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Regulatory Documents DocHub Attribute Tables

1 Table of Revision

Version	Version	Version	Version	Version
1.0	Final	Gerhard Heß	27.5.2020	General tables extracted from other DocHub documents
1.1	Final	Gerhard Heß	14.4.2021	Document types GB PRIIP KID 9 and GB UCITS KID 10 added. DocType translations added.
1.2	Final	Gerhard Heß	21.4.2022	ESG Document types 211, 301, 302, 303, 304 and 305 added
1.3	Final	Gerhard Heß	23.5.2022	Renamed "Instrument Scheme Type" to " <u>Identifier Scheme Type</u> " and added values. This enables references to companies for ESG company related documents.
1.4	Final	Markus Häni	28.2.2023	Renaming Document types 301 and 303 Disabling Document types 302 and 304
1.5	Final	Markus Hani	27.6.2024	Introducing New Document Types
1.5	Final	Markus Hani	27.6.2024	New Identifier Scheme Type

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3 General type definitions

Be aware that additional types might be introduced during lifetime of a release. Please consider this in your software development.

4 Identifier Scheme Type

The "Document Identifier Scheme Type" delivers the Instrument or Company to which the document is referring.

Type Name	Description
Document Identifier Scheme Type	1 (I-) = ISIN
	2 (CH) = Swiss Valorennummer
	3 (DE) = German NSIN (WKN)
	4 (GB) = SEDOL
	5 (US) = CUSIP
	6 (FR) = Euroclear France
	7 (DTI) = Digital Token Identifier
	8 (FFG DTI) = Digital Token Identifier
	9 (FIGI) = Financial Instrument Global Identifier
	101 (SU1) = Supplier specific 1
	102 (SU2) = Supplier specific 2
	103 (SU3) = Supplier Specific 3
	201 (DGOTC) = SIX DocGen OTC
	301 (ETD-I) = ISIN hyphen "Contract Side Type"
	302 (ETD-CH) = Swiss Valorennummer hyphen "Contract Side Type"
	303 (ETD-All) = All (Alternative Instrument Identifier) hyphen "Contract Side Type"
	801 (COMP-LEI) = COMPANY LEI
	802 (COMP-GK) = COMPANY GK
	820 (COMP-TXT) = COMPANY IDENTIFIER TEXT

Attention for Scheme 4 and 5: Those identifiers should not be send by Issuer or 3rd Party Generators as exclusive identifier, but as additional (as some Distributors don't have the data license for SEDOL/ CUSIP and the identifier would be removed it is important there are other identifiers to allow a Distributor can use).

Attention for Scheme 303: In case of All, this is only used within some banks (within this specific business process), but not by the majority. Therefore ETD-All should only be send as additional identifier, not as exclusive identifier.

Table 1: Document Identifier Scheme Type

5 Contract Side Type

The Scheme Name "Contract Side Type" is not represented in a single attribute. It is needed as a part of the InstrumentID to build a unique InstrumentID for the three "ETD" InstrumentSchemes.

Scheme Name	Description
Contract Side Type	1 = Buyer (long)
	2 = Seller/ Underwriter (short)

Table 2: Contract Side Type

6 Document Type

Type Name	Description
Document Type	<p>Investor protection regulatory documents:</p> <p>1 = PRIIP KID 2 = German PIB 3 = UCITS/ AIF (Non-UCITS) KIID 4 = Spanish Order Documents 5 = FINSA KID 6 = Italian Scheda 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 KID 11 = UK SDR and Investment Labels 12 = Crypto-Asset White Paper</p> <p>Publication and certification obligations:</p> <p>101 = Prospectus 102 = Semi-annual Report 103 = Annual Report 104 = Terms of Contract 105 = Interim Report Short Form 106 = Additional Information for Investors 107 = Simplified Prospectus 108 = Product Highlight Sheet 109 = Key Fact Statement 110 = Regulations/ Fund Regulation 111 = Annual Report Short Form 112 = Supplement Information Document 113 = Dividend Table 114 = Subscription Form 115 = Supplement Subscription Form 116 = Trimestrial Financial Report 117 = § 21 Abs. 1 AIFMG - Angaben 118 = Audit Report 119 = Termsheet 120 = Legal Publication 121 = Registration Document 122 = Securities note 123 = Summary 124 = Base prospectus 125 = Final terms 126 = Supplements 127 = Company Reports</p> <p>Marketing material:</p> <p>201 = Monthly Report 202 = Quarterly Report 203 = Manager Commentary 204 = Fund profile 205 = Sales Presentation</p>

