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## Regulatory Documents DocHub User Manual

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## **New Functions in Release 2.9**

- <u>1 & 3.10.2</u> Product Manual document upload (only with Power Supplier right)
- 2.3 Introduction of SIX Account Console which allows the user to update/reset password.
- 3.1 Changes/additions to the main menu
- 3.4 Document Type Group Changes within the name of the ESG document types
- 3.6 Implementation of Historic documents

## New Functions in Release 2.10

3.8.1 Document Upload using GK

## **New Functions in Release 2.11**

- 3.4 New Insurance Group and Insurance Document Types
- 3.4 Company Reports, UK SDR and Investment Labels and Crypto-Asset White Paper

Changes in the User Manual are marked in blue.

## 1. 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.

The document download platform "DocHub" provides distributors with a single interface through which various types of regulatory and marketing documents for financial instruments and companies 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 can only access his own organization's audit log and archive.

Document Suppliers provide their documents to DocHub either through direct delivery or via third parties.

DocHub supports over 40 document types like regulatory documents, publication and certification obligations and marketing material. Here follow some examples.

- PRIIP KIDs
- UCITS KIIDs
- FIDLEG BIB / FINSA KID
- Sales Prospectuses
- Monthly Reports
- ESG/SFDR/EU-Taxonomy documents

A GUI (graphical user interface accessed via a browser) allows browsing the list of Document Suppliers connected with DocHub. A distributor can select which of them should be included or excluded into his document universe. The selection applies to all users of the distributor for search and downloads. It is possible to select all Document Suppliers and get an automatic inclusion of new onboarded Document Suppliers.

DocHub allows Document Suppliers to publish documents with restricted access (private). Only selected distributors can access them via Distributor Specific or Multi Distributor Connection. This distribution entitlement can be set for each document individually by the Supplier.

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. In this case the Distributor needs an entitlement for a Supplier User role. Please contact SIX Client Support, if this role is needed.

As optional service, a Distributor can generate its own German PIBs. The on-the–fly generation is initiated via DocHub GUI or DocHub API. The generation is performed by an optional dedicated third-party service.

The Service is accessible via Internet with a common Browser. You may have access to the productive environment PROD and/or the test system TEST. Be aware that the document universe on the test environment is much smaller than in production.

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. Client Support will assist you in registering on the SIX client portal.

**New Product Notification:** The banner on top of the DocHub login page will display the latest news of product releases, notifications and updates on DocHub and all the users can view the notifications on the landing page.

ľ		
	A Dverview Q Latest Documents      Archived Docum	
	Product Notification Attribute changes	
	Attribute changes	More Information Hide

SIX is the single point of contact for the Subscriber's service requests (including incidents, questions and help).

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: <u>https://www.six-group.com/en/contacts/financial-information.html</u>. The most efficient means of registering and following-up on service requests with SIX consists in using the embedded client portal messaging system (also known as "Inbox") each user is automatically granted access.

## 2. General information

## 2.1. Environment and test data

Every client gets access to the 2 following different environments for SIX DocHub:

Symbol	Description	USER	URL
Test Environment (TEST)	Used for end-to-end testing purposes with client. Before a new software is released into production, this environment supports the new software version	SIX, Potential client, End client	https://test.six-dochub.com
Production Environment (PROD)	Live Environment	SIX, End client	https://www.six-dochub.com

## 2.2. Login

Every client will get access to the above mentioned environments (TEST and PROD).

- User name, link to set your password and link to DocHub will be sent automatically after opening the user. Please check your Spam in case you haven't got it.
- In case the password has been forgotten or lost, please use the "Forgot password" function on logging page. A link to reset your password will be sent to you via email.

In order to login, the user has to insert the User name as well as his password and then click on the "Sign In" button to confirm and sign in.

-		
	English V	
	Sign in to your account	
	Username	
	Password	
	Forgot Password?	
	➡Э Sign In	

## 2.3. Forgot and Update Password

A user always has the option to change the default password provided by SIX by clicking on the "Forgot Password?" link in the login page.

English V Sign in to your account
Username
Password
Forgot Password?

As soon as the user is logged-in, the user will be able to see a small triangle on the bottom right next to the User name.

1. By clicking on the triangle symbol a separate window will open up with the two functions "My Account" and "Logout".

Under the menu "My Account" a user can update the password by clicking on the "Change password and more" button.

	My Account	
	User name:	SIX_SSO_BLX_Dis_User02
	First name: Last name:	-
[]	Email: Client:	test.six_sso_blx_dis_user02@ariva.de
My Account	Client Entitlements:	SIX_SSO_BLX (75)
My Account	User roles:	DISTRIBU
Logout	System roles:	default-roles-dochub, offline_access, uma_authorization
	Environment:	SIX DocHub v.2.9.0 (TI)
six_sso_blx_dis_user01	Change password and more	

The page will re-direct to another window (SIX Console Account-see below image). Under Account security, click on "**Signing in**" and on the same page the user can click on "**Back to DocHub GUI**" (re-direct to the main DocHub page) or sign out accordingly.

			Back to DocHub GUI Sign out six_sso_bb
Welcome to SIX Doci	Hub account management		
Personal info	U Account security	면 Applications	
Manage your basic information Personal info	Control your password and account access Signing in Device activity	Track and manage your app permission to access your account Applications	

#### Click on update

≡ <b>∕</b> IX		Sign out six_sso_blx_dis_user01
Personal info	Signing in	
Account security V	Configure ways to sign in.	
Signing in Device activity	Basic authentication	
	Password	
Applications	Sign in by entering your password.	
	My password Created May 9, 2023 at 2:09 PM	Update
	Two-factor authentication Authenticator application Enter a verification code from authenticator application.	Set up authenticator application
	Authenticator application is not set up.	

## Enter the current password and click on Sign In.

	Forgot Password
Password	
Please re-authenticate to continue	
six_sso_blx_dis_us	ser01 🖻
	English

New window will pop up. Enter the new password and submit.

	Update password	English V
New Password	rd	
Sign out from	m other devices	_
Submit	Cancel	

## 2.4. Client Roles and User Rights

The SIX DocHub supports two different roles:

- Distributor Role
- Supplier Role

A **Distributor** searches and downloads documents of his universe. The universe is defined by the active connections to the suppliers.

A **Supplier** provides document metadata describing what documents are available. Included in this metadata is the distribution entitlement which defines restrictions regarding the access to the documents.

Each role requires its own log in. This means that during the onboarding procedure, the onboarding manager and the client define the client's necessary roles and the related users. It is also possible that a client has both roles, a Supplier role and a Distributor role.

Each client can have different User Rights per roles for DocHub.

## **Distributor Role**

- Distributor GUI User Search and download documents, access archived documents, read connections
- Distributor Power GUI User Search and download documents, access archived documents, read connections, accept / reject connections, read and download Audit Trail
- Distributor Technical User Access to DocHub SOAP & REST API with all methods

## Supplier Role

- Supplier GUI User Get and search own documents, read channels
- Supplier Power GUI User Search, edit, delete and upload own documents. Read and update channels. Monitor import.
- Supplier Technical User Gateway access to deliver files with document metadata

## 2.5. What are my User Rights

The rights of a user are depending on the role, as mentioned above.

As soon as a user is logged in, their User name will be visible in the bottom right of the page with a small triangle symbol next to it. By clicking on the triangle symbol, an additional window will show with the two functions "My Account" and "Logout". By clicking on the "My Account" button, the user can see their role. The user roles inform indirectly about the rights (for details see the section "User Rights" above).

#### Print screen:

	My Account	
My Account	User name: First name: Last name:	SIX_SSO_BLX_Dis_User02 -
Logout	Email: Client: Client Entitlements: User roles:	test.six_sso_blx_dis_user02@ariva.de SIX_SSO_BLX (75) DISTRIBU
<pre>six_sso_blx_dis_user01 *</pre>	System roles: Environment: Change password and more	default-roles-dochub, offline_access, uma_authorization SIX DocHub v.2.9.0 (TI)

## 2.6. GUI Languages

The DocHub GUI currently supports eight different languages for the interface (Dutch, Spanish, French, Russian, German, Italian, English and Portuguese). It is important to note that these GUI languages are not linked to the document languages (e.g., PRIIP KID language).

Every user can select interface language in DocHub GUI any time by clicking on the triangle at the bottom left of the GUI

∕IX		ру́сский
		Nederlands
	English V	Español
	Sign in to your account	Italiano
Username		Português
Password		Français
	Forgot Pessword?	English
	+9 Sign In	Deutsch
		English

## 3. General Features

## 3.1. Main Menu

The application screen consists of a Main Menu with a selection menu. Some selection menu items switch directly to a new screen other offer a submenu to switch to a new screen.

#### **Distributor and Power\* Distributor User**

Items with \* need the Power User rights. Items with \*\* are only available when the service is included.

Menu Bar item	Button	Submenu item	Description
Overview	Overview	Direct switch	<ul><li>Search for documents</li><li>Offered connections</li></ul>
Latest Documents	<b>Q</b> Latest Documents	Direct switch	<ul> <li>Search with extended search criteria</li> <li>Download documents with automatic archiving</li> </ul>
Documents		🛓 PIB retrieval 🔭	<ul> <li>Creating a German PIB based on ISIN entry **</li> <li>Needs an additional 3<sup>rd</sup>-Party contract **</li> </ul>
Archived Documents	Archived Documents	Retrieve archived documents	<ul> <li>Search for previously downloaded documents with extended search function</li> </ul>
Historic Documents	La Historic Documents	Historic Document Search	Search Historic Documents
Connections	Connections	Connections	<ul> <li>Checking connected channels from Suppliers</li> <li>Connect or reject channels from Suppliers*</li> </ul>
Monitoring	■ Monitoring ▼	📕 Audit Trail	<ul> <li>Protocol of document downloaded for the different request types and users*</li> </ul>
		🗉 Export List	<ul> <li>View and search exported consolidated metadata files*</li> <li>Download result as Excel*</li> </ul>
		E File Delivery List	Metadata Export File Delivery list with details
Help	🔇 Help	Support	<ul> <li>Contact SIX Client Support by phone or e-mail.</li> <li>User manuals for GUI and Mass Upload</li> </ul>
		Notifications	Latest DocHub Release updates will be displayed

## Supplier and Power Supplier User

Functions with \* need the Power User rights.

Menu Bar item	Button	Submenu	Description
Overview	Overview	Direct switch	<ul> <li>Search for own uploaded documents</li> </ul>
Latest Documents	<b>Q</b> Latest Documents	Direct switch	<ul> <li>Search with extended search criteria</li> <li>Download documents</li> </ul>
Connection	🚠 Connections	Channels	<ul> <li>Supplier can modify multi distributor channels*</li> <li>Add or remove a distributor to an existing channel*</li> </ul>
Document Upload	Document Upload 👻	Single Upload	<ul> <li>Manual upload of one document*</li> <li>Edit or remove document metadate entries from DocHub*</li> <li>Search with extended search function</li> </ul>
		Mass upload	<ul> <li>Mass upload of multiple files*</li> </ul>
		Import list	<ul> <li>Shows when document metadata files have been delivered (automatically or manually) and processing result (success or no success) etc.*</li> </ul>

Help	🕲 Help	<b>O</b> Support	<ul> <li>Contact SIX Client Support by phone or e-mail.</li> <li>User manuals for GUI and Mass Upload</li> </ul>
		Notifications	<ul> <li>Latest DocHub Release updates will be displayed</li> </ul>

## 3.2. Functions

Following functions are available in the display screens. The functions depend on the role and on the selected Menu.

