Author Andreas Fischer
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SIX Regulatory Platform (SIX RegHub)

RegHub API for Manufacturers Documentation

Table of revision

Version	Status	Name	Date	Description
1.0	Draft	Stephan Schaub, Atila Erdogan & Tobias Deeg	27.10.2017	- Initial version, based on the former valid documentation “SIX PRIIP - 3rd Party Supplier API”.
1.1	Approved	Stephan Schaub	01.12.2017	- Overall: Small grammar changes. - C 2: Model Update attribute condition and new attributes. - C 2: New attributes and types: contractSideType, eTDProductType and sIXModelComplianceType. - C 2: It is no longer allowed to use “DUNS” and “OeNB” as institutionScheme. - C 2.2: Description of attribute conditions. - C 2.6: New chapter: Utility Objects. - C 3.2.5: Better description escape character for CSV files. - C 3.3.2: Small corrections in the environment information’s. - C 3.3.3: Using better sample. - C 3.3.4: New chapter: Response format of the REST services. - C 3.3.5: New chapter: Overview of all REST API Calls. - C 3.4: DMD Model Adaption in all formats. - C 3.4.3.1: New chapter: Overview of all REST API Calls for DMD. - C 3.5: CD Model Adaption in all formats. - C 3.5.1.4: Add missed attribute sourcingStrategyType (Record: 1130) on 8th place, move the followed attributes by 1 place. - C 3.5.3.1: New chapter: Overview of all REST API Calls for CD. - C 3.6.1.1: New chapter: Overview of all REST API Calls for SR. - C 3.7: New chapters: API: Services.
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			- C 2.11.6 3 new values in enum : 5 = UCITS Money Market Funds & 6 = Non UCITS Money Market Funds & 7 = Exchange Traded Commodities - C 3.5.1 page 115 : 3 new records (30 to 32) - C 3.5.1 page 117 : 6 new records (51 to 56) - C 3.5.1 page 118 : 6 new records (32 to 37) - C 3.5.1 page 119 : 2 new records (17 to 18) - C 3.5.1 page 120 : 1 new record (39)
1.5.0	Approved	Serhat Kerpeten	C 2.6 added new BOM picture S. 59 C 2.6 added addtional Text to "Volume"-Object description C 2.6 Changed distributorName condition to recommended from optional S.62 in ReportableObject C 2.6 Changed DistributorIDs to DistributorScheme in ReportableObject C 2.6 Added new Attribute distributorID in ReportableObject C 2.6 Changed subDistributorIDs to subDistributorScheme in ReportableObject C 2.6 Added new Attribute subDistributorID in ReportableObject C 2.6 Added new Attribute sixBomVersion in ReportableObject C 2.6 Added new Attribute sixMappingFileVersion in ReportableObject C 2.6 Added new attribute reportingFormat in ReportableObject C 2.6 Changed sourcingStrategy to sourcingStrategyType in ReportableObject C 2.6 Changed conditon of receiverReghubMemberID to recommended in ReportReceiver C 2.6 Deleted attribute receiverNameOutsideRegHub in ReportReceiver C 2.6 Deleted attribute reportGranularityType in MiFID2SalesReportHeader C 2.6 Deleted attribute assetClassScheme in MiFID2SalesReportHeader C 2.6 Deleted attribute assetClassID in MiFID2SalesReportHeader C 2.6 Added attribute instrumentClassificationCFIin MiFID2SalesReportHeader C 2.6 Changed manufacturerIDs to manufacturerSchemein MiFID2SalesReportHeader C 2.6 Added attribute manufacturerID in MiFID2SalesReportHeader C 2.6 Deleted attribute reportDateType in MiFID2SalesReportHeader C 2.6 Changed attribute from reportingCcy to reportingCcyType in MiFID2SalesReportHeader C 2.6 Added attribute reportingAggregatedType in

				MiFID2SalesReportHeader C 2.6 Added attribute reportingAggregatedValue in MiFID2SalesReportHeader C 2.6 Deleted attribute marketIdentifierCodes in MiFID2SalesReportHeader C 2.6 Deleted attribute additionalFeedbackReport in MiFID2SalesReportHeader C 2.6 Deleted attribute indicationOfComplaint in MiFID2SalesReportHeader C 2.6 Deleted attribute otherInstrumentIdentifier in MiFID2SalesReportHeader C 2.6 Deleted attribute reportingCurrency in SalesReportDetail C 2.6 Added attribute instrumentCcy in SalesReportDetail C 2.6 Added attribute numberOfInvestors in SalesReportDetail C 2.6 Added attribute transactionRefecenceCode in SalesReportDetail C 2.6 Added attribute trasactionStatus in SalesReportDetail C 2.6 Changed DataType of additionalFeedBackReport from string(750) to string(2000) in SalesReportDetail C 2.6 Deleted attribute volumeCurrencyType in SalesReportDetail C 2.12.2 Added additional ClientType Enum values (Semi-professional and Institutional) C 2.12.3 Added additional Product Area Enum values (Client Type, Distribution Strategy, Not within NTM) C 2.12.4 Added additional Complaint Type Enum value (Not defined) C 2.12.7 Added addtional Distribution Type Enum values (Execution Only – Appropriateness test failed, Execution with Appropriateness,Not NDC) C 2.12.8 Deleted Report Granularity Type Enum description C 2.12.8 ReportStatusType deleted four Enums C 2.12.10 Deleted Reporting Date Type Enum descripton C 2.12.20 Deleted Reporting Date Type Enum descripton C 2.12.23 Added ReportingFormat Enum values C 2.12.24 Added Reporting Aggregated Type Enum values C 2.12.25 Added Transaction Status Enum values
1.5.0	Approved	Andreas Fischer	09.02.2019	-C 3.3 Reference to Swagger UI added -C 3.3.2 Base URL changed for all environments -C 3.3.5 Resource URL changed to apply to base URL -C 3.3.5 exPostCost and File Service API added -C 3.3.4 Base URL changed for all environments -C 3.4.3.1 Optional request parameter “strategy” for PUT

			intrumentdmds -C 3.5.3.1 Optional request parameter “strategy” for PUT intruments -C 3.5.3 Base URL changed for all environments -C 3.5.3.2 Added -C 3.6.1 Base URL changed for all environments -C 3.7.1 Base URL changed for all environments -C 3.7.2 Added
1.5.0	Serhat Kerpeten	06.02.2019	-C 3.3.5 Sales report REST API added -C 3.5.3 ExpostCost Method corrected -C 3.6 Sales report REST API added -C 3.6 Sales report table for filter attributes added

Table of contents

Table of Figures

Table of Tables

Open Items

Topic	Description	Status
Sales Report	The detailed business information about the Business Object Sales Report will be provided in a separate document (“Overview Sales Report business functionality.docx”). Later it will be included to this document.	Done Open
MIFID ExPost	Ex-Post costs are versioned (data series). This is currently in implementation and interface specification will get updated with corresponding samples in the next version of the document.	Done

1. Overview

1.1. Introduction SIX Regulatory Platform (SIX RegHub)

The most recent Investor Protection regulations (including MiFID 2 and PRIIP) require a new approach as to how Manufacturers and Distributors interact with each other. Several new regulations (i.e. MiFID 2, PRIIP and IRS 871m) expect Manufacturers [1] and Distributors to exchange information regarding KI(I)Ds, target market, costs, and sales report (if sold outside target market).

The SIX Regulatory Hub (**SIX RegHub**) offers a system that supports the entire ecosystem, and connects the buy-side and the sell-side. The SIX RegHub is a distribution platform for Investor Protection documents and data, which:

- Facilitates the connection between the buy and sell-side, eliminating the need for Distributors and Manufacturers to build up hundreds of individual interfaces with each other (including mapping capability and supporting the common standards).
- Retrieves data from the supplier when needed, avoiding superfluous data traffic between Manufacturers and Distributors.
- Supports the distribution of data and document generation on the fly and supports versioning for certain data types (e.g. itemized cost breakdown data).
- Allows for bi-directional interaction, which is necessary to fulfil the mandatory reporting by a Distributor to Manufacturers of the sales amounts made outside of a defined target market (MIFID 2 requirement).
- And additional services to support business processes e.g. OTC ISIN assignment.

The **SIX RegHub** bundles the existing **SIX DocHub** (document distribution capability) and the new **SIX DataHub** (data distribution capability).

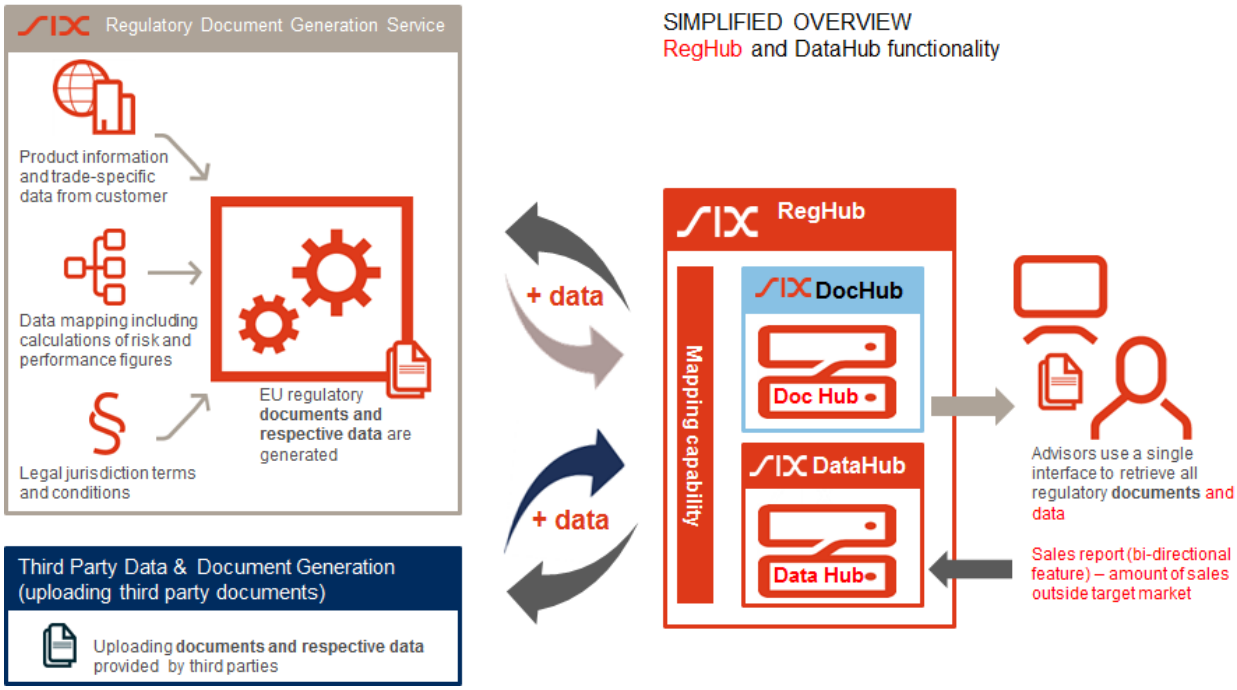

Figure 1: SIX Regulatory Hub Services

[1] The regulator uses the term Manufacturer to describe the role which is responsible to produce certain artefacts like PRIIP KIDs or MIFID 2 data. The Manufacturer is liable for this data and documents. In the world of structured products this is the issuer.

The **SIX DocHub** is a platform to distribute any kind of documents (mainly regulatory documents) to the retail banking advisory and sales organizations as well as Distributors. The SIX DocHub sources documents from the **SIX DocGen** service (a service some Manufacturer uses to produce PRIIP KIDs) as well as from other 3rd party suppliers and provides them to the Distributors. Whenever possible the documents are loaded directly from the source to guarantee their up-to-datedness and support on-the-fly generation.

The **SIX DataHub** is generalizing the need for regulatory data as part of the advisory process. In that sense, the **SIX RegHub** is able to handle different views of regulatory Content data and the interdependencies between the different Views (i.e. mapping of attributes). Every Content data view defines a logical set of instrument attributes. The logical grouping of attributes is based on the regulatory definitions and needs.

1.2. Architecture overview of the SIX Regulatory Platform (SIX RegHub)

The following picture provides the architecture overview of the SIX RegHub.

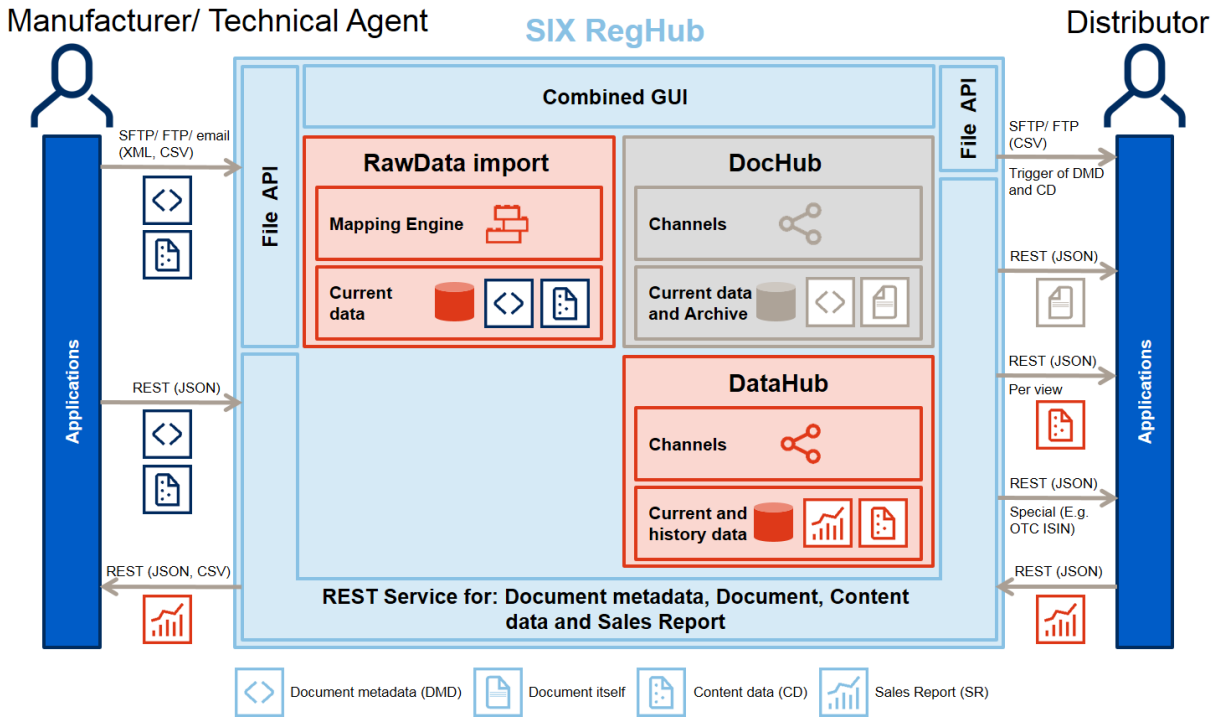

Figure 2: Architecture of the SIX RegHub

Topic	Description
Input File API	The SIX RegHub provides a file API where the Manufacturer or a Technical Agent (Earlier known as 3rd Party Supplier) can provide all his file based input (for more details see chapter "File: Overview").
Output File API	The SIX RegHub provides a file API (push) for all Distributors. The files "Summary of Document metadata" and "Summary of Content data views" can be provided from there. TBD: Please be aware that we are currently refining this process for letting a Distributor also pulling his file via SFTP/ FTP or calling a special REST Service.
REST Service	The basic service technology for the SIX RegHub is REST. For the existing Distributors, we will offer also for all SOAP services which exists in SIX DocHub today, a SOAP Service on the SIX RegHub. All new services will only be provided in REST technology.

Combined GUI	To make regulatory data and available documents accessible in an easy way, a Combined GUI is offered to navigate seamless between the data and the documents.
RawData import	The component “RawData import” supports our own file structures. It also supports, for a fast and easy onboarding of clients, other industry standards (like: EFAMA (EPT/ CEPT/ EMT), OpenFunds, FundXML and DDV (WM)) as file input. In the SIX RegHub currently two file formats are supported: XML and CSV. If one of those file formats are provided, the “Raw Data import” component will automatically process the given files. The original input will be stored in raw data form into the database.
Mapping Engine	The “Mapping Engine” maps all the different supported file formats into the SIX RegHub internal model. The mapped business objects will be passed to the followed components SIX DataHub and SIX DocHub. Attention the mapping capability applies only for submitted files, there is no mapping capability on the REST Services.
SIX DocHub	The “SIX DocHub” provides the document distribution capability to the Distributors.
Channels	All the Document metadata and each different main class of Content data (Tax871m, MiFID 2 or PRIIP) and as well all the cost classes and PRIIP (CEPT) shall be entitled separately. Only entitled Distributors are able to access the data.
SIX DataHub	The “SIX DataHub” provides the Content data distribution capability to the Distributors. It also provides the reporting capability, so that the Distributors can provide the reporting of sales outside target market (MiFID 2 Sales Report) to the Manufacturer.

Table 1: Description of the SIX RegHub architecture

1.3. Actors (SIX RegHub)

1.3.1. Actors, who provides Document metadata or Content data

Every record provided into SIX Regulatory Hub has to be assigned to in minimum to two actors descriptive Institution attributes. These are the **Manufacturer** and the **Technical Agent**. This allows to identify the exact constellation who has sent data for which covering which parties.

Actor	Description
Manufacturer	The Manufacturer is the Manufacturer of the instrument.
Technical Agent	As a Technical Agent is seen the legal entity which technically submits the data into the SIX Regulatory Hub. This party can either be the Manufacturer or Main Manufacturer itself or a 3rd Party Supplier (Technical Agent) which is mandated to submit its data into the SIX Regulatory Hub.
Main Manufacturer	The Main Manufacturer holds a direct legal to the Manufacturer. This can either be the parent company of the Manufacturer or the Manufacturer itself. If there is no reason for grouping Manufacturers the Main Manufacturer actor can be ignored.

Table 2: Actors, who provides Document metadata or Content data

While the **Main Manufacturer** is used for grouping child companies (e.g. International Bank which has their child branches grouped within certain main branches), the Manufacturer is seen as the effective Issuer of the financial instrument. Below some examples to illustrate the logic.

