



FinfraG Reportable Instruments

Classification service for securities and derivatives

Our fully-automated data service helps firms to comply with transaction reporting obligations under the Swiss Financial Markets Infrastructure Act (FinfraG) by using enriched regulatory data to classify financial instruments.

Regulatory Environment

FinfraG, in force since 1 January 2016, regulates the financial market infrastructure as well as the derivatives trading in Switzerland. It is the equivalent to the Dodd-Frank Act in the US and EMIR in the EU.

Impact of FinfraG Reporting

Market participants are required to identify reportable securities and derivatives in order to comply with the reporting requirements set forth in article 39 of the FinfraG regulation and mandated by the FINMA Circular 2018/2 (in force on 1 January 2018).

SIX offers an instrument classification service to support firms to be compliant with FinfraG rules. We deliver structured and encoded data that supports automated processing, combined with flexible data delivery interfaces to truly support your processes and facilitate complete and timely compliance.

Key benefits:

- **Achieve efficient FinfraG reporting compliance** thanks to fully-automated identification of all relevant instruments including ongoing updates for newly issued instruments
- **Save costs** with issuer-defined reporting classifications that reduce the risk of incurring costs due to over-reporting
- **Low integration effort** thanks to data delivery through existing risk & regulatory data structures, eliminating the need to process multiple files with reporting information
- **Rely on premium data** thanks to continuous quality control measures aimed at ensuring sustainable data quality and consistency

FinfraG Reporting Data Service

Data in support of reporting under FinfraG Article 39 and FINMA Circular 2018/2 will include:

Classification of reportable securities and derivatives

Differentiation between Swiss and foreign securities ("Effekten") and derivatives according to FINMA Circular definitions.

FinfraG reportable instrument classification

Rule-based marking of reportable instruments as well as classification of FinfraG reporting exemptions.

Reportable / non-reportable; confirmed

For securitized derivatives (Structured Products, Warrants) SIX sets reportable/ non-reportable flags according to data obtained from issuers of these products. This ensures delivery of confirmed reporting status information for non-standardized OTC derivative products.

Underlying weighting check

FinfraG reporting duty extends to transactions in securities and derivatives where at least one underlying has a weighting of more than 25% and is a FinfraG security.

Additional Regulation & Risk data services

Combining global and local regulatory expertise with comprehensive data coverage and quality, SIX offers up-to-date services covering more than 60 Swiss, European and US market regulations.

MiFID II

The MiFID II / MiFIR regulatory framework has been introduced to bring greater transparency, safety and more resilience to the financial markets. The regulation brings enormous complexity for firms throughout the industry in terms of generating, collecting and processing financial data.

As a leading global provider of reference data and a long history with regulations, we have developed complete data sets for investor protection, transparency, transaction and reference data reporting obligations.

SIX provides classification information to fulfill transaction reporting obligations under FinfraG and MiFID II.

PRIIPs KID Service

The PRIIPs (Packaged Retail and Insurance-based Investment Products) regulation requires product manufacturers to create, maintain and distribute a large volume of Key Information Documents (KIDs) in plain language for retail investors living in the European Economic Area (EEA) to easily understand and compare products.

SIX offers a one-stop solution that is automated, compliant, and greatly reduces the cost and complexity of regulatory document management.

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