Service Information

DocHub (Document Hub)

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Table of Contents

1 General

SIX Financial Information does not provide any legal, compliance, financial, investment, tax or other advice.

The Service is provided "as is" without any warranty or guarantee. To the extent permitted by law, the liability of SIX Financial Information for the Service (including for Data sourced from third party Data Suppliers) is limited in accordance with the applicable contract for the supply of the Service. The use of the Data is subject to the relevant Data Suppliers' requirements (including, where required, audit rights, prior approvals, specific licenses, direct agreements between the Subscriber and Data Suppliers).

This document remains valid until a newer version is provided by SIX Financial Information in either electronic or hardcopy form.

2 Service 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. Document suppliers can distribute their documents through SIX Financial Information's document download platform "DocHub" or via third parties.

"DocHub" provides distributors with a single interface through which various types of regulatory and marketing documents 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 only has access to its own organization's audit log and archive.

3 Technical Set-Up

The usage of additional entities (accounts), search widget, bond related documents, historic documents, split documents are optional services and not included in the base fee.

The options subscribed for will be set out in the relevant contract for the service.

3.1 Supported Documents

DocHub supports over 60 document types like regulatory documents, publication and certification obligations and marketing material. Here follow some examples.

- PRIIP KIDs
- UCITS KIIDs
- FIDLEG BIB / FINSA KID
- Prospectuses
- Monthly Reports / Factsheets
- ESG Documents
- Crypto Whitepaper
- UK Specific Documents

3.2 DocHub User Interface and API

DocHub includes the following features.

- Search and download documents via a graphical user interface (GUI) or an application-programming interface (API)
- Consolidated metadata file with all available document metadata to perform local searches with high frequency
- Archiving downloaded documents for 10 years
- Audit trail with a monthly report for all downloaded documents
- Limit the document universe by excluding given Document suppliers
- Receive private/restricted distributed documents
- Crypto Whitepaper
- Upload capability for own documents, manually, via file transfer or e-mail

3.3 Connection Management

A GUI allows browsing the list of Document suppliers connected with DocHub and select which of them should be included or excluded into the Distributor's document universe. The selection applies to all users for search, downloads and creation of consolidated metadata files. It is possible to select all Document suppliers, as well as specify the automatic inclusion of all freshly onboarded Document suppliers. See the DocHub user manual for details.

3.4 Consolidated Metadata File

The consolidated metadata file contains descriptive data for the documents selected via the connection management function described above. It facilitates third-party application integration by providing the document IDs for API access to DocHub e.g. for a core banking system. The metadata file is either available systematically in its entirety, or as "deltas", containing only changed data, compared to the last delivery. For high frequency searches we recommend using the metadata file.

3.5 VDF Document Availability (In DocHub) Indicator

VDF subscribers receive a public PRIIP KID and/or public FIDLEG/BIB prospectus availability indicator for the FIDLEG regulation.

3.6 Search Widget

The Search Widget allows the following DocHub features to be integrated in a web application. Appearance can be adapted by the Distributor.

- Search and download documents (the archiving of documents is not supported in this widget)
- Audit trail with a monthly report for all downloaded documents

3.7 Private Documents

DocHub allows Document suppliers to publish documents with their access restricted so only approved distributors may receive them. The distribution entitlement can be set for each document individually.

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.

3.8 Delivery

The Service is accessible over the Internet.

4   Operation

The subscriber notifies SIX customer administration or customer support via email, as to which internal users must be granted / denied access to the DocHub Service, using their corporate email address and name. The e-mail address must be part of the subscriber's email domain[1] , and is used to send the credentials to the user.

The following user roles are available.

4.1   DocHub Distributor GUI User

A distributor GUI user can search and download documents, including those that already have been downloaded and archived with a browser. All documents downloaded through the GUI will be stored in the archive. Additional identifying text may be associated with archived documents for easier subsequent retrieval.

4.2   DocHub Distributor Power GUI User

In addition to the functions of a distributor GUI user, a distributor power GUI user can manage available Document supplier connections on behalf of its organization. This role allows accessing the audit trail and search through the archive for all user transactions within its own organization.

4.3   DocHub Distributor Technical User

The distributor technical user is needed to search for and download documents via the REST API. If documents are downloaded via the API, archiving must be selected in the request especially. Additional identifying text may be associated with archived documents for easier subsequent retrieval.

To access the consolidated metadata file, an SFTP account is used with separate credentials.

4.4   DocHub Supplier Power GUI User

The supplier power GUI user allows manual upload of pdf documents or the upload of document links via GUI, SFTP or e-mail. This role will normally be assigned to Document suppliers. Distributors making such request can be granted this role to upload their private documents (see section 3.7).

