



Date	12.12.2024
Version	1.8
Classification	Internal
Pages	46, incl. cover page

# Regulatory Documents DocHub User Manual

## List of Contents

<b>1. Overview .....</b>	<b>4</b>
<b>2. General information .....</b>	<b>5</b>
2.1. Environment and test data .....	5
2.2. Login .....	5
2.3. Forgot and Update Password .....	6
2.4. Client Roles and User Rights .....	8
2.5. What are my User Rights .....	8
2.6. GUI Languages .....	9
<b>3. General Features .....</b>	<b>10</b>
3.1. Main Menu .....	10
3.2. Functions .....	11
3.3. Menu Overview .....	11
3.4. Menu Latest Documents .....	14
3.4.1. Documents with unknown jurisdictions or unknown language .....	19
3.4.2. Adjustment of the Search Result Screen .....	19
3.4.3. Extended Search Results .....	21
3.4.4. Detailed view of a Search Result .....	22
3.4.5. Verification of instrument status .....	23
3.4.6. Check if document is available in a private/restricted connection .....	24
3.4.7. Combined Search for ISIN / ETD ISIN and Valor / ETD-Valor .....	25
3.5. Menu Archived Documents – Retrieve archived documents .....	27
3.6. Menu Historic Documents .....	27
3.7. Menu Connection .....	29
3.7.1. Suppliers channel management .....	29
3.7.2. Distributors connection management .....	30
3.8. Manual document upload (only with Power Supplier right) .....	33
3.8.1. Manual document upload of one document .....	33
3.8.2. Manual Mass upload of documents .....	39
3.8.3. Search uploaded documents .....	39
3.8.4. Edit an uploaded document .....	40
3.8.5. Delete uploaded document .....	40
3.8.6. Import List .....	41
3.9. Menu Monitoring .....	43
3.9.1. Export Files (only for Power Distributor Users) .....	43
3.9.2. Audit Trail (only for Power Distributors) .....	43
3.9.2.1 Download Audit Trail Report .....	45
3.9.3. File Delivery List .....	45
3.9.4. Comparison “Archive” and “Audit Trail” .....	45
3.10. Menu Help .....	46
3.10.1 Support .....	46
3.10.2 Notification .....	46

## New Functions in Release 2.9

- [1 & 3.10.2](#) Product Manual document upload (only with Power Supplier right)
- [2.3](#) Introduction of SIX Account Console which allows the user to update/reset password.
- [3.1](#) Changes/additions to the main menu
- [3.4](#) Document Type Group - Changes within the name of the ESG document types
- [3.6](#) Implementation of Historic documents

## New Functions in Release 2.10

- [3.8.1](#) Document Upload using GK

## New Functions in Release 2.11

- [3.4](#) New Insurance Group and Insurance Document Types
- [3.4](#) Company Reports, UK SDR and Investment Labels and Crypto-Asset White Paper

## New Functions in Release 2.12

- [3.4](#) New ESG Document Types and renamed Document Types
- [3.4](#) Added new Deprecated Document Group Type
- [3.4.2](#) Implemented New Generation Method
- [3.8.3](#) New additional column named "Supplier-specific Document Type Name" has been added

Changes in the User Manual are [marked in blue](#).

## 1. Overview

Distributors of financial products (typically wealth management firms and insurers) need various documents from the relevant issuers/manufacturers ("Document Suppliers") to distribute their financial products whilst complying with applicable laws and regulations.

The document download platform "DocHub" provides distributors with a single interface through which various types of regulatory and marketing documents for financial instruments and companies can be accessed, thereby reducing integration costs. All document downloads are logged for subsequent auditability requirements and the downloaded documents can optionally be archived. The Subscriber can only access his own organization's audit log and archive.

Document Suppliers provide their documents to DocHub either through direct delivery or via third parties.

DocHub supports over 40 document types like regulatory documents, publication and certification obligations and marketing material. Here follow some examples.

- PRIIP KIDs
- UCITS KIIDs
- FIDLEG BIB / FINSA KID
- Sales Prospectuses
- Monthly Reports
- ESG/SFDR/EU-Taxonomy documents
- Insurance Documents

A GUI (graphical user interface accessed via a browser) allows browsing the list of Document Suppliers connected with DocHub. A distributor can select which of them should be included or excluded into his document universe. The selection applies to all users of the distributor for search and downloads. It is possible to select all Document Suppliers and get an automatic inclusion of new onboarded Document Suppliers.

DocHub allows Document Suppliers to publish documents with restricted access (private). Only selected distributors can access them via Distributor Specific or Multi Distributor Connection. This distribution entitlement can be set for each document individually by the Supplier.

In addition, Distributors can be entitled to upload private documents for their own use, such as research materials, etc. It is their responsibility to set the distribution entitlement correctly on these documents to avoid public availability via DocHub. In this case the Distributor needs an entitlement for a Supplier User role. Please contact SIX Client Support, if this role is needed.

As optional service, a Distributor can generate its own German PIBs. The on-the-fly generation is initiated via DocHub GUI or DocHub API. The generation is performed by an optional dedicated third-party service.

The Service is accessible via Internet with a common Browser. You may have access to the productive environment PROD and/or the test system TEST. Be aware that the document universe on the test environment is much smaller than in production.

Notifications related to the use of the Service will be published through SIX Client Portal. Each DocHub user is granted access to this online system, and it is his/her responsibility to subscribe to the relevant notifications (e.g., Product Notifications, Planned Maintenance, Service Alerts), that can then be consulted online or configured to be automatically forwarded via email. Client Support will assist you in registering on the SIX client portal.

**New Product Notification:** The banner on top of the DocHub login page will display the latest news of product releases, notifications and updates on DocHub and all the users can view the notifications on the landing page.



SIX is the single point of contact for the Subscriber's service requests (including incidents, questions and help).

Find out about support hours and phone numbers for your region by selecting your country in our "Contacts" page that can be found at following address: <https://www.six-group.com/en/contacts/financial-information.html>. The most efficient means of registering and following-up on service requests with SIX consists in using the embedded client portal messaging system (also known as "Inbox") each user is automatically granted access.

## 2. General information

### 2.1. Environment and test data

Every client gets access to the 2 following different environments for SIX DocHub:

Symbol	Description	USER	URL
Test Environment (TEST)	Used for end-to-end testing purposes with client. Before a new software is released into production, this environment supports the new software version	SIX, Potential client, End client	<a href="https://test.six-dochub.com">https://test.six-dochub.com</a>
Production Environment (PROD)	Live Environment	SIX, End client	<a href="https://www.six-dochub.com">https://www.six-dochub.com</a>

### 2.2. Login

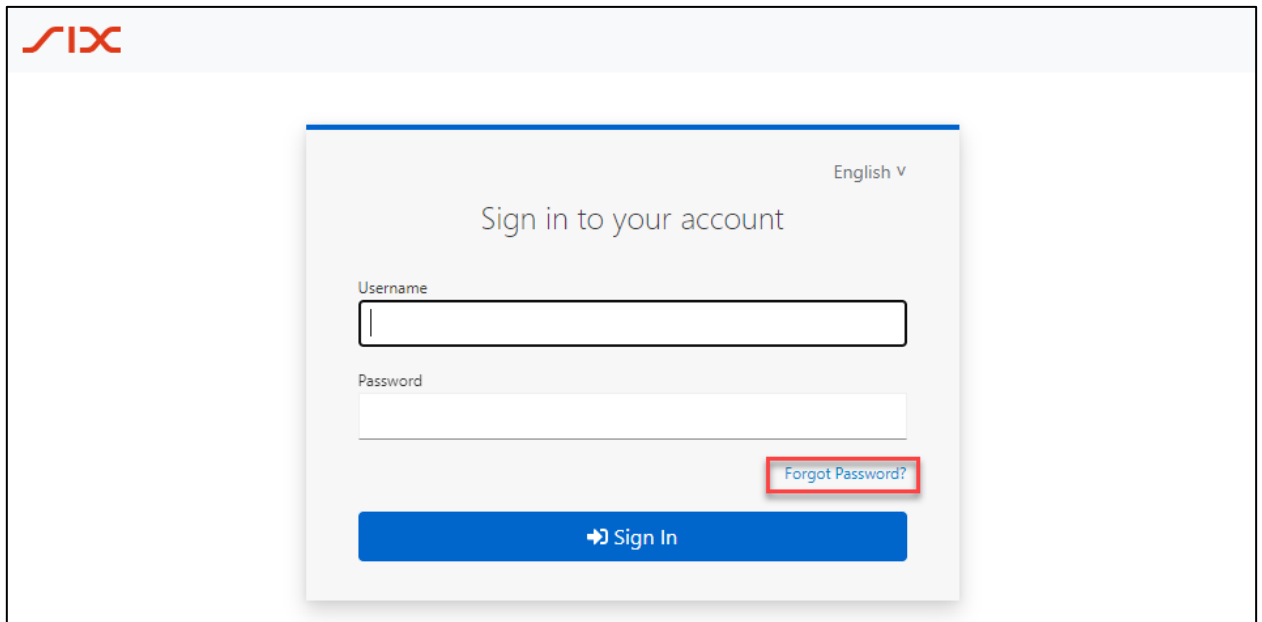
Every client will get access to the above mentioned environments (TEST and PROD).

- User name, link to set your password and link to DocHub will be sent automatically after opening the user. Please check your Spam in case you haven't got it.
- In case the password has been forgotten or lost, please use the "Forgot password" function on logging page. A link to reset your password will be sent to you via email.

In order to login, the user has to insert the User name as well as his password and then click on the "Sign In" button to confirm and sign in.

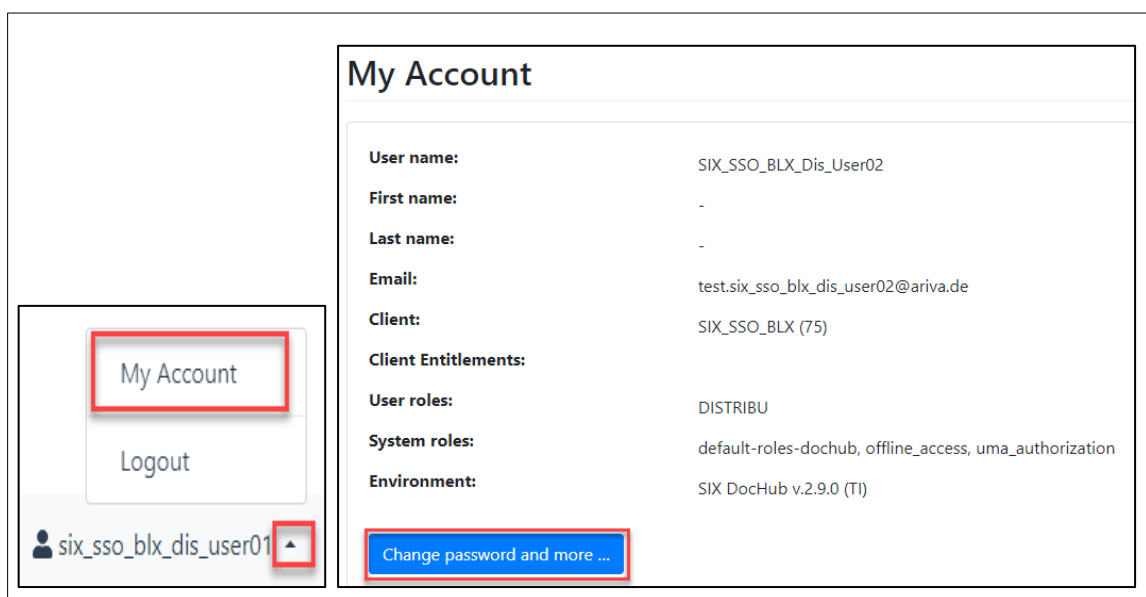
## 2.3. Forgot and Update Password

A user always has the option to change the default password provided by SIX by clicking on the “Forgot Password?” link in the login page.



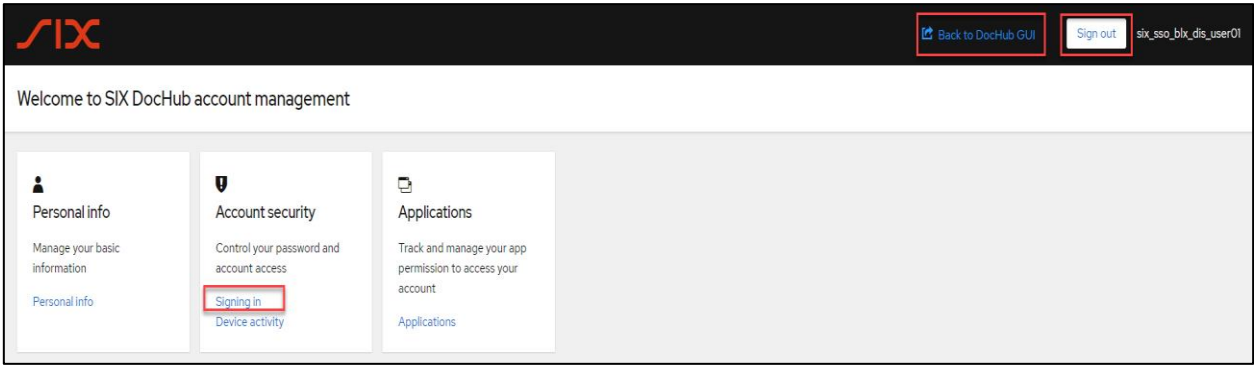
As soon as the user is logged-in, the user will be able to see a small triangle on the bottom right next to the User name.

1. By clicking on the triangle symbol a separate window will open up with the two functions “My Account” and “Logout”. Under the menu “My Account” a user can update the password by clicking on the “Change password and more” button.

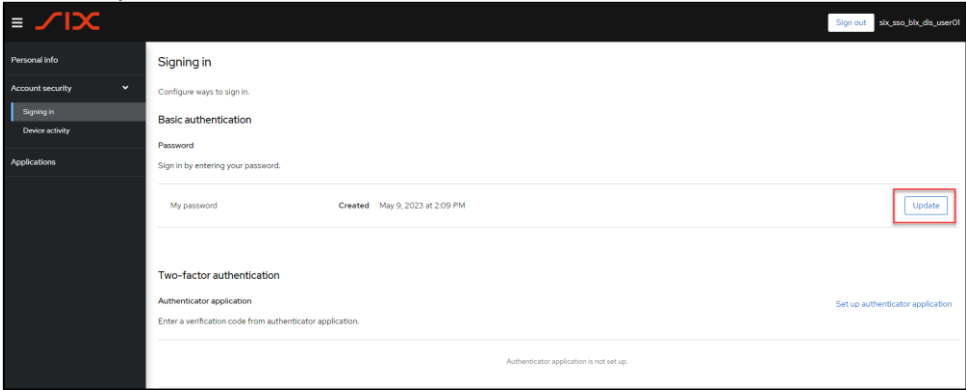


<b>User name:</b>	SIX_SSO_BLX_Dis_User02
<b>First name:</b>	-
<b>Last name:</b>	-
<b>Email:</b>	test.six_sso_blx_dis_user02@ariva.de
<b>Client:</b>	SIX_SSO_BLX (75)
<b>Client Entitlements:</b>	
<b>User roles:</b>	DISTRIBU
<b>System roles:</b>	default-roles-dochub, offline_access, uma_authorization
<b>Environment:</b>	SIX DocHub v.2.9.0 (TI)

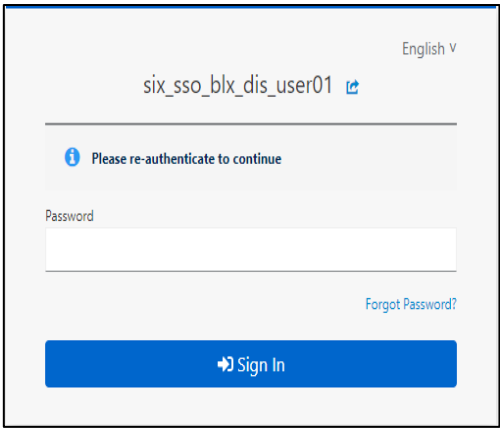
The page will re-direct to another window (SIX Console Account-see below image). Under Account security, click on **“Signing in”** and on the same page the user can click on **“Back to DocHub GUI”** (re-direct to the main DocHub page) or sign out accordingly.



