

REFINITIV

INSTRUMENT SANCTIONS SERVICE

USER GUIDE

DOCUMENT VERSION 2.0

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1 The Basics

What is the Refinitiv Instrument Sanctions Service?

The Refinitiv Instrument Sanctions Service will help you to avoid unnecessary fines and comply with the trading regulations. This service provides the current list of fixed income securities and equities issued by companies sanctioned in different jurisdictions. Entities and their subsidiaries (50% ownership and more) as well as affiliates are included into the service. Based on the sanction rule and placement dates of securities, we determine if the securities issued by the entities and affiliates are affected by sanctions. We follow all new sanctions publications and addition and deletion companies from the sanctioned lists.

What jurisdictions do you cover?

The Refinitiv Instrument Sanctions Service covers the following jurisdictions currently, with more to be added in the future:

- Iran and North Korea (sanctions imposed by US and EU)
- Russia (sanctions imposed by US and EU)
- Russia (sanctions imposed by UK) * initial delivery January 25th 2021
- Venezuela (sanctions imposed by US)
- China (sanctions imposed by US)

Please see [Chapter 4: Sanctions Report File Fields by Jurisdiction](#) for details on the specific files for each jurisdiction.

Why Refinitiv?

- **Transparent depth and breadth of entity data**
Our extensive universe of over 1 million entities across 250 markets includes the organizational structures of parent entities, their subsidiaries, joint ventures and affiliates, all from auditable sources you can trust.
- **Streamlined Delivery**
Content is delivered via Refinitiv DataScope Select – a robust and scalable delivery platform used by thousands of firms worldwide.
- **Unique services and proven expertise**
You will have access to support analysts for specific queries and research. We have hundreds of market analysts across the world, covering over 50 languages.
- **Better data quality, integration and support**
We have decades of experience in collating, integrating, quality assuring and distributing market data, ensuring the highest levels of data quality “out of the box”.
- **Global presence**
We are committed to providing support, account management, hosting, development and exchange relationships worldwide.

What does Refinitiv data offer?

- **Quality control and assurance**

We monitor all corporate actions associated with the sanctioned companies and their respective instruments, watch alerts for any new issues and always check original documents.

- **Alignment with sanctioning bodies**

We closely monitor all European Union (EU) and the Office of Foreign Assets Control (OFAC) published data in order to provide timely updates and pass through accurate compliance information.

- **Easier data mapping**

The information required for the Sanctions Reports compliance is aligned to Refinitiv identifiers (RICs and Perm IDs), making it straightforward to map and gain insights from the data.

- **Reports delivery**

Multiple connectivity options are available to interface with your own platform (GUI, REST API or FTP), giving you control over data consumption and helping manage costs. Sanctions Reports are delivered in pipe-delimited text files via the DataScope Landing Zone, an expansion of the Standard Solutions offering for accessing bulk structured, standardized content sets.

- **Expanded coverage**

- **Iran & North Korea** - OFAC and EU
- **Russia** - OFAC and EU as sanctioning bodies; UK as a sanctioning body from January 2021
- **Venezuela** - OFAC
- **China** - OFAC

2 About the Sanctions Report Files

Overview

Refinitiv Sanctions Report files are delivered in a pipe-delimited text file via the DataScope Landing Zone, an expansion of the Standard Solutions offering for accessing bulk structured, standardized content sets. The Landing Zone streamlines the publication of new content sourced from Refinitiv or directly from external parties and makes file access quick and easy via the GUI, REST API or FTP/SFTP for both DataScope Select and DataScope Plus clients.

File Delivery

Refinitiv Sanctions Report files are available for download from the Landing Zone UI, REST API or FTP/SFTP every Monday at a minimum. The files can also be updated on any business day in response to updated source information. In this instance, the files will be available in the UI by 06:00 UTC (file availability via the REST API and FTP/SFTP platforms may be slightly later). Sanctioned lists are provided in a file posted weekly between 9-11 a.m. Eastern Time each Monday.

File Type & Size

The Sanctions Report files are available in pipe delimited (.xlsx) format with the following naming conventions:

- **Iran & North Korea File**
US_EU_Iran_NorthKorea_Sanctions_YYYY_MM_DD
- **Russia Files**
USRussianSanctions_OCP_YYYY_MM_DD
EURussianSanctions_OCP_YYYY_MM_DD
UK_Russian_Ukrainian_Sanctions_OCP_YYYY_MM_DD
- **Venezuela File**
US_VE_Sanctions_YYYY_MM_DD
- **China File**
US_Chinese_Sanctions_YYYY_MM_DD

Where YYYY_MM_DD represents the year, month and date on which the file was published. Each zipped file size is expected to be less than 20Mb.

