documents are the key – the way that information is sourced, utilized and exchanged will define whether the next wave of investor protection mandates burden or benefit your business.

Having a strategic approach
Historically, compliance has been rigid, deadline-driven and costly. Firms have typically addressed regulations through “minimal viable compliance” (MVC), in other words: devote a specialized team, check off the boxes, move on and repeat. Today, the new regulatory ecosystem promotes flexibility, a proactive focus and, ultimately, enhanced customer value. Everyone in this ecosystem must collaborate to devise an efficient and expedient flow of information. For example, the interconnect-ed nature of investor protection regulations calls for a different approach. It’s all about a more scalable, cost-effective strategy – instead of adding new data over and over again, firms can look to optimize their data processes to address multiple products’ governance, costs reporting and transparency requirements.

Ralf Rühling,
Senior Product Manager
Consistent, Ready-to-Consume Information for Every Regulation

Regulatory data is only as powerful as the context that is added to it. With investor protection mandates, a single transaction can trigger a swathe of obligations. To stay compliant, firms must consider the ramifications and link instrument-level data with various documentation and reporting needs. Efficiently providing the required regulatory documents on time is one of the last stages in the process.

SIX offers tailored data packages that deliver data that is ready to consume for specific use cases. For this purpose, not only do we extract all relevant instrument information, including prices and conditions, and automatically link it across multiple regulatory obligations, we also define rule sets to generate indicators. For example, PRIIPs Scope Indicators, which calculate risk indicators to support the investment process across asset classes. As well as providing regulatory documents, SIX offers you the means to handle the processes within the scope of investor protection in a compliant manner. This runs from the starting point, such as the suitability assessment, to the successful conclusion of the client interaction, such as providing the KID to the client.

Global Coverage, One Trusted Partner

Whether you are dealing with an international or local regulation, SIX provides you with complete support to scale your compliance program efficiently.

Under this EU directive, any alternative investment fund manager operating within the market must secure a passport for itself and each of its relevant funds. To meet the requirements, managers must regularly report on the liquidity, risk profiles and concentration of their portfolios. SIX provides you with the information you need to secure initial approval under the directive and helps you calculate asset and risk values for reporting.

The Swiss FinSA regulation defines a set of investor protection, transparency and Key Investor Document requirements. These are similar to those mandated by other EU regulations. SIX is continuously monitoring potential future developments and collaborates with other industry participants to ensure compliance throughout its scalable dedicated solution.

SIX has decided to develop a Product Risk Indicator (PRI) for equities, bonds, futures and options as an additional product offering. The PRI is derived from the SRI methodology and adapted for non-PRIIPs asset classes. Combined with the SRI, the PRI allows for monitoring of instrument risks in a consistent manner across investment portfolios.

Tacking measures against data overload

"Today, financial firms need to make sure they’re getting higher quality, greater reliability and better insights, not simply greater volumes. With these increasingly high volumes of data to manage, successful financial services firms will be those with the capability to extract only what’s needed. A credible, transparent and widely accepted risk score covering multiple asset classes is just one example of what SIX is proposing to support the industry."

Janine Hofer-Wittwer, Senior Product Manager
Risk, Finance and Regulatory Reporting

When consistency, granularity and automation are key for your compliance, but not only that.

Following the 2008 financial crisis, regulators implemented multiple regulations to protect both the financial markets and the investors, aiming towards better transparency and reduction of market failures. In this regard, MiFID II aims to strengthen investor protection and improve the functioning of financial markets, making them more resilient and transparent. CSDR’s core goal is to increase the safety and efficiency of securities settlement and settlement infrastructures (CSDs) in the EU. Ultimately, all these multiple global regulatory efforts come at a price, to build a common and integrated view.

Most of these regulations require consistent and granular data sets, including large volumes of reference data, identifiers and classification. When processed manually or partially manually and in isolation, these data sets are prone to errors. Ultimately, this leads to higher operating costs or even to being non-compliant.

With its regulatory reporting data sets, SIX supports the market participants in their quest for risk, finance and regulatory reporting compliance into a real business advantage.

WITH AN EYE TOWARDS THE FUTURE

“Compliance has seldom looked beyond the next regulatory deadline. Yet in a digital age where financial institutions are looking to derive value at every touchpoint, regulatory compliance will evolve into a strategic exercise that taps into the power of data. And as the regulatory ecosystem becomes even more interwoven, firms will need to ensure proper quality, consistency and completeness for this model to live up to its potential.”

