

# Sanctions Ownership Research

## STAY ON TOP OF SANCTIONS COMPLIANCE

Sanctions regulations generally say that organizations that are “owned or controlled” by people and firms on sanctions lists are also sanctioned. European and U.S. regulatory guidance is more specific—majority ownership by a sanctioned party in the EU, and 50% or greater total ownership by one or more sanctioned parties in the U.S.

Dow Jones Risk and Compliance goes a step beyond in our Sanctions Ownership Research data.

- We identify if the sum of the sanctioned owners adds up to a majority stake or not, as defined by EU and U.S. regulators
- We include all individual ownership stakes of 10% or more

Additionally, Sanctions Ownership Research identifies firms that are “controlled” by persons sanctioned by the US or EU:

- Firms with sanctioned persons either in upper management or on the Board of Directors
- Firms with sanctioned persons who exert voting control

Sanctions Ownership Research not only covers individuals and firms subject to asset freezes, but also those who are subject to business restrictions due to their involvement in specific sectors of the global economy. This includes:

- Parties listed on the Office of Foreign Assets Control (OFAC) Sectoral Sanctions Identification (SSI) List, and its EU equivalent.
- ISINs (international Securities Identification Number) of debt and equity securities subject to restrictions under the U.S. and EU Ukraine-related sanctions programs.

WHAT YOU NEED TO KNOW:	EU-RELATED CONTENT	OFAC-RELATED CONTENT
<b>Sanctioned Subjects</b>	3001	6699
Individuals	1798	3321
Entities	1203	3381
Sanctioned subjects that own/control SOR entities	371	1330
<b>SOR Entities</b>	5215	10111
<b>SOR CATEGORIES:</b>		
Entities owned 50-100%	2241	5096
Entities owned 10-49.9%	932	1772
Entities where sanctioned subjects are board members or senior executives	120	601
<b>KEY INFORMATION INCLUDED FOR EACH SOR PROFILE:</b>		
Address	5000	9430
Original Script Name	4702	7565
Registration Number/Company ID	4386	8310
Registration Date	4813	9013
ISIN	484	548
DUNS Number	2156	3969
Countries of registration	119	162
Updated: March 1, 2017		

# Country Coverage

## LOCATION BY COUNTRY OF REGISTRATION



Abkhazia	Egypt	Madagascar	Slovakia
Afghanistan	El Salvador	Malawi	Slovenia
Algeria	Eritrea	Malaysia	Somalia
Angola	Estonia	Mali	South Africa
Anguilla	Ethiopia	Malta	South Sudan
Argentina	Finland	Marshall Islands	Spain
Armenia	France	Mauritania	St. Kitts and Nevis
Australia	Gabon	Mauritius	Sudan
Austria	Gambia	Mexico	Swaziland
Azerbaijan	Georgia	Moldova	Sweden
Bahamas	South Ossetia	Monaco	Switzerland
Bahrain	Germany	Mongolia	Syria
Belarus	Ghana	Montenegro	Taiwan
Belgium	Gibraltar	Morocco	Tajikistan
Belize	Greece	Mozambique	Tanzania
Benin	Guatemala	Myanmar	Thailand
Bermuda	Guernsey	Namibia	Togo
Bosnia and Herzegovina	Guinea	Netherlands	Tunisia
Brazil	Guinea-Bissau	Niger	Turkey
British Virgin Islands	Honduras	Nigeria	Turkmenistan
Bulgaria	Hong Kong	North Korea	Uganda
Burkina Faso	Hungary	Norway	Ukraine
Burundi	India	Oman	United Arab Emirates
Cambodia	Indonesia	Pakistan	United Kingdom
Cameroon	Iran	Palestine	United States
Canada	Iraq	Panama	Uruguay
Cayman Islands	Ireland	Paraguay	Uzbekistan
Central African Republic	Isle of Man	Peru	Venezuela
Chad	Italy	Philippines	Vietnam
Chile	Japan	Poland	Yemen
China	Jersey	Portugal	Zambia
Colombia	Jordan	Qatar	Zimbabwe
Congo Republic	Kazakhstan	Reunion	
Costa Rica	Kenya	Romania	
Cote d'Ivoire	Kuwait	Russia	
Croatia	Kyrgyzstan	Rwanda	
Cuba	Latvia	Samoa	
Curaçao	Lebanon	Saudi Arabia	
Cyprus	Liberia	Senegal	
Czech Republic	Libya	Serbia	
Democratic Rep. of the Congo	Lithuania	Seychelles	
Denmark	Luxembourg	Sierra Leone	
Ecuador	Macedonia	Singapore	



