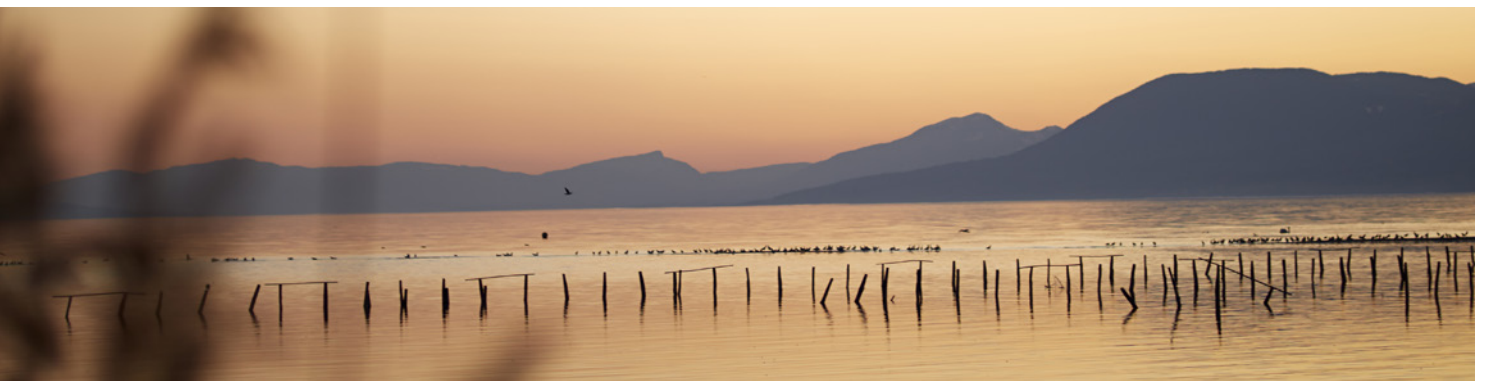




Sanctioned Securities Monitoring Service (SSMS)

# Restriction Lists

Comprehensive Coverage of Financial Instruments Linked to Companies and Entities on Import / Export Watchlists or Red-Flag Lists



## Challenge

The suite of compliance expertise, data, and solutions from SIX has expanded to include a Restriction Lists module, which empowers you to have a full and immediate view of your exposure to financial securities linked to entities with whom trade is restricted or otherwise red-flagged. The Restriction Lists module identifies issuance linked to persons and entities targeted by US agency watchlists, including the BIS Entity List covering import/export restrictions.

The US departments and agencies that developed these restrictions lists, among them the Department of Defense (DOD), Commerce (DOC), and Homeland Security (DHS) among others, have designated the entities and persons listed as threats to US security.

While the securities identified may not be subject to explicit or implicit sanction, firms could face additional reputational risk by trading in issuance linked to a targeted person or entity, and consequently material impacts/losses.

The Restriction Lists module from SIX provides a data-driven view of securities linked to individuals or entities on these lists; connecting issuing entities with their directly issued financial instruments, as well as those with indirect links via structured products, futures, and options.

## The Offer

Target descriptions added on the financial instrument level link back to the origin of the restriction and enables custom processing rules and criteria.

SIX sources reference data from more than 1500 sources for complete and timely updates of any new issuance, mutation, split, or maturity of financial instruments.

### Features and Associated Benefits

- ✓ Coverage of trade restrictions issued by multiple US agencies and detailed description under which jurisdiction the instrument falls.
- ✓ Access to normalized lists that output issuers, directly issued financial instruments like equity, debt, and money market, and indirectly linked structured products, options, and futures that grant investment exposure.
- ✓ Data on which legal bases a financial instrument is tainted.
- ✓ 60+ core reference data fields containing Issuer Name, Instrument Name, Identifiers ISIN, CUSIP, SEDOL.

