

Regulatory Data Management

Compliance in a complex, evolving landscape.

Comprehensive and high-quality data is the foundation for sound analysis and effective compliance with national and global laws, regulations and taxes, which demand solid procedures to support withholding, reporting and adequate identification of clients and counterparties. Do you have the complete and up-to-date securities reference and issuer data, prices and international tax information that you need to ensure compliance?



Evolving national and global laws, regulations and taxes present significant challenges to operations and compliance professionals who must compile the data needed for regulatory tax withholding/reporting and effective risk management. With extensive instrument and issuer/counterparty reference data as the basis, SIX Financial Information has extended its service to include specific data elements you need in order to comply with the most important regulatory tax and compliance requirements such as:

Reference Data

- Basel II
- EU Savings Tax
- FATCA
- Final withholding tax (Switzerland & UK/Austria)
- Financial transaction taxes (France & Italy)
- MiFID I/II
- Packaged Retail Investment Products (PIBs/KIIDs)
- Solvency II
- US IRS Withholding Tax
- UCITS III
- PEP-Check

Key Benefits:

- Complete alignment with your data governance policy.
- Eliminate ambiguity via clear classification of financial instruments according to the relevant regulation or tax.
- Ensure generations of consolidated reporting through data linkages from issuers to securities, trading venues, prices, corporate actions through a wide variety of standard identifiers.
- Award-winning corporate actions services to track material modifications.
- Effective risk management with certified valuation prices.

Instrument Level Reference Data

- Terms & conditions for all security types, ranging from equities to derivatives, forex to fixed income, among others.
- Instrument classification for regulations such as Solvency II (CIC), FATCA and the French and Italian FTTs.
- Security identifiers from around the world, cross-referenced for efficient cross border processing.
- Derivatives cross-referenced to corresponding underlyings.
- Components and weightings are attached to indices, and individual instruments are linked to the indices of which they are constituents.
- Funds look-through with key figures, investment strategy and guidelines.
- Sector data including the ICB (Industry Classification Benchmark) from Dow Jones/FTSE, GICS from MSCI/S&P as well as SIC, NACE and others.
- Ratings from Fitch Ratings, Moody's, S&P and more, including historical upgrades/downgrades.

Issuer Data

- Institutional identifiers including LEI, GIIN.
- Variety of issuer/entity classifications.
- Linkage between security issuers and ultimate parent entities, using D-U-N-S® numbers from D&B.
- Company roles such as "lead manager", "custodian", "paying agent", etc.
- Issuer ratings (including historical upgrades/downgrades) from the same rating agencies that provide instrument ratings.
- Sector data from ICB and GICS plus SIC, NACE and more.

The ability to aggregate your counterparty risk exposures before the first sign of trouble is crucial for ensuring solid risk mitigation.

Corporate Actions

- Dividends (stock, cash, optional).
- Coupon payments (regular or irregular, planned and fixed coupons).
- Final maturity, sinking fund, drawing/repurchase, early redemption, rate fixings for floating-rate notes and other forms.
- Mergers, de-mergers, ongoing lawsuits, name and domicile changes, bankruptcies and liquidations.
- Capital changes such as increases and reductions, splits and reverse splits, share conversions.

Our award-winning corporate actions service ensures that your master data is updated in the most timely manner possible.

Valuation prices

- Pricing service covering global security types ranging from equities to bonds, derivatives to forex, commodities to warrants and more.
- Prices from over 1,500 global exchanges and market-leading third party sources.
- Real-time or snapshots timed for intraday, close-of-market or end of day.
- A wide range of price data elements are delivered, including settlement prices, opening prices, daily closing prices, country specific prices plus trading volumes and our own proprietary valuation price.
- Related figures such as yields, gearing or delta values are also calculated.
- Evaluated pricing for an ever-growing universe of global fixed income securities is available up to four times per day.

Timely and accurate valuation prices are essential for accurate limit monitoring, hedging and capital reserves.

Your compliance data source

With broad and deep coverage of global securities, issuers and regulatory data, the Valordata Feed (VDF) from SIX Financial Information is your one source for effective compliance with national and global laws, regulations and taxes. VDF supplies extensively linked and completely encoded data for automated processing, saving resources and minimizing costs.

VDF supplies the financial information required for local and cross-border regulatory compliance.

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 of 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.

For more information, please contact your local SIX Financial Information office and a representative will be happy to assist you.

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