File Delays & Updates

Notice of file delays or updated files will be provided via Service Alerts. Please make sure to subscribe to alerts on [MyRefinitiv](#) to be notified via SMS or email.

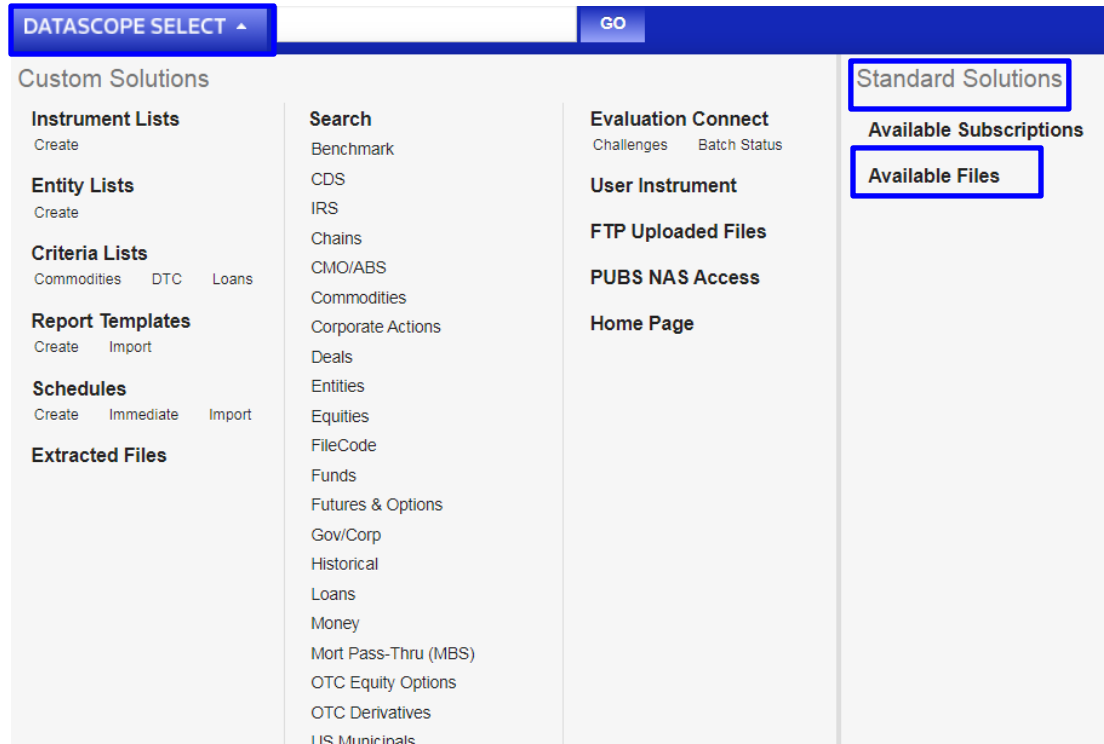
File Retention

Files remain available for download from your directory for 30 calendar days, after which time they are automatically deleted.

3 Accessing Sanctions Report Files

Landing Zone User Interface

You can preview and download Sanctions Report files from the Landing Zone user interface. It is accessible from the **DataScope Select** main menu by selecting **Available Files** under **Standard Solutions**.



The process for previewing and downloading Sanctions Report files is the same as with other Standard Solutions subscriptions. Please see the *DataScope Select User Guide* on [MyRefinitiv](#) for details.

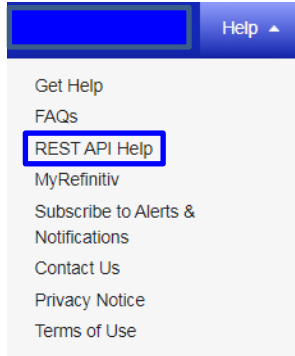
FTP/SFTP Download

For FTP/SFTP, the locations for the Sanctions Report Files are as follows:

- **Iran & North Korea File**
<ftp://hosted.datascope.reuters.com/feeds/packages/RIRA/Data>
- **Russia File**
<ftp://hosted.datascope.reuters.com/feeds/packages/REBR/Data>
- **Venezuelan File**
<ftp://hosted.datascope.reuters.com/feeds/packages/RVEN/Data>
- **Chinese File**
<ftp://hosted.datascope.reuters.com/feeds/packages/RCHN/Data>