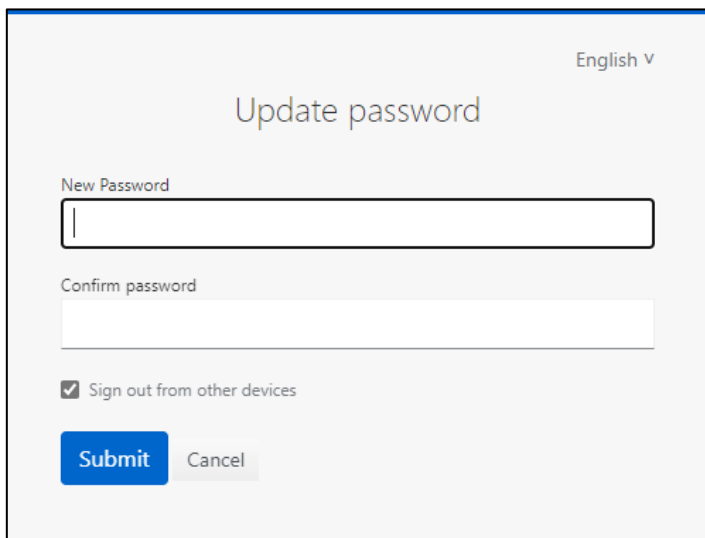
Click on update



Enter the current password and click on Sign In.



New window will pop up. Enter the new password and submit.



English ▾

## Update password

New Password

Confirm password

☒ Sign out from other devices

**Submit** Cancel

## 2.4. Client Roles and User Rights

The SIX DocHub supports two different roles:

- Distributor Role
- Supplier Role

A **Distributor** searches and downloads documents of his universe. The universe is defined by the active connections to the suppliers.

A **Supplier** provides document metadata describing what documents are available. Included in this metadata is the distribution entitlement which defines restrictions regarding the access to the documents.

Each role requires its own log in. This means that during the onboarding procedure, the onboarding manager and the client define the client's necessary roles and the related users. It is also possible that a client has both roles, a Supplier role and a Distributor role.

Each client can have different **User Rights** per roles for DocHub.

### Distributor Role

- Distributor GUI User  
Search and download documents, access archived documents, read connections
- Distributor Power GUI User  
Search and download documents, access archived documents, read connections, accept / reject connections, read and download Audit Trail
- Distributor Technical User  
Access to DocHub SOAP & REST API with all methods

### Supplier Role

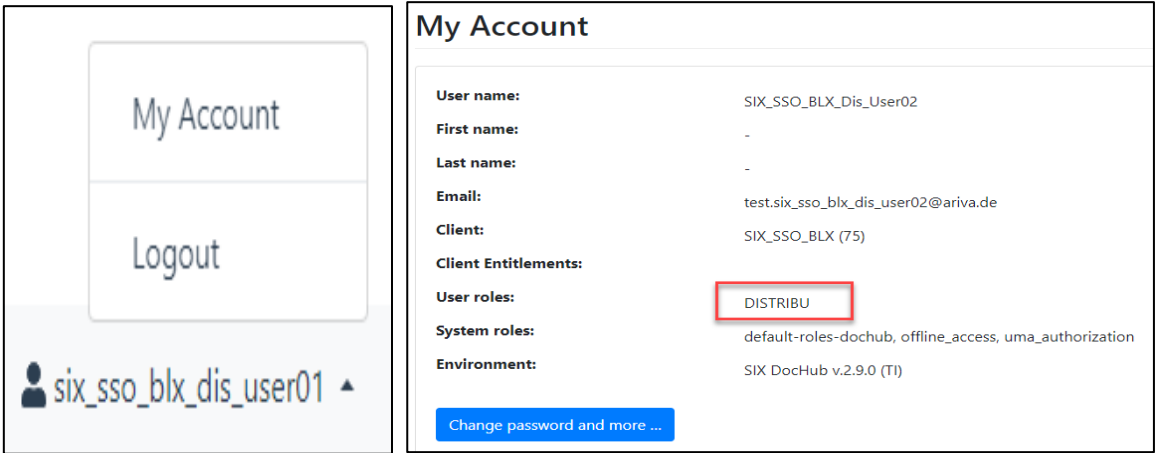
- Supplier GUI User  
Get and search own documents, read channels
- Supplier Power GUI User  
Search, edit, delete and upload own documents. Read and update channels. Monitor import.
- Supplier Technical User  
Gateway access to deliver files with document metadata

## 2.5. What are my User Rights

The rights of a user are depending on the role, as mentioned above.

As soon as a user is logged in, their User name will be visible in the bottom right of the page with a small triangle symbol next to it. By clicking on the triangle symbol, an additional window will show with the two functions “My Account” and “Logout”. By clicking on the “My Account” button, the user can see their role. The user roles inform indirectly about the rights (for details see the section “User Rights” above).

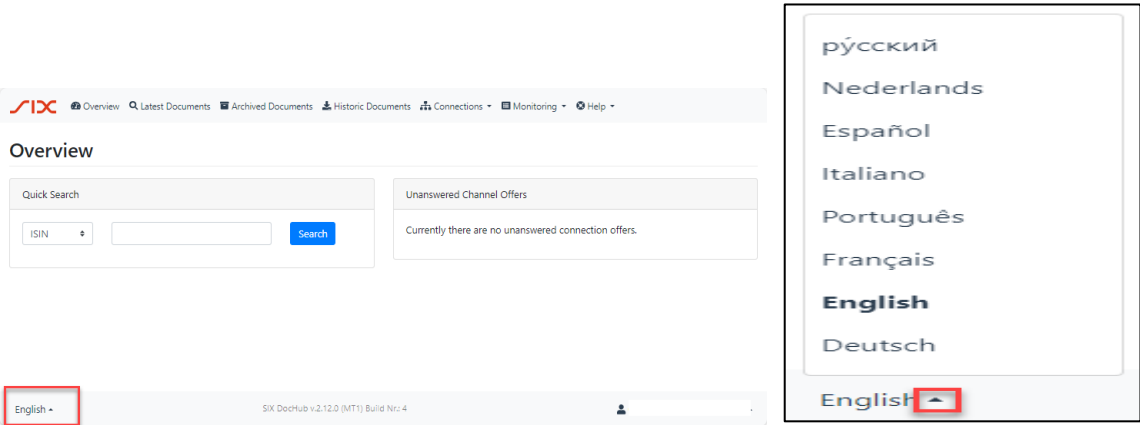
**Print screen:**



**2.6. GUI Languages**

The DocHub GUI currently supports eight different languages for the interface (Dutch, Spanish, French, Russian, German, Italian, English and Portuguese). It is important to note that these GUI languages are not linked to the document languages (e.g., PRIIP KID language).

Every user can select interface language in DocHub GUI any time by clicking on the triangle at the bottom left of the GUI




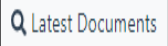





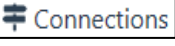

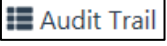





### 3. General Features

#### 3.1. Main Menu

The application screen consists of a Main Menu with a selection menu. Some selection menu items switch directly to a new screen other offer a submenu to switch to a new screen.


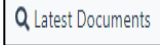


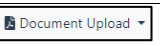

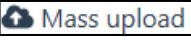

#### Distributor and Power\* Distributor User




Items with \* need the Power User rights. Items with \*\* are only available when the service is included.

Menu Bar item	Button	Submenu item	Description
Overview		Direct switch	<ul style="list-style-type: none"> <li>Search for documents</li> <li>Offered connections</li> </ul>
Latest Documents		Direct switch	<ul style="list-style-type: none"> <li>Search with extended search criteria</li> <li>Download documents with automatic archiving</li> </ul>
		 **	<ul style="list-style-type: none"> <li>Creating a German PIB based on ISIN entry **</li> <li>Needs an additional 3<sup>rd</sup>-Party contract **</li> </ul>
Archived Documents			<ul style="list-style-type: none"> <li>Search for previously downloaded documents with extended search function</li> </ul>
Historic Documents		Historic Document Search	<ul style="list-style-type: none"> <li>Search Historic Documents</li> </ul>
Connections			<ul style="list-style-type: none"> <li>Checking connected channels from Suppliers</li> <li>Connect or reject channels from Suppliers*</li> </ul>
Monitoring			<ul style="list-style-type: none"> <li>Protocol of document downloaded for the different request types and users*</li> </ul>
			<ul style="list-style-type: none"> <li>View and search exported consolidated metadata files*</li> <li>Download result as Excel*</li> </ul>
			<ul style="list-style-type: none"> <li>Metadata Export File Delivery list with details</li> </ul>
Help			<ul style="list-style-type: none"> <li>Contact SIX Client Support by phone or e-mail.</li> <li>User manuals for GUI and Mass Upload</li> </ul>
			<ul style="list-style-type: none"> <li>Latest DocHub Release updates will be displayed</li> </ul>

#### Supplier and Power Supplier User










Functions with \* need the Power User rights.

Menu Bar item	Button	Submenu	Description
Overview		Direct switch	<ul style="list-style-type: none"> <li>Search for <b>own uploaded</b> documents</li> </ul>
Latest Documents		Direct switch	<ul style="list-style-type: none"> <li>Search with extended search criteria</li> <li>Download documents</li> </ul>
Connection			<ul style="list-style-type: none"> <li>Supplier can modify multi distributor channels*</li> <li>Add or remove a distributor to an existing channel*</li> </ul>
Document Upload			<ul style="list-style-type: none"> <li>Manual upload of one document*</li> <li>Edit or remove document metadata entries from DocHub*</li> <li>Search with extended search function</li> </ul>
			<ul style="list-style-type: none"> <li>Mass upload of multiple files*</li> </ul>
			<ul style="list-style-type: none"> <li>Shows when document metadata files have been delivered (automatically or manually) and processing result (success or no success) etc.*</li> </ul>

Help	 Help	 Support	<ul style="list-style-type: none"><li>Contact SIX Client Support by phone or e-mail.</li><li>User manuals for GUI and Mass Upload</li></ul>
		 Notifications	<ul style="list-style-type: none"><li>Latest DocHub Release updates will be displayed</li></ul>

### 3.2. Functions

Following functions are available in the display screens. The functions depend on the role and on the selected Menu.

Tool	Description
 PDF	<ul style="list-style-type: none"><li>To download and/or open a PDF document. Depending on browser settings the document might be opened directly, might be downloaded or the user might be asked for an action.</li><li>All documents downloaded via GUI will be archived.</li></ul>
 PDF + data	<ul style="list-style-type: none"><li><b>In addition to the document download as described above, the user can</b> add attributes to document retrieval. These attributes are visible in “distributor’s documents retrieval” when this was a document retrieval in a search menu. The attributes are also visible in the audit trail for all type of requests to which such data has been supplied. Supply of attributes is mainly used by API access.</li></ul>
 Details	<ul style="list-style-type: none"><li>To see more detailed and further information about a document in one screen.</li></ul>
Columns	<ul style="list-style-type: none"><li>To add or remove columns in your search result.</li><li>Please note the offered columns are depending on the role and also on menu/sub-menu.</li><li>Helps to refine your search outcome.</li><li>Organise the columns view list as per the selection of columns in the visible columns menu.</li></ul>
English 	<ul style="list-style-type: none"><li>Drop down menu to select the GUI language from a pre-defined list at the bottom left of the page.</li></ul>
Search	<ul style="list-style-type: none"><li>Starts search</li></ul>
Extended Search	<ul style="list-style-type: none"><li>To extend search functions.</li><li>Helps to limit the search result.</li><li>Selection is different from role to role and from menu to menu.</li></ul>
 Show all	<ul style="list-style-type: none"><li>To select all opportunities (Languages and Jurisdictions) tick the box.</li></ul> <p><b>Without tick:</b></p> <ul style="list-style-type: none"><li>jurisdiction: 31 EEA/EU/ third countries (Switzerland) are available for selection.</li><li>languages: public languages of the 31 EEA/EU/ third countries (Switzerland) are available for selection.</li></ul> <p><b>Selection with tick:</b></p> <ul style="list-style-type: none"><li>jurisdiction: all countries</li><li>languages: all languages</li></ul>
	<ul style="list-style-type: none"><li>Drop down menu to select an attribute from the pre-defined list e.g., instrument scheme or document type.</li></ul>
 XML	<ul style="list-style-type: none"><li>To obtain the metadata in XML format.</li></ul>
 ZIP	<ul style="list-style-type: none"><li>To obtain the document plus metadata as a ZIP file.</li></ul>
 Edit	<ul style="list-style-type: none"><li>To edit metadata (like jurisdictions, distribution entitlement,) of an uploaded document.</li></ul>

### 3.3. Menu Overview

The Menu “Overview” serves as a dashboard and gives an overview of the most important features. It allows a quick search for a document and informs the Distributor as well as the Supplier about open or unanswered channel offers.

Under the Menu “Overview” a user can search for a document via different identifier schemes. The following schemes are supported: Document ID, ISIN, Valor, WKN, SEDOL, CUSIP, Sicovam, Supplier specific 1, Supplier specific 2, Supplier specific 3, DocGen OTC, ETD ISIN, ETD Valor, ETD All, COMPANY LEI, COMPANY GK, COMPANY IDENTIFIER TEXT. Once a user has chosen a scheme, he can enter the identifier. When the search field is empty or contains only the asterisk (\*), the results shown are all documents with an existing identification of the selected scheme.

**Example –Quick Search via identifier (ISIN: LU0828906700):** If a user decides to search for a document via Instrument identifier, he needs to follow the following three steps:

1. Choose the type of instrument scheme (ISIN) via the drop-down menu.
2. Enter the identifier of the scheme (e.g., LU0828906700) and start the search function by clicking on the “SEARCH” button. Of course, he can also start to enter the identifier of the scheme (e.g., LU0828906700) and afterwards you chose the scheme.

The screenshot shows the 'Overview' page of the SIX DocHub interface. At the top, there is a navigation bar with links for 'Overview', 'Latest Documents', 'Connections', 'Document Upload', and 'Help'. Below the navigation bar, the 'Overview' section is displayed. On the left, there is a 'Quick search' section with a dropdown menu set to 'ISIN', an input field, and a 'Search' button. On the right, there is an 'Open channel offers' section with the text 'Currently there are no connection offers.'

