

## SEC 10c-1a vs. SFTR

10c-1a (Final)	VS.	SFTR
Loans Booked Against Reportable Securities (predominantly U.S. securities)	<b>Scope</b>	European entities and their branches; European branches of non-European entities; all securities, globally
Securities Lending	<b>Transaction Type</b>	Sec Lending, Repo, Buy/Sell Back, Margin Lending
Approx. 24 (some fields not identical or included in SFTR) * The 24 fields for 10c-1a include some elements of the Series 6500 rule.	<b>Total Number of Fields</b>	156
End of day as of effective date	<b>Timing</b>	T+1
Aggregated Transaction Data T+1 Loan Amount T+20	<b>Pub. of Agg. / Anon. Data</b>	Weekly
One-sided (Covered Persons) RNSA (FINRA)	<b>Rep. Party / Destination</b>	Dual-sided ESMA-Regulated Trade Repository
SEC Registered Broker-Dealer or Clearing Agent	<b>Reporting Agents</b>	No specific requirements
3 years	<b>Data Retention</b>	5 years from date of termination
Suggested RNSA (FINRA)	<b>Unique Identifier Generation</b>	Waterfall to determine responsibility
Loans and Modifications	<b>Reporting Requirements</b>	Loans, Modifications, Collateral, Collateral Reuse, Valuation and Margin Data
SEC	<b>Regulatory Landscape</b>	FCA/ESMA