Tool	Description
DF PDF	<ul> <li>To download and/or open a PDF document. Depending on browser settings the document might be opened directly, might be downloaded or the user might be asked for an action.</li> <li>All documents downloaded via GUI will be archived.</li> </ul>
🌣 PDF + data	• In addition to the document download as described above, the user can add attributes to document retrieval. These attributes are visible in "distributor's documents retrieval" when this was a document retrieval in a search menu. The attributes are also visible in the audit trail for all type of requests to which such data has been supplied. Supply of attributes is mainly used by API access.
<b>[</b> ] Details	<ul> <li>To see more detailed and further information about a document in one screen.</li> </ul>
Columns	<ul> <li>To add or remove columns in your search result.</li> <li>Please note the offered columns are depending on the role and also on menu/sub-menu.</li> <li>Helps to refine your search outcome.</li> </ul>
English 🔺	<ul> <li>Drop down menu to select the GUI language from a pre-defined list at the bottom left of the page.</li> </ul>
Search	Starts search
Extended Search	<ul> <li>To extend search functions.</li> <li>Helps to limit the search result.</li> <li>Selection is different from role to role and from menu to menu.</li> </ul>
Show all	<ul> <li>To select all opportunities (Languages and Jurisdictions) tick the box.</li> <li>Without tick: <ul> <li>jurisdiction: 31 EEA/EU/ third countries (Switzerland) are available for selection.</li> <li>languages: public languages of the 31 EEA/EU/ third countries (Switzerland) are available for selection.</li> </ul> </li> <li>Selection with tick: <ul> <li>jurisdiction: all countries</li> <li>languages: all languages</li> </ul> </li> </ul>
\$	<ul> <li>Drop down menu to select an attribute from the pre-defined list e.g., instrument scheme or document type.</li> </ul>
& XML	To obtain the metadata in XML format.
JIP	To obtain the document plus metadata as a ZIP file.
Edit	<ul> <li>To edit metadata (like jurisdictions, distribution entitlement,) of an uploaded document.</li> </ul>

## 3.3. Menu Overview

The Menu "Overview" serves as a dashboard and gives an overview of the most important features. It allows a quick search for a document and informs the Distributor as well as the Supplier about open or unanswered channel offers.

Under the Menu "Overview" a user can search for a document via different identifier schemes. The following schemes are supported: Document ID, ISIN, Valor, WKN, SEDOL, CUSIP, Sicovam, Supplier specific 1, Supplier specific 2, Supplier specific 3, DocGen OTC, ETD ISIN, ETD Valor, ETD AII, COMPANY LEI, COMPANY GK, COMPANY IDENTIFIER TEXT. Once a user has chosen a scheme, he can enter the identifier. When the search field is empty or contains only the asterisk (\*), the results shown are all documents with an existing identification of the selected scheme.

**Example –Quick Search via identifier (ISIN: LU0828906700**): If a user decides to search for a document via Instrument identifier, he needs to follow the following three steps:

- 1. Choose the type of instrument scheme (ISIN) via the drop-down menu.
- 2. Enter the identifier of the scheme (e.g., LU0828906700) and start the search function by clicking on the "SEARCH" button. Of course, he can also start to enter the identifier of the scheme (e.g., LU0828906700) and afterwards you chose the scheme.

Connections * B Document Upload * S Help *	
Overview	
Quick search	Open channel offers
ISIN   Search	Currently there are no connection offers.
L	

Overview	
Quick search	
ISIN	Search

Overview		
Quick search		
ISIN +	Enter identifier	Search
Document ID		
ISIN		
Valor		
WKN		
SEDOL		
CUSIP		
Sicovam		
Supplier specific 1		
Supplier specific 2		
Supplier specific 3		
DocGen OTC		
ETD ISIN		
ETD Valor		
ETD AII		
COMPANY LEI		
COMPANY GK		
COMPANY IDENTIFIER TEXT		

 After clicking on the "Search" button, the system switches automatically into Menu "Search" and provides under "Search result" the documents with the specific instrument identifier ISIN AT0000495288. There are multiple types of documents available for multiple jurisdictions, different languages, same Mime type and multiple Document Suppliers.

Search												
Instrument search 🔾	Company searc	h										
ISIN	\$	AT00004952	88				Sea	Rese	et			
ocument type group:	Any				\$	Individual types						
anguages:	Select option	1			~	Show all	Juris	dictions:	Select option		🚽 🗌 Show all	
Search results 1	- 9 of 9						Extended Searc	h				Colum
earch results 1	- 9 of 9	ISIN	VALOR		Document Supplier	Document type	Extended Searc		diction	Publication Classification Type	Time of last generation $^{\diamondsuit}$	Column
		<b>ISIN</b> 0000495288	VALOR 1	WKN		Document type     Sales Prospectus		<b>Juris</b> a Ireland (IE), United Kir	<b>diction</b> ngdom (GB), Switzerland CH)		Time of last generation <sup>©</sup> Feb 1, 2011, 12:00:00 AM	
Options	1 Details AT		VALOR 1	- S	Supplier		<sup>¢</sup> Language <sup>¢</sup>	Juris Ireland (IE), United Ki ( Ireland (IE), United Ki	ngdom (GB), Switzerland	Туре	-	Distributi
Options ┣ PDF  ✿ PDF + data	C Details     AT       C Details     AT	0000495288	- - -		Supplier SIX_SSO_BLX	Sales Prospectus	<sup>‡</sup> <b>Language</b> en	Juris Ireland (IE), United Kii (Ireland (IE), United Kii (Ireland (IE), United Kii	ngdom (GB), Switzerland CH) ngdom (GB), Switzerland	<b>Туре</b> 0	Feb 1, 2011, 12:00:00 AM	Distribut P0001

4. There are two approaches to open the document. You can open it either with the "PDF" button or with the "PDF + Data" button.

	Q Latest Docume	nts 🚓 Conne	ections 👻 📓 Doo	cument Upload 🔻	🛛 Help 👻										
5 150															
Search															
• Instrument search	Company searc	h													
ISIN	•	AT0000495	288					Search	Reset	1					
Document type group:	Any				•	Individual t	ypes	_	_	•					
Document type group.	Any				•										
Languages:	Select option	n			-	Show all		Jurisdictions:		Select option			~	Show all	
							Extended	Search							
Search results 1	- 9 of 9														Columns
Search results i	- 9 01 9														Columns
				Document 🗘	D			≑ Time of last ≑	Time of last ≑		Mime 🕯	<b>F</b> 11- A		Publication Classification	Generation
Options		ISIN	VALOR WKN		type	Language	Jurisdiction	generation	update	Document ID	туре		Distribution	Туре	method
🖹 PDF 📫 PDF + data	[] Details AT	0000495288		SIX_SSO_BLX	Sales Prospectus	en	Ireland (IE), United Kingdom	Feb 1, 2011, 12:00:00 AM	Apr 11, a 2017,	cmbzz5k92zwnvw9ena9pkj6ntvnbcex	PDF	492.4 KiB	P0001	0	9999
					Frospectus		(GB), .		1:00:01			NID			

Clicking on "PDF" will directly download the document and store it in the archive. If you like to store some additional info together with the document, e.g., a transaction no., you have to click on "PDF + data" and you will be asked to add 1 to 5 Request Identifying Data.

Document download with C	ustomData	×
Request Identifying Data1:		
Request Identifying Data2:		
Request Identifying Data3:		
Request Identifying Data4:		
Request Identifying Data5:		
	Cancel Document download with CustomD	Pata

## 3.4. Menu Latest Documents

Menu "Search" allows users to search for a document via different instrument and company schemes. The behaviour is the same as described in Menu Overview. Distributors will find all documents from connected Suppliers (Please see section <u>3.6</u>), Suppliers will find only their own documents.

By choosing the radio buttons for "Instrument Search" or "Company Search" the respective identifier search scheme can be filtered, and additionally further filters can be selected by "Document type group", "Languages" and "Jurisdictions".

∕ıx	🙆 Overview 🛛 🔾	Latest Documents 🚓 Conr	nections 👻 🖪 Do	cument Upload 👻	O Help 🝷								
Searc	:h												
Instrum	nent search 🛛 C	ompany search	5288					Search	Reset				
Document	t type group:	Any			¢	) Individual t	ypes			-			
Languages	s:	Select option			•	Show all		Jurisdictions:		Select option		- Show a	I
							Extended	Search					
Search	n results 1 -	9 of 9											Columns
	Options	ISIN	VALOR WKN	Document 💠 Supplier	Document d	Language	Jurisdiction	Time of last generation	Time of last ≑ update	Document ID	Mime 🕯 Type	Publicati Classificat tribution Type	
📙 PDF	🌣 PDF + data			SIX_SSO_BLX	Sales Prospectus	en	Ireland (IE), United Kingdom (GB),	Feb 1, 2011, 12:00:00 AM		cmbzz5k92zwnvw9ena9pkj6ntvnbcex	PDF	P0001 0	9999

"Document type group" allows to search for multiple document types at once. The document types (Number and description) which are included in the search are listed below the groups:

- PRIIP KIDs and UCITS KIIDs 1 PRIIP KID 3 UCITS/ AIF (Non-UCITS) KIID
- FINSA Equivalent Group

   PRIIP KID
   UCITS/ AIF (Non-UCITS) KIID
   FINSA KID
   GB PRIIP KID
   GB UCITS KIID
   UK SDR and Investment Labels
   Crypto-Asset White Paper

# FINSA Documents 1 PRIIP KID 3 UCITS/ AIF (Non-UCITS) KIID 5 FINSA KID

#### 9 GB PRIIP KID 10 GB UCITS KIID

11 UK SDR and Investment Labels

- 12 Crypto-Asset White Paper
- 121 Registration Document

122 Securities note

123 Summary

124 Base prospectus

125 Final terms

126 Supplements

127 Company Reports

## Prospectus Group

101 Sales Prospectus
107 Simplified Prospectus
112 Supplement Information Document
121 Registration Document
122 Securities note
123 Summary
124 Base prospectus
125 Final terms
126 Supplements
127 Company Reports

## Pre trade Documents KIDs

1 PRIIP KID 2 German PIB 3 UCITS/ AIF (Non-UCITS) KIID 4 Spanish Order Documents 5 FINSA KID 6 Italian Schedar 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 KIID

## Legal Documents and Reports

102 Semi-annual Report
103 Annual Report
104 Terms of Contract
105 Interim Report Short Form
106 Additional Information for Investors
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
120 Legal Publication

## Marketing Documents

108 Product Highlight Sheet109 Key Fact Statement119 Term sheet201 Monthly Report202 Quarterly Report

203 Manager Commentary
204 Fund profile
205 Sales Presentation
206 Marketing Brochure
207 Sales Aid
208 Other Marketing Material
209 Factsheet
210 Research
211 ESG Marketing Reports

ESG/SFDR/EU-Taxonomy Regulatory Documents 301 ESG-EU Pre-contractual Disclosure 302 (Deprecated) ESG-EU Pre-contractual Art 9 SFDR & Art 5 Taxonomy 303 ESG-EU Periodic Disclosure 304 (Deprecated) ESG-EU Periodic Disclosure Art 9 SFDR & Art 5 Taxonomy 305 ESG-EU Website Disclosure