This screenshot is a closer view of the 'Quick search' section. The 'ISIN' dropdown menu is highlighted with a red box, and a red square highlights the dropdown arrow icon. The input field is empty, and the 'Search' button is visible to the right.

This screenshot shows the 'Quick search' section with the 'ISIN' dropdown menu open, displaying a list of instrument schemes. The input field is highlighted with a red box and contains the text 'Enter identifier'. The 'Search' button is visible to the right of the input field.

Instrument Scheme
ISIN
Document ID
Valor
WKN
SEDOL
CUSIP
Sicovam
Supplier specific 1
Supplier specific 2
Supplier specific 3
DocGen OTC
ETD ISIN
ETD Valor
ETD All
COMPANY LEI
COMPANY GK
COMPANY IDENTIFIER TEXT

- After clicking on the “Search” button, the system switches automatically into Menu “Search” and provides under “Search result” the documents with the specific instrument identifier ISIN AT0000495288. There are multiple types of documents available for multiple jurisdictions, different languages, same Mime type and multiple Document Suppliers.

The screenshot shows the SIX DocHub Search interface. The search criteria are: Instrument search, ISIN AT0000495288, Document type group: Any, Languages: Select option, and Jurisdictions: Select option. The search results show 1 - 9 of 9 documents. The table below summarizes the results:

Options	ISIN	VALOR	WKN	Document Supplier	Document type	Language	Jurisdiction	Publication Classification Type	Time of last generation	Distribution
PDF PDF + data Details	AT0000495288	-	-	SIX_SSO_BXL	Sales Prospectus	en	Ireland (IE), United Kingdom (GB), Switzerland (CH)	0	Feb 1, 2011, 12:00:00 AM	P0001
PDF PDF + data Details	AT0000495288	-	-	SIX_SSO_BXL	Annual reports	en	Ireland (IE), United Kingdom (GB), Switzerland (CH)	0	May 31, 2012, 1:00:00 AM	P0001
PDF PDF + data Details	AT0000495288	-	-	SIX_SSO_BXL	Semi-annual reports	en	Ireland (IE), United Kingdom (GB), Switzerland (CH)	0	Nov 30, 2017, 12:00:00 AM	P0001
PDF PDF + data Details	AT0000495288	-	-	SIX_SSO_BXL	PRIIP-KID	it	Italy (IT)	0	Feb 1, 2017, 12:00:00 AM	P0001
PDF PDF + data Details	AT0000495288	-	-	SIX_SSO_BXL	Sales Prospectus	de	Germany (DE), Austria (AT)	0	Nov 30, 2018, 12:00:00	P0001

- There are two approaches to open the document. You can open it either with the “PDF” button or with the “PDF + Data” button.

The screenshot shows the SIX DocHub Search interface with the same search criteria as above. The search results show 1 - 9 of 9 documents. The table below summarizes the results, with the 'PDF' and 'PDF + data' buttons highlighted in the first row:

Options	ISIN	VALOR	WKN	Document Supplier	Document type	Language	Jurisdiction	Time of last generation	Time of last update	Document ID	Mime Type	File size	Distribution	Publication Classification Type	Generation method
PDF PDF + data Details	AT0000495288	-	-	SIX_SSO_BXL	Sales Prospectus	en	Ireland (IE), United Kingdom (GB), ...	Feb 1, 2011, 12:00:00 AM	Apr 11, 2017, 1:00:00 ...	acmbzz5k92zwmvw9ena9pkj6ntvnbce	PDF	492.4 KIB	P0001	0	9999

Clicking on “PDF” will directly download the document and store it in the archive. If you like to store some additional info together with the document, e.g., a transaction no., you have to click on “PDF + data” and you will be asked to add 1 to 5 Request Identifying Data.

Document download with CustomData

Request Identifying Data1:
Request Identifying Data2:
Request Identifying Data3:
Request Identifying Data4:
Request Identifying Data5:

Cancel
Document download with CustomData

### 3.4. Menu Latest Documents

Menu “Search” allows users to search for a document via different instrument and company schemes. The behaviour is the same as described in Menu Overview. Distributors will find all documents from connected Suppliers (Please see section 3.6), Suppliers will find only their own documents.

By choosing the radio buttons for “Instrument Search” or “Company Search” the respective identifier search scheme can be filtered, and additionally further filters can be selected by “Document type group”, “Languages” and “Jurisdictions”.

SIX
Overview
Latest Documents
Connections
Document Upload
Help

Search

Instrument search
Company search

ISIN
AT0000495288
Search
Reset

Document type group:
Any
Individual types

Languages:
Select option
Show all

Jurisdictions:
Select option
Show all

Extended Search

Search results 1 - 9 of 9
Columns

Options	ISIN	VALOR	WKN	Document Supplier	Document type	Language	Jurisdiction	Time of last generation	Time of last update	Document ID	Mime Type	File size	Distribution	Publication Classification Type	Generation method
PDF PDF + data Details	AT0000495288	-	-	SIX_SSO_BX	Sales Prospectus	en	Ireland (IE), United Kingdom (GB), ...	Feb 1, 2011, 12:00:00 AM	Apr 11, 2017, 1:00:00 ...	acmbzz5k92zwmvw9ena9pkj6ntvnbce	PDF	492.4 KIB	P0001	0	9999

“Document type group” allows to search for multiple document types at once. The document types (Number and description) which are included in the search are listed below the groups:

- PRIIP KIDs and UCITS KIIDs**
  - 1 PRIIP KID
  - 3 UCITS/ AIF (Non-UCITS) KIID
- FINSA Equivalent Group**
  - 1 PRIIP KID
  - 5 FINSA KID
- FINSA Documents**
  - 1 PRIIP KID
  - 5 FINSA KID
  - 121 Registration Document
  - 122 Securities note
  - 123 Summary
  - 124 Base prospectus
  - 125 Final terms
  - 126 Supplements

- **Prospectus Group**
  - [101 Prospectus \(before Sales Prospectus\)](#)
  - 107 Simplified Prospectus
  - 112 Supplement Information Document
  - 121 Registration Document
  - 122 Securities note
  - 123 Summary
  - 124 Base prospectus
  - 125 Final terms
  - 126 Supplements
- **Pre trade Documents KIDs**
  - 1 PRIIP KID
  - 2 German PIB
  - 3 UCITS/ AIF (Non-UCITS) KIID
  - 5 FINSA KID
  - 6 Italian Schedar prodotto
  - 7 Multi Option Products (MOP) style: Generic including KID
  - 8 Multi Option Products (MOP) style: Generic plus supplements
  - 9 GB PRIIP KID
  - 10 GB UCITS KIID
  - 11 Crypto-Asset White Paper
- **Legal Documents and Reports**
  - 102 Semi-annual Report
  - 103 Annual Report
  - 104 Terms of Contract
  - 105 Interim Report Short Form
  - 106 Additional Information for Investors
  - 110 Regulations/ Fund Regulation
  - 111 Annual Report Short Form
  - 112 Supplement Information Document
  - 113 Dividend Table
  - 114 Subscription Form
  - 115 Supplement Subscription Form
  - 117 § 21 Abs. 1 AIFMG – Angaben
  - 118 Audit Report
  - 120 Legal Publication
  - [128 Monthly Scenario Report](#)
  - [129 Past Performance Report](#)
  - [130 DEA - Dealing Form](#)
- **Marketing Documents**
  - 108 Product Highlight Sheet
  - 109 Key Fact Statement
  - 119 Term sheet
  - [201 Monthly Report / Factsheet \(before 2 separate types 201 and 209\)](#)
  - 202 Quarterly Report
  - 203 Manager Commentary
  - 204 Fund profile
  - 205 Sales Presentation
  - 206 Marketing Brochure
  - 208 Other Marketing Material
  - 210 Research
  - 211 ESG Marketing Reports
- **ESG/SFDR/EU-Taxonomy Regulatory Documents**
  - 12 UK SDR and Investment Labels

211 ESG Marketing Reports  
301 ESG-EU Pre-contractual Disclosure  
303 ESG-EU Periodic Disclosure  
305 ESG-EU Website Disclosure  
306 ESG-Annual Disclosure Report  
307 Swiss Climate Score  
308 Sustainability Report

▪ **Insurance Documents:**

401 Collection of Evidence  
402 KID Product  
403 SP Producer  
404 SP Support  
405 Notice Product  
406 Annex UA  
407 SP Distributor  
408 SFDR Document  
409 Intermediation service  
410 Confidential Client Record

▪ **Deprecated Document Types:**

4 Spanish Order Documents  
116 Trimestrial Financial Report  
207 Sales Aid  
209 Factsheet (will be re-routed to 201)  
302 ESG-EU Pre-contractual Art 9 SFDR & Art 5 Taxonomy  
304 ESG-EU Periodic Disclosure Art 9 SFDR & Art 5 Taxonomy

Assignment of Document Types to Search Groups 1	FINSA equivalent group	FINSA documents	PRIIP KIDs and UCITS KIDs	Prospectus group	Pre trade documents KIDs	Legal documents and reports	Marketing documents	ESG/SFDR/EU-Taxonomy documents	Insurance Group	Deprecated Document Types
<b>Investor Protection Regulatory Documents:</b>										
1 = PRIIP KID	x	x	x		x					
2 = German PIB					x					
3 = UCITS/ AIF (Non-UCITS) KIID			x		x					
5 = FINSA KID	x	x			x					
6 = Italian Scheda prodotto					x					
7 = Multi Option Products (MOP) style: Generic including KID					x					
8 = Multi Option Products (MOP) style: Generic plus supplements					x					
9 = GB PRIIP KID					x					
10 = GB UCITS KID					x					
11 = Crypto-Asset White Paper					x					
12 = UK SDR and Investment Labels								x		
<b>Publication and Certification Obligations:</b>										
101 = Prospectus				x						
102 = Semi-annual Report						x				
103 = Annual Report						x				
104 = Terms of Contract						x				
105 = Interim Report Short Form						x				
106 = Additional Information for Investors						x				
107 = Simplified Prospectus				x						
108 = Product Highlight Sheet							x			
109 = Key Fact Statement							x			
110 = Regulations / Fund Regulation						x				
111 = Annual Report Short Form						x				
112 = Supplement Information Document				x		x				
113 = Dividend Table						x				
114 = Subscription Form						x				
115 = Supplement Subscription Form						x				
117 = § 21 Abs. 1 AIFMG - Angaben						x				
118 = Audit Report						x				
119 = Term Sheet							x			
120 = Legal Publication						x				
121 = Registration Document		x		x						
122 = Securities Note		x		x						
123 = Summary		x		x						
124 = Base Prospectus		x		x						
125 = Final Terms		x		x						
126 = Supplements		x		x						

Table: Allocation of documents to search groups 1

Assignment of Document Types to Search Groups 2	FINSA equivalent group	FINSA documents	PRIP KIDs and UCITS KIIDs	Prospectus group	Pre trade documents KIDs	Legal documents and reports	Marketing documents	ESG/SFDR/EU-Taxonomy documents	Insurance Group	Deprecated Document Types
<b>127 = Company Reports</b>										
<b>128 = Monthly Scenario Report</b>						X				
<b>129 = Past Performance Report</b>						X				
<b>130 = DEA - Dealing Form</b>						X				
<b>Marketing material:</b>										
201 = Monthly Report							X			
202 = Quarterly Report							X			
203 = Manager Commentary							X			
204 = Fund Profile							X			
205 = Sales Presentation							X			
206 = Marketing Brochure							X			
208 = Other Marketing Material							X			
210 = Research							X			
211 = ESG Marketing Reports							X	X		
<b>ESG Regulatory Documents</b>										
301 = ESG-EU Pre-contractual Disclosure								X		
303 = ESG-EU Periodic Disclosure								X		
305 = ESG-EU Website Disclosure								X		
306 = ESG-Annual Disclosure Report								X		
307 = Swiss Climate Score								X		
308 = Sustainability Report								X		
<b>Insurance Documents</b>										
401 = Collection of Evidence									X	
402 = KID Product									X	
403 = SP Producer									X	
404 = SP Support									X	
405 = Notice Product									X	
406 = Annex UA									X	
407 = SP Distributor									X	
408 = SFDR Document									X	
409 = Intermediation service									X	
410 = Confidential Client Record									X	
<b>Deprecated Document Types</b>										
4 = Spanish Order Documents										X
116 = Trimestrial Financial Report										X
207 = Sales Aid										X
209 = Factsheet										X
302 = ESG-EU Pre-contractual Art 9 SFDR & Art 5 Taxonomy										X
304 = ESG-EU Periodic Disclosure Art 9 SFDR & Art 5 Taxonomy										X

Table: Allocation of documents to search groups 2

Selecting a Document type group and clicking on “Individual types” will show all selected document types in this group, by clicking on the red cross a document type can be excluded. Selecting document type group any will allow an individual selection.

The “Extended Search” allows for a refined search result when searching only for documents of a specific issuer, document supplier, etc.

### Important:

- Please be aware that if a Supplier provides only one product identifier (e.g., ISIN), SIX does not add the other product identifiers (Valor, WKN, etc.) even if those are available in other SIX services. SIX decided to provide only the original data, which comes from the Supplier
- Using the “\*” or no entry in search field will show the document only if there is a value available in the field. To check the total number of available documents it is recommended to search with an empty field for Document ID
- When a document is requested with a GUI user, it is stored automatically into the Archive (Menu Archived Documents) and into the Audit Trail (Menu Monitoring)
- More details are available in the section [4.7 Menu Documents \(Distributor View\)](#) and in the section [4.8 Audit Trail](#)

### 3.4.1. Documents with unknown jurisdictions or unknown language

To enable the handling of documents without jurisdiction or unknown languages two new attribute values have been added:

- Unknown value to jurisdiction “U0”
- Unknown value to language “u0”

If you search for specific language(s) or jurisdiction(s) other than unknown, documents with unknown values will not be displayed. Unknown is considered as a separate value.

Options	ISIN	Valor	Document Supplier	Document type	Language	Jurisdiction
PDF  PDF + data  Details	DE0005140008	-	SIX Diverse Issuers	PRIIP-KID	u0	unknown (U0)
PDF  PDF + data  Details	DE0005140008	-	SIX Diverse Issuers	UCITS / AIF (Non-UCITS) KIID	u0	Belgium (BE), Bulgaria (BG), Cyprus (CY)
PDF  PDF + data  Details	DE0005140008	-	SIX Diverse Issuers	FINSA KID	da	unknown (U0)

### 3.4.2. Adjustment of the Search Result Screen

Search result screen can be configured in regards of your needs with the button “Columns”. By ticking the box or taking out the tick, columns can be added or rejected. The selection needs to be confirmed by clicking on “Save”.