- 206** = Marketing Brochure
- 207** = Sales Aid
- 208** = Other Marketing Material
- 209** = Factsheet
- 210** = Research
- 211** = ESG Marketing Reports

ESG regulatory documents

- 301** = ESG-EU Pre-contractual Disclosure
- 303** = ESG-EU Periodic Disclosure
- 305** = ESG-EU Website Disclosure

Disabled document types

- 302** = ESG-EU Pre-contractual Disclosure Art 9 SFDR & Art 5 Taxonomy
- 304** = ESG-EU Periodic Disclosure Art 9 SFDR & Art 5 Taxonomy

If still documents are delivered with this document types, they will automatically mapped to:

- 302 to 301
- 304 to 303

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

Table 3: Document Type

7 MIME Type

Type Name	Description
MIME Type	1 = application/pdf

Table 4: MIME Type

8 Generation Method Type

Type Name	Description
Generation Method Type	1 = Generated on the fly 2 = Pre-generated (intraday) 3 = Pre-generated once a day or even less frequently 9999 = Unknown

Table 5: Generation Method Type

9 Institution Scheme Type / Issuer Identifier Type

Type Name	Description
Institution Scheme Type	1 = SIX Internal Institution ID (Gesellschafts-Key) GK 2 = Legal Entity Identifier LEI

Attention: An Institution Scheme Type should only be provided, when there are Document Identifier Scheme Type for Instrument identifiers delivered.

Table 6: Institution Scheme Type

10 Publication Classification

Type Name	Description
Publication Classification	0 = Public publishing
Type	1 = Closed user group (clients of the distributor)

Table 7: Publication Classification Type

11 Sourcing Strategy Type

Type Name	Description
Sourcing Strategy Type	1 = Data / document is sourced directly by the manufacturer 2 = Data / document is sourced by the technical agent who is mandated by the manufacturer to generate the data or documents 3 = Data / document is sourced by a platform which is selected by the manufacturer to distribute his data and documents 4 = Data / document is sourced by a platform collecting data and documents 5 = Data / document is sourced via internet search 6 = Data / document calculated / generated by data supplier (not by manufacturer) 7 = Data / document calculated / generated by SIX rule set (not by manufacturer) 99 = Sourcing strategy not defined 999 = Sourcing activity stopped

