



# Regulatory Document Hub

Search, download, archive and report on all regulatory documents using a single tool

Ensure your documents are available where and when they need to be leveraging the distribution platform by SIX. A single interface to download up-to-date regulatory documents throughout the product lifecycle and a complete audit trail, the Regulatory Document Hub will help your distribution network save time and ensure investor protection compliance.

## **With new regulations in place, are your documents compliant?**

Under the new regulations, retail advisors who are selling PRIIPs must now ensure that consumers receive a Key Information Document (KID) outlining the investor typology, risks and costs of the investment. Buy-side distributors must ensure that clients receive the documents in the pre-sale phase as well as timely updated versions throughout the product's lifecycle.

## **On-demand retrieval of up-to-date KIDs**

In addition, retail advisors must be able to access the KID for the products they are selling at any time or else they will not be legally allowed to execute the sale. With every lifecycle event, a new KID must be issued and every document must be archived.

Sourcing pre-sales documents from multiple product manufacturers and making these readily available for advisors is presenting an ongoing challenge for financial institutions.

## **A one-stop-shop for your document management**

The SIX Regulatory Document Hub provides access to documents generated by hundreds of manufacturers. It provides a single point of access for distributors and retail advisors. Our document hub stores all pre-sales documents such as PRIIP-KIDs, German PIBs, UCITS KIIDs and other factsheets in one central location, making it easy to source up-to-date documents.

## **A single interface with a full audit trail**

Our solution allows buy-side institutions to retrieve documents from all manufacturers from a single interface, removing the need for these institutions to establish and maintain separate interfaces for each manufacturer. Each time they retrieve a document, the tool creates an automated audit trail, ensuring quick, compliant audit processes.

## **Automated document handling**

Our solution also ensures the distribution network can manage their regulatory documents quickly and efficiently. All documents can be downloaded from one place instead of checking all manufacturer websites individually.

This industry-wide document management tool therefore allows retailers to maximize the number of manufacturers featured on their product shelf and ensures that they can take advantage of any opportunities by having timely access to the documents they need.

### **SIX Regulatory Document Hub**

The SIX Regulatory Document Hub allows users to:

- Retrieve up-to-date regulatory documents
- Disclose and report risk figures, cost data and other regulatory data points
- Search for a specific product in a specific language
- Automatically store copies of necessary documents for audit purposes
- Access a document universe list with an overview of products covered and to what extent, e.g. language, current status or jurisdiction

### **Reduced costs and seamless integration**

The SIX distribution platform helps banks reduce the cost and complexity of compliance. Integrate our service into your core banking systems or use a web interface to access, retrieve and send KIDs to clients. Automatic notification ensures that distributors are informed when a KID update is available.

### **Easy access to legally compliant documents**

A whole range of regulatory document types can be hosted as well as marketing material:

- 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)
- Marketing factsheets

### **Why SIX?**

SIX has over 90 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 70 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.

**Disclaimer:** The information provided herein constitutes marketing material. The information provided herein is not legally binding and it does not constitute an offer or invitation to enter into any type of agreement. The information and views expressed herein are those of SIX at the time of writing and are subject to change at any time without notice. They are derived from sources believed to be reliable. SIX provides no guarantee with regard to the content and completeness of the information and does not accept any liability for losses that might arise from making use of the information.

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