- **Example 1:**
  An investment firm A (Main Manufacturer) is submitting data only covering this legal entity (Manufacturer). This investment firm has implemented the interface towards SIX himself (Technical Agent). Results in:
  - **Manufacturer** (Mandatory): Investment firm A
  - **Technical Agent** (Mandatory): Investment firm A
  - **Main Manufacturer** (Optional): Investment firm A

- **Example 2:**
  An investment firm A (Main Manufacturer) is submitting data covering several branches of separate Manufacturers. This investment firm does not submit the data directly but is using a Technical Agent who is maintaining the technical interface towards SIX. All actors are separate legal entities. Results in:
  - **Manufacturer** (Mandatory): B, C and D

- **Technical Agent** (Mandatory): E
- **Main Manufacturer** (Optional): Investment firm A

- **Example 3:**
  If there is no constellation with child branches and external Technical Agent, the attributes Technical Agent can be set with the same values as the Manufacturer. Results in:
  - **Manufacturer** (Mandatory): Investment firm A
  - **Technical Agent** (Mandatory): Investment firm A
  - **Main Manufacturer** (Optional): -

1.3.2. Actor, who receive Document metadata or Content data

Actor	Description
Distributor	Member of the SIX Regulatory Hub who is able to receive the Documents or Content data from all the different manufacturers. Note: In SIX Regulatory Hub, a Manufacturer can also be a Distributor at the same time.

Table 3: Actor, who receive Document metadata or Content data

2. SIX RegHub Business Objects for Manufacturers

2.1. Overview

This chapter describes the available business objects (BO) including their attributes and substructures within SIX RegHub. The following business objects are explained below:

- **Document metadata (DMD)**
  As a representation of a document, this business object holds all information about the file including for example file size, language, a link where SIX RegHub has to download the actual document (before handing over to Distributor) and identifier of the related supplier (Manufacturer or Technical Agent).
- **Content data (CD)**
  As a representation of regulatory data, this business object holds all information about an instrument related to a specific regulation or tax as provided by a Manufacturer or Technical Agent.
- **Sales Report (SR)**
  As a representation of a Distributor Sales Report, this business object model holds all information about a sales report by a Distributor back to a specific Manufacturer. This includes information like sales outside of the target market, deviation reasons or even complaints.

Important to know is that the BOs are completely isolated from each other (every BO is stored in different database tables with no relation to each other). This means, that the same instrument for Documents and for Content data must be inserted twice in the database.

2.2. Overview of the attribute conditions

Each attribute in the SIX RegHub universe has an attribute condition. This condition describes if an attribute is for example mandatory or optional. The following table shows an overview of all of used conditions:

Attribute condition	Description
Mandatory (Key)	Describes the mandatory key attributes. All key attributes must be provided to the SIX RegHub via the file (possibility to set constant values in the "Mapping Engine") or via the REST Service API.
Mandatory	Describes the mandatory attributes. All mandatory attributes must be provided to the SIX RegHub via the file (possibility to set constant values in the "Mapping Engine") or via the REST Service API.
Mandatory (SIX RegHub produced)	Describes the mandatory attributes produced by SIX. All these attributes are set by the SIX RegHub itself and has not to be provided.
Recommended (general description)	Describes a special type of attributes. All recommended attributes can be filled or not. It is highly recommended that these fields are provided by the source. Also, most of these fields are defined by other market templates as mandatory (e.g. EFAMA: EPT/ EMT). However, due to the readiness of the market this status is introduced, as some sources may struggle to submit 100% of the attributes at day one and therefore the processing of the whole record would be prevented. By introducing the attribute condition “recommended” it allows a source to distribute the data he can provide immediately and improve data completeness in parallel. SIX will monitor market readiness and overtime most of the attributes currently flagged as recommended will become mandatory again. By insert or update an instrument the SIX RegHub will check all recommended attributes if they were filled or not. The result of this check is show in the SIX RegHub produced attribute **sIXModelComplianceType** (“**SIX Model Compliance Type**“). This type gives an indication to the Distributor if all recommended data is available for a specific Contend data (like MiFID2, PRIIP or CEPT) or not.

Recommended (MiFID2)	Based on the general description of recommended. All the recommended (MiFID2) marked attributes will be checked and the result will be provided in the MiFID2 class in the attribute **sIXModelComplianceType**. The following attributes are marked as recommended (MiFID2):
	• Class MiFID2:
	  ○ costCcy
	  ○ incidentalCosts
	  ○ incidentalCostsUnitType
	  ○ ongoingOtherCosts

	○ ongoingOtherCostsUnitType ○ ongoingTransactionCosts ○ ongoingTransactionCostsUnitType • Class TargetMarketMiFID2: ○ advanced ○ basic ○ eligibleCounterparty ○ informed ○ professional ○ retailClient
Recommended (PRIIP)	Based on the general description of recommended. All the recommended (PRIIP) marked attributes will be checked and the result will be provided in the PRIIP class in the attribute **sIXModelComplianceType**. The following attributes are marked as recommended (PRIIP): • Class CostGroupPRIIP. ○ hasIncidentalCostsCarriedInterests ○ hasIncidentalCostsPerformanceFee ○ hasOneOffSlidingExitCostIndicator ○ oneOffEntryCosts ○ oneOffEntryCostsUnitType ○ oneOffExitCostsRHP ○ oneOffExitCostsRHPUnitType ○ ongoingOtherCosts ○ ongoingOtherCostsUnitType ○ ongoingTransactionCosts ○ ongoingTransactionCostsUnitType • Class NarrativeInformation: ○ hasCapitalGuarantee ○ hasComprehensionAlert ○ narIntendedTargetMarketRetailInvestor ○ narInvestmentObjective ○ narPerformanceFee ○ narTypeUnderlyingInvestmentOption • Class PIA: ○ bondsWeight ○ hasExistingCapitalPreservation ○ hasPortfolioInsurance • Class PRIIP: ○ costCcy ○ hasExistingCreditRisk ○ isFlexible ○ priipCategoryType • Class UCITS: ○ ongoingOtherCosts ○ ongoingOtherCostsUnitType ○ ongoingTransactionCosts ○ ongoingTransactionCostsUnitType ○ srriType
Recommended (CEPT)	Based on the general description of recommended. All the recommended (CEPT) marked attributes will be checked and the result will be provided in the CEPT class in the attribute **sIXModelComplianceType**. The following attributes are marked as recommended (CEPT): • CEPT: ○ costCcy ○ recomHoldingPeriodYears • CEPTPerformanceScenario: ○ absoluteReturn ○ percentageReturn • Price: ○ historicalStartDate ○ shareClassCcy

	○ sharePrice ○ sharePriceDate
See Rule	Describes that it depends which is the concrete condition of an attributes. In the following attribute description are the rules of the condition described (for example: Filled with a default value, attribute A or B is mandatory, etc).
Optional	Describes the optional attributes. An optional attribute can be filled or not.

Table 4: Attribute condition

2.3. Special behavior

In very rare occasions SIX needs to complement data not provided by the supplier / technical agent.

Manufacturer ID (LEI)	A manufacturer ID, either GK or LEI, is mandatory for every instrument. In very rare occastions a supplier / technical agent does not provide a manufacturer id. In these cases the manufacturer id is added as LEI with the value “unknown” Manufacturer ID scheme: LEI Manufacturer ID: unknown

Table 5: Attribute complemented by SIX

2.4. Business Object: Document metadata (DMD)

The business object model and the listed attributes below provide an overview of the Document metadata (DMD). The explicit representation for the file format or for the services format is shown in a later chapter.

Description of the classes:

- **InstrumentDMD:** This class is containing meta data information to explicitly one single instrument. Instrument identifiers, timestamps and Manufacturer details will support the handling and identification of the financial instrument within the internal data base.
- **DistributableObjectDMD:** This class provides all the needed information to provide the DMD to the defined Distributors. It also provides information about which Manufacturer issues the document and where it can be downloaded.
- **DocumentMetadata:** This class contains all the document metadata for one document like language, region, relevant URL, file size, checksum or mime type.

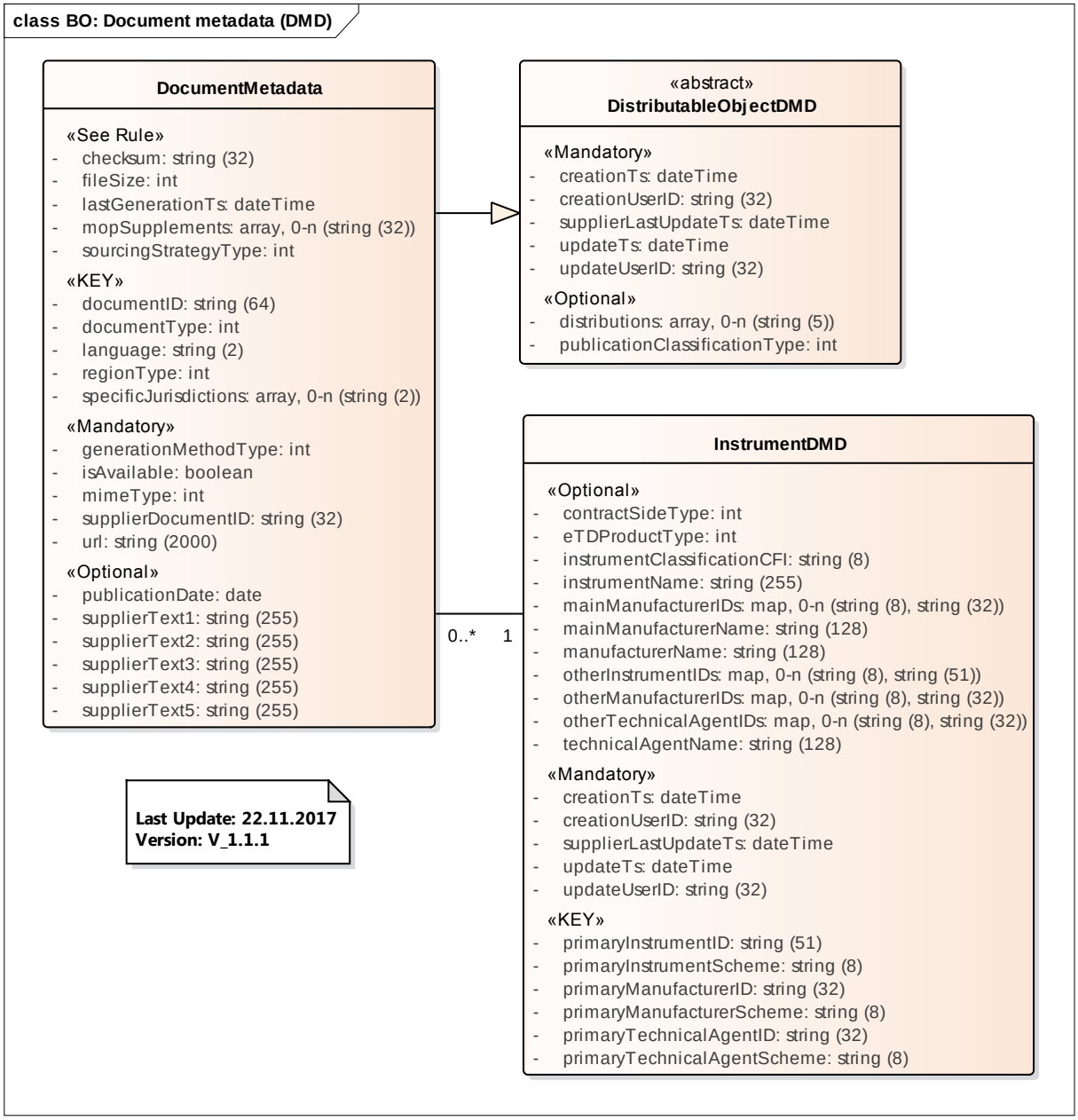

Figure 3: Business Object: Document metadata (DMD)

Attribute Name	Data Type	Condition	Description and Rule
InstrumentDMD:			
primaryInstrumentScheme	string (8)	Mandatory (KEY)	This attribute contains the primary used "**Instrument Scheme**". **Rule:** Only the following "Instrument Scheme" are allowed: - "**I-**", "**CH**", "**DE**", "**FR**", "**R1**", "**R2**", "**R3**", "**OTC**", "**ETD-I-**" and "**ETD-CH**"
primaryInstrumentID	string (51)	Mandatory (KEY)	This attribute contains the primary used "Instrument Identifier" related to the chosen primary used "Instrument Scheme". In the case the "Primary Instrument Scheme" is filled with "**OTC**", the following formatting rules apply. • Concatenated String: OTC ISIN, Bank Internal Identifier and UPI (Unique Product Identifier) • Attribute separator: "-" The following three examples are possible scenarios for filling this flied. The separator has always to be provided even if one of the attributes is missing/ empty. • Example 1 (Bank Internal Identifier): Value: **-123456-** • Example 2 (OTC ISIN and UPI): Value: **CH0012345678--123456789** • Example 3 (OTC ISIN and Bank Internal Identifier): Value: **CH0012345678-123456-** In the case the "Primary Instrument Scheme" is filled with "**ETD-CH**", the "Instrument Identifier" has to be enriched with the attribute separator "-" and the attribute "**Contract Side Type**". • Example 1 (CH and contract side long): Value: **94647315-1** • Example 2 (CH and contract side short): Value: **94647315-2**
primaryManufacturerScheme	string (8)	Mandatory (KEY)	This attribute contains the primary used "**Institution Scheme**" for the "Manufacturer". **Rule:** Only the following "Institution Scheme" are allowed: - "**BIC**", "**CIF**", "**CVR**", "**GK**", "**LEI**", "**RCS**", "**UIC**", "**UKCN**" and "**VP**"
primaryManufacturerID	string (32)	Mandatory (KEY)	This attribute contains the primary used "Institution Identifiers" for the "Manufacturer" related to the chosen primary used "Institution Scheme".
primaryTechnicalAgentScheme	string (8)	Mandatory (KEY)	This attribute contains the primary used "**Institution Scheme**" for the "Technical Agent". **Rule:** Only the following "Institution Scheme" are allowed: - "**GK**" and "**LEI**"
primaryTechnicalAgentID	string (32)	Mandatory (KEY)	This attribute contains the primary used "Institution Identifiers" for the "Technical Agent" related to the chosen primary used "Institution Scheme".
creationTs	dateTime	Mandatory	SIX RegHub produced attribute: This attribute provides the information when the data record was initially created.
creationUserID	string (32)	Mandatory	SIX RegHub produced attribute: This attribute contains the Identifier of the SIX RegHub User who initially created the data record.
supplierLastUpdateTs	dateTime	Mandatory	This attribute provides the information when the "Instrument" required an update and is provided by the manufacturer.
updateTs	dateTime	Mandatory	SIX RegHub produced attribute: This attribute provides the information when the data record was last updated. In case of creating a data record, this attribute has

			to be filled with the same value as “creationTs”.
updateUserID	string (32)	Mandatory	SIX RegHub produced attribute: This attribute contains the Identifier of the SIX RegHub User who last updated of the data record. In case of creating a data record, this attribute has to be filled with the same value as “creationUserID”.
contractSideType	int	Optional	The attribute “**Contract Side Type**” describes the type of the contract.
eTDProductType	int	Optional	The attribute “**ETD Product Type**” describes the type of the ETD.
instrumentClassificationCFI	string (8)	Optional	This attribute contains the classifications value of CFI. It defines and describes codes for an internationally valid system to classify financial instruments (CFI: **ISO 10962**).
instrumentName	string (255)	Optional	This attribute contains the “Instrument Name”.
mainManufacturerIDs	map, 0-n (string (8), string (32))	Optional	A map of “**Institution Scheme**” and “Institution Identifiers” for the “Main Manufacturer”.
mainManufacturerName	string (128)	Optional	Name of the “Main Manufacturer” of the instrument (If possible VDF institution long name).
manufacturerName	string (128)	Optional	Name of the “Manufacturer” of the instrument (If possible VDF institution long name).
otherInstrumentIDs	map, 0-n (string (8), string (51))	Optional	A map of Other “**Instrument Scheme**” and “Instrument Identifiers”.
otherManufacturerIDs	map, 0-n (string (8), string (32))	Optional	A map of “**Institution Scheme**” and “Institution Identifiers” for all the “Other Manufacturer Identifiers”.
otherTechnicalAgentIDs	map, 0-n (string (8), string (32))	Optional	A map of “**Institution Scheme**” and “Institution Identifiers” for all the “Other Technical Agent Identifiers”.
technicalAgentName	string (128)	Optional	Name of the “Technical Agent” of the instrument (If possible VDF institution long name).
DistributableObjectDMD:			
creationTs	dateTime	Mandatory	SIX RegHub produced attribute: This attribute provides the information when the data record was initially created.
creationUserID	string (32)	Mandatory	SIX RegHub produced attribute: This attribute contains the Identifier of the SIX RegHub User who initially created the data record.
supplierLastUpdateTs	dateTime	Mandatory	This attribute provides the information when the “Instrument” required an update and is provided by the manufacturer.
updateTs	dateTime	Mandatory	SIX RegHub produced attribute: This attribute provides the information when the data record was last updated. In case of creating a data record, this attribute has to be filled with the same value as “creationTs”.
updateUserID	string (32)	Mandatory	SIX RegHub produced attribute: This attribute contains the Identifier of the SIX RegHub User who last updated of the data record. In case of creating a data record, this attribute has to be filled with the same value as “creationUserID”.
distributions	array, 0-n (string (5))	See Rule	Possibility to define which Distributor(s) should be able to receive a document. For example, define that a document for a certain instrument (e.g. a private placement or an OTC instrument) should only be sent to a Distributor. This distribution limitation can be achieved via this attribute. If no information is provided the document will be distributed to all SIX RegHub members (via the public channel). **The manufacturer can choose from various options:** • One or more members of the SIX RegHub direct, over their published “RegHub Member Identifier” (five-digit number, e.g. “12345”). The list of all available Distributors and their identifiers will be published in the SIX RegHub GUI or API. • One or more predefined channels of the supplier by using the appropriate channel identifiers (Letter “C” and four-digit number, e.g. “C0002”). Each supplier can define his own channels via the SIX RegHub GUI. • Or a combination of one or more client and channel identifiers.