Don't hide "Options", this will hide the document download functions ("PDF" and "PDF+Data")

Visible Columns

☒ Options

☒ Document ID

☒ ISIN

☒ VALOR

☐ WKN

☐ SEDOL

☐ CUSIP

☐ Sicovam

☐ Supplier-specific 1

☐ Supplier-specific 2

☐ Supplier-specific 3

☐ DocGen OTC

☐ ETD ISIN

☐ ETD Valor

☐ ETD All

☒ Company LEI

☐ Company GK

☐ Company Identifier Text

☒ Document Supplier

☒ Document Type

☒ Supplier-specific Document Type Name

☒ Language

☒ Jurisdiction

☐ Mime Type

☐ File Size

☒ Time of Last Generation

☒ Time of Last Update

☒ Publication Classification Type

☒ Required Entitlement

☐ Generation Method

☐ Checksum

☒ Issuer Name

☐ Issuer GK

☒ Issuer LEI

☐ Sourcing Strategy Type

☐ Valid From

☐ Valid To

☐ Record Date

Cancel

Save

Overview and short descriptions of the most important attributes under "Columns – Visible Columns"

Column	Description
CUSIP	<ul style="list-style-type: none"><li>A nine-character alphanumeric code that identifies a North American financial security for the purposes of facilitating clearing and settlement of trades.</li></ul>
ISIN	<ul style="list-style-type: none"><li>The International Securities Identification Number that uniquely identifies a security related to the document. An ISIN is a minimum identifier which every financial product has to have.</li></ul>
WKN	<ul style="list-style-type: none"><li>The German securities identification code (Wertpapierkennnummer) which is also related to the document.</li></ul>
Sicovam	<ul style="list-style-type: none"><li>The security identifier to identify French securities listed on the French stock exchange related to the document.</li></ul>
SEDOL	<ul style="list-style-type: none"><li>The security identifier used in the United Kingdom and Ireland for clearing purpose related to the document.</li></ul>
Document ID	<ul style="list-style-type: none"><li>Is the ID of the document. The document ID is not identical with the Archive ID. The Document ID can be found under Audit Trail - Tap Requested Documents.</li></ul>
ETD Valor	<ul style="list-style-type: none"><li>Exchange Traded Derivative (ETD) instruments reflecting the short and long view.</li></ul>
ETD ISIN	<ul style="list-style-type: none"><li>ISIN hyphen "Contract Side Type".</li></ul>
ETD All	<ul style="list-style-type: none"><li>All (Alternative Instrument Identifier) hyphen "Contract Side Type".</li><li>In case of All, this is only used within some banks (within this specific business process), but not by the maturity. Therefore, ETD-All is only an additional identifier, but not an exclusive identifier.</li></ul>
Supplier Specific 1	<ul style="list-style-type: none"><li>Are related to the documents. Every Supplier has the option to add specific information to its documents, which only the Supplier itself and its Distributor are able to see.</li></ul>
Supplier Specific 2	<ul style="list-style-type: none"><li>Are related to the documents. Every Supplier has the option to add specific information to its documents which only the Supplier itself and its Distributor are able to see.</li></ul>
Supplier Specific 3	<ul style="list-style-type: none"><li>Are related to the documents. Every Supplier has the option to add specific information to its documents which only the Supplier itself and its Distributor are able to see.</li></ul>
COMPANY LEI	<ul style="list-style-type: none"><li>The Legal Entity Identifier according to ISO 17442</li></ul>
COMPANY GK	<ul style="list-style-type: none"><li>The SIX specific company identifier (Gesellschafts-Key)</li></ul>

<b>COMPANY IDENTIFIER TEXT</b>	<ul style="list-style-type: none"> <li>Identifier in textual form of the company. In most cases the company's name.</li> </ul>
<b>Generation Method</b>	<ul style="list-style-type: none"> <li>The financial industry differentiates between the following methods regarding the generation of a regulatory document.</li> </ul> <p><b>1= Generation on the fly ("Generation on demand")</b></p> <ul style="list-style-type: none"> <li>This indicates that the issuer or a third-party provider generates a PRIIP-KID on demand. In this case, it is ensured that in connection with every download the latest version of a KID is automatically available/provided, and newly issued instruments are also supported without much delay. However, this could have an impact on the performance depending on the generation platform implement by the 3rd Party generator.</li> </ul> <p><b>2= Pre-Generation (intraday)</b></p> <ul style="list-style-type: none"> <li>This concept is typical for UCITS KIIDs. Issuers are using push concepts to send out a new document when something has changed regardless of if it was a material change or only an editorial change. Afterwards, the updated KIIDs will be pushed in all necessary channels. Therefore, the client relays that the issuer has send out an update whether something has changed.</li> </ul> <p><b>3 = Pre-generated on a daily basis only (or even less frequently)</b></p> <ul style="list-style-type: none"> <li>Used if document updates will not be delivered during the day.</li> </ul>
	<p><b>4 = Document retrieved from Archive as Fallback</b></p> <ul style="list-style-type: none"> <li>Used If the original source is not available, a recent document from the archive will be provided.</li> </ul>
	<p><b>99 = Unknown</b></p>
<b>Checksum</b>	<ul style="list-style-type: none"> <li>The Document Inserter generates for every document a checksum and compares it to an index to check whether the document has to be inserted into the database during the import process. The attribute checksum uses all attributes to recognize all changes during the import process.</li> <li>This causes the delta export to also identify changes, even though the changes have been made to attributes, which are not getting exported.</li> </ul>
<b>Document Supplier</b>	<ul style="list-style-type: none"> <li>This value indicates which supplier provides the document.</li> </ul>
<b>Time of last document generation</b>	<ul style="list-style-type: none"> <li>This is a timestamp of the last generation of the pre-generated document.</li> </ul>
<b>Time of last metadata update</b>	<ul style="list-style-type: none"> <li>This attribute provides the information when the metadata record was inserted or modified.</li> </ul>
<b>Publication Classification Type</b>	<p><b>0 = Public publishing</b></p> <p><b>1 = Closed user group (clients of the distributor)</b></p> <ul style="list-style-type: none"> <li>This describes the intended accessibility of a document on the distributor side (DocHub clients) and is defined by the supplier. It informs the distributor whether they can offer the document public available (e.g., on their website in a public area where no password is needed). This information is only for displaying the document on distributor's side and is not controlled by SIX.</li> </ul>
<b>Sourcing Strategy Type</b>	<p><b>1 = Data / document is sourced directly by the manufacturer</b></p> <p><b>2 = Data / document is sourced by the technical agent who is mandated by the manufacturer to generate the data or documents</b></p> <p><b>3 = Data / document is sourced by a platform which is selected by the manufacturer to distribute his data and documents</b></p> <p><b>4 = Data / document is sourced by a platform collecting data and documents</b></p> <p><b>5 = Data / document is sourced via internet search</b></p> <p><b>6 = Data / document calculated / generated by data supplier (not by manufacturer)</b></p> <p><b>7 = Data / document calculated / generated by SIX rule set (not by manufacturer)</b></p> <p><b>99 = Sourcing strategy not defined</b></p> <p><b>999 = Sourcing activity stopped</b></p> <ul style="list-style-type: none"> <li>This describes the role of the Supplier and is an indication about the reliability of the source...</li> </ul>

### 3.4.3. Extended Search Results

In case a document is relevant for more many jurisdictions, you will see a small extract of relevant Jurisdictions only. Such an extract is marked with three dots behind the last country, which indicates that more data are available.

By clicking in the free space, the data can be expanded to see all content. When clicking again the expansion is reverted. The expansion can be done and reverted for each row independently. The expansion is reset for all rows, when a new search is done.

10:23:33 29.03.2018

Search results 1 - 14 of 14

Columns

Options	ISIN	ETD ISIN	Jurisdictions
<div>PDF PDF + data Details</div>	BEENX0872095 (short)	BEENX0872095 (short)	AT (Austria), BE (Belgium), BG (Bulgaria), CY (Cyprus), CZ (Czech Republic), DE (Germany), DK (Denmark), EE (Estonia), ES (Spain), FI (Finland), FR (France), GB (United Kingdom), GR (Greece), HR (Croatia), HU (Hungary), IE (Ireland), IS (Iceland), IT (Italy), LI (Liechtenstein), LT (Lithuania), LU (Luxembourg), LV (Latvia), MT (Malta), NL (Netherlands), NO (Norway), PL (Poland), PT (Portugal), RO (Romania), SE (Sweden), SI (Slovenia), SK (Slovakia)
<div>PDF PDF + data Details</div>	BEENX0872095 (long)	BEENX0872095 (long)	AT (Austria), BE (Belgium), BG (Bulgaria), CY (Cyprus), CZ (Czech Republic), DE (Germany), DK (Denmark), EE (Estonia), ...
<div>PDF PDF + data Details</div>	BEENX0872095 (short)	BEENX0872095 (short)	AT (Austria), BE (Belgium), BG (Bulgaria), CY (Cyprus), CZ (Czech Republic), DE (Germany), DK (Denmark), EE (Estonia), ...

3.4.4. Detailed view of a Search Result

Often there is a need to see all information for a document in one view. This is possible with the “Details” button independent of visible columns in the result screen.

SIX Overview Latest Documents Connections Document Upload Help

Search

Instrument search Company search

ISIN AT0000495288 Search Reset

Document type group: Any Individual types

Languages: Select option Show all Jurisdictions: Select option Show all

Extended Search

Search results 1 - 9 of 9

Columns

Options	ISIN	VALOR	WKN	Document Supplier	Document type	Language	Jurisdiction	Time of last generation	Time of last update	Document ID	Mime Type	File size	Distribution	Publication Classification Type	Generation method
<div>PDF PDF + data Details</div>	AT0000495288	-	-	SIX_SSO_BX	Sales Prospectus	en	Ireland (IE), United Kingdom (GB), ...	Feb 1, 2011, 12:00:00 AM	Apr 11, 2017, 1:00:00 PM	acmbzz5k92zwmvw9ena9pkj6ntvnbce	PDF	492.4 KIB	P0001	0	9999

<b>Instrument Identifiers:</b>	
<b>ISIN</b>	CH0029956262
<b>VALOR</b>	2995626
<b>Issuer Identifiers:</b>	
<b>Further Information:</b>	
<b>Document Supplier:</b>	SIX Diverse Issuers
<b>Document type:</b>	Registration document
<b>Language:</b>	en (English)
<b>Jurisdiction:</b>	CH (Switzerland)
<b>Distribution:</b>	P0001
<b>Publication</b>	0
<b>Classification Type:</b>	
<b>Time of last generation:</b>	Tue Aug 20 14:56:22 2019
<b>Time of last update:</b>	Tue Aug 20 14:56:22 2019
<b>Mime Type:</b>	application/pdf
<b>Filesize:</b>	326.4 KiB
<b>Generation method:</b>	Pre-generated with a frequency of one or more days
<b>Sourcing Strategy</b>	Sourcing strategy not defined
<b>Type:</b>	
<b>Checksum:</b>	5444362d91746e70252908379bd4bf51
<b>Document ID:</b>	akhby7enbe16zy34rhe7pja61azm5aan
<b>URL:</b>	Document is stored locally on DocHub system

**Overview of Document PRIIP-KID, ISIN IT0005377376, Language it**

Download
PDF
PDF + data

<b>Instrument Identifiers:</b>	
<b>ISIN</b>	IT0005377376
<b>Issuer Identifiers:</b>	
<b>Further Information:</b>	
<b>Document Supplier:</b>	Binck Bank
<b>Document type:</b>	PRIIP-KID
<b>Language:</b>	it (Italian)
<b>Jurisdiction:</b>	IT (Italy)
<b>Publication</b>	1
<b>Classification Type:</b>	
<b>Time of last generation:</b>	Fri Oct 11 17:02:47 2019
<b>Time of last update:</b>	Fri Oct 11 17:02:47 2019
<b>Mime Type:</b>	application/pdf
<b>Filesize:</b>	102.6 KiB
<b>Generation method:</b>	Pre-generated with a frequency of one or more days
<b>Sourcing Strategy</b>	Sourcing strategy not defined
<b>Type:</b>	
<b>Checksum:</b>	3cff30d0320b5472d4bdc77ddeeb6083
<b>Document ID:</b>	aambvs6n9hjefc5kk1wt6qqt5st9arj

OK

Supplier sees also the URL or “Document is stored locally on DocHub system”.

### 3.4.5. Verification of instrument status

Additional information in case no document could be found for a searched instrument. If it is out of scope of PRIIP regulation a PRIIP KID is not required. In case a searched instrument is inactive, it is unlikely, that the manufacturer/issuer is providing a PRIIP KID anymore.

Search for a document with an instrument identifier:

1. Execute a search for an instrument with an instrument identifier
2. Click on “Verify instrument status” to check the status of the instrument in SIX database.

- Status of the instrument will be displayed with the PRIIP scope indicator, FIDLEG/FINSA KID scope indicator and the SIX Security Type.  
If instrument status is inactive or not in scope of a regulation, it is unlikely, that a manufacturer/issuer will deliver documents.

Instrument status (ISIN: LU0828906700, Valor: 19443037)

Instrument status:	active
PRIIP scope indicator:	Exempt / not liable/applicable
FIDLEG FINSA KID scope indicator:	Liable/applicable
SIX Security Type:	Trust certificate unit/fund, investment foundation units

lose

### 3.4.6. Check if document is available in a private/restricted connection

In case no document could be found it is possible that the Supplier set the access restriction Private. To get access to this document a special agreement with the Supplier is demanded. Our customer support will support you in this case.

With the function “Search for restricted documents” it is possible to search in all Private entitled documents, which can be accessed with a special agreement.

**Important:** There will be only Private documents included from Platforms which provides the data with a special agreement.

Search

Instrument search Company search  
ISIN

Document type: UCTS / AP (Non-UCTS) KID (3) X PRIIP KID (1) X FINSA KID (3) X Individual types  
Language: Select option Show all Jurisdiction: Select option Show all

Extended Search

Search results 1 - 1 of 1

Verify instrument status

Options	ISIN	Valor	WKN	COMPANY_LEI	Document Supplier	Document type	Language	Jurisdiction
PDF PDF + data Details	LU0828906700	-	-	-	FundInfo	UCTS / AP (Non-UCTS) KID	de	Germany (DE)

- Enter an instrument identifier
- Click on the arrow by the Search button and select “Search for restricted documents”

Search

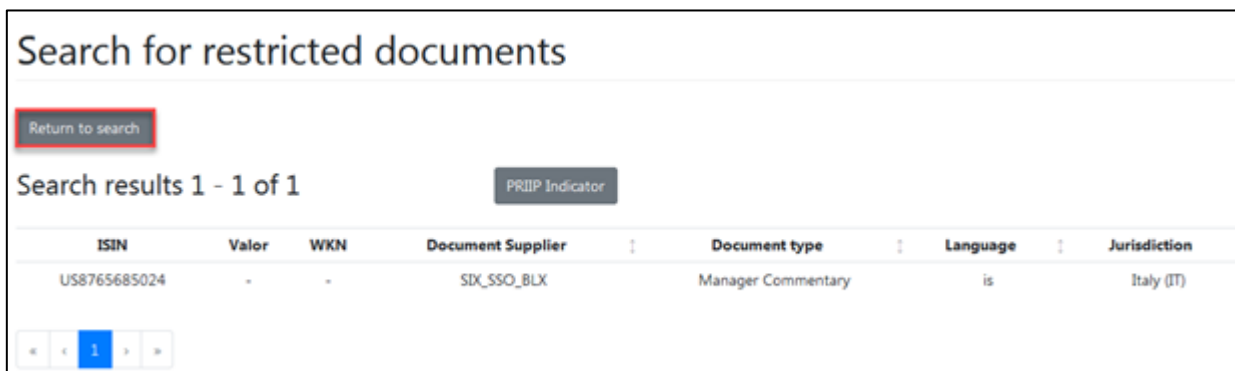
Instrument search Company search  
ISIN

Document type group: Any Individual types Search for restricted documents  
Language: Select option Show all Jurisdiction: Select option Show all

Extended Search

Issuer Name: Issuer ID: Any  
Generation method: Any Document Supplier: Any

3. Document supplier and meta data will be shown
4. Click “Return to search” for a new search



### 3.4.7. Combined Search for ISIN / ETD ISIN and Valor / ETD-Valor

Due to technical restrictions to show the long and short side, the ETD ISINs and ETD Valors are stored as different instrument identifiers than the ISINs and Valor Numbers. These ETD identifiers are composed of the ISIN or Valor and an extension -1 or -2 to show the long (-1) and short (-2) position. To overcome this situation, the search has been modified to search automatically for both identifiers.