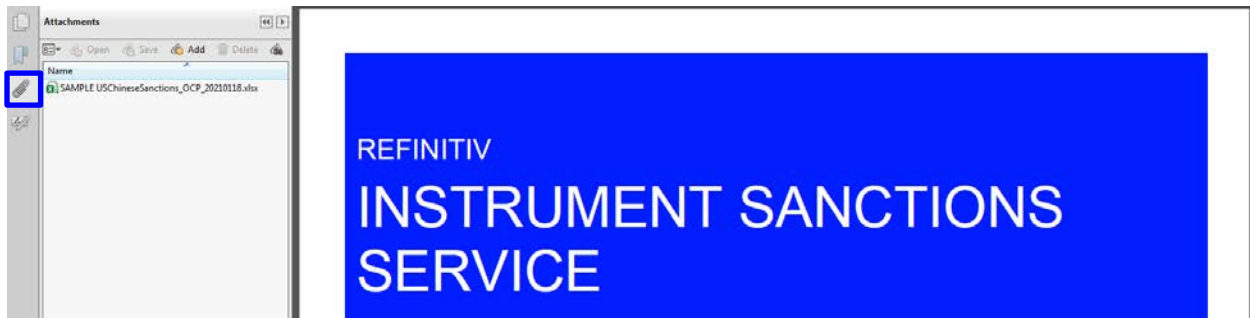
REST API

Please see the REST API Help, which you can reference from the **DataScope Select Help** menu, for information on downloading Sanctions Report files.



Sample File

A sample file is included as an attachment to this PDF. If you do not see the **Attachments** pane by default, click on the paperclip located along the top-left side of the PDF.



4 Sanctions Report File Fields by Jurisdiction

Iran & North Korea Instrument Sanctions Service

Our service captures financial sanctions for entities that are included in the Specially Designated Nationals and Blocked Persons List (“SDN”), imposed mostly against the Iranian energy and petrochemical sectors and the North Korean trade in the maritime industry or energy and metals sectors.

The Iran and North Korea sanctions program represents the implementation of multiple legal authorities.

For reference, please see [Iran Sanctions](#) and [North Korean Sanctions](#).

EU Sanctions Tab

Field Name in EU Sanctions tab	Description
ENTITYORGID	Unique Refinitiv system-generated identifier for the entity
PERMID	Unique Refinitiv system-generated identifier for the entity
ENTITYNAME	Name of the sanctioned company
EFFECTIVEDATE	Date when the sanctions were imposed on the company
SANCTIONINFORMATION	Reference to the sanctions document
COD	Country of domicile (headquarter address country) of the sanctioned company
SANCTIONSUMMARY	Brief description of the sanctions
NOTES	Additional comments
ENDDATE	Date when the sanctions were lifted

US Sanctions Tab

Field Name in US Sanctions tab	Description
ENTITYORGID	Unique Refinitiv system-generated identifier for the entity
PERMID	Unique Refinitiv system-generated identifier for the entity
ENTITYNAME	Name of the sanctioned company
EFFECTIVEDATE	Date when the sanctions were imposed on the company
SANCTIONINFORMATION	Reference to the sanctions document
COD	Country of domicile (headquarter address country) of the sanctioned company
SANCTIONSUMMARY	Brief description of the sanctions
NOTES	Additional comments
ENDDATE	Date when the sanctions were lifted

Iranian Bonds Tab

Field Name in Iranian Bonds tab	Description
ISIN	ISIN of the security
INSTRUMENTNAME	Name of the security
MATURITYDATE	Maturity date of the security
CURRENCY	Currency of the security
ISSUERFULLNAME	Full name of the Issuer

Iranian Equities Tab

Field Name in Iranian Equities tab	Description
EXCHANGESYMBOL	Exchange symbol of the Issuer
ISSUERSHORTNAME	Short name of the Issuer
ISSUERFULLNAME	Full name of the Issuer
ISIN	ISIN of the security

Russian Instrument Sanctions Service (sanctions imposed by US & EU)

Our service captures financial sanctions for entities that are included in the Specially Designated Nationals and Blocked Persons List (“SDN”).

OFAC and EU sanctions against Russian entities have been imposed in retaliation for Russian involvement to destabilize Ukraine and annex Crimea. The Russia-related sanctions program represents the implementation of multiple legal authorities.

For reference, please see [Ukraine-/Russia-related Sanctions](#).

