



# 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 failing to identify sanctioned securities, and allows you to trade with confidence. With the SIX SSMS, you 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 is not straightforward. With the emergence of sectoral sanctions, identifying sanctioned entities, determining their issued securities, and uncovering their domestic or foreign subsidiaries (or other holdings of more than 50%) is a significant challenge. Compliance teams must 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 or significant fines.

## The SIX Solution

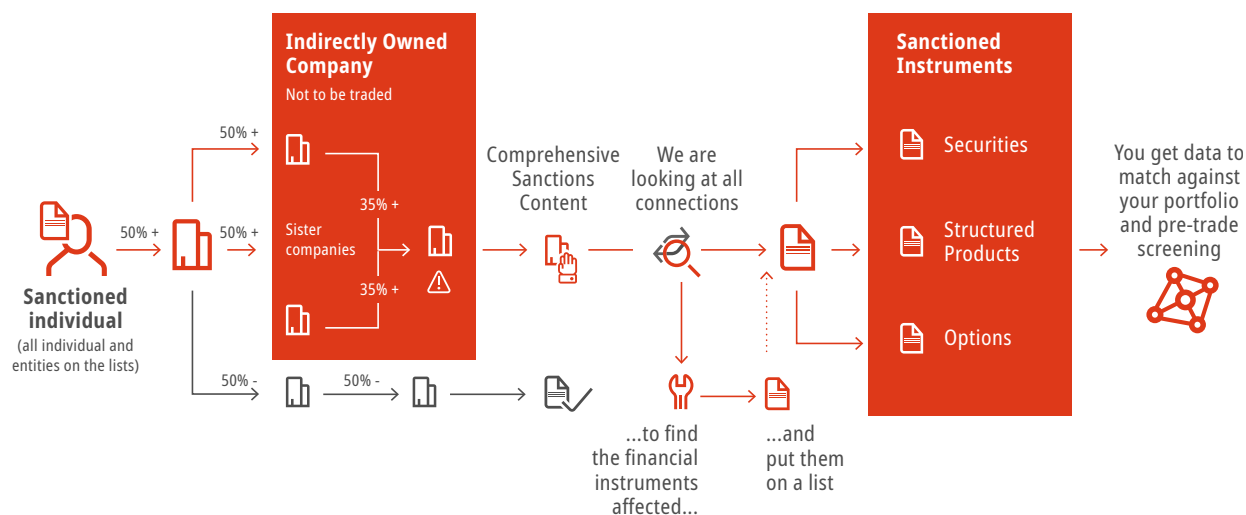
SIX provides a daily list of issuers and securities that are linked to the domiciles, companies, or individuals sanctioned by the United Nations, the European Union, US Treasury Department OFAC, HM Treasury (UK), and

the Hong Kong Sanctions Regime. Sectoral sanctions on Russia / Ukraine and Venezuela securities are reported within one database, and we provide easy access to securities linked to entities or persons at high risk of being sanctioned.

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. SIX SSMS offers you immediate insight into critical changes like these by identifying the sanctioning regime(s) alongside the list of securities. As a marketleading provider of financial information, SIX allows you to continually monitor and report on sanctioned securities, plan for possible regime changes, and 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, and provide entity identification numbers, such as the GIIN and the LEI, that are required for regulatory compliance.

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

The core value proposition of SIX is our unrivaled collection, quality monitoring, verification, normalization, and updating of large volumes of data, 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](http://www.six-group.com/sanctions)

### Service Overview

	Regulators Covered	Subscription Includes	Delivery
Sanctions	AU, CA, CH, EU, HK, JP, NL, 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 Formats: CSV, XLSX, XML Channels: eMail or SFTP
Watchlists	Cluster Munitions MRB Securities	Linked securities	

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