			Rule: If “distributions” is empty then → **The data will be available over the “public channel”** Else → **Transmitted value(s) is(are) used**
publicationClassificationType	int	See Rule	The attribute “**Publication Classification Type**” describes the intended accessibility of a document on the Distributor side (SIX RegHub members). Inform the Distributor if he can/ should make the document of a certain instrument publicly available (e.g. on his website in a public area where no password is needed). This approval is only for displaying the document and the needed metadata (for more details see the SIX RegHub API for Distributors, Summary of Document metadata). **Rule:** If “publicationClassificationType” is empty then → **Default value “1” (public) is used** Else → **Transmitted value is used** Please be aware, that SIX is not in a position, to verify this. Adherence to this rule will be included in the contracts. This information will be forwarded to the Distributors via SIX RegHub API (Summary of Document metadata).
DocumentMetadata:			
documentID	string (64)	Mandatory (KEY)	SIX RegHub produced attribute: Delivers the unique “Document Identifier” (SIX RegHub wide) which is needed for downloading the document.
documentType	int	Mandatory (KEY)	The attribute “**Document Type**” describes the business type of a document.
language	string (2)	Mandatory (KEY)	Describes the language of the document. The values have to be according to **ISO 639-1 (two letter code)**.
regionType	int	See Rule	The attribute “**Region Type**” describes the region for which the Document metadata is valid. **Rule:** The attribute “regionType” or “specificJurisdictions” is **Mandatory (KEY)**. **Rule:** If “specificJurisdictions” contains data → **The attribute “specificJurisdictions” has the higher priority as the attribute “regionType”** Else → **The attribute “regionType” has the higher priority**
specificJurisdictions	array, 0-n (string (2))	See Rule	This attribute contains an array of specific jurisdictions in which the Document metadata is valid. The values have to be according to **ISO 3166-1 (two letter code).** **Rule:** The attribute “regionType” or “specificJurisdictions” is **Mandatory (KEY)**. **Rule:** If “specificJurisdictions” contains data → **The attribute “specificJurisdictions” has the higher priority as the attribute “regionType”** Else → **The attribute “regionType” has the higher priority**
generationMethodType	int	Mandatory	The attribute “**Generation Method Type**” describes the method of the document generation (on the fly or produced in advance).
isAvailable	boolean	Mandatory	SIX RegHub produced attribute: Describe if a document is available at the current time: • 0 = not available • 1 = available Not available means that the document was recalled/ deleted and can no longer be requested. Archived copies of earlier requested documents can still be loaded from the archive.
mimeType	int	Mandatory	The attribute “**MIME Type**” describes the type of the document. In the first stage only for PDF (application/pdf) documents are supported.
supplierDocumentID	string (32)	See Rule	Unique identification of the document from the view of the supplier. The standard case will be, that a supplier will provide an URL for downloading a document. For the case that a supplier will

			provide a complex service call, the SIX RegHub needs the specific key for downloading the document. This attribute stores this key. **Rule:** The attribute “url” or “supplierDocumentID” is **Mandatory**.
url	string (2000)	See Rule	Describes the URL from where the document could be retrieved from. **Rule:** The attribute “url” or “supplierDocumentID” is **Mandatory**.
checksum	string (32)	See Rule	Supplier generated checksum of the pre-generated document. The checksum is generated with the MD5. The result is a 32 - digit hexadecimal number. **Rule:** If “generationMethodType” equals “3” then → **Needed** Else → **Optional**
fileSize	int	See Rule	Size of the document in bytes. **Rule:** If “generationMethodType” equals “3” then → **Needed** Else → **Optional**
lastGenerationTs	dateTime	See Rule	Timestamp of the last generation of the pre-generated document. **Rule:** If “generationMethodType” equals “3” then → **Needed** Else → **Optional**
mopSupplements	array, 0-n (string (32))	See Rule	ISINs of supplement Instruments within a “Multi Option Product” (MOP). **Rule:** If “documentType” equals “8” then → **Needed** Else → **Optional**
sourcingStrategyType	int	See Rule	The attribute “**Sourcing Strategy Type**” indicates how the data for this record was sourced by the party who delivered this data into the SIX Regulatory Hub. **Rule:** If “sourcingStrategyType” is empty then → **Default value “99” (Sourcing strategy not defined) is used** Else → **Transmitted value is used**
publicationDate	date	Optional	Date when the document was published (mainly relevant for document types like UCITS).
supplierText1	string (255)	Optional	Additional supplier specific text number 1.
supplierText2	string (255)	Optional	Additional supplier specific text number 2.
supplierText3	string (255)	Optional	Additional supplier specific text number 3.
supplierText4	string (255)	Optional	Additional supplier specific text number 4.
supplierText5	string (255)	Optional	Additional supplier specific text number 5.

Table 6: Document metadata (DMD) attributes

2.5. Business Object: Content data (CD)

2.5.1. Overview Content data (CD)

The business object model and the listed attributes below provide an overview of the Content data (CD). The explicit representation in the file format or in the services format is shown in a later chapter.

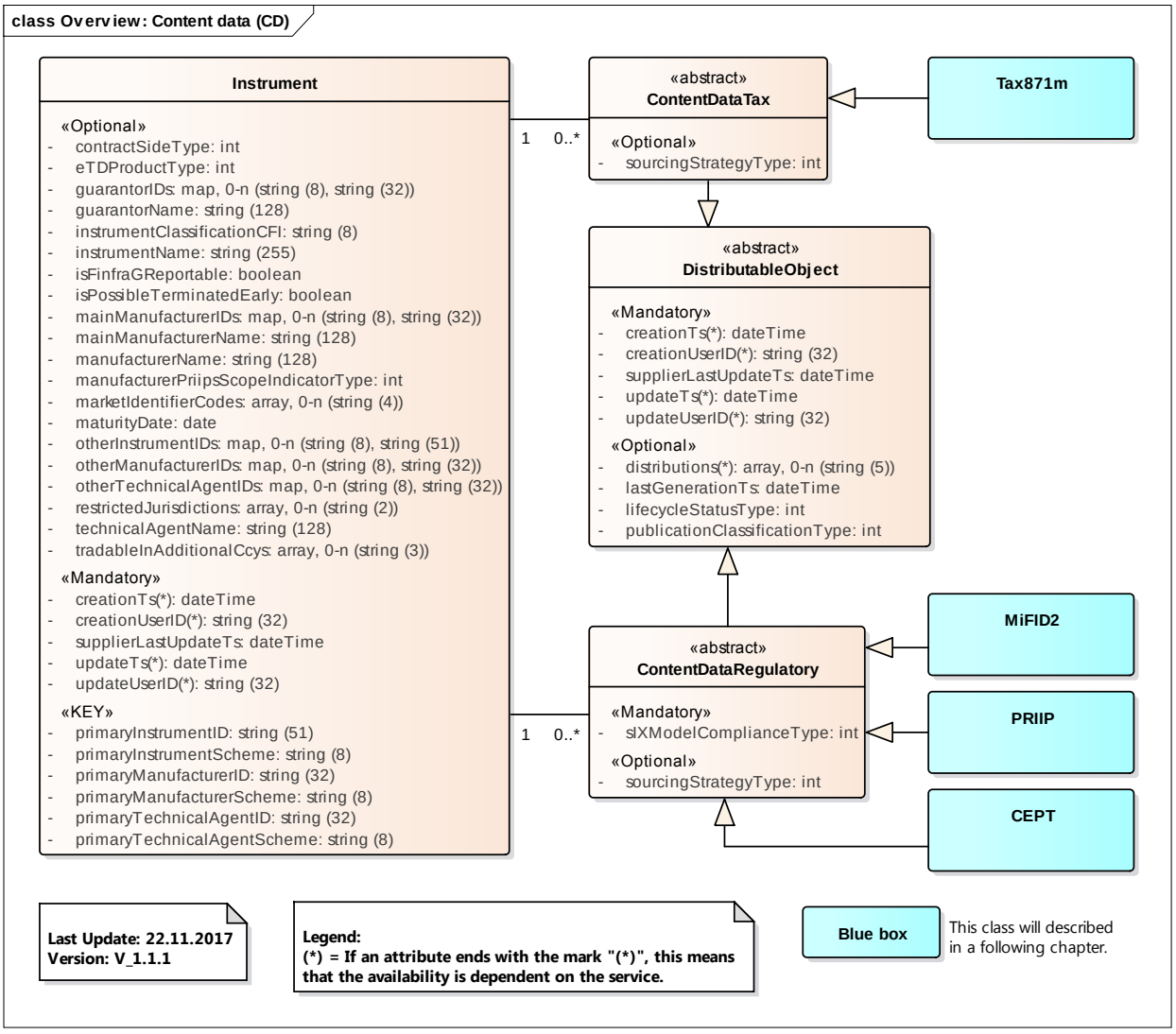

Figure 4: Overview: Content data (CD) and main classes

Description of the classes:

- **Instrument:** This class is required to store all basic information of a financial instrument. This includes instrument or market identification codes, Manufacturer information, maturity details and possibly the CFI code.
- **DistributableObject:** This class provides all the needed information to provide the CD to the defined Distributors. It also provides information which Manufacturer issued the instrument and all the other relevant administrative data.
- **ContentDataRegulatory:** This abstract class is a container for all the regulatory relevant Content data. Currently the class provide only one attribute which describes the sourcing strategy from the Technical Agent.
- **ContentDataTax:** This abstract class is a container for all the tax relevant Content data. Currently the class provide only one attribute which describes the sourcing strategy from the Technical Agent.

Attribute Name	Data Type	Condition	Description and Rule
Instrument:			
primaryInstrumentScheme	string (8)	Mandatory (KEY)	This attribute contains the primary used "**Instrument Scheme**". **Rule:** Only the following "Instrument Scheme" are allowed: - "**I-**", "**CH**", "**DE**", "**FR**", "**R1**", "**R2**", "**R3**", "**OTC**", "**ETD-I-**" and "**ETD-CH**"
primaryInstrumentID	string (51)	Mandatory (KEY)	This attribute contains the primary used "Instrument Identifier" related to the chosen primary used "Instrument Scheme". In the case the "Primary Instrument Scheme" is filled with "**OTC**", the following formatting rules apply. • Concatenated String: OTC ISIN, Bank Internal Identifier and UPI (Unique Product Identifier) • Attribute separator: "-" The following three examples are possible scenarios for filling this flied. The separator has always to be provided even if one of the attributes is missing/ empty. • Example 1 (Bank Internal Identifier): Value: **-123456-** • Example 2 (OTC ISIN and UPI): Value: **CH0012345678--123456789** • Example 3 (OTC ISIN and Bank Internal Identifier): Value: **CH0012345678-123456-** In the case the "Primary Instrument Scheme" is filled with "**ETD-CH**", the "Instrument Identifier" has to be enriched with the attribute separator "-" and the attribute "**Contract Side Type**". • Example 1 (CH and contract side long): Value: **94647315-1** • Example 2 (CH and contract side short): Value: **94647315-2**
primaryManufacturerScheme	string (8)	Mandatory (KEY)	This attribute contains the primary used "**Institution Scheme**" for the "Manufacturer". **Rule:** Only the following "Institution Scheme" are allowed: - "**BIC**", "**CIF**", "**CVR**", "**GK**", "**LEI**", "**RCS**", "**UIC**", "**UKCN**" and "**VP**"
primaryManufacturerID	string (32)	Mandatory (KEY)	This attribute contains the primary used "Institution Identifiers" for the "Manufacturer" related to the chosen primary used "Institution Scheme".
primaryTechnicalAgentScheme	string (8)	Mandatory (KEY)	This attribute contains the primary used "**Institution Scheme**" for the "Technical Agent". **Rule:** Only the following "Institution Scheme" are allowed: - "**GK**" and "**LEI**"
primaryTechnicalAgentID	string (32)	Mandatory (KEY)	This attribute contains the primary used "Institution Identifiers" for the "Technical Agent" related to the chosen primary used "Institution Scheme".
creationTs	dateTime	Mandatory	SIX RegHub produced attribute: This attribute provides the information when the data record was initially created.
creationUserID	string (32)	Mandatory	SIX RegHub produced attribute: This attribute contains the Identifier of the SIX RegHub User who initially created the data record.
supplierLastUpdateTs	dateTime	Mandatory	This attribute provides the information when the "Instrument" required an update and is provided by the manufacturer.
updateTs	dateTime	Mandatory	SIX RegHub produced attribute: This attribute provides the information when the data record was last updated. In case of creating a data record, this attribute has to be filled with the same value as "creationTs".

updateUserID	string (32)	Mandatory	SIX RegHub produced attribute: This attribute contains the Identifier of the SIX RegHub User who last updated of the data record. In case of creating a data record, this attribute has to be filled with the same value as "creationUserID".
manufacturerLEI	string (20)	Optional	Legal Entity Identifier, LEI of the issuer of the financial instrument
manufacturerEmail	string (254)	Optional	Contact entry point for communication with the manufacturer to either provide feedback reporting or to retrieve details on how to provide feedback reporting
productGovernanceProcess	int	Optional	The attribute "Manufacturer Product Governance Process" defines the product governance process
contractSideType	int	Optional	The attribute "**Contract Side Type**" describes the type of the contract.
eTDProductType	int	Optional	The attribute "**ETD Product Type**" describes the type of the ETD.
guarantorIDs	map, 0-n (string (8), string (32))	Optional	A map of "**Institution Scheme**" and "Institution Identifiers" for the "Guarantor".
guarantorName	string (128)	Optional	Name of the "Guarantor" of the instrument (If possible VDF institution long name).
instrumentClassificationCFI	string (8)	Optional	This attribute contains the classifications value of CFI. It defines and describes codes for an internationally valid system to classify financial instruments (CFI: **ISO 10962**).
instrumentName	string (255)	Optional	This attribute contains the "Instrument Name".
isFinfraGReportable	boolean	Optional	The "FinfraG reportable" flag indicates whether according to the issuer the product is reportable under the Financial Market Infrastructure Act. Derivative products that have at least one underlying FinfraG reportable security with a weighting of more than 25% are relevant for reporting.
isPossibleTerminatedEarly	boolean	Optional	Indication of instrument may be terminated early. This can be used for structured products. Please be aware that all content data share this information (e.g. PRIIP and MiFID 2 uses this attribute together as source for the attribute "isPossibleTerminatedEarly").
mainManufacturerIDs	map, 0-n (string (8), string (32))	Optional	A map of "**Institution Scheme**" and "Institution Identifiers" for the "Main Manufacturer".
mainManufacturerName	string (128)	Optional	Name of the "Main Manufacturer" of the instrument (If possible VDF institution long name).
manufacturerName	string (128)	Optional	Name of the Manufacturer of the instrument (If possible VDF institution long name).
manufacturerPriipsScopeIndicatorType	int	Optional	The attribute "**Manufacturer PRIIPs Scope Indicator Type**" defines the opinion of manufacturer weather the instrument is affected by the PRIIP Regulation.
marketIdentifierCodes	array, 0-n (string (4))	Optional	An array of "Market Identifier Codes" **(ISO 10383)**.
maturityDate	date	Optional	"Maturity Date" of the Instrument. This is a general instrument information. Please be aware that all Content Data share this information (e.g. PRIIP and MiFID 2 uses this attribute together as source for the attribute "maturityDate").
otherInstrumentIDs	map, 0-n (string (8), string (51))	Optional	A map of Other "**Instrument Scheme**" and "Instrument Identifiers".
otherManufacturerIDs	map, 0-n (string (8), string (32))	Optional	A map of "Institution Scheme" and "**Institution Scheme**" and "Institution Identifiers" for all the "Other Manufacturer Identifiers".
otherTechnicalAgentIDs	map, 0-n (string (8), string (32))	Optional	A map of "**Institution Scheme**" and "Institution Identifiers" for all the "Other Technical Agent Identifiers".
restrictedJurisdictions	array, 0-n (string (2))	Optional	This attribute contains a list of "Restricted Jurisdictions" in which the instrument is restricted. The values have to be according to **ISO 3166-1 (two letter code)**.
technicalAgentName	string (128)	Optional	Name of the "Technical Agent" of the instrument (If possible VDF institution long name).
tradableInAdditionalCcys	array, 0-n (string (3))	Optional	An array of Currency code (**ISO 4217**) can be defined in case where a share class or sub-fund is established and can be traded in different currencies.
DistributableObject:			
creationTs	dateTime	Mandatory	SIX RegHub produced attribute: This attribute provides the information when the data record was

			initially created.
creationUserID	string (32)	Mandatory	SIX RegHub produced attribute: This attribute contains the Identifier of the SIX RegHub User who initially created the data record.
supplierLastUpdateTs	dateTime	Mandatory	This attribute provides the information when the “Instrument” required an update and is provided by the manufacturer.
updateTs	dateTime	Mandatory	SIX RegHub produced attribute: This attribute provides the information when the data record was last updated. In case of creating a data record, this attribute has to be filled with the same value as “creationTs”.
updateUserID	string (32)	Mandatory	SIX RegHub produced attribute: This attribute contains the Identifier of the SIX RegHub User who last updated of the data record. In case of creating a data record, this attribute has to be filled with the same value as “creationUserID”.
distributions	array, 0-n (string (5))	See Rule	Possibility to define which Distributor(s) should be able to receive a document. For example, define that a document for a certain instrument (e.g. a private placement or an OTC instrument) should only be sent to a Distributor. This distribution limitation can be achieved via this attribute. If no information is provided the document will be distributed to all SIX RegHub members (via the public channel). **The manufacturer can choose from various options:** • One or more members of the SIX RegHub direct, over their published “RegHub Member Identifier” (five-digit number, e.g. “12345”). The list of all available Distributors and their identifiers will be published in the SIX RegHub GUI or API. • One or more predefined channels of the supplier by using the appropriate channel identifiers (Letter “C” and four-digit number, e.g. “C0002”). Each supplier can define his own channels via the SIX RegHub GUI. • Or a combination of one or more client and channel identifiers. **Rule:** If “distributions” is empty then → **The data will be available over the “public channel”** Else → **Transmitted value(s) is(are) used**
lastGenerationTs	dateTime	Optional	Timestamp of the business actuality regarding the data record.
lifecycleStatusType	int	Optional	The attribute “**Lifecycle Status Type**” describes the “Lifecycle Status” of a data record. **Rule:** If “lifecycleStatusType” is empty then → **Default value “2” (Active) is used** Else → **Transmitted value is used**
publicationClassificationType	int	See Rule	The attribute “**Publication Classification Type**” describes the intended accessibility of a document on the Distributor side (SIX RegHub members). Inform the Distributor if he can/ should make the document of a certain instrument publicly available (e.g. on his website in a public area where no password is needed). This approval is only for displaying the document and the needed metadata (for more details see the SIX RegHub API for Distributors, Summary of Document metadata). **Rule:** If “publicationClassificationType” is empty then → **Default value “1” (public) is used** Else → **Transmitted value is used** Please be aware, that SIX is not in a position, to verify this. Adherence to this rule will be included in the contracts. This information will be forwarded to the Distributors via SIX RegHub API (Summary of Document metadata).
ContentDataRegulatory:			
sIXModelComplianceType	int	Mandatory	SIX RegHub produced attribute: The attribute “**SIX Model Compliance Type**” contains the information, whether the provided data fulfil the SIX data model

			requirements.
sourcingStrategyType	int	See Rule	The attribute "**Sourcing Strategy Type**" indicates how the data for this record was sourced by the party who delivered this data into the SIX Regulatory Hub. **Rule:** If "sourcingStrategyType" is empty then → **Default value "99" (Sourcing strategy not defined) is used** Else → **Transmitted value is used**
ContentDataTax:			
sourcingStrategyType	int	See Rule	The attribute "**Sourcing Strategy Type**" indicates how the data for this record was sourced by the party who delivered this data into the SIX Regulatory Hub. **Rule:** If "sourcingStrategyType" is empty then → **Default value "99" (Sourcing strategy not defined) is used** Else → **Transmitted value is used**

Table 7: Overview: Content data (CD) and main classes

2.5.2. Business Object: MiFID 2 (part of CD)

The business object model and the listed attributes below provide an overview of MiFID 2 (part of CD). The explicit representation in the file format or in the services format is shown in a later chapter.

