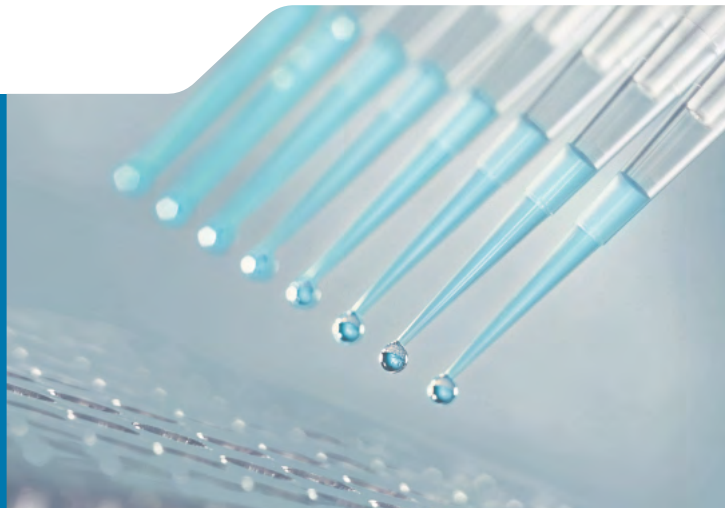


# Russian Sanctions List Service

Based on the sanctions against Russia as agreed to by the EU, US, Canada and Switzerland

EU, US, Canada and Switzerland responded to the crisis in Ukraine by imposing sanctions on Russia. In accordance with EU directive 833/2014, 960/214 and US Executive Order 13662, Canadian regulation SOR/2014-58/184/195 & 204, as well as the ordinance of the Swiss Federal Council SR 946.231.176.72 of 12 November 2014, transactions with securities affected by these measures are prohibited under certain conditions.



## Identifying the securities affected

Complying with the capital market sanctions imposed on Russia represents a challenge for financial institutions, especially with respect to confirming the eligibility of derivatives and structured products. Although the companies subject to sanctions were identified by name by regulators, their subsidiaries and other holdings in which they have an interest of more than 50% can easily remain undetected. This can cause a lot of financial and reputational damage to investors that continue to hold instruments in these sanctioned firms.

## Offer from SIX Financial Information

SIX Financial Information currently offers three lists that support the regulatory requirements from the EU, US, Canada and Switzerland:

- Lists of all affected issuers and their master data
- All directly affected issued instruments from sanctioned firms
- Options and underlying instruments of sanctioned firms that were issued after 16 July 2014 or 1 August 2014 respectively
- Structured products and their underlying instruments of sanctioned companies that were issued after 1 August

## Key benefits:

- Compliance with regulatory requirements
- Cost-efficient solution for a temporary measure
- Separate list for direct issuances, options structured products and structured issuers
- Delivered daily before 9 a.m.CET (Monday to Saturday)
- Additional data fields are provided for comparison with existing data
- Sent via email in Excel format, making it easy to process; a CSV file can also be provided
- Provision of complete and delta lists

### Sanctions list for investment instruments

SIX Financial Information is offering a service addressing the sanctions based on the award-winning Valor Data Feed (VDF) reference data feed. This service identifies and analyses affected instruments. The list provided contains all financial instruments associated with sanctioned companies.

### About SIX Financial Information

SIX Financial Information offers comprehensive and complete securities data, normalized and structured in a consistent manner that eliminates ambiguities, cuts costs and saves time with easy straight-through processing.

Clients benefit from our consultative approach, which leads to solutions tailored to each client's needs, either through leveraging our flexible delivery options or via tailor-made solutions, all of which are intended for easy consumption into the overall workflow.

Global regulations and taxes are adding an unprecedented level complexity to securities operations and compliance. Let SIX Financial Information help you streamline and simplify with our extensive, high quality data and wide range of delivery options and solutions.

### To order the service

Please contact your sales representative at SIX Financial Information or send an email to: [sanction-lists@six-financial-information.com](mailto:sanction-lists@six-financial-information.com)

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Disclaimer: SIX Financial Information Ltd operates with the utmost diligence to obtain information from reliable sources, but takes no responsibility as to the accuracy or completeness of the information or selection cover provided. The selection criteria are checked daily to reflect the latest updated information and are based on the information available in the VDF database.

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