4.5   Requesting Additional Document Suppliers Onboarding

SIX strives to onboard Document suppliers and have an as complete as possible document database, yet this is no guarantee that any given Document supplier or document is readily available through DocHub. This is why DocHub subscribers may provide SIX with a prioritized list of Document suppliers and documents, so SIX may, using reasonable efforts, prioritize their DocHub onboarding (such onboarding can however not be guaranteed). The preferred mechanism for the

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[1] For traceability and auditability purposes, only corporate email addresses with an official registered subscriber domain will be accepted (gmail.com, bluewin.ch, gmx.net, yahoo.com can for example not be used).

onboarding of Document suppliers is the DocHub's fully supported third party interface. Other integration methods exist and may be discussed on an ad-hoc basis.

4.6   Environments

DocHub is available in the following environments.

- – Production (PROD)
- – Test 1 (MT1) for functional testing and integration testing. Note the available document universe is limited.

4.7   Archive Handling After Contract Termination

Upon contract termination, the subscriber may request a copy of all its archived documents and related document metadata. For this activity, the subscriber will be charged on a time and materials basis.

5   Pricing and Invoicing

The base fee is charged in advance and variable fees related to actual consumption are charged in arrears.

The base fee includes a defined number of document requests which will be defined in the relevant contract for the service.

The consumption-related variable fee is calculated on the following basis:

- – All successful document downloads are aggregated on a monthly basis (between the 26th of the last month and the 25th of the current month) – the "Counting Period".
- – The count is based on valid document downloads with no error messages.
- – Searches and displaying of the metadata in the result screen will not be counted.
- – A subscription will be considered ordered and billable if at least one document download has been executed on the production environment. Document downloads on Test (MT1) systems will not be billed.

6 Availability

This section defines the DocHub Service target indicators (not guaranteed). Time measurements reflect the performance at SIX' head-end systems, which may not be the same as that measured on a specific subscriber site. The values described below refer to the production environment (PROD).

Description	Value
Document download	<3 seconds in 80% of the cases <20 seconds in all cases
Archived document download	<30 seconds for documents archived during the last two years, older documents may require longer
Service access time	7 days x 24 hours
Service availability	99.8% on working days between 08:00 – 18:00 CET
Disruptive maintenance	Potentially on Saturdays between 09:00 and 18:00 (CET), to be announced latest one week in advance. In exceptional cases and on short term notice, disruptive maintenance can be performed during business days, outside business hours.
Downloaded documents archival duration	10 years for documents and associated metadata. Documents downloaded through the GUI user interface will automatically be archived, whilst the archival of documents requested via the REST API must be activated in the REST request. Downloads via Widget are not archived.
Consolidated metadata file refresh rate (universe file)	Full file: max. once per day or less frequently Delta files: max. every 15 minutes or less frequently
Audit trail archiving	Two (2) years
User registration data archiving	Ten (10) years

7 Support

7.1 Notifications

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.

7.2 Service Requests

SIX is the single point of contact for the subscriber's service requests (including incidents, questions, and help) and can be contacted by e-mail at support@six-group.com.

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 Support Portal at https://portal.six-group.com/iris/support each user is automatically granted access.

7.3 Updates to this Service Description

This Service Information document and all its further updates can be found on the SIX's Documentation Center (https://portal.six-group.com/documentation-center/en/home/service-information.html)

8 Policies

8.1 Liability

SIX and its personnel excludes all liability related to the content of the documents available through the DocHub as well as all liability related to the distribution of these documents. All responsibilities and liabilities regarding such documents and their distribution are to be agreed directly between the subscriber (typically the distributor) and the Document suppliers. No representation or warranty, express or implied, is provided in relation to accuracy, completeness or reliability.

Any financial information included in DocHub-downloaded documents is subject to the requirements of relevant third party suppliers of data (Data Suppliers) including, where required, audit rights, prior approvals, specific licenses and direct agreements between the Document suppliers and data suppliers.

8.2 Version Control

The DocHub Service will be enhanced with additional document types, metadata attributes and service improvements. Such changes will be announced in advance so subscribers may plan how best leveraging these enhancements.

Even if customer-centric design practices are used so that enhancements and other changes do not impact the subscriber, future changes requiring the subscriber's cooperation cannot be entirely excluded. For this reason, the following three categories of changes have been identified and SIX will use reasonable efforts to give advance notification as follows:

	Category	Description	Examples	Notification
1	No impact	Service changes that have no material impact on the Subscriber	Security update, deficiency fix, minor GUI change. Optional API changes which can be activated by configuration, e.g. additional metadata attributes or data elements	<1 week[2]
2	Minor	Service changes that have minor impact on the Subscriber	Substantial GUI functional changes	3 months
3	Major	Service changes that require advance planning	Withdrawal of a function altogether, or changes that require processing logic changes.	6 months

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[2] Enhancements will typically be communicated as soon as specified, several weeks in advance.

8.3 API Mandatory Updates

SIX will use all reasonable efforts to maintain backwards compatibility when releasing a new API. To fulfill its service maintenance obligations, SIX may at times announce the future obsolescence of a particular API version, providing ample time so the subscriber may plan and implement the then latest version. SIX will give notice in accordance with the contract for the relevant service, after which the old API version will not be supported any longer.