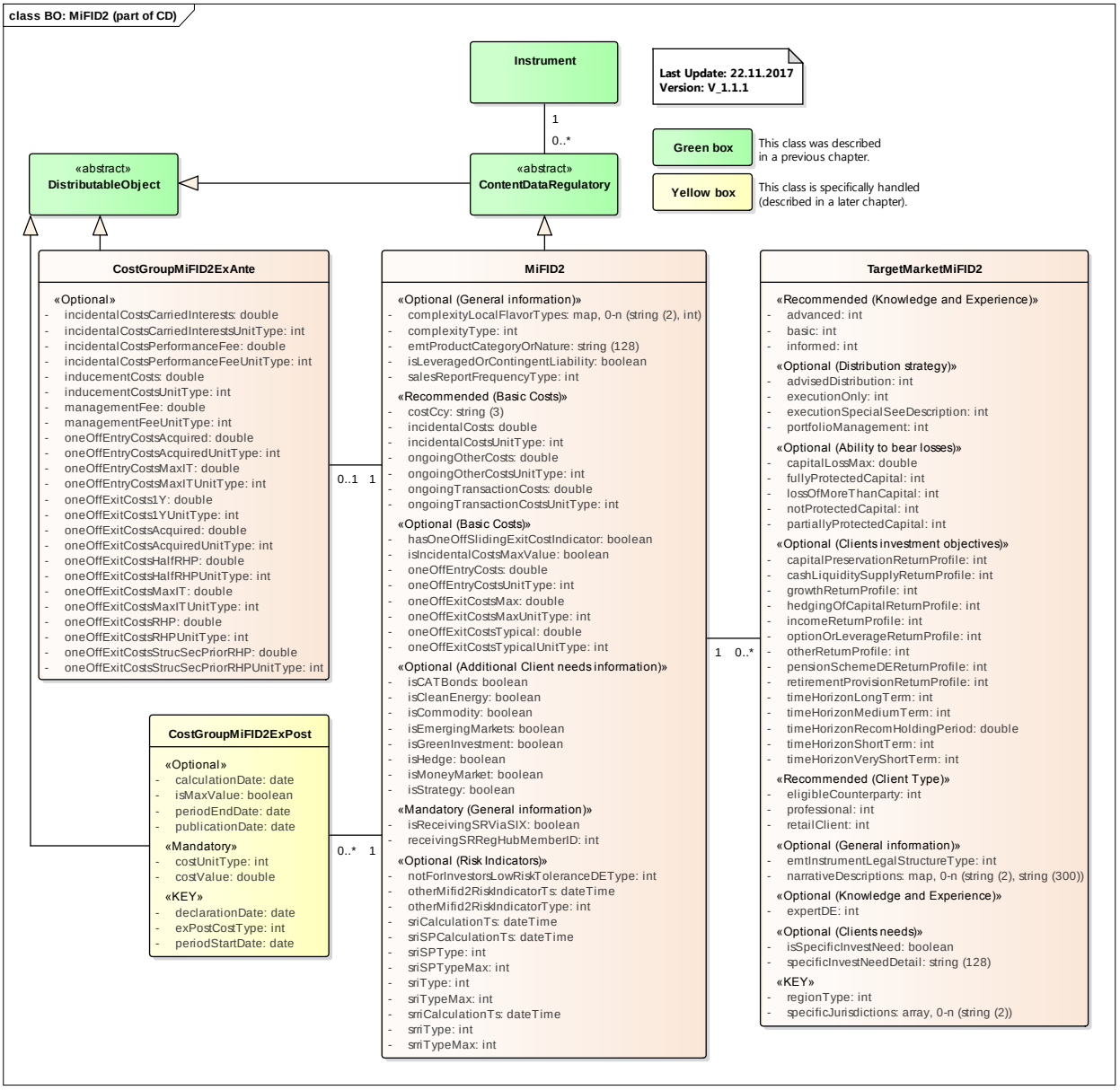

Figure 5: Business Object: MiFID 2 (part of CD)

Description of the classes:

- **MiFID2:** This data class contains MiFID 2 related information required to be answered by business entities involved in the distribution and trading of financial instruments in the EU. A closer look will reveal the availability of data attributes regarding additional client investment needs, general information, risk indicators like SRI or SRRI and financial instrument related cost details.
- **TargetMarketMiFID2:** Under MiFID 2, the target market for end clients must be identified for each financial instrument. Manufacturers must ensure that all risks relevant to the identified target market are assessed and the distribution strategy must be consistent with the target market identified.
- **CostGroupMiFID2ExAnte:** This cost group is based on a moderate performance scenario, using the same holding periods as defined in the performance scenarios, namely 1 year, half RHP and

RHP. This cost group includes one-off, recurring and incidental costs, performance, inducement, and management fees.

- **CostGroupMiFID2ExPost:** It is important to note that ex-ante cost figures are based on the past and thus may change in the future. Therefore, the CostGroupMiFID2ExPost provides information on cost attributes which have been already finalized. The ex-post cost reflection is only available for MiFID 2 relevant data attributes. This class contains the full last 36 months of ex post costs.

Attribute Name	Data Type	Condition	Description and Rule
MiFID2:			
Group: Additional Client Needs information (Optional)			
isCATBonds	boolean	Optional	Product fulfils characteristics of a Catastrophe Bond.
isCleanEnergy	boolean	Optional	Product fulfils characteristics of Clean Energy Market.
isCommodity	boolean	Optional	Product fulfils characteristics of Commodity Market.
isEmergingMarkets	boolean	Optional	Product fulfils characteristics of Emerging Market.
isGreenInvestment	boolean	Optional	Product fulfils characteristics of Green Investment.
isHedge	boolean	Optional	Product fulfils characteristics of a Hedge Fund.
isMoneyMarket	boolean	Optional	Product fulfils characteristics of Money Market.
isStrategy	boolean	Optional	Product fulfils characteristics of a Strategy Fund.
Group: General information (Mandatory)			
isReceivingSRViaSIX	boolean	Mandatory	This attribute defines if there is a designated “MiFID 2 Sales Report” receiver for this instrument.
recordInputFormatVersion	string (32)	Recommended	Used version of the EMT: V1 (3rd August 2017), V2 for version 2 …Vn for version n
inputFileGenerationDate	dateTime	Recommended	Date and time of the creation of the EMT file
receivingSRRegHubMemberID	int	See Rule	This attribute defines the receiving SIX RegHub member (five-digit number, e.g. “12345”) for the “MiFID 2 Sales Report” for this instrument. The receiver is identified by using the “RegHub Member Identifier”. The available SIX RegHub Members and their corresponding IDs can be retrieved via the SIX RegHub GUI or API. **Rule:** If “isReceivingSRViaSIX” equals “true” then → **Mandatory** Else → **Optional**
Group: General information (Optional)			
complexityLocalFlavorTypes	map, 0-n (string (2), int)	Optional	A map of “Jurisdictions”, the values have to be according to **ISO 3166-1 (two letter code)**, and “**Complexity Local Flavor Type**”. This attribute is filled the case if the complexity view within a specific “Jurisdiction” does not match with the general defined value in the attribute "Complexity Type".
complexityType	int	Optional	The attribute “**Complexity Type**” describes the complexity classification of the instrument.
emtProductCategoryOrNature	string (128)	Optional	Designation of the respective product category or nature as defined in the European MiFID Template (EMT). Free of copyright (CIC or German categorization). The manufacturer makes a sufficiently granular classification of the product.
isLeveragedOrContingentLiability	boolean	Optional	To enable reporting on the depreciation of leveraged financial instruments or contingent liability transactions in accordance with Art. 62 of the MiFID 2.
structuredSecuritiesProductCategoryOrNature	string (128)	Optional	Designation of the respective product category or nature. EUSIPA Map/Codes for structured securities (https://eusipa.org/governance/#EusipaDMap)
structuredSecuritiesQuotation	int	Optional	“Structured Securities Quotation” defines if the quotation type in the ex-ante and ex-post section of the EMT file is in UNITS or in PERCENTAGE related to the specific reference value as presented in field 07150 (structured securities reference value ex-ante) and 08110 (structured securities reference value ex-post) respectively

salesReportFrequencyType	int	Optional	"**Sales Report Frequency Type**" defines the expected reporting frequency to provide Sales Reports for this instrument.
Group: Risk Indicators (Optional)			
otherMifid2RiskIndicatorTs	dateTime	Optional	Timestamp of generation of the "Other MIFID II Risk Indicator Type".
otherMifid2RiskIndicatorType	int	Optional	Other Risk Indicator (for non-UCITS and non-PRIIP instruments) which is MiFID II compliant ("**Other MiFID 2 Risk Indicator Type**"). To simplify to Low/ Medium/ High, we reduce the typical value range (1-7) to 2, 4 and 6.
notForInvestorsLowRiskToleranceDEType	int	Optional	This attribute ("**General Boolean Type**") is especially for the German market. Defines if the product shall not be sold to investors with the lowest risk tolerance. In case this field is set to "Yes", it means that the product shall not be used for investors with the lowest risk tolerance.
sriSPCalculationTs	dateTime	Optional	Timestamp of generation of the "Spanish Summary Risk Indicator (SRI) Type".
sriSPType	int	Optional	"**Spanish Summary Risk Indicator (SRI) Type**" measures the aggregated risk of a product as defined as the combination of market risk and credit risk. Only for Spanish local NON PRIIPS and NON UCITS.
sriSPTypeMax	int	Optional	"**Spanish Summary Risk Indicator (SRI) Type** (Maximum)" measures the maximum aggregated risk of a product as defined as the combination of market risk and credit risk. In regards of "Multi Option Products (MOP)" this value defines the upper end of the "Multi Option Product SRI Range".
sriCalculationTs	dateTime	Optional	Timestamp of generation of the "Summary Risk Indicator (SRI) Type".
sriType	int	Optional	"**Summary Risk Indicator (SRI) Type**" measures the aggregated risk of a product as defined as the combination of market risk and credit risk.
sriTypeMax	int	Optional	"**Summary Risk Indicator (SRI) Type** Maximum" measures the maximum aggregated risk of a product as defined as the combination of market risk and credit risk. In regards of "Multi Option Products (MOP)" this value defines the upper end of the "Multi Option Product SRI Range".
srriCalculationTs	dateTime	Optional	Timestamp of generation of the "Synthetic Risk and Reward Indicator (SRRI)".
srriType	int	Optional	"**Synthetic Risk and Reward Indicator (SRRI) Type**" measures the aggregated risk of a product as defined in the UCITS regulation.
srriTypeMax	int	Optional	"**Synthetic Risk and Reward Indicator (SRRI) Type** (Maximum)" measures the maximum aggregated risk of a product as defined as the as defined in the UCITS regulation. In regards of "Multi Option Products (MOP)" this value defines the upper end of the "Multi Option Product SRRI Range".
Group: Basic Costs (Recommended)			
hasPerformanceFee	boolean	Recommended (MiFID2)	"Performance Fee" indicates whether a product has a performance fee feature
hasDistributionOfCash	boolean	Recommended (MiFID2)	"Distribution of Cash" indicates whether a product has a distribution feature
costCcy	string (3)	Recommended (MiFID2)	Currency code related to provided costs (High level / Ex-Ante / Ex-Post) (**ISO 4217**),
incidentalCosts	double	Recommended (MiFID2)	This figure includes all recurring and incidental costs. Mainly performance fees and carried interest expenses. Also, direct & indirect transaction costs and if relevant exit penalties.
incidentalCostsUnitType	int	Recommended (MiFID2)	This attribute defines the used "**Unit Type**" to the associated cost attribute.
ongoingOtherCosts	double	Recommended (MiFID2)	All on-going costs and charges related to the management of the financial product that are deducted from the value of the financial instrument during the investment in the financial instrument.
ongoingOtherCostsUnitType	int	Recommended (MiFID2)	This attribute defines the used "**Unit Type**" to the associated cost attribute.
ongoingTransactionCosts	double	Recommended (MiFID2)	All costs and charges that are incurred as a result of the acquisition and disposal of investments for the product.
ongoingTransactionCostsU	int	Recommend	This attribute defines the used "**Unit Type**" to the associated cost

nitType		ed (MiFID2)	attribute.
Group: Basic Costs (Optional)			
hasOneOffSlidingExitCostIndicator	boolean	Optional	A type of cost that may change according to one or several specific associated factors.
isIncidentalCostsMaxValue	boolean	Optional	Indicates if the incidental costs value (Ex-ante) is “real” value or maximum value.
oneOffEntryCosts	double	Optional	The impact of the cost paid when entering an investment or the impact of the cost already included in the price.
oneOffEntryCostsUnitType	int	Optional	This attribute defines the used “**Unit Type**” to the associated cost attribute.
oneOffExitCostsMax	double	Optional	Maximum amount of costs and charges (included in the price or in addition to the price of the financial instrument) paid to product suppliers when exiting the investment upon maturity.
oneOffExitCostsMaxUnitType	int	Optional	This attribute defines the used “**Unit Type**” to the associated cost attribute.
oneOffExitCostsTypical	double	Optional	All costs and charges (included in the price or in addition to the price of the financial instrument) paid to product suppliers at the beginning or at the end of the investment in the financial instrument.
oneOffExitCostsTypicalUnitType	int	Optional	This attribute defines the used “**Unit Type**” to the associated cost attribute.
TargetMarketMiFID2:			
Group: General Information (Mandatory)			
regionType	int	See Rule	The attribute “**Region Type**” describes the region for which the instrument data is valid. **Rule:** The attribute “regionType” or “specificJurisdictions” is **Mandatory (KEY)**. **Rule:** If “specificJurisdictions” contains data → **The attribute “specificJurisdictions” has the higher priority as the attribute “regionType”** Else → **The attribute “regionType” has the higher priority**
specificJurisdictions	array, 0-n (string (2))	See Rule	This attribute contains an array of specific jurisdictions in which the instrument data is valid. The values have to be according to **ISO 3166-1 (two letter code).** **Rule:** The attribute “regionType” or “specificJurisdictions” is **Mandatory (KEY)**. **Rule:** If “specificJurisdictions” contains data → **The attribute “specificJurisdictions” has the higher priority as the attribute “regionType”** Else → **The attribute “regionType” has the higher priority**
Group: General Information (Optional)			
emtInstrumentLegalStructureType	int	Optional	The attribute “**EMT Instrument Legal Structure Type**” defines the instrument legal structure as defined in the European MiFID Template (EMT).
narrativeDescriptions	map, 0-n (string (2), string (300))	Optional	Narrative description of the target market. In case of problems providing the full set of target market attributes, this attribute can be used for further description.
Group: Ability to bear losses (Optional)			
capitalLossMax	double	Optional	Capital loss up to the defined percentage value.
fullyProtectedCapital	int	Optional	The attribute “Fully protected capital (100%), no loss” defines which target market is applicable for the criteria (“**Target Market Type**”).
lossOfMoreThanCapital	int	Optional	The attribute “Loss of more than capital (<0%), potentially additional payments required” defines which target market is applicable for the criteria (“**Target Market Type**”).
notProtectedCapital	int	Optional	The attribute “Not protected capital (0%), total loss” defines which target market is applicable for the criteria (“**Target Market Type**”).
partiallyProtectedCapital	int	Optional	The attribute “Partially protected capital (>0%, <100%), partial