Heiko Stuber, Senior Product Manager

REDUCE COST AND COMPLEXITY

“Financial institutions need to lower the total cost of ownership and make regulatory and compliance processes easy. Not only do automation and the successful use of analytics help to find meaningful patterns in data, but also to ease the regulatory complexity and burden. SIX has a huge repository of raw data and enhanced with additional attributes, this resolves a large variety of data needs, providing compliance with regulatory requirements.”

Alexander Dorfmann, Senior Product Manager

The Right Data, Whatever the Reporting Requirements

SIX provides specific data sets to support reporting regulations.

**SFTR**

The EU’s SFTR is intended to increase the transparency of securities financing markets, avoid a business shift to less regulated areas, and monitor and enhance transparency in the area of collateral reuse.

SIX supports the market with the required complete and high-quality data (LEI, security type classifications, official classification, instrument quality...) to ease the reporting workflow.

**CSDR**

CSDR aims to harmonize certain aspects of the settlement cycle and discipline, providing a set of common requirements for CSDs operating securities settlement systems across the EU.

SIX provides CSDR data points on around 1.5 million financial instruments. On top of the key areas of CSDR-SDR (cash penalties calculation and settlement fails reporting), SIX also supports the Internalized Settlement Reporting with a marker for instruments in scope and issuer CSD information (name, LEI).

**SFTR**

**CSDR**

Risk and Financial Reporting (Basel Rules)

This regulatory liquidity standard seeks to ensure that banks have an adequate stock of unencumbered HQLA (high-quality liquid assets: cash or assets that can be converted into cash at little or no loss of value in private markets, to meet its liquidity needs for a 30-calendar-day liquidity stress scenario).

SIX provides the classification (level) of securities in accordance with the respective and various national Basel rules, but also delivers:

- The value of the highest haircut (percentage price drop) for the last 84 calendar days (30 calendar days’ observation period)
- The indication, if the security is a constituent of a major or nationally recognized equity index

The Regulatory Reporting Challenge

Data sets are already configured to meet the regulatory requirements (coverage, granularity) and automation needs

Too much time spent preparing the report

Manually verify data and manually make report adjustment

Extra costs leading to higher price for the clients or decreasing services

When used in several sets, the data field always comes from a single source and is consistency-proofed

Data sets proposed by SIX are extensive but the same data is only charged once

YOU ARE IN CONTROL

EASY TO INTEGRATE

TRANSPARENT CONTENT

YOU ARE IN CONTROL
Staying a Step Ahead of Sanctions

Political instability has accelerated the pace of new and revised sanctions. The ramifications are complex – compliance teams must quickly deduce how changes apply selectively to instruments, entities and individuals and ensure that corresponding data captures this to maintain the integrity of compliance processes. This aims to avoid the substantial financial and reputational penalties of making mistakes.

Managing this yourself is no simple task. SIX makes it easy. Our data and services turn a reactive, often painstaking process into a proactive, more strategic activity.

Going further than official Sanctions Lists: MRB securities

Avoiding sanctioned securities is mandatory in regard to AML laws all over the globe. The situation can become tricky when a rule has several levels of enforcement, as is the case with Marijuana-Related Businesses (MRB): legal in some countries and US states, decriminalized in some others, but still 100% illegal in the rest of the world. On top of that, a new structural tendency has started to change the industry: ethical, sustainable investment is becoming more and more popular.

That’s why SIX started also identifying securities related to MRB, and have already identified and listed over 100,000 linked securities. While the legal landscape is getting more varied and complex, changing at a rapid pace, SIX enables better and sustainable business decisions and supports the business model agility needed to respond successfully to these regulatory challenges.

Keeping You One Step Ahead

The Sanctioned Securities Monitoring Service by SIX is a complete solution for monitoring, identifying and addressing the global impact of sanctions in terms of their specific impact on listed financial instruments. When something changes, the SIX team moves swiftly to help you stay compliant.

RAPID IDENTIFICATION
SIX automatically matches and validates sanctions lists against vast volumes of domicile, entity and beneficial ownership data to identify and flag the relevant financial instruments.

DAILY UPDATES
Providing comprehensive daily lists of issuers and securities linked to domiciles, companies and individuals sanctioned by various global bodies, including the United Nations, European Union, US Treasury Department, OFAC, HM Treasury (UK), Australia, Netherlands and the Hong Kong Sanctions Regime.

PROACTIVE MONITORING
Pre-emptive identification of securities linked to entities or persons placed on watchlists, such as financial instruments linked to Marijuana-Related Businesses. This helps firms to be aware and take responsive investment decisions.