Table 8 - Sourcing Strategy Type

12 Appendix

12.1 Translation Tables for Document Types

12.1.1 Translations EN, DE, NL

CODE	EN	DE	NL
1	PRIIP-KID	PRIIP-KID	PRIIP-KID
2	PIB	PIB	
3	UCITS / AIF (Non-UCITS) KIID	UCITS / AIF (Non-UCITS) KIID	UCITS / AIF (Non-UCITS) KIID
4	Spanish Order Documents	Spanische Kaufdokumente	Spaanse besteldocumenten
5	FINSA KID	FIDLEG BIB	
6	Italian Scheda 'prodotto'	Italienisches 'Scheda prodotto'	Italiaans 'Scheda prodotto'
7	Multi Option Products (MOP) style: Generic including KID	Multi Option Products (MOP) style: Generisch inklusive KID	Multi Option Products (MOP) stijl: Generiek inclusief KID
8	Multi Option Products (MOP) style: Generic plus supplements	Multi Option Products (MOP) style: Generisch plus Supplements	Multi Option Products (MOP) stijl: Generiek plus supplementen
9	PRIIP-KID for the GB market	PRIIP-KID für den Britischen Markt	
10	UCITS-KIID for the GB market	UCITS-KIID für den Britischen Markt	
11	Crypto-Asset White Paper		
12	UK SDR and Investment Labels		
101	Sales Prospectus	Verkaufsprospekt	Verkoop prospectus
102	Semi-annual reports (UCITS)	Halbjahresbericht (UCITS)	Halfjaarbericht (UCITS)
103	Annual reports	Jahresbericht	Jaarraport
104	Terms of Contract	Vertragsbedingungen	Voorwaarden van contract
105	Interim Report Short Form	Zwischenbericht in Kurzform	Tussentijds verslag in korte vorm
106	Additional Information for Investors	Zusätzliche Informationen für den Anleger	Extra informatie voor investeerders
107	Simplified Prospectus	Vereinfachter Prospekt	Vereenvoudigde Prospectus
108	Product Highlight Sheet	Produkt Highlight Sheet	Product gemarkeerd sheet
109	Key Fact Statement	Key Fact Statement	Kerngegevens
110	Regulations / Fund Regulation	Regulierungen / Fondsregulierung	Regelgeving / Fonds regelgeving
111	Annual Report Short Form	Jahresbericht in Kurzform	Jaarrapport in korte vorm
112	Supplement Information Document	Anhang zum Informationsdokument	Document met aanvullende informatie
113	Dividend Table	Dividenden Tabelle	Dividend tabel
114	Subscription Form	Zeichnungsformular	Inschrijvingsformulier

115	Supplier is now visible again.	Der Supplier wird jetzt wieder angezeigt.	
116	Trimestrial Financial Report	Vierteljähriger Finanzbericht	Financiëel rapport per trimester
117	§ 21 para.1 AIFMD-Information	§ 21 Abs.1 AIFMG-Angaben	§ 21 para.1 AIFMG-Informatie
118	Audit Report	Prüfbericht	Controleverslag
119	Term sheet	Term Sheet	Termsheet
120	Legal Publication	Rechtliche Publikation	Juridische publicatie
121	Registration document	Registrierungsformular	Registratie formulier
122	Securities note	Wertpapier- /Effektenbeschreibung	Effecten nota
123	Summary	Zusammenfassung	Samenvatting
124	Base prospectus	Basisprospekt	Basis prospectus
125	Final terms	Endgültige Bedingungen	Voorwaarden
126	Supplements	Nachträge	Aanvullingen
127	Company Report	Geschäftsbericht	Bedrijfsverslag
201	Monthly search request export task	Monatliche-Suchabfragen- Exportaufgabe	
202	Quarterly Report	Quartalsbericht	Kwartaalbericht
203	Manager Commentary	Manager Kommentar	Commentaar van de manager
204	Fund profile	Fondsprofil	Fondsprofiel
205	Sales Presentation	Verkaufspräsentation	Verkooppresentatie
206	Marketing Brochure	Marketing Broschüre	Marketing brochure
207	Sales Aid	Verkaufsunterstützung	Verkoopondersteuning
208	Other Marketing Material	Sonstiges Marketing-Material	Ander marketing materiaal
209	Factsheet	Factsheet	Informatieblad
210	Research	Research	Onderzoek
211	ESG/SFDR/EU-Taxonomy documents	ESG/SFDR/EU-Regulierung Dokumente	
301	ESG-EU Pre-contractual Disclosure	ESG-EU Vorzeichnungsdokument	
303	ESG-EU Periodic Disclosure	ESG-EU periodische Offenlegung	
305	ESG-EU Website Disclosure	ESG-EU-Webseiten-Offenlegung	
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		