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

Γ	<u> </u>	1					1	1	
Assignment of Document Types to Search Groups 1	FINSA equivalent group	FINSA documents	PRIIP KIDs and UCITS KIIDs	Prospectus group	Pre trade documents KIDs	Legal documents and reports	Marketing documents	ESG/SFDR/EU-Taxonomy documents	Insurance Group
Investor protection regulatory documents:									
1 = PRIIP KID	x	X	X		X				
2 = German PIB					x				
3 = UCITS/ AIF (Non-UCITS) KIID	x	X	X		X				
4 = Spanish Order Documents					X				
5 = FINSA KID	x	х			х				
6 = Italian Scheda prodotto					х				
7 = Multi Option Products (MOP) style: Generic including KID					X				
8 = Multi Option Products (MOP) style: Generic plus supplements					X				
9 = GB PRIIP KID	x	х			X				
10 = GB UCITS KID	x	х			х				
11 = UK SDR and Investment Labels	X	X							
12 = Crypto-Asset White Paper	X	Х							
Publication and certification obligations:									
101 = Prospectus				X	_				
102 = Semi-annual Report				_	_	X			
103 = Annual Report				_	_	X			
104 = Terms of Contract				_	_	X			
105 = Interim Report Short Form						X			
106 = Additional Information for Investors						X			
107 = Simplified Prospectus				Х					
108 = Product Highlight Sheet							X		
109 = Key Fact Statement							X		
110 = Regulations/ Fund Regulation						X			
111 = Annual Report Short Form						X			
112 = Supplement Information Document				Х		X			
113 = Dividend Table						X			
114 = Subscription Form						X			
115 = Supplement Subscription Form						X			
116 = Trimestrial Financial Report						X			
117 = § 21 Abs. 1 AIFMG - Angaben						X			
118 = Audit Report						X			
119 = Term Sheet							x		
120 = Legal Publication						X			
121 = Registration Document		X		X					
122 = Securities Note		X		X					
123 = Summary		X		X					
124 = Base prospectus		X		X					
125 = Final Terms		X		X					
126 = Supplements able: Allocation of documents to search groups 1		Х		Х					

126 = Supplements Table: Allocation of documents to search groups 1

Assignment of Document Types to Search Groups 2	FINSA equivalent group	FINSA documents	<b>PRIIP KIDs and UCITS KIIDs</b>	Prospectus group	Pre trade documents KIDs	Legal documents and reports	Marketing documents	ESG/SFDR/EU-Taxonomy documents	Insurance Group
127 = Company Reports		X		X					
Marketing material:									
201 = Monthly Report							х		
202 = Quarterly Report							X		
203 = Manager Commentary							X		
204 = Fund Profile							X		
205 = Sales Presentation							X		
206 = Marketing Brochure							X		
207 = Sales Aid							X		
208 = Other Marketing Material							X		
209 = Factsheet							X		
210 = Research							X	-	
211 = ESG Marketing Reports							X	X	
ESG regulatory documents									
301 = ESG-EU Periodic Disclosure								X	
302 = (Deprecated) ESG-EU Periodic Disclosure Art 9 SFDR & Art 5 Taxonomy								х	
303 = ESG-EU Periodic Disclosure								x	
304 = (Deprecated) ESG-EU Periodic Disclosure Art 9 SFDR & Art 5 Taxonomy								x	
305 = ESG-EU Website Disclosure								х	
Insurance Documents									
401 = Collection of Evidence									Х
402 = KID Product									Х
403 = SP Producer									Х
404 = SP Support									X
405 = Notice Product									X
406 = Annex UA									X
407 = SP Distributor									X
408 = SFDR Document									X
409 = Intermediation service									Х
410 = Confidential Client Record									X

Table: Allocation of documents to search groups 2

Selecting a Document type group and clicking on "Individual types" will show all selected document types in this group, by clicking on the red cross a document type can be excluded. Selecting document type group any will allow an individual selection.

Search					
• Instrument search	Company search			Reset	
ISIN	•		Search	Reset	
Document types:	PRIIP-KID ( 1 ) X UCITS / AIF (Non-UCITS) KIID ( 3 ) Sales Prospectus ( 101 ) X	👻 🗹 Individual types			
Languages:	Select option	- Show all	Jurisdictions:	Select option	The second secon

The "Extended Search" allows for a refined search result when searching only for documents of a specific issuer, document supplier, etc.

Extended Search									
Issuer Name:		Issuer-ID:	Any	¢					
Generation method:	Any e	Document Supplier:	Any	\$					

#### Important:

- Please be aware that if a Supplier provides only one product identifier (e.g., ISIN), SIX does not add the other product identifiers (Valor, WKN, etc.) even if those are available in other SIX services. SIX decided to provide only the original data, which comes from the Supplier
- Using the "\*" or no entry in search field will show the document only if there is a value available in the field. To check the total number of available documents it is recommended to search with an empty field for Document ID
- When a document is requested, it is stored automatically into the Archive (Menu Archived Documents) and into the Audit Trail (Menu Monitoring)
- More details are available in the section <u>4.7 Menu Documents (Distributor View)</u> and in the section <u>4.8 Audit Trail</u>

## 3.4.1. Documents with unknown jurisdictions or unknown language

To enable the handling of documents without jurisdiction or unknown languages two new attribute values have been added:

- Unknown value to jurisdiction "U0"
- Unknown value to language "u0"

If you search for specific language(s) or jurisdiction(s) other than unknown, documents with unknown values will not be displayed. Unknown is considered as a separate value.

	Options		ISIN	Valor	Document Supplier	Document type	‡ Language	1 Jurisdiction
🔓 PDF	🏟 PDF + data 【 🕻	Details	DE0005140008	-	SIX Diverse Issuers	PRIIP-KID	u0	unknown (U0)
岸 PDF	🌣 PDF + data 【]	Details	DE0005140008	-	SIX Diverse Issuers	UCITS / AIF (Non-UCITS) KIIE	) u0	Belgium (BE), Bulgaria (BG), Cyprus (CY)
PDF	🏟 PDF + data 🛛	Details	DE0005140008	-	SIX Diverse Issuers	FINSA KID	da	unknown (U0)

## 3.4.2. Adjustment of the Search Result Screen

Search result screen can be configured in regards of your needs with the button "Columns". By ticking the box or taking out the tick, columns can be added or rejected. The selection needs to be confirmed by clicking on "Save".

## Don't hide "Options", this will hide the document download functions ("PDF" and "PDF+Data")

Visible columns		×	C
<ul> <li>Options</li> <li>Document ID</li> <li>ISIN</li> <li>Valor</li> <li>WKN</li> <li>SEDOL</li> <li>CUSIP</li> <li>Sicovam</li> <li>Supplier specific 1</li> <li>Supplier specific 2</li> <li>Supplier specific 3</li> <li>DocGen OTC</li> </ul>	<ul> <li>ETD ISIN</li> <li>ETD Valor</li> <li>ETD AII</li> <li>COMPANY_LEI</li> <li>COMPANY_IDENTIFIER_TEXT</li> <li>Document Supplier</li> <li>Document type</li> <li>Language</li> <li>Jurisdiction</li> <li>Mime Type</li> <li>File size</li> </ul>	<ul> <li>Time of last generation</li> <li>Time of last update</li> <li>Publication Classification Type</li> <li>Generation method</li> <li>Checksum</li> <li>Issuer Name</li> <li>Issuer GK</li> <li>Issuer LEI</li> <li>Sourcing Strategy Type</li> <li>Valid from</li> <li>Valid to</li> <li>Record date</li> </ul>	
		Cancel	

#### Overview and short descriptions of the most important attributes under "Columns - Visible Columns"

Column	Description
CUSIP	A nine-character alphanumeric code that identifies a North American financial security for the purposes of facilitating clearing and settlement of trades.
ISIN	The International Securities Identification Number that uniquely identifies a security related to the document. An ISIN is a minimum identifier which every financial product has to have.
WKN	<ul> <li>The German securities identification code (Wertpapierkennnummer) which is also related to the document.</li> </ul>
Sicovam	The security identifier to identify French securities listed on the French stock exchange related to the document.
SEDOL	The security identifier used in the United Kingdom and Ireland for clearing purpose related to the document.
Document ID	<ul> <li>Is the ID of the document. The document ID is not identical with the Archive ID. The Document ID can be found under Audit Trail - Tap Requested Documents.</li> </ul>
ETD Valor	Exchange Traded Derivative (ETD) instruments reflecting the short and long view.
ETD ISIN	<ul> <li>ISIN hyphen "Contract Side Type".</li> </ul>
ETD AII	<ul> <li>All (Alternative Instrument Identifier) hyphen "Contract Side Type".</li> <li>In case of All, this is only used within some banks (within this specific business process), but not by the maturity. Therefore, ETD-All is only an additional identifier, but not an exclusive identifier.</li> </ul>
Supplier Specific 1	Are related to the documents. Every Supplier has the option to add specific information to its documents, which only the Supplier itself and its Distributor are able to see.
Supplier Specific 2	Are related to the documents. Every Supplier has the option to add specific information to its documents which only the Supplier itself and its Distributor are able to see.
Supplier Specific 3	• Are related to the documents. Every Supplier has the option to add specific information to its documents which only the Supplier itself and its Distributor are able to see.
COMPANY LEI	The Legal Entity Identifier according to ISO 17442
COMPANY GK	The SIX specific company identifier (Gesellschafts-Key)
COMPANY IDENTIFIER TEXT	<ul> <li>Identifier in textual form of the company. In most cases the company's name.</li> </ul>

• The Constitution of Constitution between the following of the College and
The financial industry differentiates between the following methods regarding the generation of a regulatory document.
<ul> <li>1= Generation on the fly ("Generation on demand")</li> <li>This indicates that the issuer or a third-party provider generates a PRIIP-KID on demand. In this case, it is ensured that in connection with every download the latest version of a KID is automatically available/provided, and newly issued instruments are also supported without much delay. However, this could have an impact on the performance depending on the generation platform implement by the 3rd Party generator.</li> </ul>
2= Pre-Generation (intraday)
This concept is typical for UCITS KIIDs. Issuers are using push concepts to send out a new document when something has changed regardless of if it was a material change or only an editorial change. Afterwards, the updated KIIDs will be pushed in all necessary channels. Therefore, the client relays that the issuer has send out an update whether something has changed.
3 = Pre-generated on a daily basis only (or even less frequently)
Used if document updates will not be delivered during the day.
99 = Unknown
<ul> <li>The Document Inserter generates for every document a checksum and compares it to an index to check whether the document has to be inserted into the database during the import process. The attribute checksum uses all attributes to recognize all changes during the import process.</li> <li>This causes the delta export to also identify changes, even though the changes have been made to attributes, which are not getting exported.</li> </ul>
<ul> <li>This value indicates which supplier provides the document.</li> </ul>
This is a timestamp of the last generation of the pre-generated document.
This attribute provides the information when the metadata record was inserted or modified.
<ul> <li>0 = Public publishing</li> <li>1 = Closed user group (clients of the distributor)</li> <li>This describes the intended accessibility of a document on the distributor side (DocHub clients) and is defined by the supplier. It informs the distributor whether they can offer the document public available (e.g., on their website in a public area where no password is needed). This information is only for displaying the document on distributor's side and is not controlled by SIX.</li> </ul>
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
<ul> <li>999 = Sourcing activity stopped</li> <li>This describes the role of the Supplier and is an indication about the reliability of the source</li> </ul>

## 3.4.3. Extended Search Results

In case a document is relevant for more many jurisdictions, you will see a small extract of relevant Jurisdictions only. Such an extract is marked with three dots behind the last country, which indicates that more data are available.