## WatchList

Dow Jones' WatchList identifies high risk third parties to assist in complying with global regulations. This includes lists and data on regulatory sanctions, Politically Exposed Persons (PEPs) and Special Interest Persons (SIPs) who have been involved in a legal process in relation to defined criminal categories, relatives and close associates, exclusion, export control, travel restriction and other official lists.

The image shows a smartphone screen displaying the Dow Jones WatchList application. The interface includes a search bar at the top with options for 'Corporate Search', 'News Search', and 'Entity'. Below the search bar, there are buttons for 'Modify Search' and 'New Search'. The main content area shows a list of entities with columns for 'Citizenship', 'Type', and 'Subcategory'. The list is filtered to show 100 results, with a message indicating that the number of search results exceeds 100 and suggesting to refine the search criteria or click on 'View More'. The table lists various entities, including Hungary, United States, Romania, and others, with their respective types and subcategories.

Citizenship	Type	Subcategory
Hungary		100
United States	DEA Most Wanted Fugitives	100
Romania	Romanian Member, European Parliament, MEP, PPE-EC	100
Romania		100
Not known	FINRA 100 Monthly Disciplinary Actions	100
United States	DEA Most Wanted Fugitives	100
Hungary	See Previous Rules	100
Hungary	Deputy Head of Mission, Hungarian Embassy, Germany	100
Romania	See Previous Rules	100
Romania	See Previous Rules	100
United Kingdom		100
Hungary	See Previous Rules	100
Romania	Mayor of Pateștimoni	100
Slovakia	Director General, Corps of Prison and Court Guard (ZSS)	100
Croatia	Interpol Red Notices	100
Romania	See Previous Rules	100
Slovakia	Slovak Ambassador to Uzbekistan	100
United States		100
Singapore		100
Not known	New York State's 100 Most Wanted Fugitives	100
Romania		100
Monaco	Disseminated	100
Peru	OFAC - Principal Significant Foreign Narcotics Trafficker List	100
Colombia	US Narcotics Rewards Program Wanted List	56
Indonesia		57
Indonesia		57
Colombia	OFAC - Principal Significant Foreign Narcotics Trafficker List	57
Indonesia		57
Indonesia		57
Colombia	OFAC - Principal Significant Foreign Narcotics Trafficker List	57
Colombia	OFAC - Principal Significant Foreign Narcotics Trafficker List	57
Colombia	OFAC - Principal Significant Foreign Narcotics Trafficker List	57
Indonesia		57
Indonesia		57

## Key product benefits:

### COMPLY WITH GLOBAL REGULATIONS

Industry leading Know Your Customer data—an essential tool to comply with global Anti-Money Laundering (AML), Anti-Corruption and sanctions legislation. We uniquely consolidate and enhance profiles of high-risk entities to protect your business from regulatory scrutiny.

### ACT WITH CONFIDENCE

Our content is built based on global and national regulatory standards providing distinct categorization to help you meet in-country regulatory standards and optimize filtering to reduce false positives.

### GOING ABOVE AND BEYOND

Dow Jones' WatchList includes enhancements such as Sanctions Ownership Research highlighting entities owned or controlled by listed individuals and entities. Dow Jones goes beyond the literal to implied names based on regulatory guidance to protect your business.

## Key product features:

### ENHANCED DATA

Our data is enriched with information from Dow Jones Factiva and other quality news sources.

### PROFILES ON CRIMINAL ACTIVITY

News about individuals charged, indicted or arrested for financial crime, organized crime, terrorism, narcotics, human trafficking, corruption and tax crimes sourced from Dow Jones Factiva.

### POLITICALLY EXPOSED PERSONS

Including their relatives and close associates, with coverage of international and domestic PEPs.

### SANCTIONS DATA

Global coverage on all publicly available sanctions lists.

### CONSOLIDATED DATA

We consolidate all available data on a given person or entity into a single listing to streamline the screening workflow.