SIX

Regulatory Document Hub and Generation Service

Generate and distribute your regulatory documents with SIX for easy, convenient compliance

A centralized platform to house your regulatory documents, streamlines distribution infrastructure and allows for quick and easy retrieval by distributors.

Regulatory documentation for investor protection

Investor protection regulations require manufacturers to produce a range of standardized documents including Packaged Retail and Insurance-based Investment Products (PRIIPs) Key Information Documents (KIDs) that outline the suitability, risks and costs of the investment. These documents must follow strict guidelines and be made available in the pre-sale phase for any retail distribution network.

The document management challenge

Ensuring documents are compliant and available to the right people at the right time can present complex challenges. Manufacturers need to generate and continually update KIDs, resulting in huge volumes of documents that are quickly made available to retail advisory networks. Distributors need to be able to download all necessary documentation for products and access updated versions over the product lifecycle in order to remain compliant and actually do business.

With so many moving parts, distributors are looking for manufacturers to provide a convenient and efficient method to access regulatory documents.
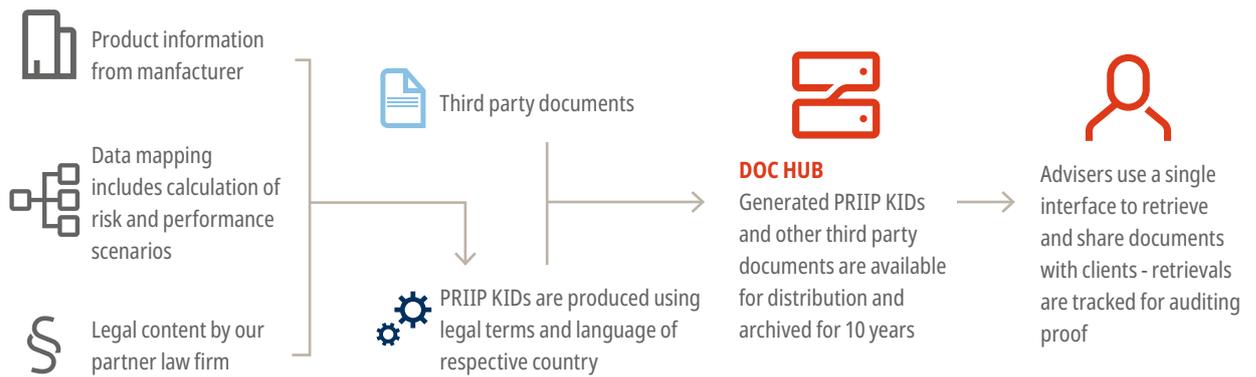
Your one-stop-shop for document management

SIX has developed a platform that allows you to upload pre-sale documents, making it easy for buy-side users to find and retrieve documents from a single source. The solution allows you to generate legally compliant KIDs on demand with automatic updates and distribution throughout the entire lifecycle of a financial instrument.

The centralized download center has been built to ensure compliance with all regulatory documents required today and over the coming years, including MiFID II and FIDLEG.

This innovative generation service reduces the cost and complexity of regulatory compliance by automating the generation and update process. Our partnership with industry leading experts guarantees compliant legal inputs in all EEA languages and ensures all complex calculations required for summary risk indicators and performance scenarios are completed accurately.

Streamlined workflow to enable accurate and timely PRIIP KID distribution

Product information from manfacturer

Data mapping includes calculation of risk and performance scenarios

Legal content by our partner law firm

Third party documents

PRIIP KIDs are produced using legal terms and language of respective country

DOC HUB
Generated PRIIP KIDs and other third party documents are available for distribution and archived for 10 years

Advisers use a single interface to retrieve and share documents with clients - retrievals are tracked for auditing proof

Key benefits:
– Expand your retail network by uploading ready prepared documents to a single platform
– Save time by automatically generating KIDs and updating them throughout the product lifecycle
– Remain compliant with product-specific templates that can be customized according to your own design guidelines
– Maximize your market reach by creating KIDs in all requested EEA languages that can be easily retrieved by your distribution network
– Gain efficiencies through a simple entitlement system that defines which distributors get documents for which instruments
– Future-proof your document management with a central hub that accommodates a wide variety of document types (e.g. PRIIP KID, UCITS-KIID, FIDLEG BIB) and future regulatory documents

Automated document handling
Our solution offers fully automated document generation (including scenario calculations), maintenance, distribution, archiving and reporting throughout the lifecycle of the financial instrument. Regulatory documents are generated based on product specific templates and submitted reference data.

SIX Regulatory Document Generation Service
SIX offers a range of flexible templates to cover the most popular structured products and OTC derivatives. A close collaborative relationship with product specialists during on-boarding ensures that requested product types, with their specific features and characteristics, are fully covered by our extensive offering of templates. The combination of these product specifics with SIX's

pre-defined building blocks allows for enhanced flexibility for new and existing templates. By being both industrial and fully customisable, this agile approach comprehensively serves the SIX goal: generating fully compliant regulatory documents in bespoke layouts for each individual customer.

Easy access and delivery
The regulatory document service by SIX can be integrated into core banking systems thanks to standardized APIs or accessed via a web interface.

Generating legally compliant documents
Together with our carefully selected legal, calculation and software partners, we offer support for a wide range of regulatory document types:
– PRIIP KID (Packaged Retail and Insurance-based Investment Products)
– FIDLEG-BIB (Base Information Bulletin)
– German PIB (Product Information Bulletin)
– UCITS -KIID (Undertakings for Collective Investment in Transferable Securities)

Why SIX?
SIX has over 85 years of expertise in the provision of high quality market and reference data. Thanks to a collaboration between in-house compliance experts and global partners, SIX ensures you receive comprehensive, high-quality compliance content and services. We cover over 60 national and international regulations. More than 60 clients already trust SIX as a partner of choice for the creation and distribution of their regulatory documents with the Regulatory Hub.

We have offices in over 23 countries, to get in touch with your local SIX office visit www.six-group.com/contacts