



Global Sanctions Monitoring

CETREL Securities has developed the Global Sanctions Monitoring offer, composed of three distinct modules, in order to identify all sanctioned entities and securities in line with international financial sanctions.



Sowing the data you need

CETREL Securities, the reference in Financial Data Services

FACT SHEET – International Sanctions



CETREL Securities The reference in Financial Data Services

International Sanctions

Complying with capital market sanctions, imposed on certain countries, represents a major challenge for financial institutions, particularly when determining the eligibility of derivatives and structured products.

There is a risk of serious financial and reputational damage to investors that trade in sanctioned instruments.

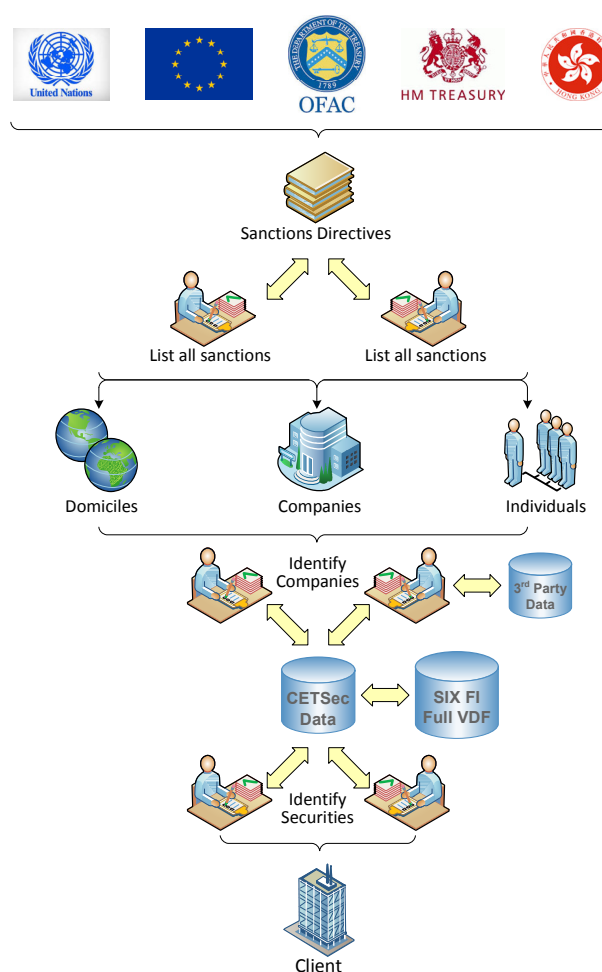
CETREL Securities has developed a range of financial data services providing, on a daily basis, a list of all securities linked to all sanctioned domiciles - companies - individuals by UN - EU - OFAC - HM Treasury (UK) - Hong Kong Sanctions Regime.

CETREL Securities processes all official documents of sanctions to list domiciles – companies – individuals.

From the list of individuals, both automatic and manual matching is done with a third party database to find all companies in which the listed individuals are beneficial owners.

From the lists of companies and domiciles, an automatic matching is done with a SIX FI Full VDF database to find all sanctioned securities. When necessary, a manual matching is done by CETREL Securities.

Operational workflow:



Key benefits:

- Compliance with regulatory requirements
- Delivered before 9:00 am CET - Monday to Saturday
- Sent via email - FTP - sFTP in Excel or CSV format
- Provision of complete and delta lists
- Use of the SIX Financial Information Full VDF database (with about 16 million financial instruments and 600 000 issuers) as main data provider

FACT SHEET – Ukraine Crisis Sanctions



CETREL Securities The reference in Financial Data Services

Ukraine Crisis Sanctions

Complying with capital market sanctions, imposed on Russia, represents a challenge for financial institutions. There is a risk of serious financial and reputational damage to investors that trade in sanctioned instruments.