12.1.2 Translations ES, FR, IT

CODE	FR	IT	ES
1	PRIIP-KID	PRIIP-KID	
2			
3	UCITS / AIF (Non-UCITS) KIID	UCITS / AIF (Non-UCITS) KIID	
4	Documents d'ordre espagnol	Cartella documenti spagnola	Documentos de pedido español
5	LSFin DIC	LSerFi DCIC	
6	Italien 'Scheda prodotto'	Scheda prodotto italiano	Italiano 'Scheda prodotto'
7	Style de Produits à Options Multiples (MOP): générique y compris KID	Stile di Multi Option Products (MOP): generico e comprensivo di KID	Productos Multi Opción (MOP) formato: Genérico incluyendo KID
8	Style de Produits à Options Multiples (MOP): générique plus les suppléments	Stile di Multi Option Products (MOP): generico e con supplementi	Productos Multi Opción (MOP) formato: Genérico más suplementos
9			
10			
101	Prospectus de vente	Prospetto di vendita	Folleto de Ventas
102	Rapport semestriel (UCITS)	Rapporti semi-annuali (UCITS)	Informes semestrales (UCITS)
103	Rapports annuels	Rapporti Annuali	Informes Anuales
104	Termes du contrat	Termini del contratto	Términos del Contrato
105	Rapport intérimaire en forme abrégée	Rapporto interinale in forma breve	Informe provisional abreviado
106	Information supplémentaire pour investisseurs	Informazioni supplementari per gli investitori	Información adicional para inversores
107	Prospectus simplifié	Prospetto semplificato	Prospecto simplificado
108	Fiche produit avec caractéristiques principales	Scheda prodotto con le caratteristiche principali	Ficha destacados del Producto
109	Enoncé des faits essentiels	Dichiarazione dei key fact	Declaración de datos clave
110	Règlementations / Règlement du fonds	Regolamentazioni / Regolamento del fondo	Regulación / Regulación del Fondo
111	Forme abrégée du rapport annuel	Rapporto annuale forma breve	Memoria Anual abreviada
112	Document d'information supplémentaire	Documento di informazione supplementare	Documento con información suplementaria
113	Table de dividendes	Tabella dei dividendi	Tabla de dividendos
114	Formulaire de souscription	Formulario di sottoscrizione supplementare	Formulario de suscripción

115			
116	Rapport financier trimestriel	Rapporto finanziario trimestrale	Informe financiero trimestral
117	§ 21 Par.1 GFIA- Informations	§ 21 par.1 GEFIA- informazioni	§ 21 párr.1 AIFMD- Información
118	Rapport d'audit	Audit Report	Informe Auditoría
119	Fiche d'information	Scheda informativa	
120	Publication légale	Pubblicazione legale	
121	Formulaire d'inscription	Documento di registrazione	
122	Note relative aux valeurs mobilières	Nota informativa sul titolo	
123	Résumé	Nota di sintesi	
124	Prospectus de base	Prospetto di base	
125	Conditions définitives	Condizioni definitive	
126	Suppléments	Supplementi	
127	Rapport de l'Entreprise	Relazione Aziendale	Informe de la empresa
201			
202	Rapport trimestriel	Rapporto trimestrale	Informe trimestral
203	Commentaire du manager	Commento del manager	Comentario del gestor
204	Profil de fonds	Profilo del fondo	Perfil del fondo
205	Présentation de vente	Presentazione di vendita	Presentación de Ventas
206	Brochure Marketing	Marketing Brochure	Folleto de Marketing
207	Aide à la vente	Aiuto alla vendita	Ayuda a Ventas
208	Autres supports de marketing	Altri materiali di marketing	Otro material de Marketing
209	Fiche d'information	Scheda informativa	
210	Recherche	Ricerca	
211			
301			
303			
305			
401	Recueil de la preuve		
402	KID Produit		
403	DS Producteur		
404	DS Support		
405	Notice Produit		
406	Annexe UC		
407	DS Distributeur		
408	Document SFDR		
409	Encart d'Intermédiation		
410	Fiche Confidentielle Client		