



Regulatory Hub

A future-proofed regulatory services platform to help you do business today and tomorrow

Helping the buy- and sell-side connect and communicate for a strategic approach to investor protection regulations.

The new wave of investor protection legislation brings seismic changes for how the financial industry works together. MiFID II and PRIIPs are in place and similar regulations such as UCITS already appear on the horizon. To be compliant with these regulations buy- and sell-side firms need to be able to exchange information, data and documents throughout the lifecycle of an instrument. Regulatory automation will be key for an efficient operating model demanding sufficient technology and data management systems to be able to respond accurately and quickly to these obligations.

A networked financial community

MiFID II and PRIIP define new mutually dependent responsibilities for product issuers and distributors in their distribution network. This means that firms need to consider how to manage multilateral information flows between the buy- and sell-side for the first time. Sell-side firms must be able to share data and documents in a timely fashion with their distribution network, while the buy-side must have systems in place to be able to receive the flow of information coming from all the manufacturers featured on their product shelf. Firms must also be able to meet reporting obligations, requiring access to data and information from across the instrument lifecycle in both directions.

Automate and industrialize for strategic compliance

Significant overlap in the regulations means that the same data points are required for multiple regulations in different levels of granularity. Eliminating duplication of effort in data sourcing, while being able to handle scale, is therefore crucial to retain cost advantage.

Value for manufacturers

- Single platform to reach distributors with data and documents
- Develop distribution channels

Value for distributors

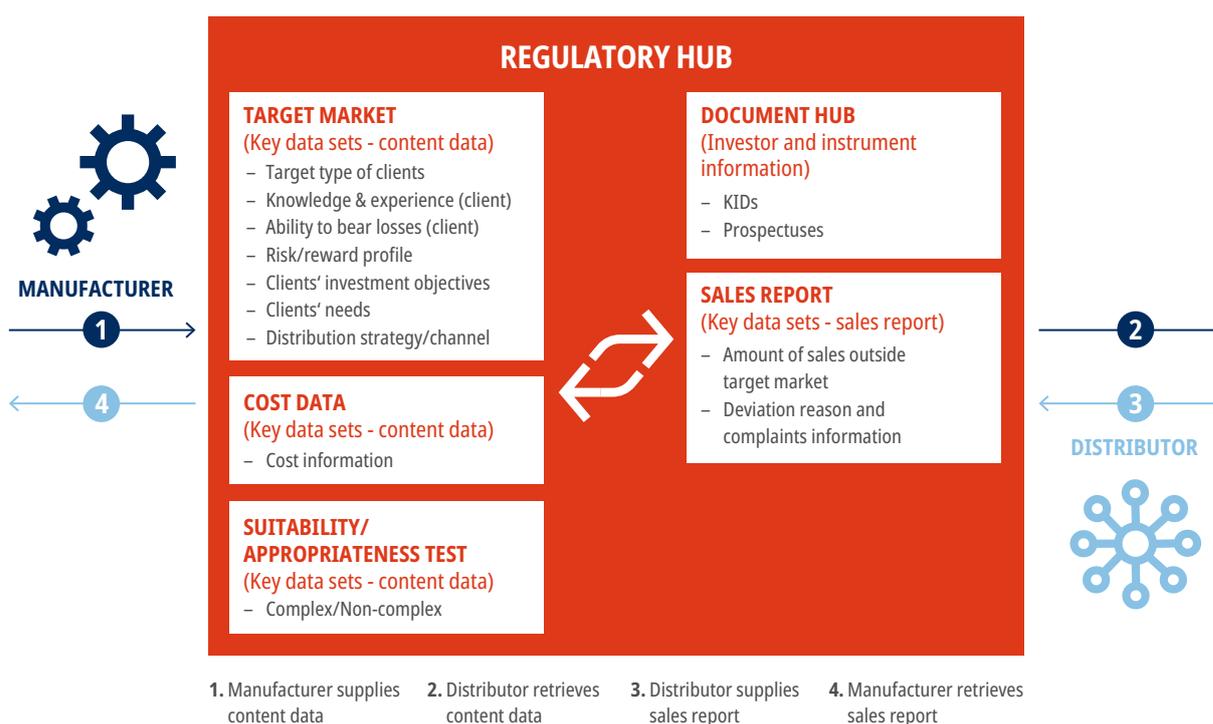
- Access to complete regulatory information sets: Target market, Costs, Investment docs, Regulatory docs
- Easy compliance with regulatory requirements, especially reporting e.g. sales reports

Value for the marketplace

- Connect the buy-side and sell-side by reducing connection complexity
- Data accuracy with on-demand access to the most up-to-date information
- Reduce complexity and data management burdens
- Our services are business-ready and future proof

Regulatory Hub by SIX

Our regulatory hub supports efficient multilateral exchange between manufacturers and distributors.



What is Regulatory Hub by SIX?

Regulatory Hub by SIX is an industry platform that has been designed to connect the buy-side and sell-side with each other so data and documents can be exchanged in a standardized, automated and digital way. Built to accommodate current and future international regulations, the platform acts as a communication interface between market players and can handle data, metadata and documents.

The platform has been designed for volume to help firms take a scalable approach to compliance. Regulatory Hub by SIX offers three complementary services: document generation, document management and data management. SIX has analyzed the complexity of the linkages between PRIIPs and MiFID II to offer you a complete view of EEA investor protection data requirements. Our data and value-added services are designed to help you align your investor protection efforts and approach compliance strategically, so you can focus on your core business.

Work with SIX to turn compliance into your competitive advantage

SIX offers a standardized approach to establish industry protocol for an adaptive regulatory response:

- Access and exchange data and documents
- Eliminate data sourcing complexity
- Eliminate data redundancy
- Eliminate data duplication

Find out more about our industry working groups or contact one of our representatives to discuss your regulatory needs: www.six-group.com/reghub

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