Sanctioned Securities Monitoring Service

With the current state of Global and Sectorial Sanctions, staying clear of sanctioned securities has become more difficult than ever. Effective sanctions compliance depends entirely on accurate identification of in-scope entities and their issued securities.

SIX meets this business challenge in that it combines its wealth of securities information with company beneficial ownership to deliver to you the essential information you need to have the confidence to transact.

Our Sanctions Radar

One of the most comprehensive coverage checks on the market. Our service monitors:

- **26'250** Analyzed changes per week such as regulator updates and shareholder changes
- **1.8 Million+** Shareholder relations monitored by the system
- **83** Suspected entities and individuals controlled by the sanctions team per daily run on average

What influences sanction changes

- Corporate action: Capital increase / acquisition / IPO
- New sanctions imposed by a regulator
- Change of ownership / management

Sanctions is an ongoing threat, on a monthly basis

- **65** New sanctioned securities are issued
- **37** Existing instruments changed its status from not sanctioned to sanctioned
- **392** New instruments are added to the watch list

Quick fact: Holding a structured product with underlyings issued by sanctioned parents is not a violation, but caution is needed once it expires: if the settlement is in securities rather than cash, you risk receiving the sanctioned underlying securities as settlement on your investment.
Our Value
Confidence to transact

Let SIX handle the collection, screening and analytics, while you get a clean list of sanctioned and potentially sanctioned securities to run against your portfolio.

The real risk is that sanctioned securities are traded

- 5,716 Sanctions relevant entities
- 1,188 Currently sanctioned issuing entities
- 4,528 Recorded potential sanctioned issuers
- 4,574 Active Exchange Listings with Sanctioned Securities
- 3,157 Active Exchange Listings with Structured Products on Watch List

Let us take care of the heavy data lifting and analysis

Sanctioned Securities Monitoring Service
Sourcing and analyzing reference data, corporate actions, and beneficial ownerships for an all-encompassing sanctions reporting.

Example Narrative Statements
Sanctioned narrative statements briefly explain the rationale behind a sanctioned or potentially sanctioned security.

Sanctioned
RU000A0JU3L5 has been issued by Bank VTB 24 PAO which is linked to the sanctioned parent VTB by a direct or indirect ownership of 50% at least. Since the issuance took place after the sanctions effective date, the security is considered sanctioned under the provisions of CA CH EU US regulator(s). The security is Active.

Not Sanctioned / Watchlist
RU000A0JPM78 has been issued by Russian Agricultural Bank JSC which is linked to sanctioned parent ROSSELKHOZBANK by a direct or indirect ownership of 50% at least. Having been issued prior to sanctions taking effect or underlying specific sanctions regime, the security is NOT (yet) considered sanctioned at this stage. The security is Active and thus the status could change in the future.

Not Sanctioned, but high residual risk
RU000A0JUX63 has been issued by VTB Bank PJSC which is linked to the sanctioned parent VTB by a direct or indirect ownership of 50% at least. The security is a Money Market Instrument with a lifetime of 1 day, thus it falls under sanctions exemptions for CA CH EU US Regimes, but could bring to an inherent residual risk under the provisions of e.g. OFAC FAQ 409ff. SIX recommends to consider the security restricted under the scope of CA CH EU US regulators. The security is Active.

Take the test
Do you have sufficient granular information to ensure your customer that you prevent him to trade in any security he’s not permitted to regarding regulations applicable to him as a citizen?

A customer with a Hong-Kong passport living in Switzerland wants to invest in a security which is not sanctioned by Hong-Kong regulation but prohibitive regarding the Swiss law on War Material Restrictions. Is the advisor allowed to make that transaction happen?

A customer with a Singapore passport living in Switzerland wants to invest in a security which is sanctioned by Singapore law but not by Swiss law? Is the advisor allowed to make that transaction happen?

A customer with a EU passport living in the US wants to invest in a Structured Instrument linked to a Sanctioned Security according to EU law and with settlement type "security". Does the customer need to be informed that he will be in possession of a sanctioned security at settlement?

Contact our sales representative to get the correct answer.