

# Doing data differently



## Helping the global financial community make informed decisions through the provision of comprehensive, accurate, timely and affordable securities and economic data services

With more than 30 years' experience, we offer comprehensive and accurate securities reference, corporate actions and pricing data for derivatives, equities, fixed income, and investment funds around the globe. We also cover economic data extensively.

We understand how crucial financial and economic data is and take a different approach as to how we proceed:

- We do not rent data, we sell it
- We do not have onerous redistribution rules
- We customize our services to meet your needs
- We cover all countries - no matter how large or small
- Finally, we offer competitive prices

As a result of our on-going commitment to providing cost-effective and innovative data solutions, while ensuring the highest standards, EDI has achieved the internationally recognized quality and security certifications ISO 9001 and ISO 27001.

Headquartered in the United Kingdom, we have operations in Australia, Canada, Germany, India, Morocco, South Africa, and the United States.

Our Support Team is available on +44 (0) 207 324 0020, 24 hours a day, Monday to Friday and closed on Christmas and New Year's Day.



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## Sanctions Overview

Sanctions can be either comprehensive or selective and are imposed by the international community on the targeted country to change the behavior of that country or regime by blocking assets and restricting trade to accomplish foreign policy and national security goals, in cases where that targeted country or regime is violating human rights, waging war or endangering international peace.

## Types of Sanctions

The types of sanctions may vary by country and situation, possible sanction types are:

- Economic/Financial sanctions
- Diplomatic sanctions
- Military sanctions
- Sport sanctions
- Sanctions against individuals like travel and visa restrictions
- Sanctions on environment

## Sanctions Issuing Authorities

The Government or Government controlled Organization, or the international community can issue permanent or temporary sanctions programs against the Country/Individual if the country's regime is violating human rights, waging war, or endangering international peace.

Major Global Sanctions Authorities include:

- United Nations Security Council
- The Office of Foreign Assets Control (USA)
- European Union (EU)
- Department of Foreign Affairs and Trade (DFAT) (Australia)
- Ministry of Finance (Japan)
- Federal Public Service Finance (Belgium)
- Office of Financial Sanctions Implementation (United Kingdom)
- State Secretariat for Economic Affairs (SECO) (Switzerland)

## Sanction Removal:

The sanction authority may remove the imposed sanction entirely or selectively based on a thorough review of the target country's change in behavior post sanctions.

## Service Overview

Prior to the Ukrainian War the number of publicly listed vehicles or financial instruments which had been sanctioned was small. There were some companies in China and Russia but historically sanctions covered countries on the periphery of international capital markets for example Venezuela, Iran etc.

During the recent Russia-Ukrainian War many countries, including the United States, Canada, the European Union, and other countries-imposed sanctions against Russia and Belarus, and significantly expanded sanctions to many entities and individuals. These recent international sanctions are related to the risk associated with financial instruments and our Global Entity Financial Sanctions data helps investors to support confident compliance decision-making and portfolio and risk management in pre- and post-investment into the market.

The Global Entity Financial Sanctions Service combines timely and accurate information on sanctioned entities with security reference data and the sanctions authority. It covers a broad range of financial instruments issued by the target entity, including equities and debt Instruments. It also covers vehicles including sanctioned entities such as indices and ETFs as well as derivative products.

Our Sanction comprehensive dataset includes both sanctioned entities and instruments, which are issued by sanctioned entities. The coverage is extended to cover the OFAC's 50 percent rule. The OFAC 50% rule says that if a sanctioned entity/individual owns directly or indirectly 50% or more of another entity, it will also be implicitly sanctioned.

We also offer a list of Indices which include sanctioned entities.

## Entity Sanctions Coverage:

Our sanctions coverage includes 200 plus entities listed across all countries and our dedicated team members are monitoring over 20 major sanctions authorities' websites daily and processing the Sanctions information in a timely manner. This number is likely to increase as the Ukrainian war continues and US relations with China become more frayed.

## Sources Utilized:

Official Sanction issuing Authority websites, which include more than 20 global jurisdictions Sanction issuing authorities in United States, United Kingdom, United Nations, European Union, Canada, Switzerland, Japan, Australia, and other countries.

## Data Delivery:

EDI provides Sanctions Dataset information in tab delimited .csv or .xlsx .txt format file and delivers via SFTP.

## Customization

EDI is proud to offer the most effective and efficient solutions tailored to meet each customer's needs. We offer a range of customization options including:

- Delivery-based solutions to complement existing client infrastructure.
- Feeds containing formats, field content, and integrated client-level data items.