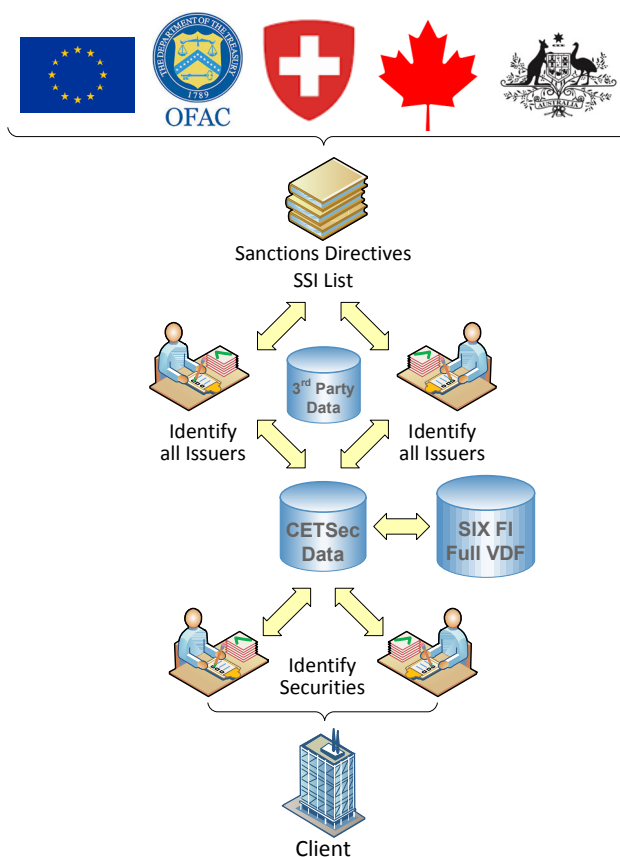
CETREL Securities has developed a range of financial data services providing, on a daily basis, a list of all securities related to Ukraine crisis sanctions, enforced by EU - OFAC - SECO (CH) – Canada – Australia (DFAT).

CETREL Securities carries out daily monitoring of changes in each SSI (Sectoral Sanctions Identifications) list forming its "internal SSI list" and also monitors new issues from all sanctioned companies.

CETREL Securities processes all official sanctions documents (SSI lists) to identify sanctioned companies, and their subsidiaries and branches, having potentially issued financial instruments.

From the list of potential issuing companies, an automatic matching is done with a SIX FI Full VDF database to find all financial instruments sanctioned. When necessary, a manual matching is done by CETREL Securities.

Operational workflow:



Key benefits:

- Compliance with regulatory requirements
- Delivered before 9:00 am CET - Monday to Saturday
- Sent via email - FTP - sFTP in Excel or CSV format
- Provision of complete and delta lists
- Use of the SIX Financial Information Full VDF database (with about 16 million financial instruments and 600 000 issuers) as main data provider

FACT SHEET – Cluster Munitions



CETREL Securities
The reference
in Financial Data Services

Cluster Munitions

Complying with the Oslo Convention on Cluster Munitions (CCM), joined by 116 States and already ratified by 92 of them, represents a challenge for financial institutions.

There is a risk of serious financial and reputational damage to investors that trade in banned instruments.

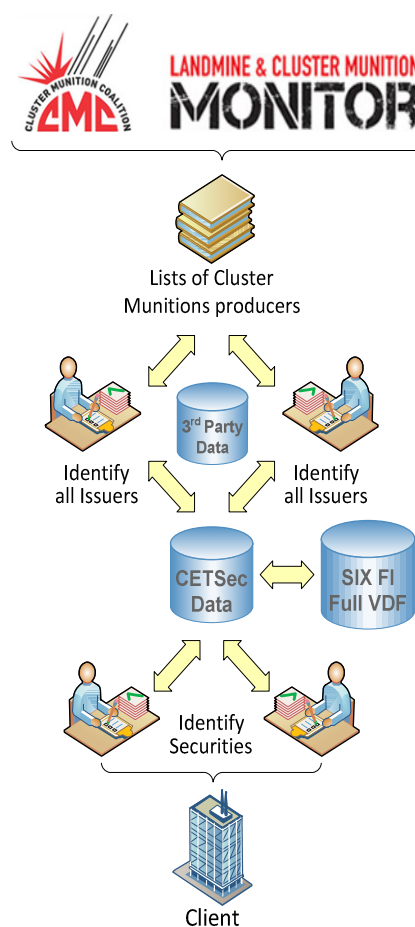
CETREL Securities has developed a range of financial data services providing, on a daily basis, a list of all banned securities related to the Oslo CCM.

