

SFTR QUICK CHECK

Is your company affected by the SFTR?

1. Is your company established in the EU (incl. all branches irrespective of locations) or is established in a third country but has branch in the Union? **If Yes, please continue to the next question.** Yes No
2. Is your company in any kind of business-transaction related with securities or commodities (bonds, equities)? **If Yes, please continue to the next question.** Yes No
3. Is your company in the scope of MiFID2/MiFIR or EMIR reporting? **If Yes, please continue to the next question.** Yes No
4. The company is (as per the EU definitions): an investment firm; a credit institution; an insurance or a reinsurance undertaking; a UCITS (incl. the management company); an AIF managed by AIFMs; an institution for retirement provision; a central counterparty; a central securities depository; non-financial counterparty.
Please continue, your org. is most probably in the scope of the SFTR! Yes No
5. Is your company using securities or commodities as collateral for receiving or providing cash from/to another entities? **Please continue, your org. is in the scope of the SFTR!** Yes No
6. Is your company receiving or providing securities or commodities for temporary uses? **Probably, your org. is in the scope of the SFTR!** Yes No

Is your company prepared for the SFTR-reporting?

7. Are you aware of the SFTR reporting obligation of your company? **Please double check with experienced service provider.** Yes No
8. Are you familiar with the data and format requirements for the SFTR reporting? **Please double check with experienced service provider.** Yes No
9. Do you have all the data you need for the SFTR reporting? **If Yes, please continue to the next question. If No, identify the sources.** Yes No
10. Are you using XML format for any reporting purposes? **If Yes, congratulations! If No, XML ISO 20022 format is obligatory for SFTR.** Yes No
11. Do you use external solution for reporting? **If Yes, please check its readines for SFTR. If No, run a compliance test on your internal set-up.** Yes No
12. Have you started your preparations for the SFTR reporting? **If Yes, congratulations. If No, consider to start it.** Yes No