By clicking in the free space, the data can be expanded to see all content. When clicking again the expansion is reverted. The expansion can be done and reverted for each row independently. The expansion is reset for all rows, when a new search is done.

	10:23:33	29.03.2018	
Search results 1 - 14 of 14			Columns
Options	ISIN	ETD ISIN	Jurisdictions 🗢
[≜] PDF ∳ PDF + data ✓ Details	BEENX0872095 (short)	BEENX0872095 (short)	AT (Austria), BE (Belgium), BG (Bulgaria), CY (Cyprus), CZ (Czech Republic), DE (Germary), DK (Denmark), EE (Estonia), ES (United Kingdown), GR (Greace), HR (Croatia), HU (Hungary), EI (Ireland), IS (Iceland), IT (Iday), LI (Lechtenstein), LT (Lithuania), LU (Luxembourg), LV (Latvia), MT (Mata), NL (Netherlands), NO (Norway), PL (Poland), FT (Portugal), RO (Romania), SE (Sweden), SI (Slovenia), SK (Slovakia)
PDF \$\$PDF + data * Details	BEENX0872095 (long)	BEENX0872095 (long)	AT (Austria), BE (Belgium), BG (Bulgaria), CY (Cyprus), CZ (Czech Republic), DE (Germany), DK (Denmark), EE (Estonia), I
PDF CPDF + data	BEENX0872095 (short)	BEENX0872095 (short)	AT (Austria), BE (Belgium), BG (Bulgaria), CY (Cyprus), CZ (Czech Republic), DE (Germany), DK (Denmark), EE (Estonia), I

## 3.4.4. Detailed view of a Search Result

Often there is a need to see all information for a document in one view. This is possible with the "Details" button independent of visible columns in the result screen.

	BOVerview Q Lat	test Documer	nts 🚠 Conne	ections 👻 🖥 Do	cument Upload	• O Help •										
Search																
Instrument	t search 🛛 Com	npany search	'n													
ISIN		÷	AT00004952	288					Search	Reset						
Document typ	pe group:	Any				٥	Individual	types								
Languages:		Select option				-	Show all		Jurisdictions:		Select option			-	Show all	
								Extended	Search							
Search r	esults 1 - 9	9 of 9														Columns
					Document 🖗				Time of last 🗘	Time of last ∲		Mime 🗘	rii. A		Publication Classification	Generation
	Options		ISIN	VALOR WKN		type	t ≑ Language		generation	last ≑ update	Document ID	Mime ≑ Type		stribution	Type	method
🖹 PDF   🌣	PDF + data	Details	0000495288	• •	SIX_SSO_BLX	Sales Prospectu	en s	Ireland (IE), United Kingdom (GB),		Apr 11, a 2017, 1:00:01	cmbzz5k92zwnvw9ena9pkj6ntvnbcex	PDF	492.4 KiB	P0001	0	9999

Download	PDF 🏟 PDF + data
Instrument Ident	tifiers:
ISIN	IT0005377376
Issuer Identifiers	:
Further Informat	ion:
Document Supplier:	Binck Bank
Document type:	PRIIP-KID
Language:	it (Italian)
Jurisdiction:	IT (Italy)
Publication	1
Classification Type: Time of last	Fri Oct 11 17:02:47 2019
generation:	FII Oct 11 17:02:47 2019
Time of last update:	Fri Oct 11 17:02:47 2019
Mime Type:	application/pdf
Filesize:	102.6 KiB
Generation method:	Pre-generated with a frequency of one or more days
Sourcing Strategy	Sourcing strategy not defined
Type: Checksum:	
	3cff30d0320b5472d4bdc77ddeeb6083
Document ID:	aambvs6n9hjefc5kk1wt6qqtk5st9arj

Instrument Identif	Instrument Identifiers:							
ISIN	CH0029956262							
VALOR	2995626							
Issuer Identifiers:								
Further Informatio	n:							
Document Supplier:	SIX Diverse Issuers							
Document type:	Registration document							
Language:	en (English)							
Jurisdiction:	CH (Switzerland)							
Distribution:	P0001							
Publication	0							
Classification Type:								
Time of last generation:	Tue Aug 20 14:56:22 2019							
Time of last update:	Tue Aug 20 14:56:22 2019							
Mime Type:	application/pdf							
Filesize:	326.4 KiB							
Generation method:	Pre-generated with a frequency of one or more days							
Sourcing Strategy	Sourcing strategy not defined							
Type:								
Checksum:	5444362d91746e70252908379bd4bf51							
Document ID:	akhby7enbe16zy34rhe7pja61azm5aan							
URL:	Document is stored locally on DocHub system							

Supplier sees also the URL or "Document is stored locally on DocHub system".

## 3.4.5. Verification of instrument status

Additional information in case no document could be found for a searched instrument. If it is out of scope of PRIIP regulation a PRIIP KID is not required. In case a searched instrument is inactive, it is unlikely, that the manufacturer/issuer is providing a PRIIP KID anymore.

Search for a document with an instrument identifier:

- 1. Execute a search for an instrument with an instrument identifier
- 2. Click on "Verify instrument status" to check the status of the instrument in SIX database.
- Status of the instrument will be displayed with the PRIIP scope indicator, FIDLEG/FINSA KID scope indicator and the SIX Security Type.
   If instrument status is inactive or not in scope of a regulation, it is unlikely, that a

If instrument status is inactive or not in scope of a regulation, it is unlikely, that a manufacturer/issuer will deliver documents.

Instrument status (ISIN: LU0828906700, Valor: 19443037)								
Instrument status:	active							
PRIIP scope indicator:	Exempt / not liable/applicable							
FIDLEG FINSA KID scope indicator:	Liable/applicable							
SIX Security Type:	Trust certficate unit/fund, investmen	nt foundation units						

## 3.4.6. Check if document is available in a private/restricted connection

In case no document could be found it is possible that the Supplier set the access restriction Private. To get access to this document a special agreement with the Supplier is demanded. Our customer support will support you in this case.

With the function "Search for restricted documents" it is possible to search in all Private entitled documents, which can be accessed with a special agreement.

**Important**: There will be only Private documents included from Platforms which provides the data with a special agreement.

Search													
Instrument search O Company sear     ISIN	¢					Search •	Reset						
Document types:	UCITS / AIF (Non-UCITS) KIID ( 3 ) XPRIIP-KID ( 1 )	K FINSA KID ( 5 ) 🗙	٣	Individual types									
Languages:	Select option		٣	Show all		Jurisdictions:		Select option			· .	show all	
					Extende	d Search							
Search results 1 - 1 of 1							Verify instrum	ent status					Columns
Opt	ions	ISIN	Valor	WKN	COMPANY_LEI	Do	cument Supplier	φ	Document type	φ	Language	0	Jurisdiction 0
BPDF ¢PDF	data 💭 Details	LU0828906700		-			Fundinfo		UCITS / AIF (Non-UCITS) KIID		de		Germany (DE)

- 1. Enter an instrument identifier
- 2. Click on the arrow by the Search button and select "Search for restricted documents"

Search						
D instrument search Company sear GN Document type group: Languages:	elter en	individual types     Search for restri     Show all	Sanch e Revel ded discuments Jurisdictione:	Send upton	O Show all	
		Extern	ind Search			
Issuer Name:			Issuer (D)	INY		
Generation method:	Any		Document Supplier:	Ary		٠

- 3. Document supplier and meta data will be shown
- 4. Click "Return to search" for a new search

Search for	Search for restricted documents											
Return to search       Search results 1 - 1 of 1       PRIIP Indicator												
ISIN	Valor	WKN	Document Supplier	1	Document type	1	Language	1	Jurisdiction			
US8765685024	-		SIX_SSO_BLX		Manager Commentary		is		Italy (IT)			

## 3.4.7. Combined Search for ISIN / ETD ISIN and Valor / ETD-Valor

Due to technical restrictions to show the long and short side, the ETD ISINs and ETD Valors are stored as different instrument identifiers than the ISINs and Valor Numbers. These ETD identifiers are composed of the ISIN or Valor and an extension -1 or -2 to show the long (-1) and short (-2) position. To overcome this situation, the search has been modified to search automatically for both identifiers.

When an ISIN or a Valor is being searched, the ETD-ISINs or ETD-Valor will also be found. This is implemented in the GUI and API. When searching for a complete ISIN or Valor, there is no difference since

27.06.2024

Version 1.7

there is no overlapping of the ISIN with the ETD ISIN as well as there is no overlapping of the Valor with the ETD Valor. In other words, if the instrument is an ETD, it will be identified with an ETD ISIN and/or an ETD Valor. Otherwise, the instrument is identified with an ISIN and/or Valor.

## Example – Search ETD ISIN via ISIN (ISIN: SE0006525721):

A user decides to search a document via Instrument identifier:

- 1. Ensure that you ticked the box under "button "Columns" ETD-ISIN
- Define the instrument scheme (e.g., ISIN).
   Enter the identifier of the scheme (e.g., SE0006525721)
- 4. Start the search function by clicking the "SEARCH" button.
- 5. Under "Search result" you will find the documents connected to the instrument identifier ISIN SE0006525721.
- 6. Open the document either with the "PDF" or "PDF+data" button.

B 58300625721					Search .					
					and a second					
			<ul> <li>Individual type</li> </ul>							
1 april 1			<ul> <li>Show all</li> </ul>		helialictions		Select option			<ul> <li>O Show all</li> </ul>
		_								
				Extended	Search					
					Issuer ID:		Atty			
~					Document 5	uppler.	Any .			
5N	Valor	1000	ETD GIN	ETD Value	610 AI	COMPANY_LE	Document Supplier 0	Document type 1	Language 1	Jurisdiction
50000525721 oikortj	79650130 (short)		\$E0004525721 (pAuro)	75450130 phorts			AltrA internal nen public	HUP-KO	m .	Germany (DII)
\$80006525721 (ong)	7565030 (long)		580806525721 (long)	75650030 (king)			Altruk internal non public	MIP-KD		Gemany (DB)
\$80006525721 (ong)	75656830 (kong)		580806525721 (king)	75650830 (king)			ARVA internal non public	MIP-KD		Gemany (DB)
563008525721 (short)	75650130 (short)		\$810008525721 (short)	75650130 phorts			attuit internal non public	PUP 60	14	Germany-(DE)
\$80006525721 dong	75450030 (king)		580806525721 (kmg)	75650030-804gl			altruk internal nen public	MUP-KO	~	Gemany (DB)
\$80006525721 (JAV49)	75650330 (short)		\$8000823721 (JPort)	75650330 phorts			aktivk internal nen public	MUP-KO	5	Gemany (DB)
563036525721 (long)	75650330 (king)		50000825721 (king)	75650030-(kong)			which internal non-public	P0P-00	6	Gemany (DD)
	75650330 (short)			73600330 phorts			aitus internal non public	PROP 400	10	Austria (AT), Germany (DE), Belgium (B)
	ISON SALDONESTYT (Alwrit) SBEDDESZYZY (Alwrit) SBEDDESZYZY (Alwrit) SBEDDESZYZY (Alwrit) SBEDDESZYZY (Alwrit) SBEDDESZYZY (Alwrit)	ISIN         Valuer           SEX0000157571 5/hump         71464520 5/hump           SEX0000157571 5/hump         71555205 (sung)           SEX0000157571 5/hump         71555205 (sung)           SEX0000157571 5/hump         72668120 5/hump           SEX0000157571 5/hump         71555205 (sung)           SEX0000157571 5/hump         71555205 (sung)           SEX0000157571 5/hump         71555205 (sung)           SEX000157571 5/hump         71555205 (sung)	ISBN         Nature         NHXN           SE000005215701 (shuri)         798001300 (shuri)         -           SE00000521571 (shuri)         798001300 (shuri)         -           SE0000052571 (shuri)         798001300 (shuri)         -           SE000052571 (shuri)         798001300 (shuri)         -	SSN         Nature         WKN         ETD SSN           SEX0000025721 shunty         2MMXEXD phonty         -         SEX0000025721 phonty           SEX0000025721 shunty         7MMXEXD phonty         -         SEX0000025721 phonty           SEX000025721 phonty         7MMXEXD phonty         -         SEX0000025721 phonty           SEX000025721 phonty         7MMXEXD phonty         -         SEX0000025721 phonty           SEX000025721 phonty         7MMXEXD phonty         -         SEX0000025721 phonty	ry * * * * * * * * * * * * * * * * * * *	SSIN         Valuer         WXN         ETD SSIN         ETD Ssin         ETD Asi ETD Asi 25000525721 (shung)         25000525721 (shung)         2	Silver ID:         Silver ID:           ry         ************************************	Normal Distance         Normal Distance         Arry           ny         Decement Displice:         Decement Displice:         Arry           Normal Displice:         Decement Displice:         Decement Displice:         Arry           Stationen:         Normal Displice:         Decement Displice:         Decement Displice:         Arry           Stationen:         Normal Displice:         Decement Displice:	Normal Distance         Normal Distance         Any         Image Distance         Any         Image Distance         Any           ny         Image Distance         Image Distance         Image Distance         Image Distance         Any         Image Distance         Image Dist	Statest Di         Arry         I           ry         ************************************

