



Sanctioned Securities Monitoring Service

Stay ahead of the wave of sanctioned securities

Effective sanctions compliance depends on accurate identification of in-scope entities and their issued securities. Our service helps you avoid significant fines caused by missing data and allows you to trade with confidence. With the data from SIX, you can have an up-to date view on your potential sanctions risk exposure, enabling you to react quickly when the market changes.

The data challenge

Identifying securities related to a sanctioned domicile or company may seem straightforward, but the reality is anything but. With the emergence of sectoral sanctions, determining sanctioned entities and their issued securities, and uncovering domestic or foreign subsidiaries (or other holdings of more than 50%) is a significant challenge. Compliance teams must also determine whether securities issued by those subsidiaries are affected. Verifying whether sanctioned individuals have beneficial ownership is a critical step in compiling your firm's list of 'do not trade' securities, but it doesn't stop there.

It's also important to understand your exposure to securities affected by persons or entities added to any watchlists or 'high risk' lists so you can react quickly.

With our core competence in data aggregation and scrubbing, SIX helps you avoid compliance mistakes that might result in serious reputational damage and the possibility of significant fines.

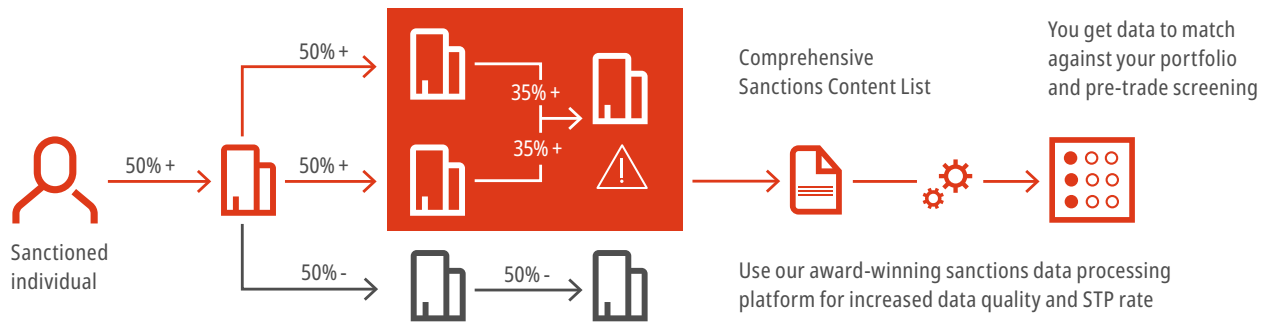
The SIX solution

SIX provides a daily list of issuers and securities that are linked to the domiciles, companies and individuals sanctioned by the United Nations, the European Union, US Treasury Department OFAC, HM Treasury (UK) and the Hong Kong Sanctions Regime. Sectoral sanctions on Russia/ Ukraine and Venezuela securities are reported within one database and we also provide easy access to securities linked to entities or persons at high risk of being sanctioned, such as those on The US Treasury Department's CAATSA Section 241 list.

Automated processes match and validate regulators' sanctions lists against domicile, entity and beneficial ownership data to compile the list of in-scope and 'at-risk' securities.

Key benefits:

- Extensive coverage of national, international and sectoral sanctions lists and watchlists
- Daily updates provide most current status of a security
- Straightforward list of affected securities simplifies processing and supports efficient security master update
- Frees internal resources to tackle other compliance priorities



Sample scenario: Russian Sanctions

Consider a Turkish bank that is owned by a Russian parent. Compliance with Russian sanctions would logically include securities issued by the Turkish subsidiary. While several regulators did initially include the Turkish bank securities under their Russian sanctions directives, US regulators later deemed them out of scope. The sanctions monitoring service from SIX offers you immediate insight into critical changes like these by identifying the sanctioning regime(s) alongside the list of securities. As a market-leading provider of financial information, SIX allows you to continually monitor and report on sanctioned securities, plan for possible regime changes, and helps you to react to sanctions quickly as they evolve.

Leading Corporate Actions provider

Our service marries beneficial ownership data with our award-winning corporate actions data, which are critical to monitoring securities' sanctions status. Key areas include:

- Ordinary and Extraordinary General Meetings
- Capital Changes
- Securities Assimilation
- Issued Capital Information

Additional services from SIX

Our regulatory data expertise isn't limited to sanctions: we track and deliver data to support compliance with national and cross-border tax and regulatory initiatives, as well as providing entity identification numbers such as the GIIN and the LEI that are required for regulatory compliance.

Our larger reference data offering that delivers all the information you need for timely and accurate security master updates as well as pricing for valuation of your domestic and international securities portfolios.

Collecting, verifying, normalizing, monitoring for quality and continuously updating large volumes of data is the core business of SIX, which means that we can take the heavy data lifting off your hands.

For more information on the product visit: www.six-group.com/sanctions

Service overview

	Regulators Covered	Subscription Includes	Delivery
Sanctions	AU, CA, CH, EU, HK, OFAC, SG, UK, UN	Sanctioned and potentially sanctioned securities Sectorial sanctions Risk factor of implicitly sanctioned securities Controlling ownership Narrative Statements	Full load or delta files delivered Monday through Saturday csv or xml FTP
Watchlists	US Treasury Department CAATSA section 241	Linked securities	

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