			loss" defines which target market is applicable for the criteria ("**Target Market Type**").
Group: Client Type (Recommended)			
eligibleCounterparty	int	Recommended (MiFID2)	The attribute "Eligible Counterparty" defines which target market is applicable for the criteria ("**Target Market Type**").
professional	int	Recommended (MiFID2)	The attribute "Professional" defines which target market is applicable for the criteria ("**Professional Target Market Type**").
retailClient	int	Recommended (MiFID2)	The attribute "Retail Client" defines which target market is applicable for the criteria ("**Target Market Type**").
Group: Clients investment objectives (Optional)			
capitalPreservationReturnProfile	int	Optional	The attribute "Capital preservation" defines which target market is applicable for the ("**Target Market Type**").
cashLiquiditySupplyReturnProfile	int	Optional	The attribute "Cash liquidity supply" defines which target market is applicable for the criteria ("**Target Market Type**").
growthReturnProfile	int	Optional	The attribute "Growth" defines which target market is applicable for the criteria ("**Target Market Type**").
hedgingOfCapitalReturnProfile	int	Optional	The attribute "Hedging of capital" defines which target market is applicable for the criteria ("**Target Market Type**").
incomeReturnProfile	int	Optional	The attribute "Income" defines which target market is applicable for the criteria ("**Target Market Type**").
optionOrLeverageReturnProfile	int	Optional	The attribute "Option or Leverage" defines which target market is applicable for the criteria ("**Target Market Type**").
otherReturnProfile	int	Optional	The attribute "Other Return Profile" defines which target market is applicable for the criteria ("**Target Market Type**").
pensionSchemeDEReturnProfile	int	Optional	The attribute "Pension Scheme Germany" defines which target market is applicable for the criteria ("**Target Market Type**").
retirementProvisionReturnProfile	int	Optional	The attribute "Retirement provision" defines which target market is applicable for the criteria ("**Target Market Type**").
timeHorizonLongTerm	int	Optional	The attribute "Long term (>5Y, calc for products with maturity only)" defines which target market is applicable for the criteria ("**Target Market Type**").
timeHorizonMediumTerm	int	Optional	The attribute "Medium term (3Y-5Y, calc for products with maturity only)" defines which target market is applicable for the criteria ("**Target Market Type**").
timeHorizonRecomHoldingPeriod	int	Optional	The attribute "Time Horizon Recommended Holding Period (RHP)" defines the RHP in years. **Rule:** If "timeHorizonLongTerm" and "timeHorizonMediumTerm" and "timeHorizonShortTerm" and "timeHorizonVeryShortTerm" empty then → **Field fillable** Else → **Not fillable**
timeHorizonShortTerm	int	Optional	The attribute "Short term (<3Y)" defines which target market is applicable for the criteria ("**Target Market Type**").
timeHorizonVeryShortTerm	int	Optional	The attribute "Very Short term (<1Y)" defines which target market is applicable for the criteria ("**Target Market Type**").
timeHorizonHoldToMaturity	int	Optional	The attribute "Hold to Maturity" defines which target market is applicable for the criteria ("**Target Market Type**").
Group: Client's needs (Optional)			
isSpecificInvestNeed	boolean	Optional	The attribute "Specific Investment Need" defines if a special investment need applies.
specificInvestNeedDetail	string (128)	Optional	Designed to meet specific investor requirements, for example, green investments, shariah, ethical, etc.
Group: Distribution strategy (Optional)			
advisedDistribution	int	Optional	The attribute "Advised distribution" defines which distribution strategy is applicable for the criteria ("**Distribution Strategy Type**").
executionOnly	int	Optional	The attribute "Execution only" defines which target market is applicable for the criteria ("**Distribution Strategy Type**").
executionSpecialSeeDescri	int	Optional	The attribute "Execution with appropriateness test or non-advised

ption			services" defines which distribution strategy is applicable for the criteria ("**Distribution Strategy Type**").
portfolioManagement	int	Optional	The attribute "Portfolio management (discretionary)" defines which target market is applicable for the criteria ("**Distribution Strategy Type**").
Group: Knowledge and Experience (Recommended)			
advanced	int	Recommend ed (MiFID2)	The attribute "Advanced" defines which target market is applicable for the criteria ("**Target Market Type**").
basic	int	Recommend ed (MiFID2)	The attribute "Basic" defines which target market is applicable for the criteria ("**Target Market Type**").
informed	int	Recommend ed (MiFID2)	The attribute "Informed" defines which target market is applicable for the criteria ("**Target Market Type**").
Group: Knowledge and Experience (Optional)			
expertDE	int	Optional	The attribute "Expert Germany" defines which target market is applicable for the criteria ("**Target Market Type**").
CostGroupMiFID2ExAnte:			
referenceDateExAnte	dateTime	Recommend ed	The reference date to which all ex-ante cost disclosures refer (i.e. not to be mistaken for general reference date (field 00050) or Generation date and time (field 00005)
incidentalCostsCarriedInter ests	double	Optional	Carried interest costs represent the distributions to the private equity fund, when the asset manager generates an annualized return in excess of the preferred return.
incidentalCostsCarriedInter estsUnitType	Int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
incidentalCostsPerformanc eFee	double	Optional	Performance fees represent the economic benefit that accrues to the investment firm. These fees are generally only paid out when the NAV of the fund is above the level at which the performance fee was last paid.
incidentalCostsPerformanc eFeeUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
inducementCosts	double	Optional	Inducement costs are represented by commissions, fees or other cash benefits which are made to or by an investment firm in the context of the provision of investment services.
inducementCostsUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
managmentFee	double	Optional	As part of the ongoing costs, management fees include cost attributes related to the administration of the financial instrument.
managmentFeeUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
oneOffEntryCostsAcquired	double	Optional	Subscription fees charged to any subscriber when entering into an investment or portfolio mandate which are attributable directly to the fund.
oneOffEntryCostsAcquired UnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
oneOffEntryCostsMaxIT	double	Optional	The impact of the cost paid per subscription and defined by the manufacturer. Used only for the Italian market and must be adapted to the relationship between manufacturer and distributor. This cost element is not taken into account in the ordinary entry costs.
oneOffEntryCostsMaxITUni tType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
oneOffExitCosts1Y	double	Optional	The impact of costs (Ex-ante) when exiting the investment after 1 year.
oneOffExitCosts1YUnitTyp e	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
oneOffExitCostsAcquired	double	Optional	Redemption fees charged to any subscriber when entering into an investment or portfolio mandate which are attributable directly to the fund.
oneOffExitCostsAcquiredU nitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
oneOffExitCostsHalfRHP	double	Optional	The impact of costs (Ex-ante) when exiting the investment after Half RHP.
oneOffExitCostsHalfRHPUn	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost

itType			attribute.
oneOffExitCostsMaxIT	double	Optional	The impact of the cost paid per redemption and defined by the manufacturer. Used only for the Italian market and must be adapted to the relationship between manufacturer and distributor. This cost element is not taken into account in the ordinary exit costs.
oneOffExitCostsMaxITUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
oneOffExitCostsRHP	double	Optional	The impact of costs (Ex-ante) when exiting the investment after RHP.
oneOffExitCostsRHPUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
oneOffExitCostsStrucSecPriorRHP	double	Optional	The impact of all costs and charges when exiting a non-exchange traded structured product prior the end of the RHP.
oneOffExitCostsStrucSecPriorRHPUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
gearingCosts	double	Optional	Financing costs related to borrowing for the purposes of gearing expressed as a percentage of net asset value
gearingCostsUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
netOneOffEntryCosts	double	Optional	Net one-off entry cost = Gross one-off entry costs less upfront distribution fee embedded in the gross one-off entry costs. In practice net one-off entry costs will be the portion of the gross one-off entry costs retained by the manufacturer.
netOneOffEntryCostsUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
referenceValueExAnte	double	Optional	The reference value to which a unit disclosed ex-ante cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost
CostGroupMIFIDExPost:			
declarationDate	date	Mandatory (KEY)	This attribute defines the date on which the cost value was declared to be used. This may not be the same date as the actual publication date in case the publication was done on a later point of time. This date has to be used if overlapped ex-post costs have to be identified.
exPostCostType	int	Mandatory (KEY)	The attribute "**Costs Type**" defines the costs type of the Ex-post entry.
periodStartDate	date	Mandatory (KEY)	Defines the start date (Period Start) of the Ex-post entry.
costValue	double	Mandatory	The impact of cost (Ex-post) of the Ex-post entry.
costUnitType	int	Mandatory	This attribute defines the used "**Unit Type**" to the associated cost attribute.
referenceDateExPost	date	Recommended	The reference date to which all ex-post cost disclosures refer (i.e. not to be mistaken for General Reporting Date (field 00050) or Generation Date and Time (field 00055)
periodEndDate	date	Optional	Defines the end date (Period End) of the Ex-post entry.
calculationDate	date	Optional	Date on which the cost value was calculated.
isMaxValue	boolean	Optional	Indication if the "Cost value" is a real value or a maximum value. **Rule:** If "exPostCostType" equals "1" then → **Field fillable** Else → **Not fillable**
publicationDate	date	Optional	Date on which the cost value was publicized.
referenceValueExPost	double	Optional	The reference value to which a unit disclosed ex-post is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.

Table 8: Business Object: MiFID 2 (part of CD)

2.5.3. Business Object: PRIIP (part of CD)

The business object model and the listed attributes below provide an overview of PRIIP (part of CD). The explicit representation in the file format or in the services format is shown in a later chapter.

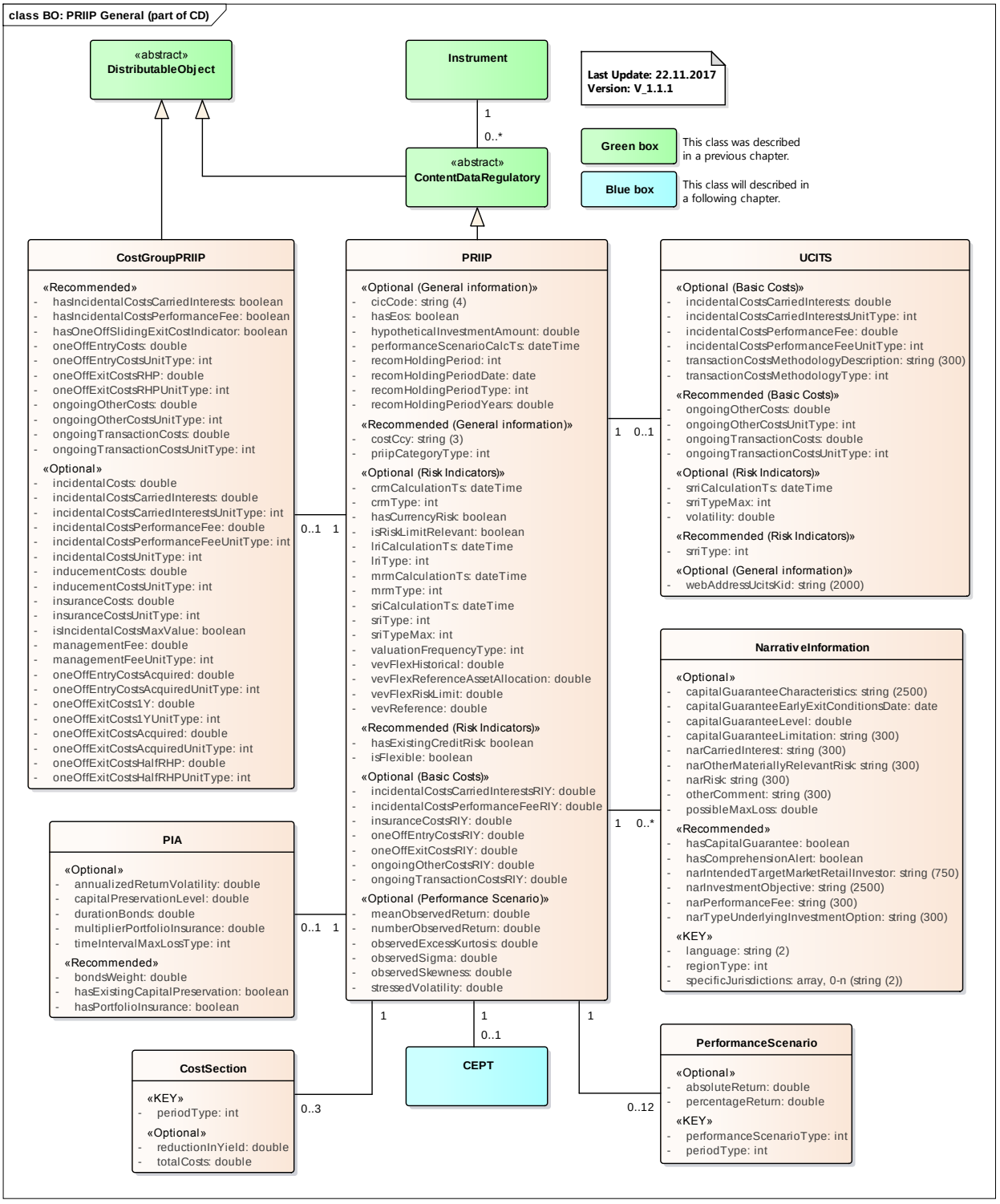

Figure 6: Business Object: PRIIP (part of CD)

Description of the classes:

- **PRIIP:** Base class for all PRIIP information. The European PRIIPs template (EPT), which includes the minimum data necessary for manufacturers to produce a Key Information Document (KID) according to the provisions of the PRIIPs Regulation.
- **UCITS:** UCITS (Undertakings for Collective Investments in Transferable Securities) is a consolidated EU Directive, that allows collective investment schemes to operate freely throughout the EU based on a single authorization from one-member state. UCITS KIIDs are planned to run parallel with the PRIIP KIDs till 2019. After which time UCITS KIDs may fall under the obligations of PRIIP KIDs and be replaced by PRIIPs. Certain UCITS (or AIFs) get packaged and become part of a PRIIP relevant instrument. Therefore, in certain cases UCITS (or AIFs) attributes are also distributed as part of PRIIP data.
- **NarrativeInformations:** Fund managers are expected to provide narrative information that fulfils the PRIIPs KID requirements. The narrative information is used to describe in more detail the PRIIP KID elements like “target market”, “portfolio risk” and “other materially relevant risk factors” in plain language.
- **PerformanceScenario:** Performance scenario strives to provide an encompassing performance assessment of the relevant financial instrument. It considers the absolute and percentage changes to the investment amount during different holding periods reflecting various positive, negative and very negative investment scenarios.
- **CostSection:** CostSection is based on a moderate performance scenario, using the same holding periods as in the performance scenarios. It includes in one single figure “RIY” one-off, recurring and incidental costs, direct and indirect transaction costs and if relevant exit penalties.
- **PIA:** The German Category IV PRIIPs segment of the PRIIP KID is used to measure and quantify the sensitivity of a bond portfolio to changes in its constituent parts. This is done based on variables describing the characteristics of a portfolio and the degree of capital preservation.
- **CostGroupPRIIP:** CostGroupPRIIP are cost classes in RegHub, which can be entitled separately. Cost classes, wich can be entitle separate. CostGroupPRIIP provides a full breakdown of direct, indirect, one-off, recurring, insurance and incidental costs. It is important to note that ex-ante cost figures are based on the past and thus may change in the future.

Attribute Name	Data Type	Condition	Description and Rule
PRIIP:			
Group: General information (Recommended)			
costCcy	string (3)	Recommended (PRIIP)	Currency code related to provided costs and to the “Hypothetical Investment Amount” (**ISO 4217**).
priipCategoryType	int	Recommended (PRIIP)	The attribute “**PRIIPS Category Type**” describes the “PRIIPS Category” of the instrument.
Group: Additional Client Needs information (Optional)			
cicCode	string (4)	Optional	Complementary Identification Code (CIC).
hasEos	boolean	Optional	Indicator whether the portfolio targets specific environmental or social objectives.
hypotheticalInvestmentAmount	double	Optional	“Hypothetical Investment Amount” used to calculate performance scenarios and disclose costs over time.
performanceScenarioCalcTs	dateTime	Optional	This attribute contains the timestamp on which the performance scenarios where calculated.
recomHoldingPeriod	int	Optional	In case the “Recommended Holding Period” is not a fixed date, but rather a time period (e.g. for open end products). This field expresses the number of time units (in units as provided in field “recomHoldingPeriodType”).
recomHoldingPeriodDate	date	Optional	“Recommended Holding Period Date” for a product.
recomHoldingPeriodType	int	Optional	The attribute “Recommended Holding Period Type” describes the unit (“**Time Period Type**”) which together with the number of time units expresses the time period.
recomHoldingPeriodYears	double	Optional	In case the “Recommended Holding Period in Years” is not a fixed date, but rather a time period (e.g. for open end products). This field expresses the Recommended Holding Period in Years and can be expressed as a floating-point value.

Group: Risk Indicators (Recommended)			
hasExistingCreditRisk	boolean	Recommended (PRIIP)	“Existing Credit Risk” indicates whether a product has a credit risk or not.
isFlexible	boolean	Recommended (PRIIP)	“Flexible” indicates whether a product is flexible or not.
Group: Risk Indicators (Optional)			
crmCalculationTs	dateTime	Optional	Timestamp of generation of the “Credit Risk Measure (CRM) Class Type”.
crmType	int	Optional	“**Credit Risk Measure (CRM) Class Type**” measures the credit risk of a product based on the rules published in the PRIIP-KID regulation.
hasCurrencyRisk	boolean	Optional	“Currency Risk Flag” indicates whether a product is considered having a currency risk.
isRiskLimitRelevant	boolean	Optional	“Risk Limit Relevant” indicates whether a product is risk limit relevant or not.
lriCalculationTs	dateTime	Optional	Timestamp of generation of the “Liquidity Risk Indicator (LRI) Type”.
lriType	int	Optional	“**Liquidity Risk Indicator (LRI) Type**” indicates whether a product is considered liquid, illiquid or has a materially relevant liquidity risk.
mrmCalculationTs	dateTime	Optional	Timestamp of generation of the “Market Risk Measure (MRM) Class Type”.
mrmType	int	Optional	“**Market Risk Measure (MRM) Class Type**” measures the market risk of a product based on the rules published in the PRIIP-KID regulation.
sriCalculationTs	dateTime	Optional	Timestamp of generation of the “Summary Risk Indicator (SRI) Type”.
sriType	int	Optional	“**Summary Risk Indicator (SRI) Type**” measures the aggregated risk of a product as defined as the combination of market risk and credit risk.
sriTypeMax	int	Optional	“**Summary Risk Indicator (SRI) Type** Maximum” measures the maximum aggregated risk of a product as defined as the combination of market risk and credit risk. In regards of “Multi Option Products (MOP)” this value defines the upper end of the “Multi Option Product SRI Range”.
valuationFrequencyType	int	Optional	The attribute “Valuation Frequency Type” is used for MRM and “Performance Scenario” calculation. This corresponds to the number of valuation days of the fund, share class or portfolio, per year (“**Periodicity Type**”).
vevFlexHistorical	double	Optional	This attribute represents the “VaR Equivalent Volatility (VEV)” (VaR = Value at Risk) in case of flexible behavior. This value is in percentage (100% = 100). **Rule:** If “isFlexible” equals “true” then → **Recommended** Else → **Optional**
vevFlexReferenceAssetAllocation	double	Optional	This attribute represents the “VaR Equivalent Volatility (VEV)” (VaR = Value at Risk) of the reference asset allocation. This value is in percentage (100% = 100). **Rule:** If “isFlexible” equals “true” then → **Recommended** Else → **Optional**
vevFlexRiskLimit	double	Optional	This attribute represents the “VaR Equivalent Volatility (VEV)” (VaR = Value at Risk) of the risk limit. This value is in percentage (100% = 100). **Rule:** If “isRiskLimitRelevant” equals “true” then → **Recommended** Else → **Optional**
vevReference	double	Optional	This attribute represents the “VaR Equivalent Volatility (VEV)” (VaR = Value at Risk). This value is in percentage (100% = 100).
Group: Basic Costs (Optional)			
incidentalCostsCarriedInter	double	Optional	This cost attribute covers the percentage value of Reduction in