US/EU Sanctioned Parents Tab

Field Name in US/EU Sanctioned Parents tab	Description
ENTITYORGID	Unique Refinitiv system-generated identifier for the entity
PERMID	Unique Refinitiv system-generated identifier for the entity
ENTITYNAME	Name of the sanctioned company
EFFECTIVEDATE	Date when the sanctions were imposed on the company
SANCTIONINFORMATION	Reference to the sanctions document
SANCTIONSUMMARY	Brief description of the sanctions
ENDDATE	Date when the sanctions were lifted

US/EU Subsid Tab

Field Name in US/EU Subsid tab	Description
PARENTID	PERMID identifier of the ultimate parent of the sanctioned subsidiary (OA Data Field which stands for Shareholder/Owner who directly owns >50% of the shares or indirectly through other immediate company)
IMMEDIATEPARENTID	PERMID identifier of the immediate parent of sanctioned subsidiary (OA Data Field which stands for Shareholder/Owner who directly owns >50% of the shares)
PERMID	PERMID identifier of the sanctioned subsidiary
LVL	Hierarchy level
NDAORGID	NDA identifier of the sanctioned subsidiary (NDA = Numeric Data Architecture, one of Refinitiv's databases that provides body/Issue/Quote level of data)
ORGANIZATIONNAME	Name of the sanctioned subsidiary
COD	Country of domicile (headquarter address country) of the sanctioned subsidiary
LEI	Legal Entity Identifier of the sanctioned subsidiary
TAXID	TAXID of the sanctioned subsidiary
SANCTION	Information about the sanctions document: Executive Order 13808 or Executive Order 13850, SDN list or not
SANCTIONDATE	Date on which the sanctions were implemented on the subsidiary
ENDDATE	Date when sanctions were lifted

US/EU FI Tab

Field Name in US/EU FI tab	Description
PARENTPERMID	PERMID identifier of the sanctioned company
ENTITYNAME	Name of the sanctioned company
SUBSIDPERMID	PERMID identifier of the sanctioned subsidiary
ORGNAME	Name of the sanctioned subsidiary
SANCTION	Reference to the sanctions document
SANCTIONDATE	Date on which the sanctions were implemented on a company
ISSUEDATE	Issue date of the instrument
MATURITYDATE	Maturity date of the instrument
INSTRUMENTNAME	Name of the instrument
ISIN	ISIN of the instrument

Field Name in US/EU FI tab	Description
RPNEFFFROM	Effective date of the reopening
RPNEFFTO	End date of the reopening
CURRENCY	Currency of the instrument
ISASSETACTIVE	Yes/no flag (yes if instrument is active, no if instrument is not active)
SANCTIONED	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)

US/EU Equities Tab

Field Name in US/EU Equities tab	Description
PARENTPERMID	PERMID identifier of the sanctioned company
SUBSIDPERMID	PERMID identifier of the sanctioned equity
SUBSIDNAME	Name of the subsidiary of the sanctioned company
LEI	Legal Entity Identifier of the sanctioned equity
TAXID	TAXID of the sanctioned equity
Public	Flag showing if company is private or public
INSTRUMENTCOMMONNAME	Equity name
ISIN	ISIN of the security
RCSASSETCLASS	RCS Class Code
RIC	Reuters identification code security
ASSETSTATE	Code representing the status of the security
SANCTION	Reference to the sanctions document
SANCTIONDATE	Date on which the sanctions were implemented on a company
INSTRUMENTISSUEDATE	Issue date of a security
SANCTIONED	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)
ENDDATE	Date when the sanctions were lifted

US/EU Funds Tab

Field Name in US/EU Funds tab	Description
PARENTPERMID	PERMID identifier of the sanctioned company
SUBSIDPERMID	PERMID identifier of the sanctioned equity
SUBSIDNAME	Name of the subsidiary of the sanctioned company

Field Name in US/EU Funds tab	Description
Public	Flag showing if company is private or public
INSTRUMENTCOMMONNAME	Equity name
ISIN	ISIN of the security
RCSASSETCLASS	RCS Class Code
RIC	Reuters identification code security
ASSETSTATE	Code representing the status of the security
SANCTION	Reference to the sanctions document
SANCTIONDATE	Date on which the sanctions were implemented on a company
INSTRUMENTISSUEDATE	Issue date of a security

US/EU Affiliates Tab

Field Name in US/EU Affiliates tab	Description
SANCTIONEDENTITY	PERMID identifier of the sanctioned parent company
SANCTIONEDENTITYNAME	Name of sanctioned the company
AFFILIATEID	PERMID identifier of the sanctioned affiliate
AFFILIATENAME	Name of the sanctioned affiliate
ENDDATE	Date when the sanctions were lifted

Russian Instrument Sanctions Service (sanctions imposed by UK)

The UK Russian Sanctions regime is aimed at encouraging Russia to cease actions destabilising Ukraine or undermining or threatening the territorial integrity, sovereignty or independence of Ukraine. These regulations have replaced, with substantially the same effect, relevant existing EU legislation and related UK regulations.