When searching for a non-ETD ISIN with either identifier ISIN or ETD ISIN the ISIN is only displayed in the ISIN column and not in the ETD ISIN column. Non-ETD ISINs are never extended by short or long attributes.

Search														
Protrument search Company sea									_					
ISN Document type group:	+ DEDICT	140000				individual type		Search =	Rest					
anguages:	Select option					C Show all		Jurisdictions		Select option			. 09	ov al
			_	_	_			unded Search			_		_	
							10	anded Search						
Issuer Name								lasuer-ID:		Ary				
Generation method:	Any							Document Supplier:		Any				
Search results 1 - 2 of 2	2								Verify instrum	net this				Columns
Options		ISIN	Valor	WKN	ETD ISIN	ETD Value	ETD All	COMPANY_LB	Onourse	ent Supplier		Document type	0 Language	1 Juriediction 0
BIOF OFFEAM	COMM.	060087548068							ARVAUM	ternal non public		UCITS / APF (Non-UCITS) EID	*	Luxenbourg (LL)

## 3.5. Menu Archived Documents – Retrieve archived documents

Downloaded document are stored for 10 years. DocHub is designed to support the users regarding the audit procedure. In case of any kind of liability issues, all the necessary information can be found regarding:

- When the download was made
- The downloaded document and the related metadata
- Client, user ID and supplied custom data related to the download

Archived documents: A Distributor user can search for an archived document with different criteria. A Power User will see all archived documents a standard User just his archived documents.

In case "Request Identifying Data1 - ...Data5" has been entered by downloading the document (see section 3.3), they can be used for searching in the archive.

By clicking on "PDF + data" the window for entering CustomData (= Request Identifying Data) will pop up. By entering the data and clicking on the "Document download with CustomData" button, the document will be downloaded, and the supplied custom data is stored in the Audit Log. A document downloaded from the archive will not create an additional entry in the archive. GUI users rarely use custom data. Most of the entries are done by programs using the API.

	ived docu	mem															
IN	÷							Search									
								Extended Search									
chived Docu	ments 1 - 2	0 of 1	59														Colum
Document	ISIN	VALOR	WKN	Document <sup>‡</sup> Supplier	Document <sup>≑</sup> type	¢ Language	\$ Jurisdiction	Document ID	Valid from		Publication Classification Type	Generation method	İssuer Name	Record date	\$ Distributor	lssuer GK	
PDF 🔹 PDF + data	LU0571102010	-	-	Fundinfo	Monthly reports	fr	Belgium (BE), France (FR)	agtabse6kf45dr8bnm5v3zrveb52agsk	-	-	0	3	Groupama		75		
PDF 🔹 PDF + data	IE000BE5NOX6	-	-	Amundi SA	Supplements	en	Ireland (IE)	anyaxm74rvyqywbxwg42aaymm1rezfxy	-	-	0	3	-		75	350155	
	LU2425444473		-	SIX_SSO_CH	Sales Prospectus	en	Luxembourg (LU)	acnbeewp31j3atq26cd1p6tvxnmygcms		-	1	3	-		75	-	
PDF 🏾 🏟 PDF + data																	

#	Field	Description
1	Access time	<ul> <li>Shows the date and time of when the file has been downloaded.</li> </ul>
2	Archive ID	<ul> <li>Shows the Archive ID assigned by DocHub consisting of Content Checksum - UserNo - Access timestamp (Unix Timestamp).</li> </ul>
3	Distributor	<ul> <li>Shows the respective user of the client who performed the download.</li> </ul>
4	User ID	<ul> <li>Shows the ID of the user who downloaded the file in the first place and triggered the archiving process.</li> </ul>
5	Request Identifying Data1-5	<ul> <li>Additional data added to the request when the document has been originally downloaded.</li> </ul>

## 3.6. Menu Historic Documents

Historic document is introduced to provide the users to optimize the historic documents with the older versions of all the available document types. Historization is done based on the document types. The customers can now be able to download the older versions of sales prospectus and in future more historic

documents will be included of various other document types such as Sales prospectus, Annual reports, semi-Annual reports, Fund PRIIP KIDs etc.

SIX also have implemented new additional date fields on DocHub for Historic documents. Click on details to see the additional date columns.

Cvervie	ew <b>Q</b> Latest Doc	suments 🖀 An	chived Docum	ents 🛓 Histo	ric Document	s 🚓 Conne	ctions 👻 🖽 Monito	oring 👻 🔕 Hel	ip •									
Historic Do	cument	Search																
➡ Search for Latest E	Documents																	
Instrument search	_ c																	
ISIN	Company se	larch						s	earch		Reset							
Document type:	Any																	
Language:	Any					•	how all	Jur	risdiction:			Any				•	Show a	
																		Columns
Search results	s 1 - 20 of	11,419 🕻	•															
Options	ISIN	VALOR	Document type	Jurisdiction	Language	Supplier Name	Historization (	Last generation	Record date	Valid from	Valid to W	IKN SEDO	L CUSIP SI		Legal Entity Identifier (LEI)	GesellschaftsKey (GK)	Company Identifier Text	Time of last 0 observation
PDF C Details	US59261AFR32		Sales Prospectus (101)	unknown (U0)	en	SIX Diverse Issuers 2	Fri, Apr 29, 2022, 2:09:50 PM		•	1	•	• •	•	-	-			Wed, Apr 26, 2023, 3:18:23 AM

## Click on the triangle to see the date fields.

Details		
Download	B PDF	
▶ Metadata		
DocHub-deliv	vered Timestamps	
Supplier-deliv	vered Timestamps	
Supplier-deliv	ered Dates	
Further Inform	nation	
		Close

#### Additional Date Columns:

DocHub-delivered Timestamps	Timestamps are generated by DocHub
Metadata creation timestamp in	This field provides the information when the metadata record
history	was historized.
	This field provides the information when the physical
	document (PDF) linked to this metadata record was
Historization time	historized.
	This field provides the information when the metadata record
Time of creation in present DocHub	was first inserted into DocHub.
Time of last update in present	This field provides the information when the metadata record
DocHub	was last updated in DocHub.
	This field provides the information when the revision
Time of last observation	(metadata + content) was last seen/present in DocHub
	Timestamps are delivered to DocHub by the supplier of the
Supplier-delivered Timestamps	document

Time of last update	This field provides the information when the metadata record was inserted or modified by the Supplier of the document						
Time of last generation	This field provides the last generation timestamp of the pre-						
	generated document						
	The dates are delivered to DocHub by the supplier of the						
Supplier-delivered Dates	document						
Valid from	Start date when the document is valid						
Valid to	End date until the document is valid						
Vallu to	Life date diffinitile document is valid						

## 3.7. Menu Connection

DocHub "connects" the suppliers with the distributors and vice versa. With this functionality:

- The Supplier has control over who receives their documents by defining channels. Some documents might be related to private placements, which they would like to make available only to a specific distributor group or these documents need a license (e.g., Fundinfo using DocHub as a platform to distribute UCITS to specific Fundinfo clients).
- The Distributor can request from which supplier they would like to receive documents (maybe they do not want to receive documents from some suppliers or at least not through this account which they use for a certain business process).

## 3.7.1. Suppliers channel management

The concept behind this functionality is based on "channels". There are three types of channels:

- Public channel: If a supplier does not restrict (see document entitlement) a document to a specific distributor or a specific distributor group, a document is always available through the "public channels". The Public channel is always available to every distributor.
   If a document should not be made available for a specific distributor, the public channel should not be used as every distributor has access to this channel.
- **Distributor specific channel:** If a supplier would like to make a document only available for one or several specific distributor(s), they can define so called "distributor specific channels". There are always channels available from each supplier to each distributor.

If a certain distributor is not included in the distribution list for a channel, the documents in that channel will not be available for this distributor.

- Multi distributor channel: If a supplier would like to make certain documents available to a group of distributors and likes to maintain this group distributor on DocHub he can request to get the needed amount of Multi distributor channels. With this type of channel, the set of distributors is defined on DocHub and can be modified using the DocHub GUI. The delivery refers to the multi distributor channel when uploading document metadata. Using this feature, the supplier can change the set of distributors without changing the metadata delivered. In a first step, SIX defines together with the client the number of the different Multi distributor channels as well as their names. The supplier defines which distributors are connected to a Multi Distributor channel.
- Management of the channels needs dedicated user rights (either Power supplier or Power distributors)

## Handling

1. Channel connections can be managed under Menu Connections - submenu Channels.

∕IX	🚯 Overview	Q Latest Documents	👬 Connections 👻	📓 Document Upload 🔻	🕲 Help 💌
Coord			Channels		
Search	1		-		

- **2.** On the Channels tab all three types of channels concepts are shown (A):
  - Multi Distributor Channels
  - Distributor Specific Channels
  - Public Channels

By clicking on the channel name, the view will be expanded and all details will be shown.

Channels	
	Multi Distributor Channels
A —	Distributor Specific Channels
	Public Channel
Currently there are no connections.	

## **3.** The expanded view show which distributor is connected (A) and which is disconnected (B).

ABN Amro: P0001	В	× Disconnected
ADDFIN AG: P0001	В	× Disconnected
ARIVA Call Document: P0001	В	× Disconnected
ARIVA internal non public: P0001	Α	X Connected
AVALOQ SOURCING: P0001	Α	🗙 Connected

## 3.7.2. Distributors connection management

A distributor can choose which offered channels he wants to accept or not. Thus, he can control which documents he receives from which supplier through which channel.

