

SEC 10c-1a vs. SFTR

10c-1a (Final)	VS.	SFTR
Loans Booked Against Reportable Securities	Scope	European entities and their branches; European branches of non-European entities; all securities, globally
Securities Lending	Transaction Type	Sec Lending, Repo, Buy/Sell Back, Margin Lending
Approx. 12 (some fields not identical or included in SFTR)	Total Number of Fields	156
End of day as of effective date	Timing	T+1
Aggregated Transaction Data T+1 Loan Amount T+20	Pub. of Agg. / Anon. Data	Weekly
One-sided (Covered Persons) RNSA (FINRA)	Rep. Party / Destination	Dual-sided ESMA-Regulated Trade Repository
SEC Registered Broker-Dealer or Clearing Agent	Reporting Agents	No specific requirements
3 years	Data Retention	5 years from date of termination
Suggested RNSA (FINRA) but can also be provided by Covered Person	UI Generation	Waterfall to determine responsibility
Loans and Modifications	Reporting Requirements	Loans, Modifications, Collateral, Collateral Reuse, Valuation and Margin Data
SEC	Regulatory Landscape	FCA/ESMA