CONTINUOUS MONITORING
SIX captures and incorporates corporate actions with the potential to change the status of an instrument.

EASY INTEGRATION
Machine-readable data that plugs readily into downstream systems, ready for pre- and post-trade screening and other compliance-related activities.

ENGLISH
The fast pace of sanctions activity heightens the HM Treasury (UK) and the Hong Kong Sanctions risk of non-compliance for any firm that can’t keep up. These days, preparation is essential. Having a strong understanding of those entities and individuals at risk of sanctions or other punitive activity – and not just those that have already been sanctioned – will enable firms to move briskly and effectively when the time for action comes.”

Oliver Bodmer,
Senior Product Manager

Looking Ahead, Staying Alert

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Don’t Get Tangled Up in Tax

When it comes to investor tax jurisdictions, financial products and tax exposure, wealth managers have more complexity to manage than ever. SIX liberates you from these challenges. We deliver timely, complete and granular data that encapsulates actual and potential tax implications, supporting compliance and giving you the information you need to best advise your clients.

The tax data challenge
Private investors are becoming more demanding and are increasingly asking for information on the tax implications of their investments. Client advisors need enhanced and enriched tax data at an instrument level that takes their clients’ profile into account, as well as their investment portfolio structure, in order to make tax-intelligent investment decisions and optimize their portfolios. These requirements can become difficult to meet with current tax rules mostly available in the form of heavy tax manuals provided by consulting tax experts.

SIX Tax Score® helps client advisors by analyzing the tax consequences of financial products and providing them with a tax efficiency score on an individual security level, while anticipating tax-related costs of an investment in that security.

Complete Information to Simplify Your Tax Compliance

With SIX data, capturing and updating information on fast-moving global tax responsibilities is effortless. We untangle the complexities of identifying domestic and cross-border taxation requirements for instruments, issuers or individuals to drive your monitoring, withholding and reporting processes forward.

REGULATION-SPECIFIC SERVICES
SIX provides specialized data services for various global tax regulations, including 871(m), FATCA, Stamp Duty and Financial Transaction Tax regimes. SIX also supports country-specific domestic tax data requirements for reporting.

CLEAR CLASSIFICATION
Coupling the strength of its data capabilities with its regulatory expertise, SIX identifies every instrument that falls under a specific mandate, helping you easily grasp the universe of applicable securities and liabilities.

AGGREGATION AND CALCULATION
SIX gathers and aggregates data to get a true picture of an instrument’s construction and determine whether it applies to regulatory initiatives, based on rules and calculations.

CONTINUOUS UPDATING
From dividend payments to corporate actions, SIX captures all events that may impose a change on an instrument’s tax liability. We continuously update our lists of flagged securities, providing firms with the most up-to-date information.

PRIMED FOR PROCESSING
SIX data is structured and formatted to plug seamlessly into your compliance and advisory processes. In addition, flexible data delivery interfaces ensure your teams get data how and when they need it.

Use Case – Comparison of Bond Instruments

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<table>
<thead>
<tr>
<th>Instrument</th>
<th>Expected Return</th>
<th>Country of Issuance</th>
<th>Tax Score</th>
<th>Expected Return after Tax</th>
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<tr>
<td>VALOR 2276750</td>
<td>2.0%</td>
<td>USA</td>
<td>40</td>
<td>2.8%</td>
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<tr>
<td>VALOR 20672749</td>
<td>1.04%</td>
<td>Non-UK situs</td>
<td>65</td>
<td>0.6%</td>
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</table>

Leading to tax-intelligent investment decisions

### BENEFITS
- Complete data to support ongoing compliance
- Extensive support for international / regional / national tax requirements
- Reduced cost and complexity, especially with identification
- Ability to identify and utilize tax efficiencies

### CONTINUOUS UPDATING
From dividend payments to corporate actions, SIX captures all events that may impose a change on an instrument’s tax liability. We continuously update our lists of flagged securities, providing firms with the most up-to-date information.

### PRIMED FOR PROCESSING
SIX data is structured and formatted to plug seamlessly into your compliance and advisory processes. In addition, flexible data delivery interfaces ensure your teams get data how and when they need it.
SIX Provides Documents and Data for the New Regulatory Ecosystem

Through our Regulatory Hub, SIX has built the foundation for investor protection compliance that delivers value for your business. We give you all the documents and data you need, ready to consume, connected to the wider regulatory community and scalable for the future.

SIX Flex: Data Discovery Made Easy

Question
Would you use a fire hose to fill a glass of water?

