

Sanctions Against Russia

Special Selection in Risk Management

- Issues subjected to the EU/US sanctions
- Information of the affected corporate actions
- List of affected companies/issuers

Due to the crisis in Ukraine, the EU and the US have imposed several sanctions against Russia. Service industries or the trading in financial instruments, for example, are also affected by the sanctions.

On 12 September 2014, the Council of the European Union imposed, among other things, financial sanctions with the EU regulation 960/2014 in connection with the EU regulation 833/2014.

Article 5 prohibits, among other things, the following:

(1) It shall be prohibited to directly or indirectly purchase or sell transferable securities and money-market instruments with a maturity exceeding 90 days, issued after 1 August 2014 to 12 September 2014, or with a maturity exceeding 30 days, issued after 12 September 2014.

(3) It shall be prohibited (...) to make new loans or credit with a maturity exceeding 30 days to any legal person, (...) referred to in paragraph 1 or 2, after 12 September 2014 (...).

(Please see the EU regulations 960/2014 and 833/2014 for detailed information.)

1,300 companies as well as their subsidiaries are currently affected by the EU/US sanctions, also in countries outside the EU, e.g., Turkey, Kazakhstan, Ukraine, Belarus, Georgia, Armenia, Azerbaijan, Serbia, Bosnia and Herzegovina, Switzerland and Angola.

As part of a special service WM provides various selections to support you in complying with the sanctions.

Implementation by WM Datenservice

WM provides CSV and VF1 files for download via an FTP account on every stock exchange business day. The CSV files may also be downloaded from the customer area of our website wmdaten.com.

The tables have the following content:

1. Issues of the issuers subjected to the EU/US sanctions
2. All loan Participation Notes in which an issuer subjected to the EU/US sanctions is a party
3. All financial instruments issued by an issuer subjected to the EU/US sanctions which serve as underlyings.
4. List of all companies/issuers subjected to the EU/US sanctions.
5. List of all corporate actions of the financial instruments affected by the EU/US sanctions.

The tables include, among other things, the WKN/ISIN/WM issuer number, name as well as further instrument features and (in the case of corporate actions) the corresponding BID. New entries are recorded on the list with their entry dates.

The selection criteria are reviewed, and if necessary, adjusted on a daily basis. This ensures that changes to the lists of affected companies and securities or an expansion of the scope of affected instruments are taken into consideration.

The data selections are based on the latest information made available to WM and the data available in its database.

We will be happy to provide further information upon your request.