From a distributor point of view, there are two different kinds of connection situations:

- Active connections (documents will be delivered)
- Connection offers which means an "offered" channel (which either they have not yet accepted, or from which they are disconnected. Therefore, documents cannot be delivered because the channel is not activated)

As soon as a distributor accepts a connection offer under "Connection offers" the status of the offer switches to "Active connections". Under "Active connections", distributors have the option to disconnect a connection to a supplier at any time. When a distributor is disconnected, the channel is no longer active and the status switches to "Connection offers".

## Important:

- A Distributor can only get documents from a supplier when an active connection exists. This
  means that if a distributor deletes a connection or does not accept a connection offer, he is not
  able to receive of documents delivered by this connection from a supplier anymore.
- Only Power Distributor Users has the right to manage connections.

## Handling

1. Connections management under Menu Connections - submenu Connections

✓ IX	<b>Q</b> Latest Documents	Archived Documents	🛃 Historic Documents	击 Connections 👻	🗏 Monitoring 👻 🔕 Help 👻
Overview				<b>≠</b> Connections	

2. Active connection / Connection offers

Under "Active connection" (A) as well as "Connection offers" (B), there are three connection (channel) types:

- Multi Distributor Connections
- Distributor Specific Connections
- Public Connections

To see the details which supplier is connected (Active connection) or has yet to be connected (Connection offers), it needs to be expanded (C).

To find out which suppliers are active in a certain environment, a supplier list can be downloaded (D).

Connections	
	Supplier IDs
Active connections A	
	Multi Distributor Connections
	Distributor Specific Connections
	Public Connections
Connection offers B	
	Multi Distributor Connections
	Distributor Specific Connections
	Public Connections

#### 3. Accepting connections

All three channels provide two different kinds of options of how a connection offer can be accepted: (A) The user can accept every single connection offer step by step or

(B) The user can accept the connection offer from all listed suppliers with only one click (Enable channel auto connect).

Connection offers			
	Multi Distributor Connections		
	Distributor Specific Connections		
Channel auto connect is active		В	Disable channel auto connect
ARIVA Call Document			Accept connection offer
ARIVA internal non public			Accept connection offer
Avaloq		Α	Accept connection offer
SIX internal non public 1			Accept connection offer
SIX internal non public 2			Accept connection offer
Six Non Functional Test			Accept connection offer

(C) If you choose the function "Enable channel auto connect" (B) an additional window pops up (C). By ticking the box "connection to existing channel offers" and clicking the "Enable channel auto connect" button the selection can be confirmed. If you enable the auto connect just for new connection offers, do not tick (D). A pop-up window (E) will appear to confirm that the "channel auto connect" is enabled. Click on "OK" to proceed.

С	!	E	
	Enable channel auto connect Really enable channel auto connect?		Enabled
	Connect to existing channel offers Cancel Enable channel auto connect		Channel auto connect is enabled

## 4. Disconnecting Suppliers (valid for all three connection types)

Public Connections and Distributor Specific Connection: A disconnection of an active connection is possible by clicking on the "Disconnect connection" button (B). A disconnected channel goes automatically back to the status "Connection offers" and can be re-accepted at a later point again by clicking the "Accept connection offer" button again.

Active connections	
Multi Distributor Connections	
Distributor Specific Connections	
ABN Amro Investment Solutions	Tisconnect connection
ACOLIN Fund Services AG	T Disconnect connection
AEW Clioger	Tisconnect connection

Active connections	
Multi	Distributor Connections
Distrib	utor Specific Connections
	Public Connections
ABN Amro Investment Solutions	B Disconnect connection
ACOLIN Fund Services AG	To isconnect connection
AEW Ciloger	Disconnect connection

**Important: Multi Distributor Connections -** In contrast to "Distributor Specific Connections" and "Public Connections", it is important to be aware that when an active connection is rejected by clicking on the "Disconnect connection" button (B), the connection is completely deleted. A deletion of a connection here will not cause a switch of the status from "Active connection" to "Connection offers".

## 3.8. Manual document upload (only with Power Supplier right)

Most document metadata is uploaded automatically via a file delivery as described in the "DocHub Supplier API Description". However, in some cases it is necessary that a Supplier can upload a document manually.

**Important:** When a Distributor uploads private documents for his own use, such as research materials, in a supplier role, it is his **responsibility** to set the distribution entitlement correctly on these documents to **avoid public availability** via DocHub.

To avoid issues with wrong distribution a default entitlement is supplier which has also a distributor role uploads documents. The default setting can be changed by SIX support. Please contact SIX support in case you want to change the default setting.

Suppliers with the specific assigned Power Supplier rights have the possibility to upload documents via GUI on DocHub. Following functionalities are available for these users:

- Document upload (manual upload of one document)
- Mass upload of documents
- Import list

#### 3.8.1. Manual document upload of one document

This manual upload can be made through the Menu "Document Upload". The upload accepts one document per upload.

#### Handling

В

- By clicking on Menu Document Upload, the system shows additional options "Single Upload ", "Mass Upload". By selecting the option "Single Upload" (A), a document can be uploaded manually. The options to add a document are:
  - a) Clicking the left mouse button or
  - b) Dropping the file to add "one" document.
- 2. Afterwards a window "Document upload" shows up (B).
- 3. All fields with an asterisk (\*) must be filled out. Otherwise, the system shows an error message.
- 4. All entries must be saved by clicking the "Save" button at the end. In case the upload was not successful, an error message will pop up.
- 5. If the upload was successful, the uploaded document will be available under "Latest Documents".

#### Important:

- Before uploading a document, it is checked whether the document already exists in order to prevent having duplicates on DocHub.
- Suppliers can download all meta data of their manually uploaded document universe.

Connections -	🖥 Document Upload - 🔹 🔮 Help -	
Single Upload	A Mass upload	
S Upload URL with metadata	Import List	Download manually uploaded Metadata
	Click left mouse button or drop file here to add one document.	

Filename: File size:	TestDocument.pdf 156.6 KiB
	Document Key Attributes
	General Identifiers
	Distribution Entitlement
	Issuer Identifiers
	Further Information
	Cancel Save

#### Document Key Attributes:

Here it is important to know that under the drop-down menu of "Jurisdiction" 31 EEA/EU and Third-Party countries (e.g., Switzerland) are listed. If Hong Kong would be needed as the Jurisdiction, the box "Show all" would have to be ticked. The same principle applies to languages.

Filename:	TestDocument.pdf		
File size:	156.6 KiB		
	Document Key Attributes		
Document type:			•
bootanient type:	The Document type field is required		-
Language:	¢	Show all	
5 5	The Language field is required		
Jurisdictions:	Select option	Show all	
	The Jurisdictions field is required		

Important to know is that one identifier is mandatory as a minimum. Several identifiers can be added to one document. Additionally, it is important to know that the system does not add the other identifiers. This means if a user only enters the ISIN, the system will never add e.g., the WKN number independently if such a WKN exists for this instrument.

General Identifiers			
ISIN	\$		Add
ISIN		TESTUPLOAD11	The Delete
		Distribution Entitlement	
Issuer Identifiers			
Further Information			

#### Publication Classification Type: Offers two options: (1) Public Publishing and (2) Closed user group.

The Publication Classification Type describes the intended accessibility of a document on the distributor side (DocHub clients). This attribute informs the distributor if they can / should make the document of a certain instrument publicly available (e.g., on their website in a public area where no password is needed).

Distribution Entitlement			
Publication Classification Type: Public available:	<ul> <li>Public publishing Closed user group</li> <li>This field must be filled in.</li> </ul>		
Issuer Identifiers			
Further Information			

Public available:	Distribution Entitlement		
Defines whether the Document should be available for all Distributors or not.	Publication Classification Type: O Public publishing O Closed user group		
If a Document should not be available for all Distributors, the Supplier must untick the box and define	Public available:		
<ol> <li>Distributor specific Connection (1:1)</li> <li>Select all Distributors out of the drop</li> </ol>	Distributor (1:1):		
down list and/ or 2) Multi Distributor Channel (2:n).	Multi Channels (2:n): Select option		
- Select Multi Distributor Channel out of the drop-down list	Issuer Identifiers		
Important: Multi Distributor Channel (2: n): It	SIX Internal Institution ID:		
is important to ensure that this channel is pre-defined and that the channels already include Distributor(s). Otherwise, a	Legal Entity Identifier:		
document upload via this channel will not be possible.	Further Information		
possimo.	Cancel		

Further Information: New features added: Specify	Further Information		
the date range and the time of last generation.	Generation method:	Pre-generated with a frequency of one or more days \$	
	Time of last generation:		
	Last updated:	2022-10-13 11:30:59	
	Issuer Name:		
	Valid from:		
	Valid to:		
	Record date:		
	L		

## Document upload URL with metadata

<b>Click on upload URL with metadata:</b> Enter the URL and follow the steps same as the document upload mentioned above.	Document Upload  Upload URL with metadats  Click left mouse button or drop file here to add one document.
Upload URL with metadata	
https://example.com/important_ucits_de_AT.pdf	URL: https://example.com/important_ucits_de_AT.pdf
	Document Key Attributes
	General Identifiers
OK Cancel	Distribution Entitlement
Cancer	Issuer Identifiers
	Further Information

## Document Upload using GK (SIX Company Identifier):

Once you enter the Fund GK or Umbrella GK under the GK Mapping tab, click on Search for Latest Documents as shown in the image below. A pop-up window with the list of all the related ISINs to the mentioned GK will be displayed. Check for all the ISINs associated with the GK and select or deselect the relevant ISINs accordingly.

Document Upload		$\times$	
File Name:	LU1690385114-agtaefdft6se7c9vxe2ptubhfq2wpamh.pdf		
File Size:	425.0 KiB		
	Document Key Attributes		
	GK Mapping		
Umbrella/Fund GK	135840	1	
Q Search × Clear mapping			
	General Identifiers		
	Distribution Entitlement		
Issuer Details			
	Further Information		
	Cancel Sa	ve	

The below window with all the ISIN, Valor, Company GK, Issuer Name (FMC-Fund Management Company), Issuer GK (FMC GK) will be displayed.

Available metadata for fund GK 135840		
General Identif	ïers:	
ISIN	IE00B60CK411, IE0009500640, IE00B603QV38, IE00B605P459, IE0004406629, IE00B601LX41, IE0004906123, IE0009500970, IE0004906909, IE0004406397	
VALOR	3928, 10391251, 1334000, 10391239, 4262, 10391247, 1333993, 10391244, 1345535, 1333968	
Company GK	135840	
Issuer Identifie	rs:	
SIX Internal Institution ID (1)	287291	
Further Inform	ation:	
Issuer Name:	Mediolanum International Funds Limited	
	Discard metadata Apply metadata	ta

Click on Apply metadata, it will take back to the main screen below.

Document Upload		$\times$	
File Name:     LU1690385114-agtaefdft6se7c9vxe2ptubhfq2wpamh.pdf       File Size:     425.0 KiB			
	Document Key Attributes		
	GK Mapping		
Umbrella/Fund GK	135840	] [	
<b>Q</b> Search × Clear mapping			
	General Identifiers		
	Distribution Entitlement		
Issuer Details			
	Further Information		
	Cancel Sa	ive	

Now, click on General Identifiers tab, this will now display all the ISIN, Valor, Company GK. There is an option to add any additional ISINs and or delete any inactive ISINs as needed.