8.4 Reasonable Use

Although there is currently no limitation to the number of document searches and downloads DocHub Users may create, SIX will contact the originating Users in case of abuse, to offer assistance and reserves the right, in order to preserve system performance for other subscribers, to block a given User's access in case cooperation cannot be obtained.

The SFTP directory must not be used for any purpose other than fetching DocHub deliveries or uploading private documents.

9 Appendix to Service Information for DORA (Digital Operational Resilience Act)

Purpose

The appendix summarizes (and sometimes restates) selected settings and parameters of the Service which are relevant for describing the resilience characteristics. In alignment with DORA, it covers the topics Availability, Confidentiality / Privacy and Security, as well as subscriber notification.

9.1 Availability

Type of delivery

The DocHub service is delivered with following interfaces:

- REST API
  Technical specification for login, authentication and methods are described in the documentation "DocHub API REST Documentation for Distributors". The legacy SOAP API is still maintained, but new functionalities will not be supported, therefore a migration to REST API is recommended.
  Important: Searches via REST API are limited in regards of frequency, we recommend using the consolidated metadata file in case mass searches occurs.

- Graphical user interface GUI (Web browser)
  All common browsers are supported.

- Search Widget
  Document searches and downloads can be integrated into customer applications like web pages with predefined Widgets. Behave and design can be adjusted. To avoid a missuse of the Widget in a public web page we recommend building robot protection and using the encrypted version 2 of the Widget. Technical specifications are in documentation "DocHub Documentation Search Widget"

- Consolidated metadata file with all available documents on DocHub should be used in case of mass searches with high frequency. These files are available via SFTP on customer or SIX side and protected with an IP whitelisting.

Maximum capacity

DocHub is able to manage up to 100 million documents. Therefore, the size of the full metadata file can be big (up to 15 GB uncompressed), with filtering and disconnecting suppliers, the size can be reduced.

Average availability (in percent, monthly base)

99.8% on working days between 08:00 – 18:00 CET. Outside business hours 99.7%, announced maintenance windows excluded.

Maximum Unplanned Downtime / Worst Time to Repair (WTTR)

In case of total failure of all DocHub components, Total Recovery time is estimated at 5h.

IT Disaster Recovery and Recovery Time Objective (RTO)

Subscribers are served in parallel out of a pair of data centers ("hot-hot"). There is an automatic failover between sites with max. 10 minutes complete handover. RTO for the broken data center is max. 24 h.

Handling of lost data

All customer data like the audit trail are stored daily in a backup. And can be reloaded. Data between the last backup and the event can be lost.

9.2   Confidentiality / Privacy

Classification / sensitivity level of the Data in scope

Data transmitted through DocHub does not contain any Subscriber related data.

Subscriber Personal Data used for the Service

Subscribers use anonymized username and password to login to the service.

Subscriber Data Used for the Service

Subscribers' corporate e-mail address is used to set the initial password by the subscriber and to reset it or in case of forgot the password.

Subscriber Logging by DocHub

Subscribers use anonymized username and password to login to the service.

Location of Subscriber Data Storage

All data are stored in DocHub data centre in Germany and Switzerland.

Confidentiality / Privacy Prerequisites on Customer Side

The Subscriber is responsible for protecting the login credentials.

9.3   IT/Application

Product update/ release management

See chapter 8.2 Version Control

Type of Access Security

REST API with authentication token

Graphical User Interface GUI (browser) with username and password

Search Widget with an API Key

Consolidated metadata file with username, password and IP whitelisting in case a SIX SFTP is used.

Type of Transmission (Data-in-Transit) Security

Connections are encrypted with TLS1.2 cyphers. Internal communication goes over HTTPS protocol.

Type of Storage (Data-at-Rest within SIX) Security

Data are stored on internal infrastructure without encryption methods (except password credentials, see above)

Security Assessments

SIX Financial Information conducts regular penetration tests and/or security assessments on all applications which are subcomponents of the Services or products offered. The frequency of the tests is defined though a risk-based analysis (i.e. public/private facing and data sensitivity). Penetration tests are conducted by internal teams or independent approved external providers.

In addition to this, SIX Financial Information conducts continuous monitoring of IT components and supportive infrastructure for malware and vulnerabilities and performs the required updates and patches/ hotfixes.

9.4   Subscriber Notifications and Interaction

Product Updates / Release Management

SIX Financial Information informs Subscribers of upcoming DodHub releases several weeks in advance through a Product Notification (CPN) available from the Customer Portal. SIX Financial Information ensures backward compatibility to previous versions of the product to allow a seamless transition.

Service Alerts

Subscribers get Service Alerts through SIX Financial Information's customer portal and must make sure to have the notification type "Product Outages" activated.

Service disruptions or degradations are notified immediately after detection and initial analysis, no later than within 24 hours. Regular status updates are provided whenever relevant information for the Subscribers becomes available but at least once every 24 hours, as long as the situation persists.

Procedure for Accessing Subscriber's Infrastructure

SIX Financial Information does not access the Subscriber's infrastructure in connection with DocHub.

10 Disclaimer

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