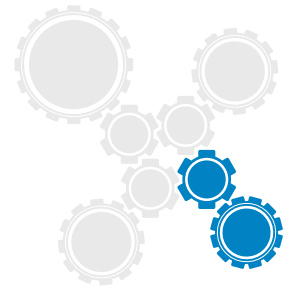


# SIA EAGLE Intermediaries

Personal Dealing



# Personal Dealing



## Relevant persons in the spotlight

The basic principles of the Personal Dealing require that relevant persons engaged in financial markets, when transacting for themselves, must give their clients priority and avoid conflicts of interest.

These rules reflect the purpose of improving the transparency and uniformity of the reporting of financial dealings by providing investors with clear signals about the perception that such persons hold of the company.

Clients Priority  
Avoiding Conflicts of Interest



## PERSONAL TRANSACTIONS REGISTRY

The Personal Transactions Registry is the official repository of MiFID Relevant Persons and of their transactions. It manages also the full audit trail of the authorization for each transaction.

The Personal Transactions Registry manages all relevant persons relationships, records relevant persons transactions, including the notified ones and handles authorizations/blocks related to the transactions.

✓ Management of the authorisation process

✓ Powerful searching and inquiry tools

✓ Full audit trail

✓ Data entry to insert notified transactions executed by other intermediaries

✓ Data entry available to complete relevant information not automatically available

## CORPORATE BODY MEMBERS REGISTRY AND RELATED PARTIES

This registry is the list of all the persons in leading positions within the firm, including all their linked persons and related parties. This list is managed by financial firms to create lists of relevant persons that, considering their role, could operate subject only to authorisation of the "Board of Directors" or according to other internal procedures.

Compliance is informed of the content of the List in order to perform its monitoring and control activities and to complete the Registry of personal transactions of relevant persons.



Automatic relationships generation



Management of the authorisation process



Powerful searching and inquiry tools



Full audit trail



Data entry available to complete relevant information not automatically available



Official repository of relevant persons responsible for the bank management

## About SIA

**SIA** is European leader in the design, creation and management of technology infrastructures and services for Financial and Central Institutions, Corporates and Public Administration bodies, in the areas of payments, e-money, network services and capital markets.

SIA Group provides its services in around 40 countries, and also operates through its subsidiaries in Hungary and South Africa. The company has offices in Milan and Brussels.

### SIA GROUP

- **SIA** the parent
- **Emmecom** innovative network applications for banks and businesses
- **Perago** in South Africa
- **Pi4Pay** services for Payment Institutions
- **SIA Central Europe** in Hungary
- **TSP** front-end services for companies and P.A.



### SIA GROUP key numbers in 2014

**9.2 billion**  
credit transfers  
and collections



**3 billion**  
card payments



**30.2 billion**  
trading and post-trading  
transactions



**326 terabytes**  
data carried  
on the network



**1,500**  
employees



**€426.3 million**  
revenues



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