## Sanctions Coverage

| Country of Incorporation                             | No. of Sanctioned Entities Coverage |
|------------------------------------------------------|-------------------------------------|
| Austria                                              | 1                                   |
| Belarus                                              | 6                                   |
| China                                                | 78                                  |
| United Kingdom of Great Britain and Northern Ireland | 5                                   |
| Georgia                                              | 1                                   |
| Hong Kong                                            | 4                                   |
| Ireland                                              | 22                                  |
| Iraq                                                 | 2                                   |
| Iran (Islamic Republic of)                           | 60                                  |
| Cayman Islands                                       | 1                                   |
| Luxembourg                                           | 6                                   |
| Netherlands                                          | 1                                   |
| Pakistan                                             | 1                                   |
| Russian Federation                                   | 67                                  |
| Syrian Arab Republic                                 | 2                                   |
| United States of America                             | 1                                   |
| Venezuela (Bolivarian Republic of)                   | 1                                   |
| Virgin Islands (British)                             | 1                                   |
| Viet Nam                                             | 1                                   |
| <b>Total</b>                                         | <b>261</b>                          |

## Field Description

| Field Name               | Field Description                                                                                                                                |
|--------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|
| IssID                    | Unique EDI Issuer ID                                                                                                                             |
| SecID                    | Unique EDI Security ID                                                                                                                           |
| cntry_of_incorp          | ISO Country of Incorporation of Issuer                                                                                                           |
| IssuerName               | Name of the issuer/company                                                                                                                       |
| Shortname                | Short name of the Issuer/Company                                                                                                                 |
| exchgcd                  | EDI maintained Exchange code. Equivalent to the MIC code but necessary as MIC might not be available in a timely fashion.                        |
| Localcode                | Trading code of the Security in the Market                                                                                                       |
| Isin                     | International Securities Identification Number (ISIN) for global identifier.                                                                     |
| SecurityDesc             | Security Description                                                                                                                             |
| SectyCD                  | EDI maintained Exchange code. Equivalent to the MIC code but necessary as MIC might not be available in a timely fashion.                        |
| Liststatus               | Status flag of the Security L-Listed; S-Suspended and D-Deleted                                                                                  |
| Sanctions Authority      | Government or regulatory agencies or supra-national authorities impose economic Sanctions against individuals, entities, and targeted countries. |
| Sanctions Issued Country | Country of Sanctions issuing Authority                                                                                                           |
| Program1                 | Type of the Sanctions issued by the Sanctions Authority                                                                                          |
| Program2                 | Type of the Sanctions issued by the Sanctions Authority                                                                                          |
| Program3                 | Type of the Sanctions issued by the Sanctions Authority                                                                                          |
| Start Date               | Sanctions imposed date by respective Sanctions Authority                                                                                         |
| End Date                 | Sanctions withdraw date by respective Sanctions Authority                                                                                        |
| Notes                    | Notes on Sanctions                                                                                                                               |

## Data Sample

| Data Field Header        | Sample Data                                        |
|--------------------------|----------------------------------------------------|
| ISIN                     | CNE000000RF9                                       |
| IssID                    | 12076                                              |
| SecID                    | 12400                                              |
| Localcode                | 768                                                |
| PrimaryExchgCD           | CNSSE                                              |
| Issuename                | Avie Xian Aircraft industry Group Company Ltd_     |
| Shortname                | AVIC Aircraft                                      |
| CntryofIncorp            | CN                                                 |
| SectyCD                  | EQS                                                |
| Securitydesc             | Ordinary Shares - Class A                          |
| Liststatus               | L                                                  |
| Sanctions Authority      | Office of Foreign Assets Control (OFAC)            |
| Sanctions Issued Country | US                                                 |
| Program1                 | GMIC Executive Order - Consolidated List - Program |
| Program2                 | OMIC Executive Order - Non-SON OMIC List - Program |
| Program3                 |                                                    |
| Start Date               | 2022-06-03                                         |
| End Date                 |                                                    |
| Comments                 |                                                    |



## Customization

EDI is proud to offer the most effective and efficient solutions tailored to meet each individual customer's needs. We offer a range of customization options including:

- Delivery-based solutions to complement existing client infrastructure.
- Content delivered at the geographical or portfolio holding level.
- Feeds delivered in various formats, field content and integrated client level data items.

EDI uses its extensive data research expertise to source, scrub and integrate new client specified data items with existing products and services. For instance, a request from a multinational investment bank to source the DR universe and map it against its underlying share portfolio ultimately led to the development of EDI's successful Depositary Receipt Database.

In addition, EDI was the first vendor to successfully launch an ISO 15022 Corporate Action Messaging feed. This enables customers to reduce costs and increase efficiency by removing the need for multiple feed handlers.

## Support

### Customer Support

**Monday - Friday**  
**Open 24 hours**

**Saturday**  
Support Coverage ends 8am  
(GMT)

**Sunday**  
Support Coverage resumes at  
11pm (GMT)

**Support Coverage is not  
available**  
Saturday 8am to Sunday 11pm

**Call +44 207 324 0020**

Email: [support@exchange-data.com](mailto:support@exchange-data.com)

Customer support is closed on Christmas and New Year's Day.

We aim to acknowledge all queries within an hour of receipt and answer queries within 24 hours where possible.

We will send a progress report if a query is not resolved within that timeframe. We resolve around 95% of customer queries within 24 hours.

All queries sent to our Support department are filtered and dispatched to the relevant department. An IT staff member is engaged in the communication process to resolve complicated technical issues.



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