For reference, please see [Russia Sanctions Guidance](#).

UK Sanctioned Parents Tab

Field Name in UK Sanctioned Parents tab	Description
ENTITYORGID	Unique Refinitiv system-generated identifier for the entity
PERMID	Unique Refinitiv system-generated identifier for the entity
ENTITYNAME	Name of the sanctioned company
EFFECTIVEDATE	Date when sanctions were imposed on the company
SANCTIONINFORMATION	Reference to the sanctions document
SANCTIONSUMMARY	Brief description of the sanctions

UK Subsid Tab

Field Name in UK Subsid tab	Description
PARENTID	PERMID identifier of the ultimate parent of the sanctioned subsidiary (OA Data Field which stands for Shareholder/Owner who directly owns >50% of the shares or indirectly through other immediate company)
IMMEDIATEPARENTID	PERMID identifier of the immediate parent of the sanctioned subsidiary (OA Data Field which stands for Shareholder/Owner who directly owns >50% of the shares)
PERMID	PERMID identifier of the sanctioned subsidiary
LVL	Hierarchy level
NDAORGID	NDA identifier of the sanctioned subsidiary (NDA = Numeric Data Architecture, one of Refinitiv's databases that provides body/Issue/Quote level of data)
ORGANIZATIONNAME	Name of the sanctioned subsidiary
COD	Country of domicile (headquarter address country) of the sanctioned subsidiary
LEI	Legal Entity Identifier of the sanctioned subsidiary
TAXID	TAXID of the sanctioned subsidiary
SANCTION	Information about the sanctions document: Executive Order 13808 or Executive Order 13850, SDN list or not
SANCTIONDATE	Date on which the sanctions were implemented on the subsidiary

UK FI Tab

Field Name in UK FI tab	Description
PARENTPERMID	PERMID identifier of sanctioned company
ENTITYNAME	Name of sanctioned company
SUBSIDPERMID	PERMID identifier of sanctioned subsidiary
ORGNAME	Name of sanctioned subsidiary
SANCTION	Reference to the sanctions document
SANCTIONDATE	Date on which the sanctions were implemented on a company
ISSUEDATE	Issue date of the instrument
MATURITYDATE	Maturity date of the instrument
INSTRUMENTNAME	Name of the instrument
ISIN	ISIN of the instrument
RPNEFFFROM	Effective date of the reopening

Field Name in UK FI tab	Description
RPNEFFTO	End date of the reopening
ISASSETACTIVE	Yes/no flag (yes if instrument is active, no if instrument is not active)
SANCTIONED	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)

UK Equities Tab

Field Name in UK Equities tab	Description
PARENTPERMID	PERMID identifier of the sanctioned company
SUBSIDPERMID	PERMID identifier of the sanctioned equity
SUBSIDNAME	Name of subsidiary of the sanctioned company
LEI	Legal Entity Identifier of the sanctioned equity
TAXID	TAXID of the sanctioned equity
Public	Flag showing if company is private or public
INSTRUMENTCOMMONNAME	Equity name
ISIN	ISIN of security
RCSASSETCLASS	RCS Class Code
RIC	Reuters identification code security
ASSETSTATE	Code representing the status of the security
SANCTION	Reference to the sanctions document
SANCTIONDATE	Date on which the sanctions were implemented on a company
INSTRUMENTISSUEDATE	Issue date of a security
SANCTIONED	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)

UK Funds Tab

Field Name in UK Funds tab	Description
PARENTPERMID	PERMID identifier of the sanctioned company
SUBSIDPERMID	PERMID identifier of the sanctioned equity
SUBSIDNAME	Name of the subsidiary of the sanctioned company
Public	Flag showing if the company is private or public
INSTRUMENTCOMMONNAME	Equity name
ISIN	ISIN of the security

Field Name in UK Funds tab	Description
RCSASSETCLASS	RCS Class Code
RIC	Reuters identification code security
ASSETSTATE	Code representing the status of the security
SANCTION	Reference to the sanctions document
SANCTIONDATE	Date on which the sanction was implemented on a company
INSTRUMENTISSUEDATE	Issue date of a security

UK Affiliates Tab

Field Name in UK Affiliates tab	Description
SANCTIONEDENTITY	PERMID identifier of the sanctioned parent company
SANCTIONEDENTITYNAME	Name of the sanctioned company
AFFILIATEID	PERMID identifier of the sanctioned affiliate
AFFILIATENAME	Name of the sanctioned affiliate

Venezuelan Instrument Sanctions Service

Our service captures financial sanctions for entities that are included in the Specially Designated Nationals and Blocked Persons List (“SDN”) pursuant to Executive Order 13850* and entities pursuant to Executive Order EO13808**. We produce a list of debt and equities issued by the sanctioned companies and their subsidiaries.