estsRIY			Yield (RIY) per year, as requested by the PRIIP KID in the "Composition of costs" table (100% = 100).
incidentalCostsPerformanceFeeRIY	double	Optional	This cost attribute covers the percentage value of Reduction in Yield (RIY) per year, as requested by the PRIIP KID in the "Composition of costs" table. (100% = 100).
insuranceCostsRIY	double	Optional	This cost attribute covers the percentage value of Reduction in Yield (RIY) per year, as requested by the PRIIP KID in the "Composition of costs" table. (100% = 100).
oneOffEntryCostsRIY	double	Optional	This cost attribute covers the percentage value of Reduction in Yield (RIY) per year, as requested by the PRIIP KID in the "Composition of costs" table. (100% = 100).
oneOffExitCostsRIY	double	Optional	This cost attribute covers the percentage value of Reduction in Yield (RIY) per year, as requested by the PRIIP KID in the "Composition of costs" table. (100% = 100).
ongoingOtherCostsRIY	double	Optional	This cost attribute covers the percentage value of Reduction in Yield (RIY) per year, as requested by the PRIIP KID in the "Composition of costs" table. (100% = 100).
ongoingTransactionCostsRIY	double	Optional	This cost attribute covers the percentage value of Reduction in Yield (RIY) per year, as requested by the PRIIP KID in the "Composition of costs" table. (100% = 100).
Group: Performance Scenario (Optional)			
meanObservedReturn	double	Optional	The expected value or mean of all likely returns is also called the first-person moment.
numberObservedReturn	double	Optional	The count of number of observations in a given period is also called the zero-person moment.
observedExcessKurtosis	double	Optional	Kurtosis is a measure of the tailedness of the probability distribution of the relevant financial instrument. The kurtosis is also called the fourth standardized person moment.
observedSigma	double	Optional	Sigma as the second person moment is a measure that is used to quantify the amount of variation of a set of data values around the mean. A low sigma values indicates that the values of the relevant instrument tend to be close to the mean.
observedSkewness	double	Optional	Skewness is the measure of the asymmetry of the probability distribution of an instrument around the mean. The skewness is also called the third standardized person moment.
stressedVolatility	double	Optional	The value of the deviation of the instruments expected values around the mean under a very unfavorable scenario of stress. This scenario implies high sigma values.
UCITS:			
ongoingOtherCosts	double	Recommended (PRIIP)	All on-going costs and charges related to the management of the financial product that are deducted from the value of the financial instrument during the investment in the financial instrument.
ongoingOtherCostsUnitType	int	Recommended (PRIIP)	This attribute defines the used "**Unit Type**" to the associated cost attribute.
ongoingTransactionCosts	double	Recommended (PRIIP)	All costs and charges that are incurred as a result of the acquisition and disposal of investments for the product.
ongoingTransactionCostsUnitType	int	Recommended (PRIIP)	This attribute defines the used "**Unit Type**" to the associated cost attribute.
srriType	int	Recommended (PRIIP)	"**Synthetic Risk and Reward Indicator (SRRI) Type**" measures the aggregated risk of a product as defined in the UCITS regulation.
incidentalCostsCarriedInterests	double	Optional	Carried interest costs represent the distributions to the private equity fund, when the asset manager generates an annualized return in excess of the preferred return.
incidentalCostsCarriedInterestsUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
incidentalCostsPerformanceFee	double	Optional	Performance fees represent the economic benefit that accrues to the investment firm. These fees are generally only paid out when the NAV of the fund is above the level at which the performance fee was last paid.
incidentalCostsPerformanceFeeUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
srriCalculationTs	dateTime	Optional	Timestamp of generation of the "Synthetic Risk and Reward Indicator (SRRI)".

srriTypeMax	int	Optional	"Synthetic Risk and Reward Indicator (SRRI) Type (Maximum)" measures the maximum aggregated risk of a product as defined as the as defined in the UCITS regulation. In regards of "Multi Option Products (MOP)" this value defines the upper end of the "Multi Option Product SRRI Range".
transactionCostsMethodologyDescription	string (300)	Optional	Textual description of the Transaction costs methodology, if textual representation is used. Rule: If "transactionCostsMethodologyType" equals "5" then → **Field fillable** Else → **Not fillable**
transactionCostsMethodologyType	int	Optional	The attribute "UCITS Transaction Costs Methodology Type" describes the chosen calculation methodology used to calculate the "Ongoing Transaction Costs".
volatility	Double	Optional	Historical volatility corresponding to the SRRI of the Valid UCITS KIID.
webAddressUcitsKid	string (2000)	Optional	Direct link to the UCITS KID.
Narrative Information:			
language	string (2)	Mandatory (Key)	This attribute describes the language of the document to which the content data is related. The values have to be according to **ISO 639-1 (two letter code).**
regionType	int	See Rule	The attribute "Region Type" describes the region for which the instrument data is valid. **Rule:** The attribute "regionType" or "specificJurisdictions" is **Mandatory (KEY)**. **Rule:** If "specificJurisdictions" contains data → **The attribute "specificJurisdictions" has the higher priority as the attribute "regionType"** Else → **The attribute "regionType" has the higher priority**
specificJurisdictions	array, 0-n (string (2))	See Rule	This attribute contains an array of specific jurisdictions in which the instrument data is valid. The values have to be according to **ISO 3166-1 (two letter code).** **Rule:** The attribute "regionType" or "specificJurisdictions" is **Mandatory (KEY)**. **Rule:** If "specificJurisdictions" contains data → **The attribute "specificJurisdictions" has the higher priority as the attribute "regionType"** Else → **The attribute "regionType" has the higher priority**
hasCapitalGuarantee	boolean	Recommended (PRIIP)	"Capital Guarantee" indicates whether the instrument has a general capital guarantee or not.
hasComprehensionAlert	boolean	Recommended (PRIIP)	"Comprehension Alert" indicates whether a product is considered complex under PRIIP regulation.
narIntendedTargetMarketRetailInvestor	string (750)	Recommended (PRIIP)	This attribute provides information about the type of retail investor to whom the PRIIP is intended to be marketed. This information is meant to be used directly as narrative when producing a PRIIP KID in the section 'What is this product?'.
narInvestmentObjective	string (2500)	Recommended (PRIIP)	This attribute provides information about the objectives of the PRIIP and the means for achieving those objectives. This information is meant to be used directly as narrative when producing a PRIIP KID in the section 'What is this product?'.
narPerformanceFee	string (300)	Recommended (PRIIP)	This attribute defines the outperformance of the product.
narTypeUnderlyingInvestmentOption	string (300)	Recommended (PRIIP)	This attribute provides information about the legal form of the investment (e.g.: SICAV, OEIC, Investment Trust, FCP).
capitalGuaranteeCharacteristics	string (2500)	Optional	This attribute describes the characteristics of the guarantee. **Rule:** If "hasCapitalGuarantee" equals "true" then → **Recommended**

			Else → **Optional**
capitalGuaranteeEarlyExitConditionsDate	date	Optional	This attribute defines the date before which the early exit conditions apply. **Rule:** If "hasCapitalGuarantee" equals "true" then → **Recommended** Else → **Optional**
capitalGuaranteeLevel	double	Optional	Guarantee level in percent representation (100% = 100). **Rule:** If "hasCapitalGuarantee" equals "true" then → **Recommended** Else → **Optional**
capitalGuaranteeLimitation	string (300)	Optional	This attribute describes the limitation of the guarantee. **Rule:** If "hasCapitalGuarantee" equals "true" then → **Recommended** Else → **Optional**
narCarriedInterest	string (300)	Optional	This attribute defines the narrative description of the carried interest.
narOtherMateriallyRelevantRisk	string (300)	Optional	This attribute provides other risks materially relevant to the PRIIP not included in the SRI.
narRisk	string (300)	Optional	This attribute provides an explanation of the classification of the product.
otherComment	string (300)	Optional	This attribute defines other comments. It shall be used only under exceptional circumstances and requires a manual review and might block automatic processing. This field is usually empty.
possibleMaxLoss	double	Optional	This attribute defines the possible maximum loss in percent representation (100% = 100). **Rule:** If "hasCapitalGuarantee" equals "true" then → **Recommended** Else → **Optional**
PerformanceScenario:			
performanceScenarioType	int	Mandatory (KEY)	The attribute "**Performance Scenario Type**" expresses the type of scenario covered with the respective Performance Scenario element.
periodType	int	Mandatory (KEY)	The attribute "**Period Type**" expresses the corresponding period for the data point in the performance scenario table.
absoluteReturn	double	Optional	Absolute return for the financial instrument indicated in the "costCcy" of the "Hypothetical Investment Amount".
percentageReturn	double	Optional	Expresses the figure of the percentage return for the financial instrument.
CostSection:			
periodType	int	Mandatory (KEY)	The attribute "**Period Type**" expresses the corresponding period for the data point in the "cost over time" table.
reductionInYield	double	Optional	The "Reduction in Yield" expressed in percentage (percentage per year).
totalCosts	double	Optional	The "Total Costs" expressed in the currency of the "costCcy".
PIA:			
bondsWeight	double	Recommended (PRIIP)	This attribute defines the proportion (weight) of bonds within the product measured in percentage of market value (100% = 100).
hasExistingCapitalPreservation	boolean	Recommended (PRIIP)	This attribute indicates whether a capital preservation method is used or not.
hasPortfolioInsurance	boolean	Recommended (PRIIP)	In case of capital preservation, this attribute indicates whether PI (Portfolio Insurance including CPPI Constant Proportion Portfolio Insurance) is used or not.
annualizedReturnVolatility	double	Optional	This attribute defines the annualized daily volatility of the product based on the last 250 trading days or, if valuation frequency is lower than daily, the volatility is based on the valuation frequency and annualized (100% = 100). **Rule:**

			If “bondsWeight” not equals “100” then → **Recommended** Else → **Optional**
capitalPreservationLevel	double	Optional	This attribute defines the capital preservation level. This is 100% minus the maximum possible loss in percentage of its market value (100% = 100). **Rule:** If “hasExistingCapitalPreservation” equals “true” then → **Recommended** Else → **Optional**
durationBonds	double	Optional	This attribute defines the asset prices weighted “Macaulay-Duration” in years of the product (100% = 100). **Rule:** If “bondsWeight” not equals “0” then → **Recommended** Else → **Optional**
multiplierPortfolioInsurance	double	Optional	This attribute defines the maximum multiplier value if PI (Portfolio Insurance including CPPI Constant Proportion Portfolio Insurance) algorithm is used (100% = 100). **Rule:** If “hasPortfolioInsurance” equals “true” then → **Recommended** Else → **Optional**
timeIntervalMaxLossType	int	Optional	This attribute defines the periodicity in which a possible loss of a capital preservation product is measured (“**Periodicity Type**”). **Rule:** If “hasExistingCapitalPreservation” equals “true” then → **Recommended** Else → **Optional**
CostGroupPRIIP:			
hasIncidentalCostsCarriedInterests	boolean	Recommended (PRIIP)	Indicates the availability of incidental carried interest costs.
hasIncidentalCostsPerformanceFee	boolean	Recommended (PRIIP)	Indicates the availability of incidental performance fees.
hasOneOffSlidingExitCostIndicator	boolean	Recommended (PRIIP)	A type of cost that may change according to one or several specific associated factors.
oneOffEntryCosts	double	Recommended (PRIIP)	The impact of the cost paid when entering an investment or the impact of the cost already included in the price.
oneOffEntryCostsUnitType	int	Recommended (PRIIP)	This attribute defines the used “**Unit Type**” to the associated cost attribute.
oneOffExitCostsRHP	double	Recommended (PRIIP)	All costs and charges (included in the price or in addition to the price of the financial instrument) paid to the product suppliers at the beginning or at the end of the investment in the financial instrument.
oneOffExitCostsRHPUnitType	int	Recommended (PRIIP)	This attribute defines the used “**Unit Type**” to the associated cost attribute.
ongoingOtherCosts	double	Recommended (PRIIP)	All on-going costs and charges related to the management of the financial product that are deducted from the value of the financial instrument during the investment in the financial instrument.
ongoingOtherCostsUnitType	int	Recommended (PRIIP)	This attribute defines the used “**Unit Type**” to the associated cost attribute.
ongoingTransactionCosts	double	Recommended (PRIIP)	All costs and charges that are incurred as a result of the acquisition and disposal of investments for the product.
ongoingTransactionCostsUnitType	int	Recommended (PRIIP)	This attribute defines the used “**Unit Type**” to the associated cost attribute.
incidentalCosts	double	Optional	Impact of average performance and carried interest fees.
incidentalCostsUnitType	int	Optional	This attribute defines the used “**Unit Type**” to the associated cost attribute.
incidentalCostsCarriedInterests	double	Optional	Carried interest costs represent the distributions to the private equity fund, when the asset manager generates an annualized return in excess of the preferred return.
incidentalCostsCarriedInterestsUnitType	int	Optional	This attribute defines the used “**Unit Type**” to the associated cost attribute.

incidentalCostsPerformanceFee	double	Optional	Performance fees represent the economic benefit that accrues to the investment firm. These fees are generally only paid out when the NAV of the fund is above the level at which the performance fee was last paid.
incidentalCostsPerformanceFeeUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
inducementCosts	double	Optional	Commissions, fees or other cash benefits as well as non-monetary benefits which are made to an investment firm or provided by such investment firm in the context of the provision of investment services or ancillary investment services.
inducementCostsUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
insuranceCosts	double	Optional	The impact of insurance costs.
insuranceCostsUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
isIncidentalCostsMaxValue	boolean	Optional	Indicates if the incidental costs value (Ex-ante) is "real" value or maximum value.
managementFee	double	Optional	As part of the ongoing costs, management fees include cost attributes related to the administration of the financial instrument.
managementFeeUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
oneOffEntryCostsAcquired	double	Optional	Subscription fees charged to any subscriber when entering into an investment or portfolio mandate which are attributable directly to the fund.
oneOffEntryCostsAcquiredUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
oneOffExitCosts1Y	double	Optional	All costs and charges (included in the price or in addition to the price of the financial instrument) paid to the product suppliers after 1 year.
oneOffExitCosts1YUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
oneOffExitCostsAcquired	double	Optional	Redemption fees charged to any subscriber when entering into an investment or portfolio mandate which are attributable directly to the fund.
oneOffExitCostsAcquiredUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.
oneOffExitCostsHalfRHP	double	Optional	All costs and charges (included in the price or in addition to the price of the financial instrument) paid to the product suppliers after half RHP year.
oneOffExitCostsHalfRHPUnitType	int	Optional	This attribute defines the used "**Unit Type**" to the associated cost attribute.

Table 9: Business Object: PRIIP (part of CD)

2.5.4. Business Object: PRIIP CEPT (part of CD)

The business object model and the listed attributes below provide an overview of PRIIP CEPT (part of CD). The explicit representation in the file format or in the services format is shown in a later chapter.

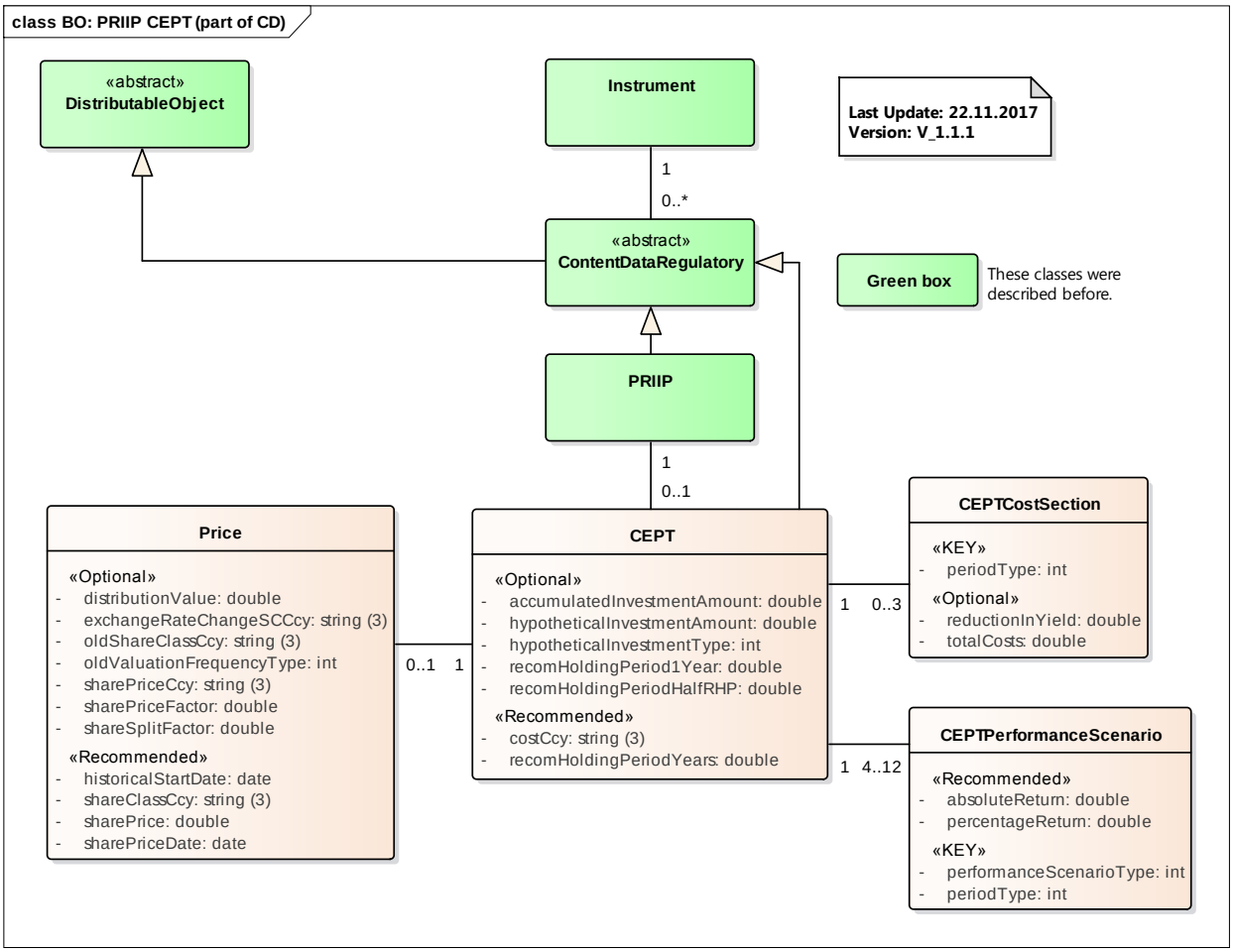

Figure 7: Business Object: PRIIP CEPT(part of CD)

Description of the classes:

- **CEPT:** The CEPT class structure can be entitled separately. The European PRIIPs template (EPT), which includes the minimum data necessary for manufacturers to produce a Key Information Document (KID) according to the provisions of the PRIIPs Regulation. Asset managers will deliver these files for free. The “Comfort” EPT (CEPT), which includes more data, so its delivery depends on ad hoc bilateral agreements between insurers and asset managers.
- **CEPTCostSection:** CostSection is based on a moderate performance scenario, using the same holding periods as in the performance scenarios. It includes in one single figure “RIY” one-off, recurring and incidental costs, direct and indirect transaction costs and if relevant exit penalties.
- **CEPTPerformanceScenario:** The CEPT performance scenario strives to provide an encompassing performance assessment of the relevant financial instrument. It considers the absolute and percentage changes to the investment amount during different holding periods reflecting various positive, negative and very negative investment scenarios.
- **Price:** The CEPT price section provides the price history of the relevant financial instrument in detail as a time series, which enables the receiver of this data to calculate the performance scenario and risk figures on its own.