CETREL Securities carries out daily monitoring of new issues from all banned companies, and monitors, on a regular basis, all documents listing Cluster Munitions producers.

CETREL Securities processes all documents listing Cluster Munitions (CM) producers and then identifies all CM companies, and their subsidiaries & branches, having potentially issued financial instruments.

From the list of potential issuing companies, an automatic matching is done with a SIX FI Full VDF database to find all financial instruments sanctioned. When necessary, a manual matching is done by CETREL Securities.

Operational workflow:



Key benefits:

- Compliance with regulatory requirements
- Delivered before 9:00 am CET - Monday to Saturday
- Sent via email - FTP - sFTP in Excel or CSV format
- Provision of complete and delta lists
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Other data services in our current offer

- Master Data Opening & Mutations to gather all the desired information within a short turnaround time, to manage data mutations and to deliver them in a "ready-to-use" format to banking/insurance system(s).

- QPS1: control of the market conformity of the security prices of the client's portfolio (assessment of the "best fit market" prices, if needed).

- QPS4 / IAS39: monitoring and determining of "fair value" valuation prices for portfolios on the basis of current regulations (IAS 39, IFRS 7, IFRS 13, etc.), and of client-specific tolerances & configurations.

- UCITS check & bench: continuous verification of the eligibility of a financial instrument in accordance with the categories defined by ESMA and the UCITS directive.

- CIC Classification: assignation & maintenance of the CICs (complementary identification codes - asset characteristics & risk exposure) to invested assets for insurance products.

- MIFID classification: assignation & maintenance of an indicator denoting if the product is complex or not, and by using ABBL guidance as a starting point.

- Structured Investment Allocation Model (SIAM): codification, which provides with risk qualifiers a unique risk code for all financial instruments following a normalized classification process.

- CAA classification for insurance: assignation & maintenance of the CAA risk classification for financial instruments used in unit-linked insurance products, and as defined in the "Lettre circulaire 15/3 du Commissariat aux Assurances (CAA)".

- Client/Legal reporting solution enabling to transfer encrypted and signed documents to CSSF or BCL or CAA, via SOFIE or through secured Web Services.

Our offer

- **Business focus with CETREL Securities as single point of contact**
- **Increased Straight Through Processing**
- **Reduced Market Data spending**
- **Reduced Project and Service risks**
- **Reduced Operational Risk through increased accuracy for trading, risk reporting, compliance and analytics**
- **Seamless integration with current databases and programs on client side**
- **Redundant server and database systems**
- **24/24 Monitoring**

Key Benefits

- **Cost control & reduction of total cost of ownership**
- **Use of the SIX Financial Information Full VDF database (with about 16 million financial instruments and 600 000 issuers) as main data provider**
- **Improved data quality and reduced risk**
- **Outsourcing of Back/Middle-office and support activities; use of our secure environment**
- **Minimal project risk, costs and duration**
- **Reduced volatility in process and technology**
- **Investment spending - correction of source errors at an efficient price**

CETREL Securities would be happy to provide you with additional information and a demo of our products and services.

Contact us:

Carlo HOUBLIE, Products R&D Manager

Email: carlo.houblie@cetrel.lu

Telephone: +352 355 66 349

Christian BARKEY, Business Development Manager

Email: christian.barkey@cetrel.lu

Telephone: +352 355 66 581

Arnaud COLLIGNON, Key Account Manager

Email: arnaud.collignon@cetrel.lu

Telephone: +352 355 66 273

Your business solution



CETREL Securities is a regulated European company dedicated to financial data services.



CETREL Securities
Société Anonyme

10, rue Gabriel Lippmann
L-5365 Munsbach
B-P L-2956

Tel. +352 355 66 1
info@cetrel-securities.lu

Registre de Commerce
Luxembourg B 117 298
TVA n° LU212 415 61