*Executive Order EO13808 prohibits certain transactions related to new debt, dividend payments or other distributions and securities of the Government of Venezuela, including PdVSA (Petróleos de Venezuela, S.A).

**Executive Order 13850 targets persons designated by the Secretary of Treasury as contributing to the corruption of Venezuela’s economy, the degradation of Venezuela’s infrastructure and natural environment and the neglect of the Venezuelan people’s basic needs. The Executive Order blocks those designated person property and interests in property that are in or come within the United States (or in the possession or control of a U.S. person).

For reference, please see [Venezuela Related Sanctions](#).

US Sanctioned Parents Tab

Field Name in US Sanctioned Parents tab	Description
ENTITYORGID	Unique Refinitiv system-generated identifier for the entity
PERMID	Unique Refinitiv system-generated identifier for the entity
ENTITYNAME	Name of the sanctioned company
EFFECTIVEDATE	Date when the sanctions were imposed on the company
SANCTIONINFORMATION	Reference to the sanctions document

Field Name in US Sanctioned Parents tab	Description
SANCTIONSUMMARY	Brief description of the sanctions
ENDDATE	Date when sanctions were lifted

US Subsid Tab

Field Name in US Subsid tab	Description
PARENTID	PERMID identifier of the ultimate parent of the sanctioned subsidiary (OA Data Field that stands for Shareholder/Owner who directly owns >50% of the shares or indirectly through other immediate company)
IMMEDIATEPARENTID	PERMID identifier of the immediate parent of the sanctioned subsidiary (OA Data Field that stands for Shareholder/Owner who directly owns >50% of the shares)
PERMID	PERMID identifier of the sanctioned subsidiary
LVL	Hierarchy level
NDAORGID	NDA identifier of the sanctioned subsidiary (NDA = Numeric Data Architecture, one of Refinitiv's databases that provides body/Issue/Quote level of data)
ORGANIZATIONNAME	Name of the sanctioned subsidiary
COD	Country of domicile (headquarter address country) of the sanctioned subsidiary
LEI	Legal Entity Identifier of the sanctioned subsidiary
TAXID	TAXID of the sanctioned subsidiary
SANCTION	Information about the sanctions document: Executive Order 13808 or Executive Order 13850, SDN list or not
SANCTIONDATE	Date on which the sanction were implemented on the subsidiary
ENDDATE	Date on which the sanctions were lifted

US FI Tab

Field Name in US FI tab	Description
PARENTPERMID	PERMID identifier of the sanctioned company
ENTITYNAME	Name of the sanctioned company
SUBSIDPERMID	PERMID identifier of the sanctioned subsidiary
ORGNAME	Name of the sanctioned subsidiary
SANCTION	Reference to the sanctions document
SANCTIONDATE	Date on which the sanctions were implemented on a company

Field Name in US FI tab	Description
ISSUEDATE	Issue date of the instrument
MATURITYDATE	Maturity date of the instrument
INSTRUMENTNAME	Name of the instrument
ISIN	ISIN of the instrument
RPNEFFFROM	Effective date of the reopening
RPNEFFTO	End date of the reopening
CURRENCY	Currency of the instrument
ISASSETACTIVE	Yes/no flag (yes if instrument is active, no if instrument is not active)
SANCTIONED	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)

US Equity Tab

Field Name in US Equity Tab	Description
PARENTPERMID	PERMID identifier of the sanctioned company
SUBSIDPERMID	PERMID identifier of the sanctioned equity
SUBSIDNAME	Name of the subsidiary of the sanctioned company
LEI	Legal Entity Identifier of the sanctioned equity
TAXID	TAXID of the sanctioned equity
Public	Flag showing if company is private or public
INSTRUMENTCOMMONNAME	Equity name
ISIN	ISIN of the security
RCSASSETCLASS	RCS Class Code
RIC	Reuters Identification Code security
ASSETSTATE	Code representing the status of the security
SANCTION	Reference to the sanctions document
SANCTIONDATE	Date on which sanctions were implemented on a company
INSTRUMENTISSUEDATE	Issue date of a security
SANCTIONED	Yes/No flag (Yes if instrument is sanctioned, No if instrument is not sanctioned)

US Affiliates Tab

Field Name in US Affiliates tab	Description
SANCTIONEDENTITY	PERMID identifier of the sanctioned parent company
SANCTIONEDENTITYNAME	Name of the sanctioned company
AFFILIATEID	PERMID identifier of the sanctioned affiliate
AFFILIATENAME	Name of the sanctioned affiliate

Chinese Instrument Sanctions Service

Our service captures financial sanctions for entities that are included in the Specially Designated Nationals and Blocked Persons List (“SDN”)* pursuant to Executive Order 13959. We produce a list of debt, equities and funds issued by the sanctioned companies and their subsidiaries.