Attribute Name	Data Type	Condition	Description and Rule
CEPT:			
costCcy	string (3)	Recommended (CEPT)	Currency code related to provided costs and to the “Hypothetical Investment Amount” (**ISO 4217**).
recomHoldingPeriodYears	double	Recommended (CEPT)	In case the “Recommended Holding Period in Years” is not a fixed date, but rather a time period (e.g. for open end products). This field expresses the Recommended Holding Period in Years and can be expressed as a floating-point value.
accumulatedInvestmentAmount	double	Optional	This attribute defines the accumulated investment amount.
hypotheticalInvestmentAmount	double	Optional	“Hypothetical Investment Amount” used to calculate performance scenarios and disclose costs over time.
hypotheticalInvestmentType	int	Optional	The attribute “**Hypothetical Investment Type**” defines the chosen investment type for the hypothetical investment amount. This indicates if recurring payments are used or a lump sum.
recomHoldingPeriod1Year	double	Optional	This attribute has to be set as default value 1 and only to be filled when “Recommended Holding Period in Years” of the product is >=3 years.
recomHoldingPeriodHalfRHP	double	Optional	This attribute defines the half recommended Holding Period. The value has to be rounded up to the nearest year and has to be filled when the “Recommended Holding Period in Years” is > 3 years.
CEPTCostSection:			
periodType	int	Mandatory (KEY)	The attribute “**Period Type**” expresses the corresponding period for the data point in the “cost over time” table.
reductionInYield	double	Optional	The “Reduction in Yield” expressed in percentage (percentage per year).
totalCosts	double	Optional	The “Total Costs” expressed in the currency of the “costCcy”.
CEPTPerformanceScenario:			
performanceScenarioType	int	Mandatory (KEY)	The attribute “**Performance Scenario Type**” expresses the type of scenario covered with the respective Performance Scenario element.
periodType	int	Mandatory (KEY)	The attribute “**Period Type**” expresses the corresponding period for the data point in the performance scenario table.
absoluteReturn	double	Recommended (CEPT)	Absolute return for the financial instrument indicated in the “costCcy” of the “Hypothetical Investment Amount”.
percentageReturn	double	Recommended (CEPT)	Expresses the figure of the percentage return for the financial instrument.
Price:			
historicalStartDate	date	Recommended (CEPT)	This attribute defines the date of launch or of the last relevant revision with material investment strategy changes to the product.
shareClassCcy	string (3)	Recommended (CEPT)	This attribute defines the share class currency in CEPT-Prices (**ISO 4217**).
sharePrice	double	Recommended (CEPT)	This attribute defines the share price of the product.
sharePriceDate	date	Recommended (CEPT)	This attribute defines the date of the given share price.
distributionValue	double	Optional	This attribute defines the distribution value in “Share Price Currency”.
exchangeRateChangeSCCcy	string (3)	Optional	This attribute defines the exchange rate in the occasion of a share class currency change. (Old “Share Class Currency” to current “Share Class Currency”) (**ISO 4217**).
oldShareClassCcy	string (3)	Optional	This attribute defines the old share class currency in the occasion of a share class currency change (**ISO 4217**).
oldValuationFrequencyType	int	Optional	This attribute defines the old valuation frequency in the occasion of a change of the valuation frequency on the PRIIP Data (“**Periodicity Type**”).
sharePriceCcy	string (3)	Optional	This attribute defines the share price currency in the case if the share price is not delivered in the "Share Class Currency".
sharePriceFactor	double	Optional	This attribute defines the share price factor as combination of distribution value and share split factor in percentage (100% = 100).
shareSplitFactor	double	Optional	This attribute defines the share split factor in the occasion of a

	share split in percentage (100% = 100).

Table 10: Business Object: PRIIP CEPT (part of CD)

2.5.5. Business Object: Tax871m (part of CD)

The business object model and the listed attributes below provide an overview of Tax871m (part of CD). The explicit representation in the file format or in the services format is shown in a later chapter.

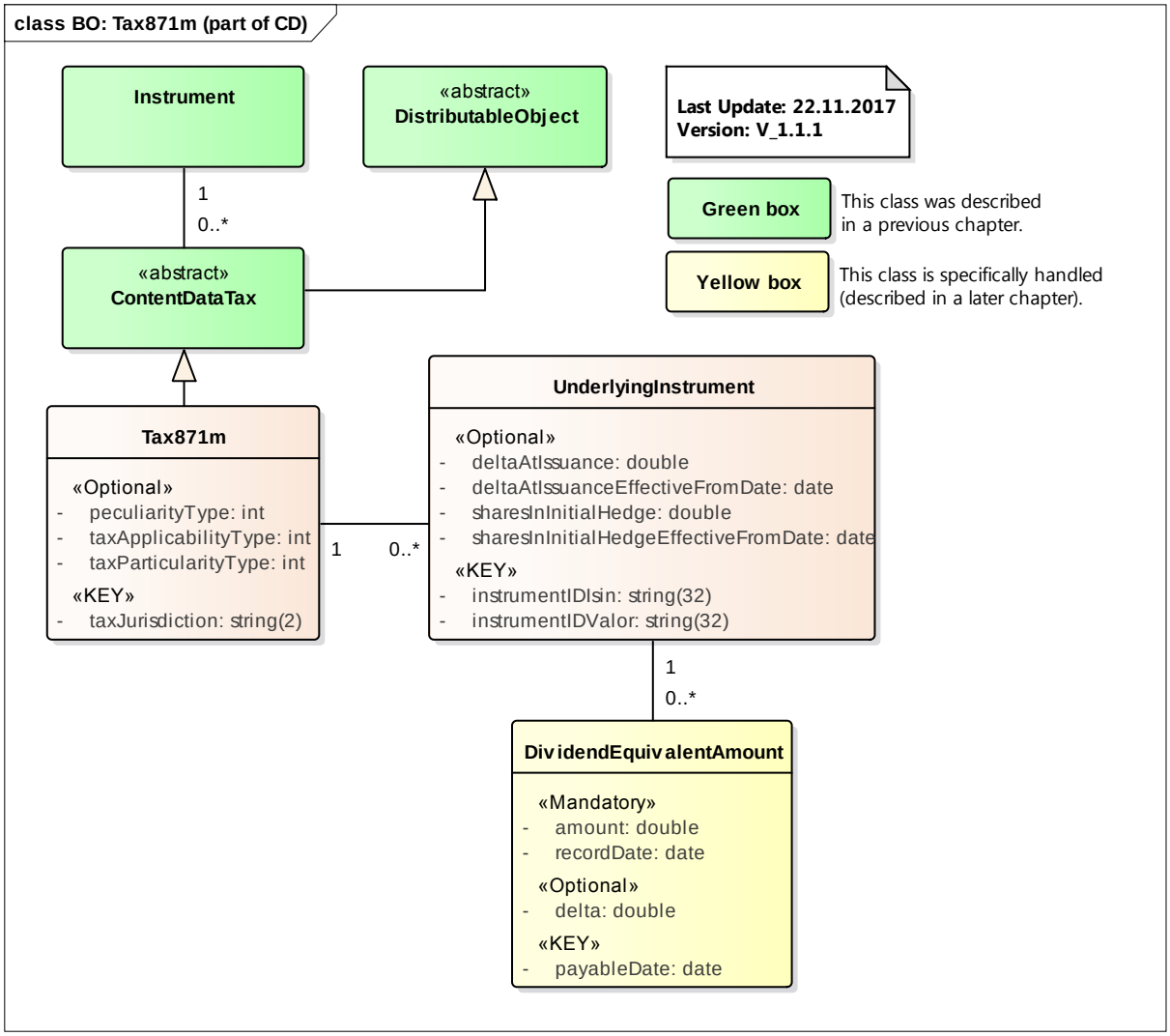

Figure 8: Business Object: Tax871m (part of CD)

Description of the classes:

- **Tax871m:** This base class covers all relevant US Section 871(m) information. The US Internal Revenue Service regulation 871(m) intends to collect tax on dividends related to instruments that are linked to US equities. The objective of IRS section 871(m) is to ensure that non-US Persons investing in equity derivatives with US-sourced Equities will be liable for 30% tax on dividend equivalent payments.
- **UnderlyingInstrument:** This class provides all the needed information of a financial instrument on which a derivative's price is based. Important data attributes are alternative instrument identifiers and for example deltas at issuance.
- **DividendEquivalentAmount:** This data class provides information regarding the dividend equivalent amounts defined in Section 871(m) of the Internal Revenue Code, which provide rules for the application of withholding tax on derivatives that reference U.S. equity securities. This class contains the full last 36 months of dividend equivalent amounts.

Attribute Name	Data Type	Condition	Description and Rule
Tax871m:			
taxJurisdiction	string (2)	Mandatory (KEY)	This attribute contains the tax related jurisdiction. The values have to be according to **ISO 3166-1 (two letter code)**. For Tax871m the field has to be filled always with the jurisdiction "**US**".
peculiarityType	int	Optional	The attribute "**Peculiarity Type**" describes if the product is either a simple or complex contract.
taxApplicabilityType	int	Optional	The attribute "**Tax Applicability Type**" describes the 871(m)-eligibility information.
taxParticularityType	int	Optional	The attribute "**Tax Particularity Type**" describes if the issuer of the product intends to apply withholding tax at own risk.
UnderlyingInstrument:			
instrumentIDIsin	string (32)	See Rule	This attribute contains the "ISIN Instrument Identifier" for the underlaying instrument. **Rule:** - "instrumentIDIsin" or "instrumentIDValor" is **Mandatory (KEY)**
instrumentIDValor	string (32)	See Rule	This attribute contains the "Swiss Valorennumber" for the underlaying instrument. **Rule:** - "instrumentIDIsin" or "instrumentIDValor" is **Mandatory (KEY)**
deltaAtIssuance	double	Optional (See Rule)	Delta at Issuance for simple contracts. **Rule:** If "peculiarityType" equals "1" then → **Field fillable** Else → **Not fillable**
deltaAtIssuanceEffectiveFromDate	date	Optional (See Rule)	Effective Date for the value of "Delta at Issuance". **Rule:** If "peculiarityType" equals "1" then → **Field fillable** Else → **Not fillable**
sharesInInitialHedge	double	Optional (See Rule)	Number of shares in initial hedge for complex contracts. **Rule:** If "peculiarityType" equals "2" then → **Field fillable** Else → **Not fillable**
sharesInInitialHedgeEffectiveFromDate	date	Optional (See Rule)	Effective Date for the value of "Shares in Initial Hedge". **Rule:** If "peculiarityType" equals "2" then → **Field fillable** Else → **Not fillable**
DividendEquivalentAmount:			
payableDate	date	Mandatory (KEY)	Dividend Equivalent "Payable Date".
amount	double	Mandatory	Dividend Equivalent "Amount" in currency "USD".
delta	double	Optional	Information field that allows the issuer to specify the delta used for the DEA calculation at the "Dividend Equivalent Payment" event.
recordDate	date	Mandatory	Dividend Equivalent "Record Date".

Table 11: Business Object: Tax871m (part of CD)

2.6. Business Object: Sales Report (SR)

The business object model and the listed attributes below provide an overview of the Sales Report (SR). The explicit representation in the file format or in the services format is shown in a later chapter.

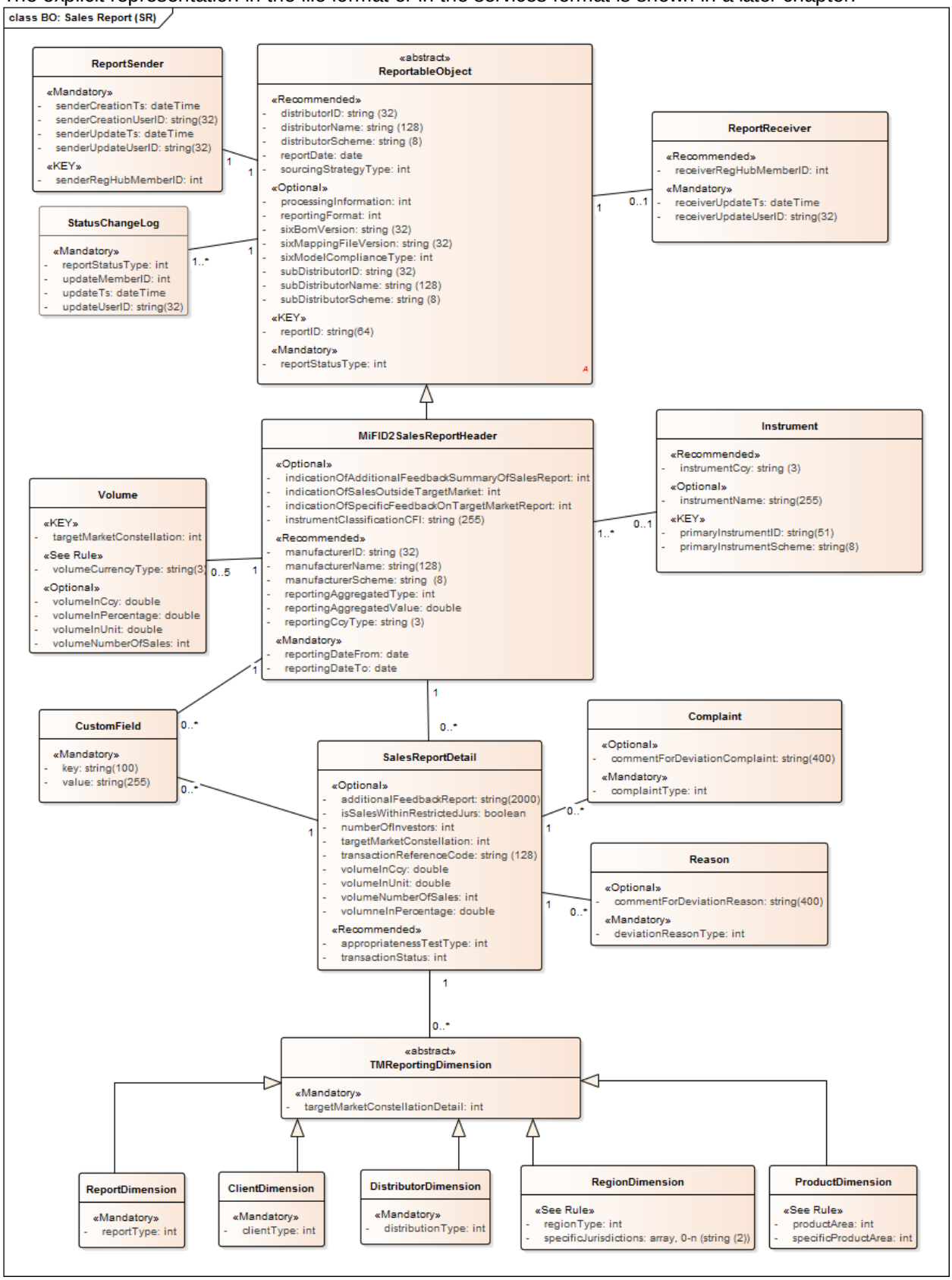

Figure 9: Business Object: Sales report (SR)

Description of the classes:

- **ReportableObject:** This class provides all the needed information to provide the Report for a defined Manufacturer. It also provides a common set of attributes which all of SR classes supports.
- **ReportSender:** The Sender of a Sales Report can be the Distributor or a Sub-Distributor. This class incorporates all the necessary information required to clearly identify the respective entity holding the role of the Sales Report Sender (Providing the data).
- **ReportReceiver:** Represents the Receiver of a Sales Report, which is the Manufacturer of a financial instrument or it can be the Main Manufacturer who collects all the reports for several branches. Sometimes manufacturers prefer to receive the sales reports via a defined Technical Agent that would hold the role of the Sales Report Receiver (Receiving the data).
- **StatusChangeLog:** Historization of each status change of the Sales Report. This object is managed by RegHub and is automatically append, when the object status is changed.
- **MiFID2SalesReportHeader:** Provides all header specific information which describes an MiFID2 Sales Report. It also describes the reporting level based on the CFI code or on financial instrument.
- **Volume: (This class is in sales report model as placeholder but it is not used currently)** Holds the relevant Volume information covered by the MiFID2 SalesReport. The volume in this class is neither aggregated nor verified with the volume provided with the SalesReportDetail.
- **Instrument:** Holds all attributes to identify the instrument of the MiFID2 Sales Report. In case of an CFI is delivered, the Sales Report can have multiple instruments, in case of regular instrument a single instrument is provided.
- **CustomField:** A dedicated object to store reporter specific annotations.
- **SalesReportDetail:** The Distributor periodically generates MiFID2 Sales Report to provide an overview of the Target Market specific generated sales volumes. The Manufacturer can provide multiple Target Market constellation.
- **Complaint:** A dedidacted object to hold the complaint types addressing performance or cost related deviations from the information disclosed in the pre-sales documents. Each complaint is stored in a dedicated complaint object.
- **Reason:** A dedicated object to hold the deviation reasons from the Manufacturer defined TargetMarket. Each deviation reason is stored in a dedicated Reason object.
- **TMReportingDimension:** The “Target Market Constellation” defines the type of the constellation of the specific dimensions (can only be used in combination of a specific dimension).
- **ReportDimension:** A dedicated Object to hold the report dimension, e.g. “outside positive TM”.
- **ClientDimension:** A dedicated Object to hold the client dimension, e.g. “retailClient”.
- **DistributionDimension:** A dedicated Object to hold the distribution dimension, e.g. “EEA”.
- **ProductDimension:** A dedicated Object to hold the product dimension, e.g. “KnowledgeAndExperience”.