When an ISIN or a Valor is being searched, the ETD-ISINs or ETD-Valor will also be found. This is implemented in the GUI and API. When searching for a complete ISIN or Valor, there is no difference since there is no overlapping of the ISIN with the ETD ISIN as well as there is no overlapping of the Valor with the ETD Valor. In other words, if the instrument is an ETD, it will be identified with an ETD ISIN and/or an ETD Valor. Otherwise, the instrument is identified with an ISIN and/or Valor.

#### Example – Search ETD ISIN via ISIN (ISIN: SE0006525721):

A user decides to search a document via Instrument identifier:

1. Ensure that you ticked the box under “button “Columns” ETD-ISIN
2. Define the instrument scheme (e.g., ISIN).
3. Enter the identifier of the scheme (e.g., **SE0006525721**)
4. Start the search function by clicking the “SEARCH” button.
5. Under “Search result” you will find the documents connected to the instrument identifier ISIN **SE0006525721**.
6. Open the document either with the “PDF” or “PDF+data” button.

Search

Instrument search

Company search

ISIN

SE0006525721

Search

Reset

Document type group:

Any

Individual types

Language:

Select option

Show all

Jurisdiction:

Select option

Show all

Extended Search

Issuer Name:

Issuer ID:

Any

Generation method:

Any

Document Supplier:

Any

Search results 1 - 8 of 8

Verify instrument status

Columns

Options	ISIN	Value	WKN	ETD ISIN	ETD Value	ETD Ali	COMPANY_LB	Document Supplier	Document type	Language	Jurisdiction
<div>PDF</div> <div>PDF + data</div> <div>Details</div>	SE0006525721 (short)	75450330 (short)	-	SE0006525721 (short)	75450330 (short)	-	-	Altiva Internal non-public	PRUF-KID	en	Germany (DE)
<div>PDF</div> <div>PDF + data</div> <div>Details</div>	SE0006525721 (long)	75450330 (long)	-	SE0006525721 (long)	75450330 (long)	-	-	Altiva Internal non-public	PRUF-KID	de	Germany (DE)
<div>PDF</div> <div>PDF + data</div> <div>Details</div>	SE0006525721 (short)	75450330 (short)	-	SE0006525721 (short)	75450330 (short)	-	-	Altiva Internal non-public	PRUF-KID	en	Germany (DE)
<div>PDF</div> <div>PDF + data</div> <div>Details</div>	SE0006525721 (short)	75450330 (short)	-	SE0006525721 (short)	75450330 (short)	-	-	Altiva Internal non-public	PRUF-KID	de	Germany (DE)
<div>PDF</div> <div>PDF + data</div> <div>Details</div>	SE0006525721 (long)	75450330 (long)	-	SE0006525721 (long)	75450330 (long)	-	-	Altiva Internal non-public	PRUF-KID	de	Germany (DE)
<div>PDF</div> <div>PDF + data</div> <div>Details</div>	SE0006525721 (short)	75450330 (short)	-	SE0006525721 (short)	75450330 (short)	-	-	Altiva Internal non-public	PRUF-KID	en	Germany (DE)
<div>PDF</div> <div>PDF + data</div> <div>Details</div>	SE0006525721 (long)	75450330 (long)	-	SE0006525721 (long)	75450330 (long)	-	-	Altiva Internal non-public	PRUF-KID	de	Germany (DE)
<div>PDF</div> <div>PDF + data</div> <div>Details</div>	SE0006525721 (short)	75450330 (short)	-	SE0006525721 (short)	75450330 (short)	-	-	Altiva Internal non-public	PRUF-KID	de	Austria (AT), Germany (DE), Belgium (BE)

When searching for a non-ETD ISIN with either identifier ISIN or ETD ISIN the ISIN is only displayed in the ISIN column and not in the ETD ISIN column. Non-ETD ISINs are never extended by short or long attributes.

Search

Instrument search

Company search

ISIN

DE0007548068

Search

Reset

Document type group:

Any

Individual types

Language:

Select option

Show all

Jurisdiction:

Select option

Show all

Extended Search

Issuer Name:

Issuer ID:

Any

Generation method:

Any

Document Supplier:

Any

Search results 1 - 2 of 2

Verify instrument status

Columns

Options	ISIN	Value	WKN	ETD ISIN	ETD Value	ETD Ali	COMPANY_LB	Document Supplier	Document type	Language	Jurisdiction
<div>PDF</div> <div>PDF + data</div> <div>Details</div>	DE0007548068	-	-	-	-	-	-	Altiva Internal non-public	UCITS / self-issued UCITS KID	en	Luxembourg (LU)

### 3.5. Menu Archived Documents – Retrieve archived documents

Downloaded document are stored for 10 years. DocHub is designed to support the users regarding the audit procedure. In case of any kind of liability issues, all the necessary information can be found regarding:

- When the download was made
- The downloaded document and the related metadata
- Client, user ID and supplied custom data related to the download

Archived documents: A Distributor user can search for an archived document with different criteria. A Power User will see all archived documents a standard User just his archived documents.

In case “Request Identifying Data1 - ...Data5” has been entered by downloading the document (see section 3.3), they can be used for searching in the archive.

By clicking on “PDF + data” the window for entering CustomData (= Request Identifying Data) will pop up. By entering the data and clicking on the “Document download with CustomData” button, the document will be downloaded, and the supplied custom data is stored in the Audit Log. A document downloaded from the archive will not create an additional entry in the archive. GUI users rarely use custom data. Most of the entries are done by programs using the API.

Overview

Latest Documents

Archived Documents

Historic Documents

Connections

Monitoring

Help

Retrieve archived documents

ISIN

Search

Extended Search

Archived Documents 1 - 20 of 159

Colums

Document	ISIN	VALOR	WKN	Document Supplier	Document type	Language	Jurisdiction	Document ID	Valid from	Valid to	Publication Classification Type	Generation method	Issuer Name	Record date	Distributor	Issuer GK	Issu
<div>PDF</div> <div>PDF + data</div>	LU0571102010	-	-	Fundinfo	Monthly reports	fr	Belgium (BE), France (FR)	agtabse6kf45dr8bnm5v3zrveb52agsk	-	-	0	3	Groupama	-	75	-	
<div>PDF</div> <div>PDF + data</div>	IE0008E5N0X6	-	-	Amundi SA	Supplements	en	Ireland (IE)	anyaxm74rvyqywbwag42aaymm1rezfxy	-	-	0	3	-	-	75	350155	
<div>PDF</div> <div>PDF + data</div>	LU2425444473	-	-	SIX_SSO_CH	Sales Prospectus	en	Luxembourg (LU)	acnbeewp31j3atq26cd1p6tvmnmygcms	-	-	1	3	-	-	75	-	
<div>PDF</div> <div>PDF + data</div>	DE000UX96542	-	-	UBS AG Investment Bank	PRIIP-KID	de	Austria (AT), Belgium (BE), Bulgaria (BG)	ac9ayuuugbzdz2gb21eatrk8askd9ydh	-	-	0	1	-	-	75	6108	

English

SIX DocHub v.2.9.0 (T) Build Nr.: 7

SIX\_SSO\_BLR\_Dis\_User01

#	Field	Description
1	Access time	▪ Shows the date and time of when the file has been downloaded.
2	Archive ID	▪ Shows the Archive ID assigned by DocHub consisting of Content Checksum - UserNo - Access timestamp (Unix Timestamp).
3	Distributor	▪ Shows the respective user of the client who performed the download.
4	User ID	▪ Shows the ID of the user who downloaded the file in the first place and triggered the archiving process.
5	Request Identifying Data1-5	▪ Additional data added to the request when the document has been originally downloaded.

### 3.6. Menu Historic Documents

Historic document is introduced to provide the users to optimize the historic documents with the older versions of all the available document types. Historization is done based on the document types. The customers can now be able to download the older versions of sales prospectus and in future more historic

SIX also have implemented new additional date fields on DocHub for Historic documents. Click on details to see the additional date columns.

Overview

Latest Documents

Archived Documents

Historic Documents

Connections

Monitoring

Help

Historic Document Search

Search for Latest Documents

Instrument search

Company search

ISIN

Search

Reset

Document type:

Any

Language:

Any

Show all

Jurisdiction:

Any

Show all


Columns

Search results 1 - 20 of 11,419

Options	ISIN	VALOR	Document type	Jurisdiction	Language	Supplier Name	Historization time	Last generation	Record date	Valid from	Valid to	WKN	SEDOL	CUSIP	Sicovam	Legal Entity Identifier (LEI)	GesellschaftsKey (GK)	Company Identifier Text	Time of last observation
<div><div>PDF</div><div>Details</div></div>	US59261AFR32	33072701	Sales Prospectus (1/1)	unknown (LQ)	en	SIX Diverse Issuers 2	Fri, Apr 29, 2022, 2:09:50 PM	-	-	-	-	-	-	-	-	-	-	-	Wed, Apr 26, 2023, 3:18:23 AM

Details

Download

 PDF

► Metadata

► DocHub-delivered Timestamps

► Supplier-delivered Timestamps

► Supplier-delivered Dates

► Further Information

Close

### Additional Date Columns:

DocHub-delivered Timestamps	Timestamps are generated by DocHub
Metadata creation timestamp in history	This field provides the information when the metadata record was historized.
Historization time	This field provides the information when the physical document (PDF) linked to this metadata record was historized.
Time of creation in present DocHub	This field provides the information when the metadata record was first inserted into DocHub.
Time of last update in present DocHub	This field provides the information when the metadata record was last updated in DocHub.
Time of last observation	This field provides the information when the revision (metadata + content) was last seen/present in DocHub
Supplier-delivered Timestamps	Timestamps are delivered to DocHub by the supplier of the document

Time of last update	This field provides the information when the metadata record was inserted or modified by the Supplier of the document
Time of last generation	This field provides the last generation timestamp of the pre-generated document
<b>Supplier-delivered Dates</b>	<b>The dates are delivered to DocHub by the supplier of the document</b>
Valid from	Start date when the document is valid
Valid to	End date until the document is valid
Record date	The record date of the document

### 3.7. Menu Connection

DocHub “connects” the suppliers with the distributors and vice versa. With this functionality:

- The Supplier has control over who receives their documents by defining channels. Some documents might be related to private placements, which they would like to make available only to a specific distributor group or these documents need a license (e.g., Fundinfo using DocHub as a platform to distribute UCITS to specific Fundinfo clients).
- The Distributor can request from which supplier they would like to receive documents (maybe they do not want to receive documents from some suppliers or at least not through this account which they use for a certain business process).

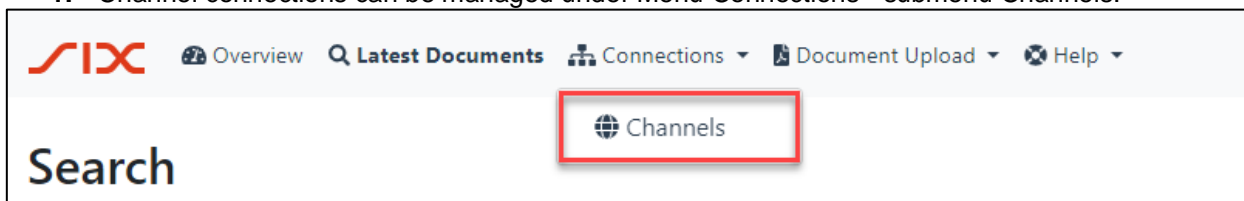
#### 3.7.1. Suppliers channel management

The concept behind this functionality is based on “channels”. There are three types of channels:

- **Public channel:** If a supplier does not restrict (see document entitlement) a document to a specific distributor or a specific distributor group, a document is always available through the “public channels”. The Public channel is always available to every distributor.  
*If a document should not be made available for a specific distributor, the public channel should not be used as every distributor has access to this channel.*
- **Distributor specific channel:** If a supplier would like to make a document only available for one or several specific distributor(s), they can define so called “distributor specific channels”. There are always channels available from each supplier to each distributor.  
*If a certain distributor is not included in the distribution list for a channel, the documents in that channel will not be available for this distributor.*
- **Multi distributor channel:** If a supplier would like to make certain documents available to a group of distributors and likes to maintain this group distributor on DocHub he can request to get the needed amount of Multi distributor channels. With this type of channel, the set of distributors is defined on DocHub and can be modified using the DocHub GUI. The delivery refers to the multi distributor channel when uploading document metadata. Using this feature, the supplier can change the set of distributors without changing the metadata delivered. In a first step, SIX defines together with the client the number of the different Multi distributor channels as well as their names. The supplier defines which distributors are connected to a Multi Distributor channel.
- Management of the channels needs dedicated user rights (either Power supplier or Power distributors)

#### Handling

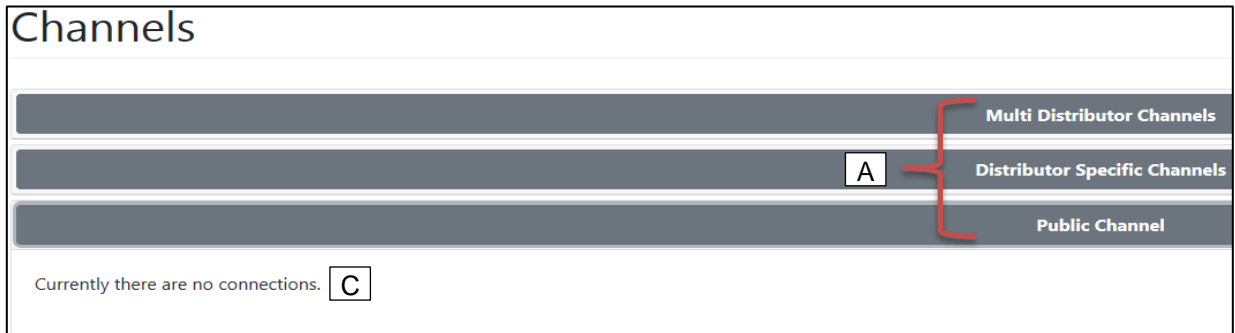
1. Channel connections can be managed under Menu Connections - submenu Channels.



2. On the Channels tab all three types of channels concepts are shown (A):

- Multi Distributor Channels
- Distributor Specific Channels
- Public Channels

By clicking on the channel name, the view will be expanded and all details will be shown.