Financial business relies on high-quality data and consistent data from front to back. As part of our reference data feed alone we report on roughly 4,600 reference data markers for millions of securities; with market data, you have about 6.7 billion data points that are reported on a daily basis: a genuine fire hose of data.

SIX Flex is your tap for delivering the financial data you need. The application satisfies your thirst without drowning your business teams, while improving connectivity, reducing interfaces and applying common data standards.

SIX iD: intelligent Display

Question
How quickly can you make a critical business decision?

Regulatory data provides a wealth of business opportunities. But when time has to be spent sifting through data, the window for opportunity slams shut.

SIX iD brings the intelligence straight to your screen. Our intuitive display shows you the data, helping you see the opportunity and act fast.

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**SIX: Powering the Future of Investor Protection Compliance**

**MANUFACTURERS**

- ONLY THE DATA YOU NEED
  - Data packages are tailored for specific business use cases, from individual regulations to corporate actions. Our packages are equipped with every data field, making it easy for you to process transactions.

- SUITABILITY AND GOVERNANCE
  - Identify cost efficiencies and improve investment recommendations
  - Enhanced client service and support
  - Supports faster client onboarding
  - Easy identification of product reporting requirements
  - Access to complete, up-to-date regulatory information sets
  - Easy access to the full range of regulatory documents

- DOCUMENT GENERATION
- STREAMLINED DISTRIBUTION
- ARCHIVING & AUDIT TRAILS

Our value for manufacturers
- Early purchase for future regulations and business needs
- Reduced cost, greater accuracy
- High-quality regulatory data, tailored for your use
- Direct access to a global community of distributors
- Transparent records for all document creation and distribution

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**BENEFITS**

- **SIX REGULATORY HUB**
  - Facilitating the seamless exchange of data and documents across the regulatory community

- **SIX: Powering the Future of Investor Protection Compliance**
  - SUITABILITY AND GOVERNANCE
  - TRANSACTION & REFERENCE DATA REPORTING
  - EASY ACCESS

**MANUFACTURERS**

- **SUITE TO YOU**
  - Tailor your workspace with easily customizable, independent windows.

- **GET MORE FROM SEARCHES**
  - Take action swiftly and confidently. Load quotes, charts, summaries and more directly from your searches. Drag and drop identifiers between windows.

- **PRIORITIZE FOR OPPORTUNITY**
  - Put your critical data first. Set up workspaces to remain visible when you switch workstations. Prioritize windows to sit above other applications.

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About SIX

SIX operates and develops infrastructure services in the areas of securities, payment transactions and financial information with the aim of raising efficiency, quality and innovative capacity across the entire value chain of the Swiss financial center.

Financial Information at SIX

Data you trust

A long-standing leader in financial information, SIX has continually invested in developing data and services that help institutions transact and engage with confidence and make more informed decisions. We are driven to help institutions navigate the intricacies of today’s markets and regulation while building a viable path for future growth.

COLLECTION & AGGREGATION

To create a truly authoritative database, we gather data of all sorts, including:

- Market
- Pricing
- Corporate actions
- Tax
- Regulatory
- News

TRANSFORMING RAW DATA INTO READY-TO-CONSUME INFORMATION

- Data consolidation
- Data completion & correction
- Data standardization
- Data analysis
- Data updates
- Data value change

FLEXIBLE DATA DELIVERY

- Tailored, easy-to-integrate feeds
- Batch API files, ready for instant processing
- Intuitive desktop and mobile GUIs, adjusted to the business user

QUALITY COMES FIRST

The world’s leading institutions rely on SIX because of our commitment to delivering financial data of the highest pedigree. Our award-winning data feeds are comprehensive and consistent, ensuring the integrity of your trading and reporting.

Discover more on our data and quality processes with our Data Passport.

Scan this QR code to access the Data Passport!

THE RESULT:

ACCURATE, COMPLETE & CONSISTENT DATA, DRIVING VALUE ACROSS THE BUSINESS

- Enhanced business and regulatory reporting
- Streamlined operations, fewer manual errors
- Strengthened tax and regulatory compliance
- Efficient securities administration
- Greater support for investment decision-making
- A more cost-effective approach to data, reporting and compliance

Rigor, Detail and Flexibility That Create Value

Reference, pricing and corporate actions data of the highest caliber doesn’t simply arrive that way. SIX cleans, structures and enhances data, turning it into powerful, trusted information that generates maximum impact. More than just quality, we measure the completeness, accuracy and timeliness of our data. The strength of our information underpins every one of our services.
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Consistent Regulatory Data