	GK Mapping			
General Identifiers				
ISIN	•	Add		
ISIN	IE0004406629	Telete		
ISIN	IE00B601LX41	👕 Delete		
ISIN	IE0004906123	Telete		
ISIN	IE0009500970	👕 Delete		
ISIN	IE0004906909	👕 Delete		
ISIN	IE0004406397	👕 Delete		
ISIN	IE00B60CK411	Telete		
ISIN	IE0009500640	👕 Delete		
ISIN	IE00B605P459	🗃 Delete		
ISIN	IE00B603QV38	Telete		
VALOR	3928	Telete		
VALOR	10391251	Telete		
VALOR	1333993	Telete		

Check the Fund Issuer information by click on Issuer Details tab and ensure the details are correct. Then Click on Save tab.

Issuer Details				
Issuer Name:	Mediolanum International Funds Limited			
SIX Internal Institution ID:	287291			
Legal Entity Identifier:				
Further Information				
	Cancel			

Click save and the below windows will pop up if it was successful.

Success
Document update was successful
ОК

In case if you want to see the list of uploaded Instruments, it will be displayed in the Single upload screen below and can edit or delete the record as required.

Cverview Q Latest Documents	A Connections • B Document Upload • O Help •				
Single Upload					
O Upload URL with Metadata				Download Manually Uploaded Metadata	
	Click left mouse button o	drop file here to add one document.			
ISIN	•	Search			
	Ex	ended Search			
Search Results 1 - 20 of 1,806					
Options	ISIN	VALOR	WKN Document Type	\$\$ Language \$\$ Jurisdiction \$\$	
📓 PDF 🔀 Edit 👕 Delete 门 Details	IE0004906123, IE0004406397, IE0009500640, IE0009500970, IE0004906909, IE00860CK411, IE008603QV38, 39 IE008605P459	28, 1345535, 4262, 10391239, 10391251, 1333993, 1333968, 10391244, 1334000 10391247	- Sales Prospectus	de Switzerland (CH)	

## 3.8.2. Manual Mass upload of documents

The function "Mass upload" allows to upload more than one document and to deliver the metadata in a file. If documents are often uploaded with sets of common metadata, this function offers a more standardized procedure.

## Document Mass upload via "CSV" File

If several documents or links to the document source should be uploaded, it will be more efficient to use the mass upload feature. Please see document "DocHub\_User\_Manual\_-\_Mass\_Upload\_V2.3" which contains sample files and detailed description.

✓ Overview Q Latest Documents ♣ Connections ▼	🖥 Document Upload 💌 🕲 Help 💌
Mass upload	Single Upload     Mass upload
	Vou can upload one CSV and multiple PDFs here. Limit 30 MB size overall or 100 files.

## 3.8.3. Search uploaded documents

The users can search for a document under the function "Document Upload" and extend a search to refine the search results. The output under "Search results" is here identical to the output in the menu "Search" under "Search results". The difference to the "Extended Search" function in Menu "Search" is that here you can need to choose "Source type". The source type informs in which way the document was uploaded, either through manual upload "Manually Uploaded Files" or by using the API "SIX-MQ Import." By choosing the option "Any", data of all sources will be shown in the search result.

## Handling

- 1. Under the menu "Document Upload", a Supplier can search a document, which they once supplied.
- 2. Extended Search: Source Definition
- **3.** The search result is shown under search results. One can choose the "Instrument Scheme" (ISIN, WKN, Valor etc.), enter the "Instrument Number" (e.g., LU0828906700), and start the search by clicking the "Search" button.

<ul> <li>Single Upload</li> <li>Mass upload</li> </ul>					Download m	anually uploaded Metadata						
🔲 Import List												
	Click left mouse button or dr	op file here to add <b>one</b> document.										
		Search										
Extended Search												
	\$	Jurisdiction:	Any		•	Show all						
	Show all											
ally Uploaded Files )	\$	Issuer Name:										
\$												
03						Columns						
	ISIN LU0571102010		VALOR WKN	Document type PRIIP-KID	∲ Language≑ fr	Jurisdiction Switzerland (CH)						
	Mais upload	Click left mouse button or dr Click	Click left mouse button or drop file here to add one document.  Click left mouse button or drop file here to add one document.  Click left mouse button or drop file here to add one document.  Click left mouse button or drop file here to add one document.  Click left mouse button or drop file here to add one document.  Click left mouse button or drop file here to add one document.  Click left mouse button or drop file here to add one document.  Click left mouse button or drop file here to add one document.  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Search  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Click left mouse button or drop file here to add one document.  Search  Search  Search  Click left mouse button or drop file here to add one document.  Search   Click left mouse button or drop file here to add one document.									

	Visible columns		×
<b>Columns – Visible Columns</b> With the "Columns button the search results can be further adjusted. One can add or reject column (s) by ticking the box or take out the tick. The selection can be confirmed by clicking on the "Save" button. The Instrument ID (e.g., ISIN, ETD Valor etc.) can	Options     Document ID     EXIN     Valo     Support     Sup	Decien OTC ETD ISIN ETD Valor ETD All ETD All Cocument type Language Justidiction Mine Type FilesLee	Time of last generation Time of last update Distribution Publication Classification Checksum Essuer Kam Essuer Kam Essuer Ka Essuer LE Sourcing Strategy Type

## 3.8.4. Edit an uploaded document

Search results 1 - 20 of 92							Columns
Options	ISIN	Valor	WKN	Document type	1	Language	Jurisdiction 1
📓 PDF 😰 Edit 🍵 Delete 🔅 Details	CH0029956296	CH2995629		FINSA KID		de	Switzerland (CH)

An uploaded document can be edit by clicking the EDIT Button in the search result.

This Edit window is nearly identical with the window which shows up when you want to upload a document manually. You can use this function if you want to add some information e.g., additional Jurisdiction or if you should find out that an entry was wrong.

#### 3.8.5. Delete uploaded document

Uploaded documents can be deleted in two ways:

- Through the "Delete" Button or
- Through a CSV file

#### Document deletion via "Delete" Button

Please be aware that only Suppliers with the Power User rights can delete uploaded documents.

- 1. Under Menu Documents a Supplier can delete a document, which he supplied.
- 2. Go to Menu "Documents" and chose sub-menu "Document upload".
- 3. Ensure that you have ticked the box "Delete" which you will find under the "Columns" button.
- 4. Chose the document which you will delete
- 5. Press "Delete" Button and conform your deletion
- 6. Deleted document are no longer available.

Overview Q Latest Documents      Connections     Upload URL with metadata	B Document Upload     C Single Upload     Mass upload     Import List			Download n	nanually uploaded Metadata
	Click left mouse button or drop file here to add one docu	iment.			
ISIN	Search				
	Extended Search				
Search results 1 - 20 of 1,803					Columns
Options	ISIN	VALOR WKN	Document type	💠 Language 🗘	Jurisdiction \$\$
📓 PDF 🕼 Edit 🥤 Delete 🕻 🕻 Details	LU0571102010		PRIIP-KID	fr	Switzerland (CH)

		(	!	
<b>Delete Document:</b> A Deletion requires a confirmation. The system informs you whether the deletion was successful. Afterwards a successful	Delete	document: akhb7	'u6p9h3qnbecnjatamwe8eł	nnhadp
deletion you should no longer a deleted document.		Cancel	Delete document	
	Document de	eletion was successful		
				ок

**Important:** If a document was already downloaded by a user and archived, the archived document a metadata is not affected.

#### Document deletion via "CSV" File

For detailed information please read document "DocHub\_User\_Manual\_-\_Mass\_Upload".

#### 3.8.6. Import List

A Supplier can view the status (A) of his delivered import files with document metadata. Submenu "Import list" can be selected in the main menu "Documents". For each file, a line is displayed showing the file name, time of delivery, status, time of processing finish and numbers related processed datasets. The table rows are ordered the way the Importer will handle the files.

Manually uploads are now also in this list

#### Import Table:

- Document Supplier
- Filename
- Status
- Time of delivery
- End time
- Total Entries
- Total successful entries
- Total failed entries

Filename													
liename						Q Search	🛓 Download	0					
					Extended	d Search							
	sults 1 - 20 of 122		A										
Document Supplier	¢ Filename	Source	Status 🗘	Time of delivery $\hat{\bullet}$	End time	Total Entries	Total successful entries	Total failed entries	Records inserted	Records updated	Records deleted	♦ File size	Reports E
SIX_SSO_BLX	20230606_101900_LU98765_M_D_1_99999.csv	2	SUCCESS	Tue, Jun 6, 2023, 9:19:01 AM	Tue, Jun 6, 2023, 9:20:00 AM	6	6	0	0	6	0		Download Repo
SIX_SSO_BLX	20230606_101438_LU98765_M_D_1_99999.csv	2	SUCCESS	Tue, Jun 6, 2023, 9:14:39 AM	Tue, Jun 6, 2023, 9:15:00 AM	6	6	0	0	6	0	-	Download Rep
IX_SSO_BLX	20230601_174145_LU98765_M_D_1_99999.csv	2	SUCCESS	Thu, Jun 1, 2023, 4:41:46 PM	Thu, Jun 1, 2023, 4:42:00 PM	6	6	0	0	6	0		Download Rep
IX_SSO_BLX	20230601_173340_LU98765_M_D_1_99999.csv	2	SUCCESS	Thu, Jun 1, 2023, 4:33:42 PM	Thu, Jun 1, 2023, 4:34:00 PM	6	6	0	0	6	0	-	Download Rep
IX_SSO_BLX	20230601_173255_LU98765_M_D_1_99999.csv	2	SUCCESS	Thu, Jun 1, 2023, 4:32:56 PM	Thu, Jun 1, 2023, 4:33:00 PM	6	6	0	1	5	0	-	Download Rep
IX_SSO_BLX	20230601_171031_LU98765_M_D_1_99999.csv	2	SUCCESS	Thu, Jun 1, 2023, 4:10:32 PM	Thu, Jun 1, 2023, 4:11:00 PM	16	15	1	0	15	0		Download Rep
IX_SSO_BLX	20230531_124730_LU98765_M_D_1_99999.csv	2	SUCCESS	Wed, May 31, 2023, 11:47:32 AM	Wed, May 31, 2023, 11:48:00 AM	6	6	0	5	1	0	-	Download Rep
IX SSO BLX	20221013_222340_LU98765_M_D_1_99999.csv	2	ERROR	Thu, Oct 13, 2022,	Thu, Oct 13, 2022,		0				-		

In case of failed entries details can be shown in the report by clicking on (B). Report will be available in zipped format and contains more detailed information Example:

```
OK-ERR-TOTAL Messages
23516 - 254 - 23770
#Detailed Report
447 - Unknown Jurisdictions: UK - 1=LU0247234700
```

Different from the search function where the instrument scheme and the identifier need to be entered, only the "Filename" can be searched for here. This requires the knowledge of the correct file name.

#### Example - Search for a file (20191112\_030500\_CH33572\_M\_F\_1\_99999.csv.gz):

In the example, the file name 20191112\_030500\_CH33572\_M\_F\_1\_99999.csv.gz was entered into the Filename window. The search will be started by clicking on the "Search" button. The file will be uploaded a certain number of times and for each upload the number of successful and failed entries will be shown. The system supports an extended search function as well by clicking on "Extended Search".