3. The expanded view show which distributor is connected (A) and which is disconnected (B).

ABN Amro: P0001	B	✖ Disconnected
ADDIFIN AG: P0001	B	✖ Disconnected
ARIVA Call Document: P0001	B	✖ Disconnected
ARIVA Internal non public: P0001	A	✔ Connected
AVALOQ SOURCING: P0001	A	✔ Connected

### 3.7.2. Distributors connection management

A distributor can choose which offered channels he wants to accept or not. Thus, he can control which documents he receives from which supplier through which channel.

From a distributor point of view, there are two different kinds of connection situations:

- Active connections (documents will be delivered)
- Connection offers which means an “offered” channel (which either they have not yet accepted, or from which they are disconnected. Therefore, documents cannot be delivered because the channel is not activated)

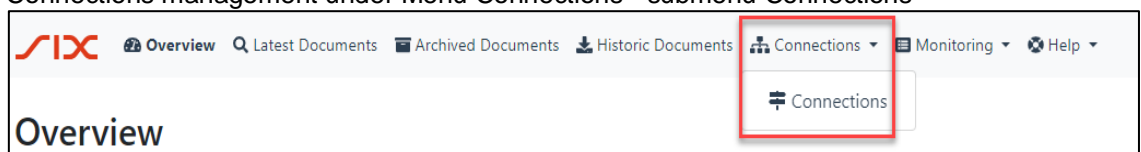
As soon as a distributor accepts a connection offer under “Connection offers” the status of the offer switches to “Active connections”. Under “Active connections”, distributors have the option to disconnect a connection to a supplier at any time. When a distributor is disconnected, the channel is no longer active and the status switches to “Connection offers”.

#### Important:

- A Distributor can only get documents from a supplier when an active connection exists. This means that if a distributor deletes a connection or does not accept a connection offer, he is not able to receive of documents delivered by this connection from a supplier anymore.
- Only Power Distributor Users has the right to manage connections.

### Handling

1. Connections management under Menu Connections - submenu Connections



## 2. Active connection / Connection offers

Under “Active connection” (A) as well as “Connection offers” (B), there are three connection (channel) types:

- Multi Distributor Connections
- Distributor Specific Connections
- Public Connections

To see the details which supplier is connected (Active connection) or has yet to be connected (Connection offers), it needs to be expanded (C).

To find out which suppliers are active in a certain environment, a supplier list can be downloaded (D).

The screenshot shows the 'Connections' interface. At the top right, there is a button labeled 'D' and 'Supplier IDs'. Below this, the interface is divided into two main sections: 'Active connections' (labeled A) and 'Connection offers' (labeled B). Each section contains three expandable bars representing different connection types: 'Multi Distributor Connections' (labeled C), 'Distributor Specific Connections', and 'Public Connections'. The 'Active connections' section shows a list of active connections, while the 'Connection offers' section shows a list of connection offers.

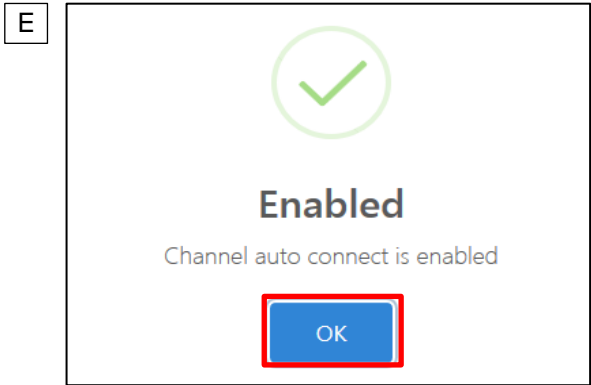
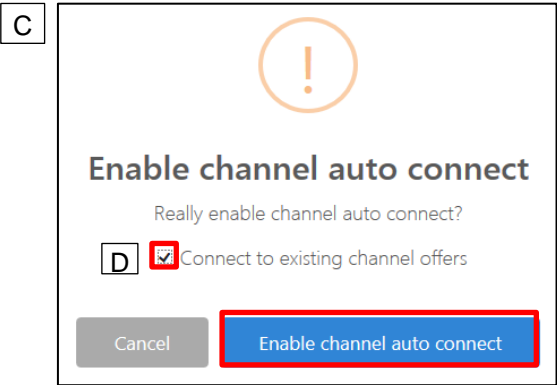
## 3. Accepting connections

All three channels provide two different kinds of options of how a connection offer can be accepted:

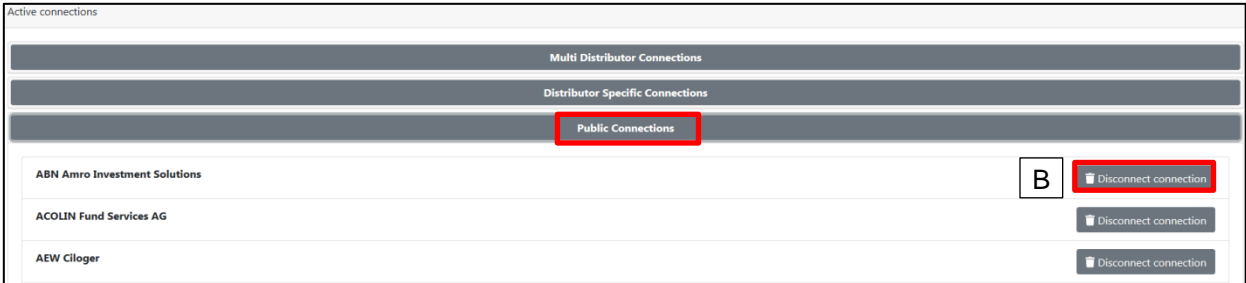
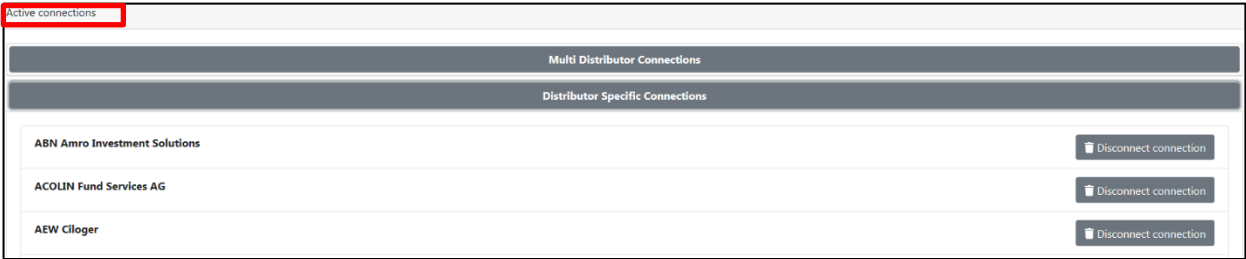
- (A) The user can accept every single connection offer step by step or
- (B) The user can accept the connection offer from all listed suppliers with only one click (Enable channel auto connect).

The screenshot shows the 'Connection offers' interface. At the top, there are two expandable bars for 'Multi Distributor Connections' and 'Distributor Specific Connections'. Below these, there is a checkbox labeled 'Channel auto connect is active' (labeled B) and a button labeled 'Disable channel auto connect'. A list of connection offers is displayed, including 'ARIVA Call Document', 'ARIVA internal non public', 'Avaloq', 'SIX internal non public 1', 'SIX internal non public 2', and 'Six Non Functional Test'. Each offer has a corresponding 'Accept connection offer' button (labeled A).

- (C) If you choose the function “Enable channel auto connect” (B) an additional window pops up (C). By ticking the box “connection to existing channel offers” and clicking the “Enable channel auto connect” button the selection can be confirmed. If you enable the auto connect just for new connection offers, do not tick (D). A pop-up window (E) will appear to confirm that the “channel auto connect” is enabled. Click on “OK” to proceed.



4. Disconnecting Suppliers (valid for all three connection types)
- Public Connections and Distributor Specific Connection: A disconnection of an active connection is possible by clicking on the “Disconnect connection” button (B). A disconnected channel goes automatically back to the status “Connection offers” and can be re-accepted at a later point again by clicking the “Accept connection offer” button again.



**Important: Multi Distributor Connections** - In contrast to “Distributor Specific Connections” and “Public Connections”, it is important to be aware that when an active connection is rejected by clicking on the “Disconnect connection” button (B), the connection is completely deleted. A deletion of a connection here will not cause a switch of the status from “Active connection” to “Connection offers”.

### 3.8. Manual document upload (only with Power Supplier right)

Most document metadata is uploaded automatically via a file delivery as described in the “DocHub Supplier API Description”. However, in some cases it is necessary that a Supplier can upload a document manually.

**Important:** When a Distributor uploads private documents for his own use, such as research materials, in a supplier role, it is his **responsibility** to set the distribution entitlement correctly on these documents to **avoid public availability** via DocHub.

To avoid issues with wrong distribution a default entitlement is supplier which has also a distributor role uploads documents. The default setting can be changed by SIX support. Please contact SIX support in case you want to change the default setting.

Suppliers with the specific assigned Power Supplier rights have the possibility to upload documents via GUI on DocHub. Following functionalities are available for these users:

- Document upload (manual upload of one document)
- Mass upload of documents
- Import list

#### 3.8.1. Manual document upload of one document

This manual upload can be made through the Menu “Document Upload”. The upload accepts one document per upload.

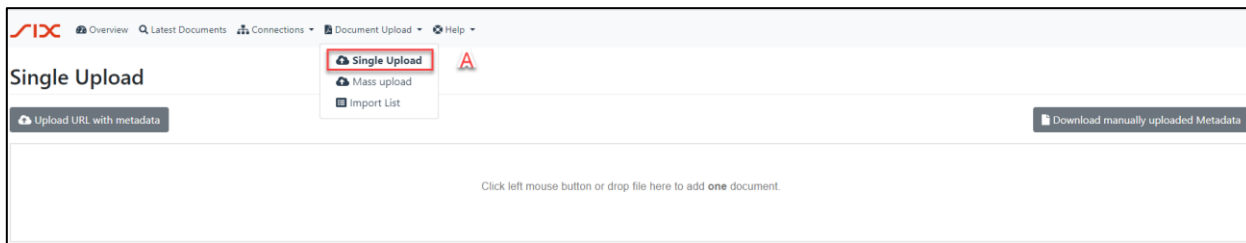
##### Handling

1. By clicking on Menu Document Upload, the system shows additional options “Single Upload “, “Mass Upload”. By selecting the option “Single Upload” (A), a document can be uploaded manually. The options to add a document are:
  - a) Clicking the left mouse button or
  - b) Dropping the file to add “one” document.
2. Afterwards a window “Document upload” shows up (B).
3. All fields with an asterisk (\*) must be filled out. Otherwise, the system shows an error message.
4. All entries must be saved by clicking the “Save” button at the end. In case the upload was not successful, an error message will pop up.
5. If the upload was successful, the uploaded document will be available under “Latest Documents”.

B

##### Important:

- Before uploading a document, it is checked whether the document already exists in order to prevent having duplicates on DocHub.
- Suppliers can download all meta data of their manually uploaded document universe.



Filename:

TestDocument.pdf

File size:

156.6 KiB

Document Key Attributes

General Identifiers

Distribution Entitlement

Issuer Identifiers

Further Information

Cancel

Save

**Document Key Attributes:**

Here it is important to know that under the drop-down menu of "Jurisdiction" 31 EEA/EU and Third-Party countries (e.g., Switzerland) are listed. If Hong Kong would be needed as the Jurisdiction, the box "Show all" would have to be ticked. The same principle applies to languages.

Filename:

TestDocument.pdf

File size:

156.6 KiB

Document Key Attributes

Document type:

The Document type field is required

Language:

☐ Show all

The Language field is required

Jurisdictions:

Select option

☐ Show all

The Jurisdictions field is required

Sourcing Strategy Type:

99: Sourcing strategy not defined

**General Identifiers:**

Important to know is that one identifier is mandatory as a minimum. Several identifiers can be added to one document. Additionally, it is important to know that the system does not add the other identifiers. This means if a user only enters the ISIN, the system will never add e.g., the WKN number independently if such a WKN exists for this instrument.

General Identifiers

ISIN

Add

ISIN

TESTUPLOAD11

Delete

Distribution Entitlement

Issuer Identifiers

Further Information

### Publication Classification Type:

Offers two options: (1) Public Publishing and (2) Closed user group.

The Publication Classification Type describes the intended accessibility of a document on the distributor side (DocHub clients). This attribute informs the distributor if they can / should make the document of a certain instrument publicly available (e.g., on their website in a public area where no password is needed).

Distribution Entitlement

Publication Classification Type:
☐ Public publishing
☒ Closed user group

This field must be filled in.

Public available:
☒

Issuer Identifiers

Further Information

### Public available:

Defines whether the Document should be available for all Distributors or not.

If a Document should not be available for all Distributors, the Supplier must untick the box and define

1) Distributor specific Connection (1:1)

- Select all Distributors out of the drop down list

and/ or

2) Multi Distributor Channel (2:n).

- Select Multi Distributor Channel out of the drop-down list

**Important:** Multi Distributor Channel (2: n): It is important to ensure that this channel is pre-defined and that the channels already include Distributor(s). Otherwise, a document upload via this channel will not be possible.

Distribution Entitlement

Publication Classification Type:
☐ Public publishing
☒ Closed user group

This field must be filled in.

Public available:
☐

Distributor (1:1):
Select option

Multi Channels (2:n):
Select option

Issuer Identifiers

SIX Internal Institution ID:

Legal Entity Identifier:

Further Information

Cancel
Save

### Further Information:

New features added: Specify the date range and the time of last generation.

Further Information

Generation method:
Pre-generated with a frequency of one or more days

Time of last generation:

Last updated:
2022-10-13 11:30:59

Issuer Name:

Valid from:

Valid to:

Record date:

## Document upload URL with metadata

**Click on upload URL with metadata:**  
Enter the URL and follow the steps same as the document upload mentioned above.

**Document Upload**

Click left mouse button or drop file here to add one document.

**Upload URL with metadata**

https://example.com/important\_ucits\_de\_AT.pdf

**URL:** https://example.com/important\_ucits\_de\_AT.pdf

## Document Upload using GK (SIX Company Identifier):

Once you enter the Fund GK or Umbrella GK under the GK Mapping tab, click on Search for Latest Documents as shown in the image below. A pop-up window with the list of all the related ISINs to the mentioned GK will be displayed. Check for all the ISINs associated with the GK and select or deselect the relevant ISINs accordingly.

**Document Upload**

**Umbrella/Fund GK**

The below window with all the ISIN, Valor, Company GK, Issuer Name (FMC-Fund Management Company), Issuer GK (FMC GK) will be displayed.

Available metadata for fund GK 135840

General Identifiers:

ISIN

IE00B60CK411, IE0009500640, IE00B603QV38, IE00B605P459, IE0004406629, IE00B601LX41, IE0004906123, IE0009500970, IE0004906909, IE0004406397

VALOR

3928, 10391251, 1334000, 10391239, 4262, 10391247, 1333993, 10391244, 1345535, 1333968

Company GK

135840

Issuer Identifiers:

SIX Internal Institution ID (1)

287291

Further Information:

Issuer Name:

Mediolanum International Funds Limited

Discard metadata

Apply metadata

Click on Apply metadata, it will take back to the main screen below.