**Restriction Lists Module lists include:**

- eCFR: Supplement No. 4 to Part 744, Title 15 – BIS Entity, Military End User, Denied Person
- National Defense Authorization Act for Fiscal Year (FY) 2019 – Section 889
- National Defense Authorization Act for FY 2021 – Section 1260H
- US Federal Communications Commission - FCC Covered List
- US Department of Homeland Security - UFLPA Entity List
- Department of Commerce Entity List (EL) - Bureau of Industry and Security
- Department of Commerce Military End User (MEU) List - Bureau of Industry and Security
- Department of Commerce Unverified List (UVL) - Bureau of Industry and Security

- Department of Commerce Denied Persons List (DPL) - Bureau of Industry and Security
- Department of Defense National Defense Authorization Act for FY19 - Section 889
- Department of Defense National Defense Authorization Act for FY21 - Section 1260H
- Department of Defense National Defense Authorization Act for FY23 - Section 5949
- Department of Homeland Security UFLPA Entity List
- Federal Communications Commission FCC - Covered Equipment or Services Provider

**Restriction Lists Module include:**

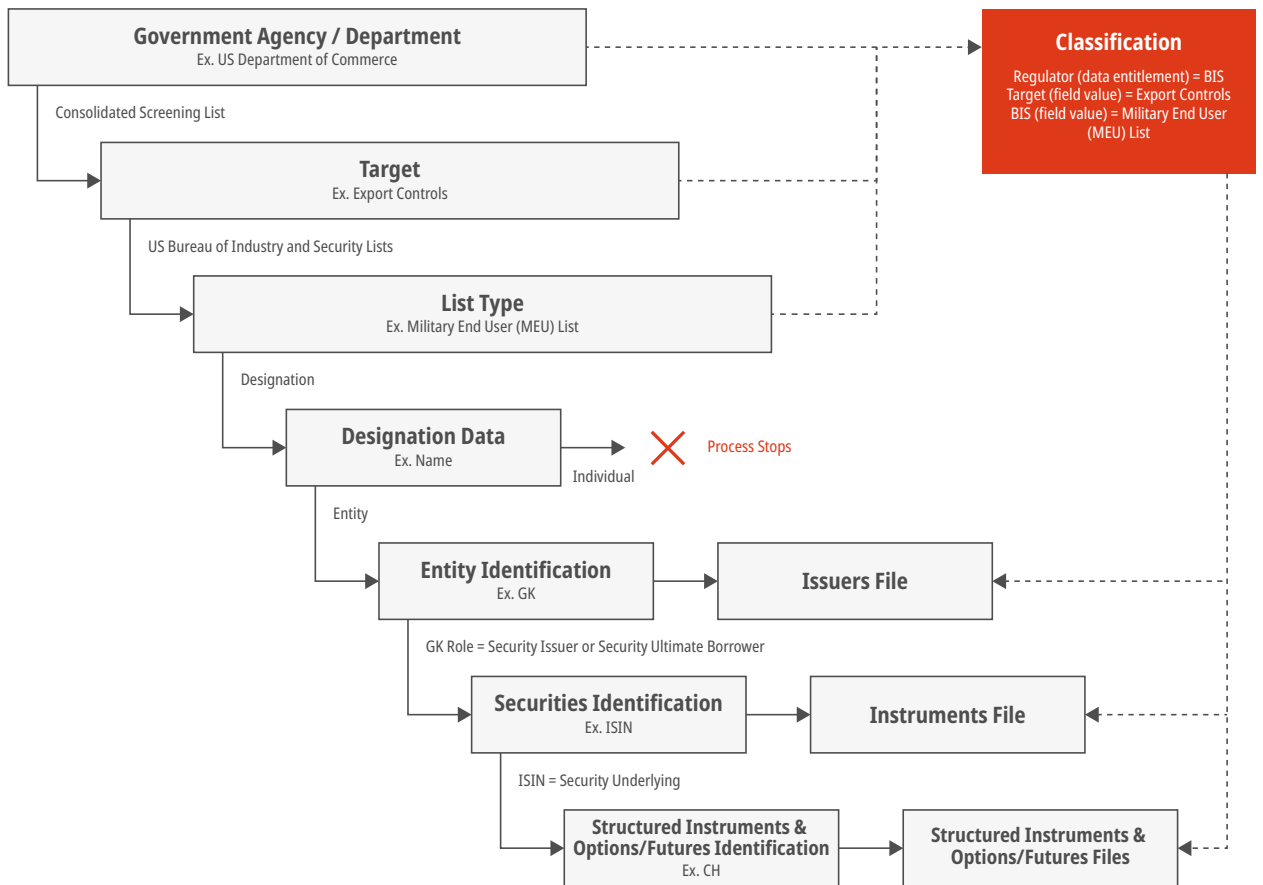
- Restriction List Issuers
- Restriction List Instruments
- Restriction List Structured Product
- Restriction List Futures & Options

**Common Use Cases**

Asset servicing, settlement services, trade and transaction processing.

**Primary Audience**

Financial institutions, Wealth Managers, Insurances.



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