	Latest Documents 🛔 Connections 🕇	🖪 Document Upload 👻 🚭 Help 👻						
nport List								
0230606_101900_LU9876	5_M_D_1_99999.csv			🔍 Search 🕹 Download				
			Extend	ed Search				
Status	Any		÷	Total Entries:	min:		max:	
Time of delivery:	min:	max:		Total successful entries:	min:		max:	
End time:	min:	max:		Total failed entries:	min:		max:	
earch results 1	- 1 of 1 Filename	♦ Source Status Time of delivery	¢ End time <sup>¢</sup>	Total	Total failed entries		ords elected	File size Reports
	06_101900_LU98765_M_D_1_99999.		Tue, Jun 6, 2023, 9:20:00 AM	6 6	0	0	6 0	Download Rep

The whole import list can be downloaded as CSV file (C).

## 3.9. Menu Monitoring

## 3.9.1. Export Files (only for Power Distributor Users)

Power Distributer users have in the menu "Documents" the submenu "Export Files", which allows checking the exported files with the available document universe. Consolidated Metadata Files are used to maintain a database with the relation of document metadata to document ID in system on Distributors side, e.g., the core banking system.

∕ıx (	🙆 Overview 🛛 🔍 Latest Do	cuments 🛛 🖬 Archived Do	cuments 🛓	listoric Documents 🔥 Co	onnections 👻	Monitoring	💌 🔍 Help 👻									
Export Files							Haudit Trail     Export Files     File delivery list     Q Search ▲ Download									
							Extended Search									
Report	client	of 802	Duration Write	Uplead	Duration	Duration Sum	Filename	Liet : Type	Report delivery status	Number of lines	Number of documents	Filesize	Filesiae			
2135399 Do	chublācbalUnivaria	Wed Apr 8 60300 AM (04T+2 2020 wr6l Wed Apr 8 612/42 AM (04T+2 2020	582	Wed Apr 8 6 12:58 AAA GAIT+2 2020 sel6 Wed Apr 8 6:13:12 AAA GAIT+2 2020	54	612	524_Universe_Public_20200408_040300.cise.gz	FUEL	OK	15743304	15741304	5.0 MB	1.1 148			
2133359 D+	id-kärülobalUriverse	Tue Apr 7 000186 AM GMT+2 2020 WEE Tue Apr 7 011126 AM GMT+2 2020	100	Tue Apr 7 61110 AM GMT+2 2020 URI Tue Apr 7 61146 AM GMT+2 2020	n	490	50 (Jawese Public, 2020/407, 202126 cm ga	FOLL	OK	35994322	25994322	50 MB	11548			
2131329 De		Moh Apr 6 604:27 AM (0411-2 2020 4461 Mon Apr 6 6:12:20 AM (0411-2	471	Mon Apr 6 6:1228 AM GMT+2:2020 WIRE Mon Apr 6 6:12:38 AM GMT+2	10	495	125.;mmerse.Jublic.20200406.960427.cov.gz	FULL	OK.	35607454	35607414	5.0 MB	11.148			

## Export Table:

- Document Count s
- Time of last update
- List type
- ...

## 3.9.2. Audit Trail (only for Power Distributors)

The Audit Trail function helps to see which user of a client has downloaded which document. Every time when a user (GUI users and technical users via API) downloads a document, the document request is logged in the "Audit Trail".

Document ID, Time of delivery, Time of request, Result code and optionally entered "Request Identifying Data" are logged as well. All necessary information can be filtered or sorted with the report, which can be downloaded. The audit trail lists successful and not successful downloads.

The following kinds of requests are logged:

Tabs	Kind of Request	Description
1	Document Requests	Document download requests via Menu "Overview", in Menu "Search" or via API are visible here. In case the document was downloaded via "PDF + Data", the added CustomData is also displayed.
2	Archived Document Requests	Get a list of archived documents retrievals through the GUI or API. If a download is requested through the menu "Retrieve archived documents" or "getArchivedDocuments" via API a search result will be shown. In case custom data was added to identify the request, this data will also be delivered.
3	Create PIB Requests	Get a list of PIB retrievals through the GUI or API. In case custom data was added to identify the request, this data will also be delivered.
4	Create OTC PRIIP- KID Request	Get a list of OTC PRIIP-KID retrievals through API. In case custom data was added to identify the request, this data will also be delivered ( <i>currently not supported in GUI</i> ).

udit T	rail				Export F	Files						
port from:	2023-06-16 00:00:00		Re	eport to:	File deli 2023	ivery list ร-06-16 00:24:01		4	Dow	nload Report		
Document	Requests Archived Document Request	s Create PIB Re	quests Create	OTC PRIIP-KI	D Requests Histo	oric Document Requ	ests					
Serial	Document ID	Time of delivery	Time of reque	Result st Code	Error Reference	Document Supplie	er <sup>\$</sup> Distributor	¢ v User	¢	Request Duration Internal	Request Duration External	Show Custom Data
73602257	agtabse6kf45dr8bnm5v3zrveb52agsk	2023-06- 06T13:22:07	2023-06- 06T13:22:06	1	-	Fundinfo	SIX_SSO_BL	X six_sso_blx_dis_use	er01	653	395	Show Details
73602254	anyaxm74rvyqywbxwg42aaymm1rezfxy	2023-06- 06T13:21:34	2023-06- 06T13:21:32	1	-	Amundi SA	SIX_SSO_BL	X six_sso_blx_dis_use	er01	408	1971	Show Details
Serial	Document ID	Time of delivery	Time of request	ResultCode	Document Suppli	er î Distribu	utor î	User	t	RequestDurationIntern al	RequestDurationExte	ern 1 Show Custo Data
22890753	addagkmzumjh4pv7nkg6v1jdgupyucnd	-	2019-08-27 09:02:36	302	Wallstreet DOC	S DodHubGlob	alUniverse CH	199999_docPRODsixtk	7rq	455	398	Hide Details
Reques	t Identifying Data1: -	Request Iden	tifying Data2: -		Request In	dentifying Data3: -		Request Ider	ıtifyir	ng Data4: -	Request Identify	ying Data5: 🗚
	afdb34n3qsprv3csq7q7my8rrm17fks		2019-09-27	302	ere e a Martinett	- had David Mcfal	dustana cu	199999_docPRODsixtk	-	94	52	Show Details

The Custom Data (Request Identifying Data) can also be shown here by clicking on (A). Now, they are visible as in the Archive too.

The Tab Document Requests provides	following information:
------------------------------------	------------------------

#	Field name in GUI	Format	Description	Request Type(s)
1	Serial Number	<integer></integer>	Serial Number for each request, depending on the request type of the number	all
2	Document ID	<string></string>	The unique ID of a requested document	getDocument
3	Archive ID	<string></string>	The unique ID of an archived document	getFromArchive
4	DocGen Serial	<integer></integer>	Serial number of a request to DocGen (further request to Cleversoft has the same field filled)	createPIB, createOnTheFly PRIIPKID
5	Time of delivery	<timestamp> YYYY- MM-DD HH:MM:SS</timestamp>	Timestamp when the request has been finished (process end time)	all
6	Time of request	<timestamp> YYYY- MM-DD HH:MM:SS</timestamp>	Timestamp when the request started (process start time)	all
7	Result code	<integer></integer>	The (error) code the request process finished with	all
8	Distributor	<string></string>	The client ID of the requesting distributor	all
9	User ID	<string></string>	The user ID of the user who performed the request	all
10	Request duration internal	<integer></integer>	The time taken for requesting the document by DocHub in milliseconds	all
11	Request duration external	<integer></integer>	The time DocHub has waited for a requested document from the source in milliseconds	all
12	Custom data 1-5	<string></string>	Request Identifying Data. Additional custom data added by the user when downloading the document.	all

## 3.9.2.1 Download Audit Trail Report

For all four tabs a single audit trail report can be downloaded by clicking on (B). The system allows the user to define the report date (Report from - to) to reduce the size of the report. Due to the fact the audit trail section does not have a search option, the report in Excel helps to define the search result.

Audit Trail						<b>Trail</b> Files						
port from:	2023-06-16 00:00:00		Report	t to:	File del	livery list 3-06-16 00:24:01		de Dow	nload Report	B		
Document Requ	ests Archived Document Reque	sts Create PIB Rea	uests Create OTC	PRIIP-KID Re	equests Hist	toric Document Request	s					
Document Requ	Archived Document Reque	sts Create PIB Rea	uests Create OTC	Result Code	equests Hist Error Reference	toric Document Request		¢ User	Request Duration Internal	¢ Red	quest Duration External	♦ Show Custon Data
Serial				Result	Error		Distributor	User $^{(+)}$ six_sso_blx_dis_user01		¢ Ree		0

## 3.9.3. File Delivery List

Metadata export file list along with the list of all the details and can perform search using File name, File ID etc.

∕ıx	🚯 Overview 🛛 🔍 Latest Docum	nents 🖀 Archived Documents 🛓	Historic Documents 🛛 👫 Co	onnections 👻 🗖	Monitoring 🔹 🔍 He	łp ▼			
File D	elivery List				Export List	_			
	File ID:				E File Delivery Lis		Search		
	File Name:				ast Attempt tatus:	Any	٥		
	Start Time:	Min:	Max:			Min:	Мах:		
File ID	Task Execution ID	Task Name	Start Time	End Time	File Name	Checksum	File Size	tus Last Upload Attempt	Options
					No search	results			

## 3.9.4. Comparison "Archive" and "Audit Trail"

Archive	Audit Trail					
Archives the documents which were downloaded by a distributor (service needs to be ordered). In case of complaints, a document can be retrieved to show what has been delivered to the distributor in the past (up to 10 years).	Protocol of document downloads and attempts for download for the different request type The following information is provided:					
<ul> <li>The following information is provided:</li> <li>a) The document itself</li> <li>b) Supplier of the document</li> <li>c) Time of retrieval</li> <li>d) Document ID</li> <li>e) Selected metadata like identification (ISIN; Valor), document type, language, jurisdiction.</li> <li>f) User who requested the document</li> <li>g) Custom Data provided when the request was sent (Request Identifying Data).</li> </ul>	<ul> <li>a) Return code (success or error code delivered)</li> <li>b) Supplier of the document</li> <li>c) Time of retrieval</li> <li>d) Document ID</li> <li>e) Selected metadata like identification (ISIN; Valor), document type, language, jurisdiction</li> <li>f) User who requested the document</li> <li>g) Request duration</li> <li>h) Data provided when the request was sent (Custom data). With this data further classification of the request can be done, if needed by the provider.</li> </ul>					

## 3.10. Menu Help

## 3.10.1 Support

DocHub customer support centre details will be displayed here.

🖍 🕰 Overview 🔍 Latest Documents 🚓 Connections 🔹 🖪 Document Upload 🔹	● Help =					
Help	Support     Notifications					
Contact SIX Client Support by e-mail support@six-group.com or by phone. You find your local support team here: https://www.six-group.com/en/contacts/financial-information.html*						
Go to DocHub Specification and Documentation here,"						
DocHub_User_Manual_pdf DocHub_User_Manual_Mass_Upload.pdf						

## 3.10.2 Notification

DocHub latest product notifications, release and maintenance updates, service alerts will be displayed on this page.

∕ıx	🙆 Overview	Q Latest Documents 🔥 Connections	🔹 🖪 Document Upload 👻		
Notif	ications			apport otifications	
Client ID \$	¢		Summary	Details	Published Date Date
7		TEST MT1 Date/Time: Tue Nov 15 done			2023-04-25 2023-04-25