Document Upload

File Name:

LU1690385114-agtaefdft6se7c9vxe2ptubhfq2wpamh.pdf

File Size:

425.0 KiB

Document Key Attributes

GK Mapping

Umbrella/Fund GK

135840

Search

Clear mapping

General Identifiers

Distribution Entitlement

Issuer Details

Further Information

Cancel

Save

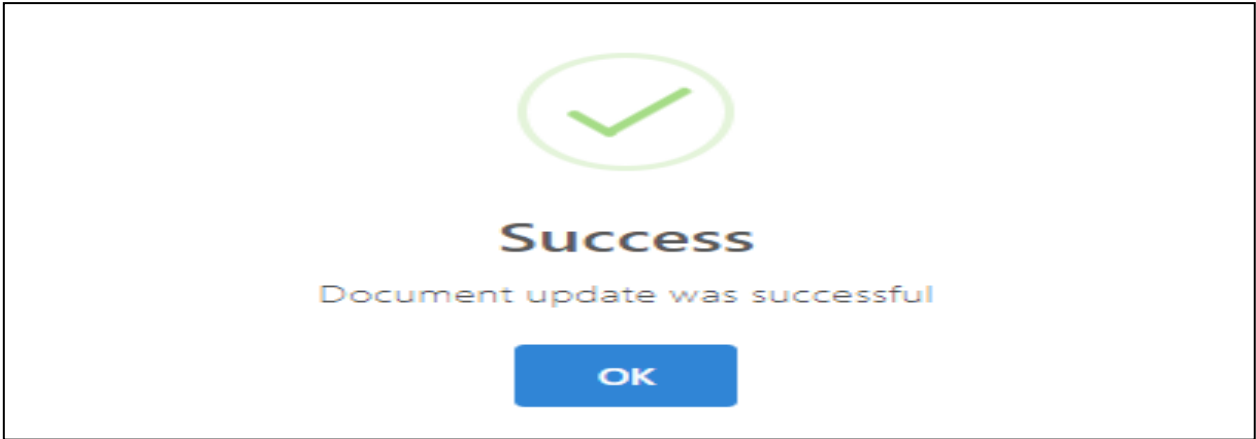
Now, click on General Identifiers tab, this will now display all the ISIN, Valor, Company GK. There is an option to add any additional ISINs and or delete any inactive ISINs as needed.

GK Mapping		
General Identifiers		
ISIN		Add
ISIN	IE0004406629	Delete
ISIN	IE00B601LX41	Delete
ISIN	IE0004906123	Delete
ISIN	IE0009500970	Delete
ISIN	IE0004906909	Delete
ISIN	IE0004406397	Delete
ISIN	IE00B60CK411	Delete
ISIN	IE0009500640	Delete
ISIN	IE00B605P459	Delete
ISIN	IE00B603QV38	Delete
VALOR	3928	Delete
VALOR	10391251	Delete
VALOR	1333993	Delete

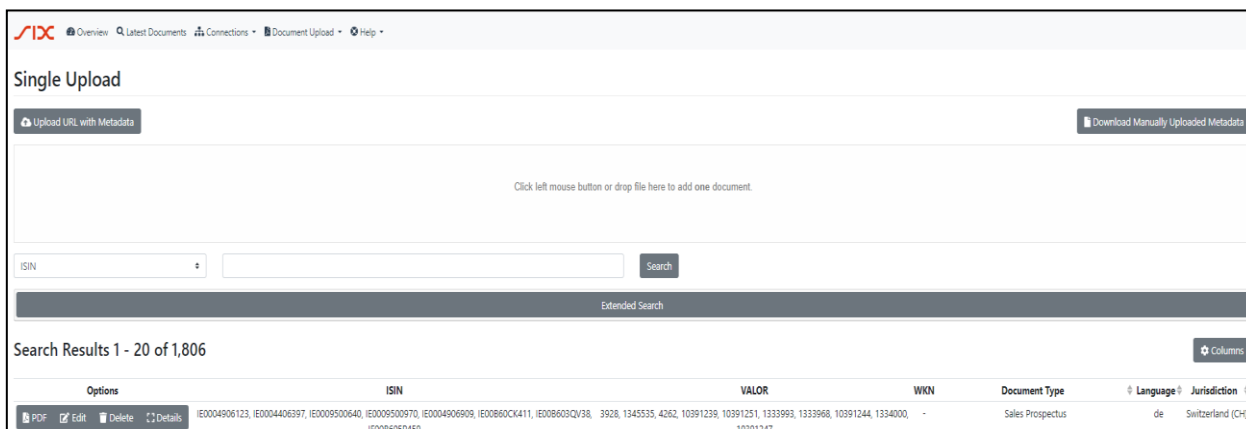
Check the Fund Issuer information by click on Issuer Details tab and ensure the details are correct. Then Click on Save tab.

Issuer Details	
Issuer Name:	Mediolanum International Funds Limited
SIX Internal Institution ID:	287291
Legal Entity Identifier:	
Further Information	
Cancel Save	

Click save and the below windows will pop up if it was successful.



In case if you want to see the list of uploaded Instruments, it will be displayed in the Single upload screen below and can edit or delete the record as required.



Single Upload

Upload URL with Metadata

Download Manually Uploaded Metadata

Click left mouse button or drop file here to add one document.

ISIN

Search

Extended Search

Search Results 1 - 20 of 1,806

Columns

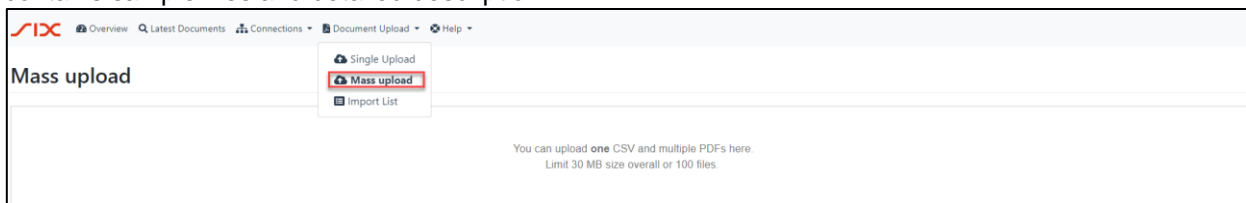
Options	ISIN	VALOR	WKN	Document Type	Language	Jurisdiction
PDF	IE0004906123, IE0004406397, IE0009500640, IE0009500970, IE0004906909, IE00860CK411, IE008603QV38, 3928, 1345535, 4262, 10391239, 10391251, 1333993, 1333968, 10391244, 1334000, IE008605H459	10391247	-	Sales Prospectus	de	Switzerland (CH)

### 3.8.2. Manual Mass upload of documents

The function “Mass upload” allows to upload more than one document and to deliver the metadata in a file. If documents are often uploaded with sets of common metadata, this function offers a more standardized procedure.

#### Document Mass upload via “CSV” File

If several documents or links to the document source should be uploaded, it will be more efficient to use the mass upload feature. Please see document “DocHub\_User\_Manual\_-\_Mass\_Upload\_V2.3” which contains sample files and detailed description.



Mass upload

Single Upload

Mass upload

Import List

You can upload one CSV and multiple PDFs here.  
Limit 30 MB size overall or 100 files.

### 3.8.3. Search uploaded documents

The users can search for a document under the function “Document Upload” and extend a search to refine the search results. The output under “Search results” is here identical to the output in the menu “Search” under “Search results”. The difference to the “Extended Search” function in Menu “Search” is that here you can need to choose “Source type”. The source type informs in which way the document was uploaded, either through manual upload “Manually Uploaded Files” or by using the API “SIX-MQ Import.” By choosing the option “Any”, data of all sources will be shown in the search result.

#### Handling

1. Under the menu “Document Upload”, a Supplier can search a document, which they once supplied.
2. Extended Search: Source Definition
3. The search result is shown under search results. One can choose the “Instrument Scheme” (ISIN, WKN, Valor etc.), enter the “Instrument Number” (e.g., LU0828906700), and start the search by clicking the “Search” button.

### Columns – Visible Columns

With the Columns button the search results can be further adjusted. One can add or reject column (s) by ticking the box or take out the tick. The selection can be confirmed by clicking on the “Save” button. The Instrument ID (e.g., ISIN, ETD Valor etc.) can also be selected here. [New supplier-specific document type name field is added to the columns.](#)

Search results 1 - 20 of 92

Options	ISIN	Valor	WKN	Document type	Language	Jurisdiction
PDF Edit Delete Details	CH0029956296	CH0995629	-	FINSA KID	de	Switzerland (CH)

### 3.8.4. Edit an uploaded document

An uploaded document can be edit by clicking the EDIT Button in the search result.

This Edit window is nearly identical with the window which shows up when you want to upload a document manually. You can use this function if you want to add some information e.g., additional Jurisdiction or if you should find out that an entry was wrong.

### 3.8.5. Delete uploaded document

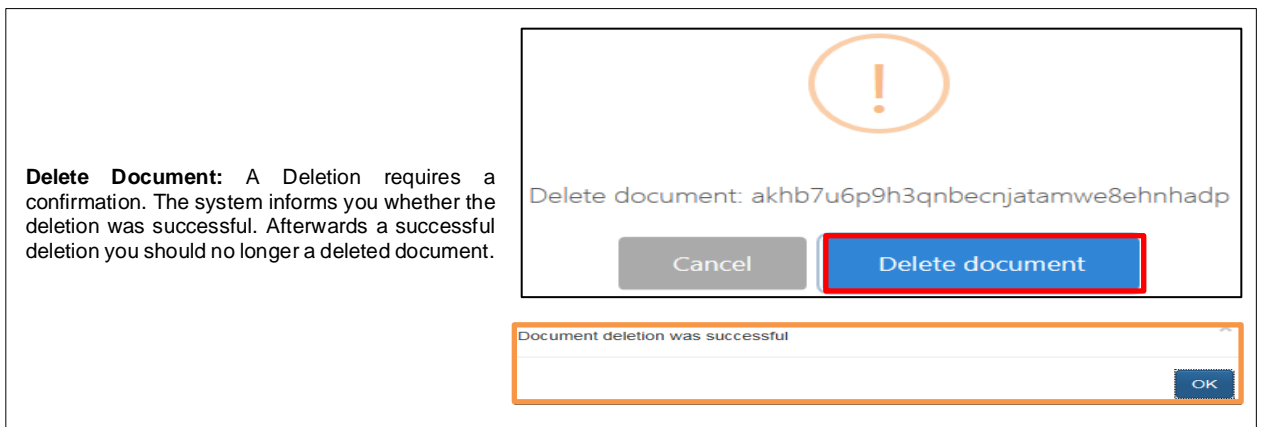
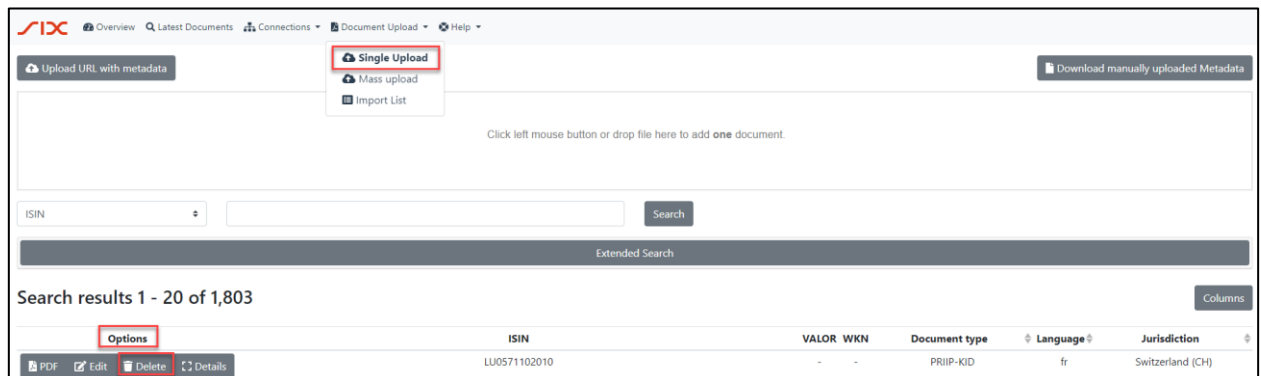
Uploaded documents can be deleted in two ways:

- Through the “Delete” Button or
- Through a CSV file

#### Document deletion via “Delete” Button

Please be aware that only Suppliers with the Power User rights can delete uploaded documents.

1. Under Menu Documents a Supplier can delete a document, which he supplied.
2. Go to Menu “Documents” and chose sub-menu “Document upload”.
3. Ensure that you have ticked the box “Delete” which you will find under the “Columns” button.
4. Chose the document which you will delete
5. Press “Delete” Button and conform your deletion
6. Deleted document are no longer available.



**Important:** If a document was already downloaded by a user and archived, the archived document a metadata is not affected.

### Document deletion via “CSV” File

For detailed information please read document “DocHub\_User\_Manual\_-\_Mass\_Upload”.

### 3.8.6. Import List

A Supplier can view the status (A) of his delivered import files with document metadata. Submenu “Import list” can be selected in the main menu “Documents”. For each file, a line is displayed showing the file name, time of delivery, status, time of processing finish and numbers related processed datasets. The table rows are ordered the way the Importer will handle the files.

Manually uploads are now also in this list

#### Import Table:

- Document Supplier
- Filename
- Status
- Time of delivery
- End time
- Total Entries
- Total successful entries
- Total failed entries

**Import List**

Filename

Extended Search

Search results 1 - 20 of 122

Document Supplier	Filename	Source	Status	Time of delivery	End time	Total Entries	Total successful entries	Total failed entries	Records inserted	Records updated	Records deleted	File size	Reports
SIX_SSO_BHX	20230606_101900_LU98765_M_D_1_99999.csv	2	SUCCESS	Tue, Jun 6, 2023, 9:19:01 AM	Tue, Jun 6, 2023, 9:20:00 AM	6	6	0	0	6	0	-	<input type="button" value="Download Report"/>
SIX_SSO_BHX	20230606_101438_LU98765_M_D_1_99999.csv	2	SUCCESS	Tue, Jun 6, 2023, 9:14:39 AM	Tue, Jun 6, 2023, 9:15:00 AM	6	6	0	0	6	0	-	<input type="button" value="Download Report"/>
SIX_SSO_BHX	20230601_174145_LU98765_M_D_1_99999.csv	2	SUCCESS	Thu, Jun 1, 2023, 4:41:46 PM	Thu, Jun 1, 2023, 4:42:00 PM	6	6	0	0	6	0	-	<input type="button" value="Download Report"/>
SIX_SSO_BHX	20230601_173340_LU98765_M_D_1_99999.csv	2	SUCCESS	Thu, Jun 1, 2023, 4:33:42 PM	Thu, Jun 1, 2023, 4:34:00 PM	6	6	0	0	6	0	-	<input type="button" value="Download Report"/>
SIX_SSO_BHX	20230601_173255_LU98765_M_D_1_99999.csv	2	SUCCESS	Thu, Jun 1, 2023, 4:32:56 PM	Thu, Jun 1, 2023, 4:33:00 PM	6	6	0	1	5	0	-	<input type="button" value="Download Report"/>
SIX_SSO_BHX	20230601_171031_LU98765_M_D_1_99999.csv	2	SUCCESS	Thu, Jun 1, 2023, 4:10:32 PM	Thu, Jun 1, 2023, 4:11:00 PM	16	15	1	0	15	0	-	<input type="button" value="Download Report"/>
SIX_SSO_BHX	20230531_124730_LU98765_M_D_1_99999.csv	2	SUCCESS	Wed, May 31, 2023, 11:47:32 AM	Wed, May 31, 2023, 11:48:00 AM	6	6	0	5	1	0	-	<input type="button" value="Download Report"/>
SIX_SSO_BHX	20221013_222340_LU98765_M_D_1_99999.csv	2	ERROR	Thu, Oct 13, 2022, 9:23:42 PM	Thu, Oct 13, 2022, 9:24:01 PM	-	0	-	-	-	-	-	<input type="button" value="Download Report"/>

In case of failed entries details can be shown in the report by clicking on (B).  
Report will be available in zipped format and contains more detailed information  
Example:

```
OK-ERR-TOTAL Messages
23516 - 254 - 23770

#Detailed Report
447 - Unknown Jurisdictions: UK - 1=LU0247234700
```

Different from the search function where the instrument scheme and the identifier need to be entered, only the "Filename" can be searched for here. This requires the knowledge of the correct file name.

