



SIX Regulatory Document Hub

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

Help your retail advisory save time with a distribution platform that offers a single interface for finding and downloading up-to-date regulatory documents throughout the product lifecycle, as well as 10 year archiving and reporting for a complete audit trail.

PRIIP for the buy-side

EU-wide regulation requires retail advisors who are selling Packaged Retail and Insurance-based Investment Products (PRIIPs) to ensure that consumers receive a Key Information Document (KID) outlining the risks and costs of the investment. Buy-side distributors must ensure that their client receives the documents in the pre-sale phase and ensure they receive updated versions throughout the product's lifecycle.

On-demand retrieval of updated KIDs

Retail advisors must always be able to get hold of the KID for the product they are selling or they will not be legally allowed to execute the sale. Execution-only sales (for example made by online brokers or e-banking applications) are included in this requirement. As soon as a lifecycle event makes the document out of date, a new KID must be issued and passed to the end consumer. Every document download must be archived and be available for auditory reporting for a period of 10 years. Sourcing pre-sales documents from multiple product manufacturers and making these readily available for advisors to share with clients is a real burden to financial institutions. Buy-side banks must therefore set up mechanisms that allow retail advisors to continually get hold of updated documents from all the manufacturers featured on their product shelf, as well as creating an audit trail to track every document retrieval.

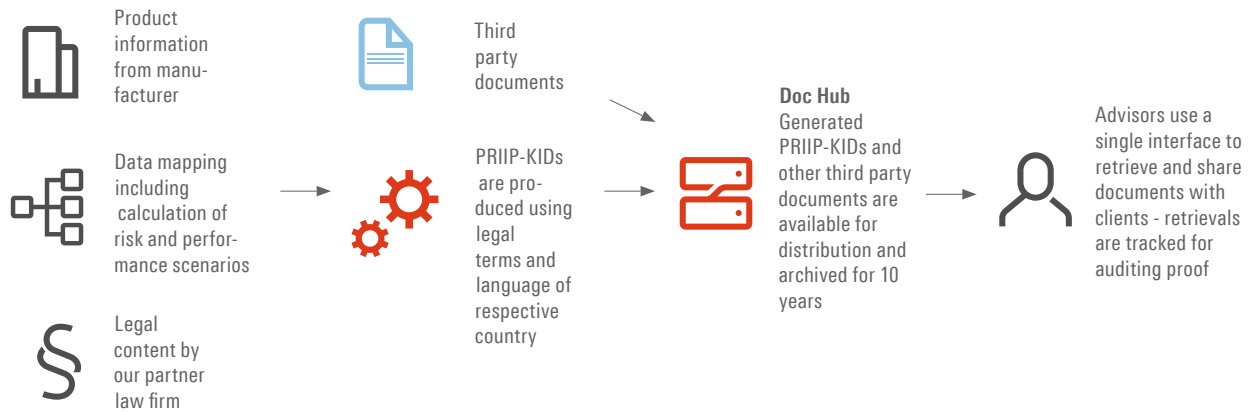
An efficient system for downloading documents

SIX Financial Information has developed a document hub that provides access to documents generated by hundreds of manufacturers, including documents created as part of the SIX Document Generation Service. This allows us to provide a single point of access for distributors and retail advisors. Our document hub stores all pre-sales documents such as PRIIP-KIDs, German PIBs and other factsheets in one central location, making it easy to source up-to-date documents.

Key benefits

- Reduce source complexity and save time with a single point of access for retrieving KIDs from multiple manufacturers
- Save time with on-demand access to the most up-to-date pre-sale documentation
- Save costs with a dedicated interface that can be integrated into core banking software or accessed via web interface
- Stay compliant with push notifications when downloaded KIDs become outdated
- Be well prepared for audit with 10 year storage and archiving of all document retrievals

A streamlined workflow to enable accurate and timely PRIIP-KID distribution



A single interface with a full audit trail

The SIX Regulatory Document Hub helps buy-side institutions by providing them with a single interface to retrieve documents from all manufacturers, removing the need to establish and maintain interfaces separately for each one. Every retrieval of regulatory documents triggers a report to create an automated audit trail. Combined with 10-year report archiving, the tool ensures compliance and speedier audits for your organization.

Automated document handling

SIX offers a full-service solution that makes regulatory document management fast and efficient for the distribution network. Buy-side banks can take advantage of a single point of access to all pre-sale documentation from multiple manufacturers. A centralized download center means regulatory 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 are always able to exploit opportunities by having timely access to the documents they need.

SIX Regulatory Document Hub

SIX unifies documents generated by various product manufacturers into one place, creating a single tool for users to retrieve regulatory documents. The SIX Regulatory Document Hub allows users to:

- Retrieve the most up-to-date regulatory documents
- Retrieve meta data such as risk figures, cost data and other regulatory data points
- Search regulatory documents for a specific product or to find out which languages are provided

- Automatically store a copy of the retrieved document so it can be used for audit purposes
- Access a document universe list with an overview of which products are covered and to which 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 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. Over 70 clients trust SIX as a partner of choice for the creation and distribution of their PIBs for the German market.

For more information, please contact your local SIX Financial Information office, and a representative will be happy to assist you.

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