We also produce a list of exchange traded derivatives, warrants, exchange traded funds and indices that have an underlying security or constituent which is a sanctioned instrument.

*The following actions are prohibited beginning 9:30 a.m. eastern standard time on January 11, 2021, any transaction in publicly traded securities, or any securities that are derivative of, or are designed to provide investment exposure to such securities, of any Communist Chinese Military Company (CCMC).

For reference, please see [Chinese Military Companies Sanctions](#).

US CN Sanctioned Parents Tab

Field Name in Sanctioned Parents tab	Description
ENTITY ORGID	Unique Refinitiv system-generated identifier for the entity
PERMID	Unique Refinitiv system-generated identifier for the entity
ENTITY NAME	Name of the sanctioned company
SANCTION SUMMARY	Brief description of the sanctions
SANCTION INFORMATION	Information about the sanctions document: Executive Order 13959
SANCTIONED FLAG	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)
SANCTION DATE	Date when the sanctions were been imposed on the company
END DATE	Date when the sanctions were lifted

US CN Subsid Tab *subsidiaries of CCMC and their associated financial instruments will be provided if OFAC extends the sanctions regime to include them. Initially they were excluded

Field Name in US CN Subsid tab	Description
PARENT ID	PERMID identifier of the ultimate parent of the sanctioned subsidiary (OA Data Field which stands for

Field Name in US CN Subsid tab	Description
	Shareholder/Owner who directly owns >50% of the shares or indirectly through other immediate company)
IMMEDIATE PARENT ID	PERMID identifier of the immediate parent of the sanctioned subsidiary (OA Data Field which stands for Shareholder/Owner who directly owns >50% of the shares)
PERMID	PERMID identifier of the sanctioned subsidiary
LVL	Hierarchy level
NDA ORGID	NDA identifier of the sanctioned subsidiary (NDA = Numeric Data Architecture, one of Refinitiv's databases that provides body/Issue/Quote level of data)
ORGANIZATION NAME	Name of the sanctioned subsidiary
COD	Country of domicile (headquarter address country) of sanctioned subsidiary
LEI	Legal Entity Identifier of the sanctioned subsidiary
TAX ID	TAXID of the sanctioned subsidiary
SANCTION INFORMATION	Information about the sanctions document: Executive Order 13959
SANCTION DATE	Date on which the sanctions were implemented on the subsidiary
END DATE	Date when the sanctions were lifted

US CN FI Tab

Field Name in US CN FI tab	Description
PARENT PERMID	PERMID identifier of the sanctioned company
ENTITY NAME	Name of the sanctioned company
SUBSID PERMID	PERMID identifier of the sanctioned subsidiary
ORGANIZATION NAME	Name of the sanctioned subsidiary
ISSUE DATE	Issue date of the instrument
MATURITY DATE	Maturity date of the instrument
INSTRUMENT NAME	Name of the instrument
ISIN	ISIN of the instrument
RPNEFFFROM	Effective date of the reopening
RPNEFFTO	End date of the reopening
CURRENCY	Currency of the instrument
IS ASSET ACTIVE	Yes/no flag (yes if instrument is active, no if instrument is not active)

Field Name in US CN FI tab	Description
SANCTION INFORMATION	Information about the sanctions document: Executive Order 13959
SANCTIONED FLAG	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)
SANCTION DATE	Date on which the sanctions were implemented on the company
END DATE	Date when the sanctions were lifted

US CN Equities Tab

Field Name in CN Equities tab	Description
PARENT PERMID	PERMID identifier of the sanctioned company
SUBSID PERMID	PERMID identifier of the sanctioned equity
SUBSID NAME	Name of the subsidiary of the sanctioned company
LEI	Legal Entity Identifier of the sanctioned equity
TAXID	TAXID of the sanctioned equity
Public	Flag showing if company is private or public
INSTRUMENT NAME	Equity name
ISIN	ISIN of security
RCSASSETCLASS	RCS Class Code
RIC	Reuters identification code security
ASSET STATE	Code representing the status of the security
INSTRUMENT ISSUE DATE	Issue date of a security
SANCTION INFORMATION	Information about the sanctions document: Executive Order 13959
SANCTIONED FLAG	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)
SANCTION DATE	Date on which the sanctions were implemented on the company
END DATE	Date when the sanctions were lifted