#### Example - Search for a file (20191112\_030500\_CH33572\_M\_F\_1\_99999.csv.gz):

In the example, the file name 20191112\_030500\_CH33572\_M\_F\_1\_99999.csv.gz was entered into the Filename window. The search will be started by clicking on the "Search" button. The file will be uploaded a certain number of times and for each upload the number of successful and failed entries will be shown. The system supports an extended search function as well by clicking on "Extended Search".

**Import List**

20230606\_101900\_LU98765\_M\_D\_1\_99999.csv

Extended Search

Status: Any  Total Entries: min:  max:

Time of delivery: min:  max:  Total successful entries: min:  max:

End time: min:  max:  Total failed entries: min:  max:

Search results 1 - 1 of 1

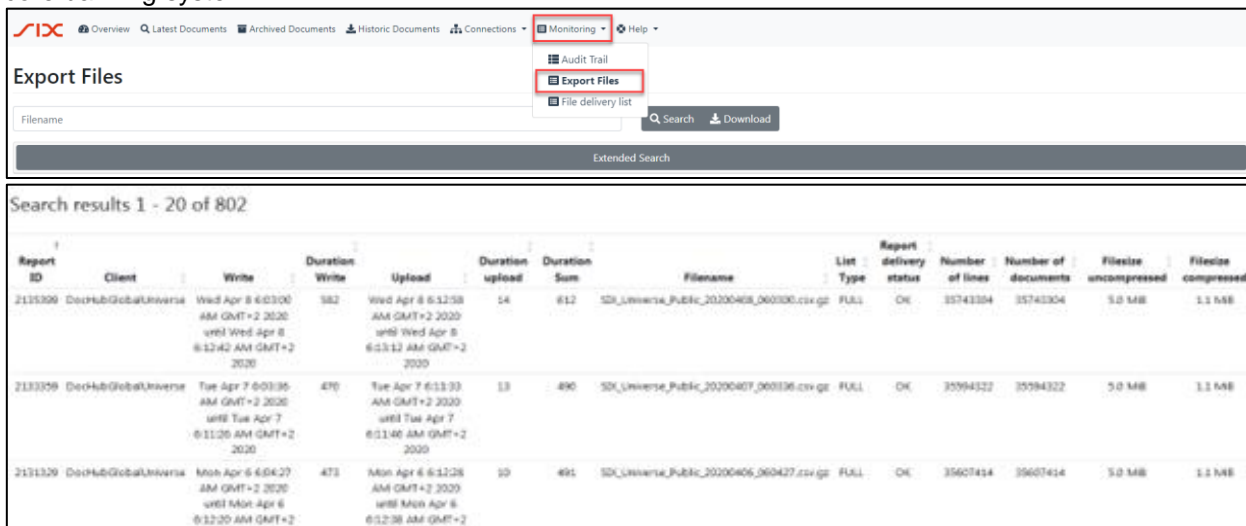
Document Supplier	Filename	Source	Status	Time of delivery	End time	Total Entries	Total successful entries	Total failed entries	Records inserted	Records updated	Records deleted	File size	Reports
SIX_SSO_BHX	20230606_101900_LU98765_M_D_1_99999.csv	2	SUCCESS	Tue, Jun 6, 2023, 9:19:01 AM	Tue, Jun 6, 2023, 9:20:00 AM	6	6	0	0	6	0	-	<input type="button" value="Download Report"/>

The whole import list can be downloaded as CSV file (C).

## 3.9. Menu Monitoring

### 3.9.1. Export Files (only for Power Distributor Users)

Power Distributer users have in the menu “Documents” the submenu “Export Files”, which allows checking the exported files with the available document universe. Consolidated Metadata Files are used to maintain a database with the relation of document metadata to document ID in system on Distributors side, e.g., the core banking system.



Report ID	Client	Write	Duration Write	Upload	Duration upload	Duration Sum	Filename	List Type	Report delivery status	Number of lines	Number of documents	Filesize uncompressed	Filesize compressed
2133309	DocHubGlobalUniverse	Wed Apr 6 6:03:00 AM GMT+2 2020 until Wed Apr 6 6:12:42 AM GMT+2 2020	582	Wed Apr 6 6:12:58 AM GMT+2 2020 until Wed Apr 6 6:13:12 AM GMT+2 2020	14	612	SDX_Universe_Public_20200406_0603305.csv.gz	FULL	OK	35743304	35743304	5.0 MB	1.1 MB
2133309	DocHubGlobalUniverse	Tue Apr 7 6:03:36 AM GMT+2 2020 until Tue Apr 7 6:11:26 AM GMT+2 2020	470	Tue Apr 7 6:11:39 AM GMT+2 2020 until Tue Apr 7 6:11:46 AM GMT+2 2020	13	480	SDX_Universe_Public_20200407_0603305.csv.gz	FULL	OK	35994322	35994322	5.0 MB	1.1 MB
2133329	DocHubGlobalUniverse	Mon Apr 6 6:04:27 AM GMT+2 2020 until Mon Apr 6 6:12:20 AM GMT+2 2020	473	Mon Apr 6 6:12:28 AM GMT+2 2020 until Mon Apr 6 6:12:38 AM GMT+2 2020	10	483	SDX_Universe_Public_20200406_060427.csv.gz	FULL	OK	35607414	35607414	5.0 MB	1.1 MB

#### Export Table:

- Document Counts
- Time of last update
- List type
- ...

### 3.9.2. Audit Trail (only for Power Distributors)

The Audit Trail function helps to see which user of a client has downloaded which document. Every time when a user (GUI users and technical users via API) downloads a document, the document request is logged in the “Audit Trail”.

Document ID, Time of delivery, Time of request, Result code and optionally entered “Request Identifying Data” are logged as well. All necessary information can be filtered or sorted with the report, which can be downloaded. The audit trail lists successful and not successful downloads.

The following kinds of requests are logged:

Tabs	Kind of Request	Description
1	Document Requests	Document download requests via Menu “Overview”, in Menu “Search” or via API are visible here. In case the document was downloaded via “PDF + Data”, the added CustomData is also displayed.
2	Archived Document Requests	Get a list of archived documents retrievals through the GUI or API. If a download is requested through the menu “Retrieve archived documents” or “getArchivedDocuments” via API a search result will be shown. In case custom data was added to identify the request, this data will also be delivered.
3	Create PIB Requests	Get a list of PIB retrievals through the GUI or API. In case custom data was added to identify the request, this data will also be delivered.
4	Create OTC PRIIP-KID Request	Get a list of OTC PRIIP-KID retrievals through API. In case custom data was added to identify the request, this data will also be delivered ( <i>currently not supported in GUI</i> ).

**Audit Trail**

Report from: 2023-06-16 00:00:00 Report to: 2023-06-16 00:24:01 Download Report

**Document Requests** Archived Document Requests Create PIB Requests Create OTC PRIIP-KID Requests Historic Document Requests

Serial	Document ID	Time of delivery	Time of request	Result Code	Error Reference	Document Supplier	Distributor	User	Request Duration Internal	Request Duration External	Show Custom Data
73602257	agtabse6k45dr8bnm5v3zrveb52agsk	2023-06-06T13:22:07	2023-06-06T13:22:06	1	-	Fundinfo	SIX_SSO_BUX	six_sso_bux_dis_user01	653	395	Show Details
73602254	anyxm74nyqywbxwq42aaymm1rezfy	2023-06-06T13:21:34	2023-06-06T13:21:32	1	-	Amundi SA	SIX_SSO_BUX	six_sso_bux_dis_user01	408	1971	Show Details

Serial	Document ID	Time of delivery	Time of request	Result Code	Document Supplier	Distributor	User	Request Duration Internal	Request Duration External	Show Custom Data
22890753	addagkmzumj4p67nkp6v1jdguypucnd	-	2019-08-27 09:02:36	302	Wallstreet DOCS	DocHubGlobalUniverse	CH99999_docPRODsixtk7nq	455	398	Hide Details
Request Identifying Data1: - Request Identifying Data2: - Request Identifying Data3: - Request Identifying Data4: - Request Identifying Data5: A										
23836161	afcb34n3gsprv3csg7q7my8rrm17fks	-	2019-09-27 11:22:43	302	ETF Securities UK Limited	DocHubGlobalUniverse	CH99999_docPRODsixtk7nq	94	52	Show Details

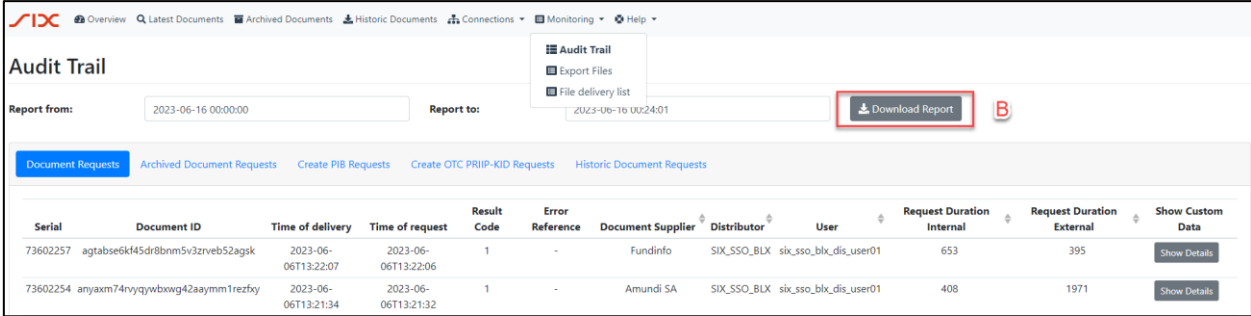
The Custom Data (Request Identifying Data) can also be shown here by clicking on (A). Now, they are visible as in the Archive too.

The Tab Document Requests provides following information:

#	Field name in GUI	Format	Description	Request Type(s)
1	Serial Number	<Integer>	Serial Number for each request, depending on the request type of the number	All
2	Document ID	<String>	The unique ID of a requested document	getDocument
3	Archive ID	<String>	The unique ID of an archived document	getFromArchive
4	DocGen Serial	<Integer>	Serial number of a request to DocGen (further request to Cleversoft has the same field filled)	createPIB, createOnTheFly PRIIPKID
5	Time of delivery	<Timestamp> YYYY-MM-DD HH:MM:SS	Timestamp when the request has been finished (process end time)	All
6	Time of request	<Timestamp> YYYY-MM-DD HH:MM:SS	Timestamp when the request started (process start time)	All
7	Result code	<Integer>	The (error) code the request process finished with	All
8	Distributor	<String>	The client ID of the requesting distributor	All
9	User ID	<String>	The user ID of the user who performed the request	All
10	Request duration internal	<Integer>	The time taken for requesting the document by DocHub in milliseconds	All
11	Request duration external	<Integer>	The time DocHub has waited for a requested document from the source in milliseconds	All
12	Custom data 1-5	<String>	Request Identifying Data. Additional custom data added by the user when downloading the document.	All

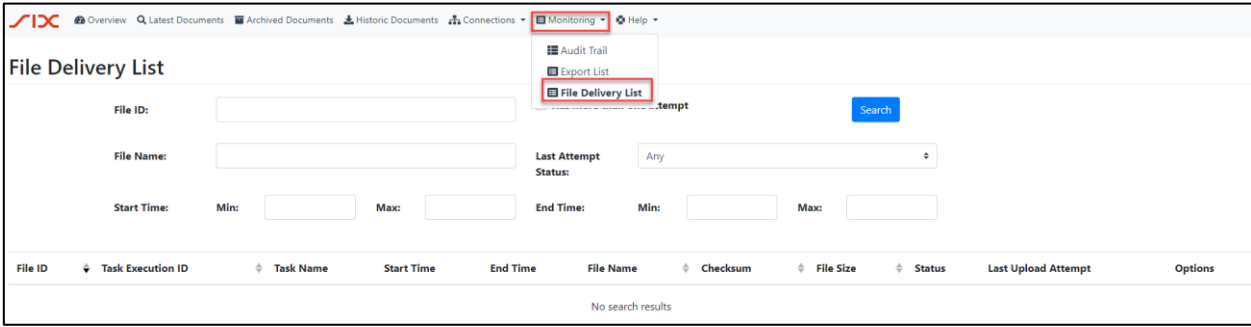
3.9.2.1 Download Audit Trail Report

For all four tabs a single audit trail report can be downloaded by clicking on (B). The system allows the user to define the report date (Report from – to) to reduce the size of the report. Due to the fact the audit trail section does not have a search option, the report in Excel helps to define the search result.



3.9.3. File Delivery List

Metadata export file list along with the list of all the details and can perform search using File name, File ID etc.



3.9.4. Comparison “Archive” and “Audit Trail”

Archive	Audit Trail
<p>Archives the documents which were downloaded by a distributor (service needs to be ordered). In case of complaints, a document can be retrieved to show what has been delivered to the distributor in the past (up to 10 years).</p> <p>The following information is provided:</p> <ul style="list-style-type: none"><li>a) The document itself</li><li>b) Supplier of the document</li><li>c) Time of retrieval</li><li>d) Document ID</li><li>e) Selected metadata like identification (ISIN; Valor), document type, language, jurisdiction.</li><li>f) User who requested the document</li><li>g) Custom Data provided when the request was sent (Request Identifying Data).</li></ul>	<p>Protocol of document downloads and attempts for downloads for the different request types.</p> <p>The following information is provided:</p> <ul style="list-style-type: none"><li>a) Return code (success or error code delivered)</li><li>b) Supplier of the document</li><li>c) Time of retrieval</li><li>d) Document ID</li><li>e) Selected metadata like identification (ISIN; Valor), document type, language, jurisdiction...</li><li>f) User who requested the document</li><li>g) Request duration</li><li>h) Data provided when the request was sent (Custom data).</li></ul> <p>With this data further classification of the request can be done, if needed by the provider.</p> <p>Based on the number of successful downloads, SIX is billing the client.</p>

3.10. Menu Help

3.10.1 Support

DocHub customer support centre details will be displayed here.



3.10.2 Notification

DocHub latest product notifications, release and maintenance updates, service alerts will be displayed on this page.