US CN Funds Tab

Field Name in US CN Funds tab	Description
PARENT PERMID	PERMID identifier of the sanctioned company
SUBSID PERMID	PERMID identifier of the sanctioned equity
SUBSID NAME	Name of subsidiary of the sanctioned company

Field Name in US CN Funds tab	Description
Public	Flag showing if company is private or public
INSTRUMENT NAME	Equity name
ISIN	ISIN of security
RCSASSETCLASS	RCS Class Code
RIC	Reuters identification code security
ASSET STATE	Code representing the status of the security
INSTRUMENT ISSUE DATE	Issue date of a security
SANCTION INFORMATION	Information about the sanctions document: Executive Order 13959
SANCTIONED FLAG	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)
SANCTION DATE	Date on which the sanctions were implemented on the company
END DATE	Date when the sanctions were lifted

US CN Derivatives Tab

Field Name in US CN Derivatives tab	Description
RIC	Reuters identification code security
ISIN	ISIN of security
PERMID	PERMID identifier of the sanctioned instrument
UNDERLYING RIC	RIC that represents the underlying of the instrument
SECURITY DESCRIPTION	Description of the instrument
EXCHANGE	Market on which the instrument trades
REFINITIV CLASSIFICATION	Refinitiv classification description of the instrument
SANCTION INFORMATION	Information about the sanctions document: Executive Order 13959
SANCTIONED FLAG	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)
SANCTION DATE	Date on which the sanctions were implemented on the company
END DATE	Date when the sanctions were lifted

US CN Warrants Tab

Field Name in US CN Warrants tab	Description
RIC	Reuters identification code security

Field Name in US CN Warrants tab	Description
ISIN	ISIN of the instrument
PERMID	PERMID identifier of the sanctioned instrument
UNDERLYING RIC	RIC that represents the underlying of the instrument
SECURITY DESCRIPTION	Description of the instrument
EXCHANGE	Market on which the instrument trades
REFINITIV CLASSIFICATION	Refinitiv classification description of the instrument
SANCTION INFORMATION	Information about the sanctions document: Executive Order 13959
SANCTIONED FLAG	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)
SANCTION DATE	Date on which the sanctions were implemented on the company
END DATE	Date when the sanctions were lifted

US CN ETF Tab

Field Name in US CN ETFs tab	Description
RIC	Reuters identification code security
ISIN	ISIN of the instrument
LIPPER ID	Code assigned by Lipper to uniquely identify a fund
PERMID	PERMID identifier of the sanctioned instrument
UNDERLYING RIC	RIC that represents the underlying of the instrument
SECURITY DESCRIPTION	Description of the instrument
EXCHANGE	Market on which the instrument trades
REFINITIV CLASSIFICATION	Refinitiv classification description of the instrument
VALIDATION DATE	Date on which the ETF constituents were last checked
SANCTION INFORMATION	Information about the sanctions document: Executive Order 13959
SANCTIONED FLAG	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)
SANCTION DATE	Date on which the sanctions were implemented on the company
END DATE	Date when the sanctions were lifted

US CN Indices Tab

Field Name in US CN Indices tab	Description
RIC	Reuters identification code security
ISIN	ISIN of the instrument
PERMID	PERMID identifier of the sanctioned instrument
UNDERLYING RIC	RIC that represents the underlying of the instrument
SECURITY DESCRIPTION	Description of the instrument
EXCHANGE	Market on which the instrument trades
REFINITIV CLASSIFICATION	Refinitiv classification description of the instrument
VALIDATION DATE	Date on which the index constituents were last time checked
SANCTION INFORMATION	Information about the sanctions document: Executive Order 13959
SANCTIONED FLAG	Yes/no flag (yes if instrument is sanctioned, no if instrument is not sanctioned)
SANCTION DATE	Date on which the sanctions were implemented on the company
END DATE	Date when the sanctions were lifted

Appendix

Service and Support

The Refinitiv Statement of Service is available on [MyRefinitiv](#). MyRefinitiv is the Refinitiv portal that provides a single access point for timesaving support services, along with billing, user management, and information. For support using DataScope Select, please raise a query by accessing [Help & Support](#) at [MyRefinitiv](#). You are encouraged to [subscribe](#) to the following support channels to keep informed of changes to products and data, and to be notified of any service issues or changes:

- **Change Notifications**
 - **Product** change notifications detail new, enhanced, or changed functionality, which may require your action, in products that you use.
 - **Content** change notifications alert you to upcoming changes to real-time and historical data across all asset classes that are relevant to you.
 - **RIC** change notifications inform you of planned changes to Reuters Instrument Codes.
- **Service Alerts**

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