Attribute Name	Data Type	Condition	Description and Rule
ReportableObject:			
reportID	string(64)	Mandatory (KEY)	Delivers the unique “Report Identifier”, within the distributor universe (represents the business key with the ReportSender.senderRegHubMemberID). The ID is either provided by the report initiator or can be generated by the SIX RegHub. Be aware that in case the ID is generated by RegHub the ID must be used by the client consistently.
reportStatusType	int	Mandatory	The attribute “**Report Status Type**” defines the status of a report

Attribute Name	Data Type	Condition	Description and Rule
			record. The state "61" Report Documented identifies reports not processed by the SIX RegHub platform but documented and archived on the Six RegHub platform and send using an alternative path, e.g. paper mail. **Rule:** If RegHubReceiver is defined, the status 61 cannot be set.
reportDate	date	Recommended	Defines creation/report date of the Sales Report
distributorName	string(128)	Recommended	Name of the organization which actually distributed the instrument, i.e. Distributor (If possible VDF institution long name); and is the effective source of the report (the technical sender of the report is identified by the "Sending Report RegHub Member ID", which can be distributor collecting also the reports from the sub-distributors or also an aggregation platform collecting reports of various distributors).
distributorScheme	string(8)	Recommended	A map of "**Institution Scheme**"of the organisation which actually distributed the instrument, i.e. Distributor or Sub-Distributor; and is the effective source of the report (the technical sender of the report is identified by the "Sending Report RegHub Member ID", which can be distributor collecting also the reports from the sub-distributors or also an aggregation platform collecting reports of various distributors).
distributorID	string(32)	Recommended	This attribute contains the identifier for the distributor of sales report.
subDistributorName	string(128)	Optional	Name of the "Redistributor" of the instrument (If possible VDF institution long name). In case if an indirect distribution takes place, this value can be filled to provide more transparency towards the receiver.
subDistributorScheme	string(8)	Optional	A map of **Institution Scheme**" for the "Redistributor". In case if an indirect distribution takes place, this value can be filled to provide more transparency towards the receiver.
subDistributorID	string(32)	Optional	This attribute contains the identifier for the subdistributor of sales report. In case if an indirect distribution takes place, this value can be filled to provide more transparency towards the receiver.
sixBomVersion	string(32)	Optional	SIX RegHub produced attribute: The attribute "SIXBomVersion" contains BOM Version information.
sixMappingFileVersion	string(32)	Optional	SIX RegHub produced attribute. The attribute "SIX Mapping File Version" contains the mapping file information.
reportingFormat	int	Optional	The attribute **"Reporting Format"** contains the information about the type of submission chosen by distributor.
sixModelCompliance Type	int	Optional	SIX RegHub produced attribute: The attribute "SIX Model Compliance Type" contains the information, whether the provided data fulfil the SIX data model requirements.
sourcingStrategyType	int	Recommended	The attribute "**Sourcing Strategy**" indicates how the data for this record was sourced by the party who delivered this data into the SIX Regulatory Hub. **Rule:** If "sourcingStrategyType" is empty then → Default value "99" (Sourcing strategy not defined) is used Else → Transmitted value is used
processingInformation	int	Optional	The attribute "**Processing Information**" holds an internal status code of the data intake, i.e. file import, processing success.
ReportSender:			

Attribute Name	Data Type	Condition	Description and Rule
senderRegHubMemberID	int	Mandatory (KEY)	This attribute defines the **sending** SIX RegHub member for a "Report". The sender is identified by using the "RegHub Member Identifier". The available SIX RegHub Members and their corresponding IDs can be retrieved via the SIX RegHub GUI or API.
senderCreationTs	dateTime	Mandatory (readOnly)	SIX RegHub produced attribute: This attribute provides the information when the data record was initially created by the sender.
senderCreationUserID	string(32)	Mandatory (readOnly)	SIX RegHub produced attribute: This attribute contains the Identifier of the RegHub User who initially created the data record by the sender.
senderUpdateTs	dateTime	Mandatory (readOnly)	SIX RegHub produced attribute: This attribute provides the information when the data record was last updated by the sender. In case of creating a data record, this attribute has to be filled with the same value as "senderCreationTs".
senderUpdateUserID	string(32)	Mandatory (readOnly)	SIX RegHub produced attribute: This attribute contains the Identifier of the RegHub User who last updated of the data record by the sender. In case of creating a data record, this attribute has to be filled with the same value as "senderCreationUserID".
ReportReceiver:			
receiverRegHubMemberID	int	Recommend ed	This attribute defines the report receiving SIX RegHub member, e.g. receiver of a "MiFID 2 Sales Report". The ID is set, latest with the transition into state "2 Reported", if the report is processed, i.e. send, by the SIX RegHub Platform. Else this attribute is empty. One "Report" record can only be send to exactly one specific "Report Receiver" (and not to multiple). The available SIX RegHub Members and their corresponding IDs can be retrieved via the SIX RegHub GUI or API.
receiverUpdateTs	dateTime	See Rule (readOnly)	SIX RegHub produced attribute: This attribute provides the information when the data record was last updated by the receiver. **Rule:** If "reportStatusType" equals = "6" or equals = "7" or equals "8" then → this value is updated by RegHub if Receiver changes the status Else → No action required
receiverUpdateUserID	string(32)	See Rule (readOnly)	SIX RegHub produced attribute: This attribute contains the Identifier of the RegHub User who last updated of the data record by the receiver. **Rule:** If "reportStatusType" is equals "6" then → this value is updated by RegHub if Receiver changes the status Else → No action required
StatusChangeLog			
reportStatusType	int	Mandatory (readOnly)	SIX RegHub produced attribute: The attribute "**Report Status Type**" defines the status of a report record at the updated time.
updateTs	dateTime	Mandatory (readOnly)	SIX RegHub produced attribute: This attribute provides the information when the data record was last updated by the sender. In case of creating a data record, this

Attribute Name	Data Type	Condition	Description and Rule
			attribute has to be filled with the same value as "senderCreationTs".
updateUserID	string(32)	Mandatory (readOnly)	SIX RegHub produced attribute: This attribute contains the Identifier of the RegHub User who initially updates the status.
updateMemberID	int	Mandatory (readOnly)	SIX RegHub produced attribute: This attribute contains the Identifier of the RegHub Member who updates the status.
MiFID2SalesReportHeader:			
instrumentClassificationCFI	string(255)	Optional	This attribute contains the classifications value of CFI. It defines and describes codes for an internationally valid system to classify financial instruments (CFI: **ISO 10962**).
manufacturerName	string(128)	Recommended	Name of the "Manufacturer" of the instrument (If possible VDF institution long name).
manufacturerScheme	string(8)	Recommended	A map of "**Institution Scheme**" and "Institution Identifiers" for the "Manufacturer".
manufacturerID	string(32)	Recommended	Identifier of the "Manufacturer" of the instrument.
reportingDateFrom	date	Mandatory	The "Reporting Date From" defines the creation date of the sales report (begin period of the lifecycle).
reportingDateTo	date	Mandatory	The "Reporting Date To" defines the end date of the sales report (end period of the lifecycle).
reportingCcyType	string(3)	Recommended	Currency Code of the "Reporting Currency" (for absolute sales volumes) (ISO 4217). **Rule:** If reportingAmount is not Empty then → **Mandatory** Else → **Empty**
reportingAggregatedType	int	Recommended	The purpose of **"Reporting Aggregated Value"** is providing an item of overall quantity is to allow the manufacturer to work out the proportion of sales within the NTM and/or to a wider distribution channel v overall sales of the same instrument within the relevant period. Rule: If Enum = 3 = Volume than reportingCcyType is added to Volume from attribute reportingAggregatedValue
reportingAggregatedValue	double	Recommended	This attribute contains information about the aggregated reporting value in currency.
indicationOfAdditionalFeedbackSummaryOfSalesReport	int	Optional	Distributor can indicate if there is any additional Feedback Summary of Sales Report "**Indication of Additional Feedback Summary of Salesreport**"
indicationOfSalesOutsideTargetMarket	int	Optional	Distributor can provide specific Information about Target Market "**Indication of Sales Outside Target Market**"
indicationOfSpecificFeedbackOnTargetMarketReport	int	Optional	Distributor can provide specific Information about Target Market "**Indication of Specific Feedback on Target Market Report**"
Volume:			
targetMarketConstellation	int	Mandatory	Defines the target market constellation of the volumes belong to"**Target Market Constellation**"
volumeNumberOfSales	int	Optional	The sales volume of the "MiFID 2 Sales Report" in amount of the currency, sold in the identified target market constellation
volumeInUnit	double	See Rule	The sales volume of the "MiFID 2 Sales Report" in units sold in the identified target market constellation **Rule:** At least one of the of the following must be set: volumeInAmount volumeInUnits volumeInPercentage
volumeInPercentage	double	See Rule	The sales volume of the "MiFID 2 Sales Report" in percentage as sold in the identified target market constellation. 100% = 100

Attribute Name	Data Type	Condition	Description and Rule
			Rule: One of the following must be set: volumeInAmount volumeInUnits volumeInPercentage
volumeInCcy	double	See Rule	The sales volume of the “MiFID 2 Sales Report” in amount of given currency. **Rule:** One of the following must be set: volumeInAmount volumeInUnits volumeInPercentage
volumeCurrencyType	string(3)	See Rule	Currency Code of the “Reporting Currency” (for absolute sales volumes) **(ISO 4217)**. **Rule:** If “volumeInCcy” is filled then → **Mandatory** Else → **Not Required**
Instrument:			
primaryInstrumentScheme	string(8)	Mandatory (KEY)	This attribute contains the primary used “**Instrument Scheme**”. **Rule:** Only the following “Instrument Scheme” are allowed: **- “I-”, “CH”, “DE”, “FR”, “R1”, “R2”, “R3”, “OTC”, “ETD-I-” and “ETD-CH”**
primaryInstrumentID	string(51)	Mandatory (KEY)	This attribute contains the primary used “Instrument Identifier” related to the chosen primary used "Instrument Scheme". In the case the "Primary Instrument Scheme" is filled with "OTC", the following formatting rules apply. • Concatenated String: OTC ISIN, Bank Internal Identifier and UPI (Unique Product Identifier) • Attribute separator: “-” The following three examples are possible scenarios for filling this flied. The separator has always to be provided even if one of the attributes is missing/ empty. • Example 1 (Bank Internal Identifier): Value: -123456- • Example 2 (OTC ISIN and UPI): Value: CH0012345678--123456789 • Example 3 (OTC ISIN and Bank Internal Identifier): Value: CH0012345678-123456- In the case the "Primary Instrument Scheme" is filled with "ETD-CH", the “Instrument Identifier” has to be enriched with the attribute separator “-” and the attribute “Contract Side Type”. • Example 1 (CH and contract side long): Value: 94647315-1 • Example 2 (CH and contract side short): Value: 94647315-2
instrumentName	string(255)	Optional	This attribute defines the “Instrument Name” of the sales report related Instrument.
instrumentCcy	string(3)	Recommend ed	Currency Code of the “Instrument Currency” (ISO 4217).
CostumField:			
key	string(100)	Mandatory	Defines the key of the provided information e.g. can be used for entering a free text.
value	string(255)	Mandatory	Distributor can provide specific Information as free text (for the defined key)

Attribute Name	Data Type	Condition	Description and Rule
SalesReportDetail:			
targetMarketConstellation	int	Optional	Defines the target market constellation of the volumes belong to" **Target Market Constellation**"
volumeNumberOfSales	int	Optional	The sales volume of the "MiFID 2 Sales Report" in numbers of trades (e.g. to separate investors) sold in the identified constellation. 200 = 200 Trades Rule: At least one of the following must be set: volumeInAmount volumeInUnits volumeInPercentage volumeInNumberOfSales
volumeInUnit	double	Optional	The sales volume of the "MiFID 2 Sales Report" in Units sold in the identified constellation. 10 = 10 Units (e.g. shared) Rule: At least one of the following must be set: volumeInAmount volumeInUnits volumeInPercentage volumeInNumberOfSales
volumeInCcy	double	Optional	The sales volume of the "MiFID 2 Sales Report" in currency sold in the identified constellation. 10000 = 10000 EUR Rule: At least one of the following must be set: volumeInAmount volumeInUnits volumeInPercentage volumeInNumberOfSales
volumeInPercentage	double	Optional	The sales volume of the "MiFID 2 Sales Report" in percentage sold in the identified constellation. 100% = 100 Rule: At least one of the following must be set: volumeInAmount volumeInUnits volumeInPercentage volumeInNumberOfSales
numberOfInvestors	int	Optional	This attributes contains the details behind the "aggregatedDataValue" attribute in "MiFID1SalesReportHeader"-Object
transactionReferenceCode	string(128)	Optional	Reference Code used to identify the transaction
transactionStatus	int	Recommended	The attribute **" Transaction status"** indicates if sales were made in "Negative Target Market" or "Negative Distribution Channel"
addionalFeedbackReport	string(2000)	Optional	This field can be used in case "MiFID 2 Sales Report" is not transmitted in structured but in unstructured form (i.e. free text).
isSalesWithinRestrictedJurs	boolean	Optional	The "Sales within Restricted Jurisdictions" gives an indication in this case the sales happened within a jurisdiction which is restricted or not.
appropriatenessTestType	int	Optional	The "**Appropriateness Test Type**" informs about the result of the appropriateness test
Complaint:			
complaintType	int	Mandatory	The "**Complaint Type**" defines the type of the related complaint.
commentForDeviationComplaint	string(400)	Optional	This attribute defines the textual of the "**Comment for deviation complaint**" 99 (= "other).

Attribute Name	Data Type	Condition	Description and Rule
			Rule: If “deviationReasonType” equals “99” then → Field fillable Else → Not fillable
Reason:			
deviationReasonType	int	Mandatory	The “**Deviation Reason Type**” defines the type of the related deviation reason.
commentForDeviationReason	string(400)	Optional	This attribute defines the textual of the “**Comment for deviation reason**” 99 (= other). **Rule:** If “deviationReasonType” equals “99” then → Field fillable Else -→ Not fillable
TMReportingDimension:			
targetMarketConstellationDetail	int	Mandatory	The “**Target Market Constellation Details**” allows to define the specifc constellation of a sales. E.g. it allows to repot on a specific volume AND communicate the constellation of the sales (constellation in the meaning of client-type/ distributor type / product in the context of Target Market). Use Cases 1) It allows to define which client type, distribution type or product aspect was outside the defined target market 2) In certain cases probably only one parameter (e.g. distribution) was outside target market. In this case the distributor may still wish to give information about the client type, even this was within the defined Target Market 3) Maybe the whole constellation of the sales was within the target market, but the distributor got a complaint. In this case he may still want to report the constellation (client type, distribution type) of the sales.
ReportDimension:			
reportType	int	Mandatory	The “**Report Type**” defines to which client type this “Outside Target Market” sales were made. Remark: Maybe the “ReportType” itself is within the “Target Market” (as defined by the manufacturer).
ClientDimension:			
clientType	int	Mandatory	The “**Client Type**” defines to which client type this “Outside Target Market” sales were made. Remark: Maybe the “Client Type” itself is within the “Target Market” (as defined by the manufacturer). (business comment: As soon as Either Client type or Distribution type is not equal "98" (not broken down), this is high level report. Otherwise this is specific/detailed report)
DistributorDimension:			
distributionType	int	Mandatory	The “Distribution Type” defines via which distribution channel this “Outside Target Market” sales were made. Remark: Maybe the “Distribution Type” channel itself is within the target market (as defined by the manufacturer). (business comment: As soon as Either Client type or Distribution type is not equal "98" (not broken down), this is high level report. Otherwise this is specific/detailed report).
RegionDimension:			
specificJurisdictions	array 0-n (string(2))	See Rule	This attribute contains an array of specific jurisdictions in which the Document metadata is valid. The values have to be according

Attribute Name	Data Type	Condition	Description and Rule
			to I**SO 3166-1 (two letter code).** **Rule:** The attribute “regionType” or “specificJurisdictions” is **Mandatory (KEY).** **Rule:** If “specificJurisdictions” contains data →T**he attribute “specificJurisdictions”has the higher priority as the attribute “regionType”** Else → **The attribute “regionType” has the higher priority**
regionType	int	See Rule	The attribute “**Region Type**” describes the region for which the instrument data is valid. **Rule:** The attribute “regionType” or “specificJurisdictions” is **Mandatory (KEY)**. **Rule:** If “specificJurisdictions” contains data →**The attribute “specificJurisdictions” has the higher priority as the attribute “regionType”** Else → **The attribute “regionType” has the higher priority**
ProductDimension:			
productArea	int	Mandatory	Distributor can define the related “**Product Area**” on the Sales Report
specificProductArea	int	Mandatory	Distributor can define the related “**Specific Product Area**” on the Sales Report

Table 12: Sales report (SR) attributes

2.7. Utility Objects

This chapter describes all utility classes. A utility object does not belong to the actual business objects but they serve several additional information along the main business objects.

2.7.1. SIX RegHub Member

The utility object model and the listed attributes below provide an overview of the SIX RegHub Member object. The explicit representation in the services format is shown in a later chapter.

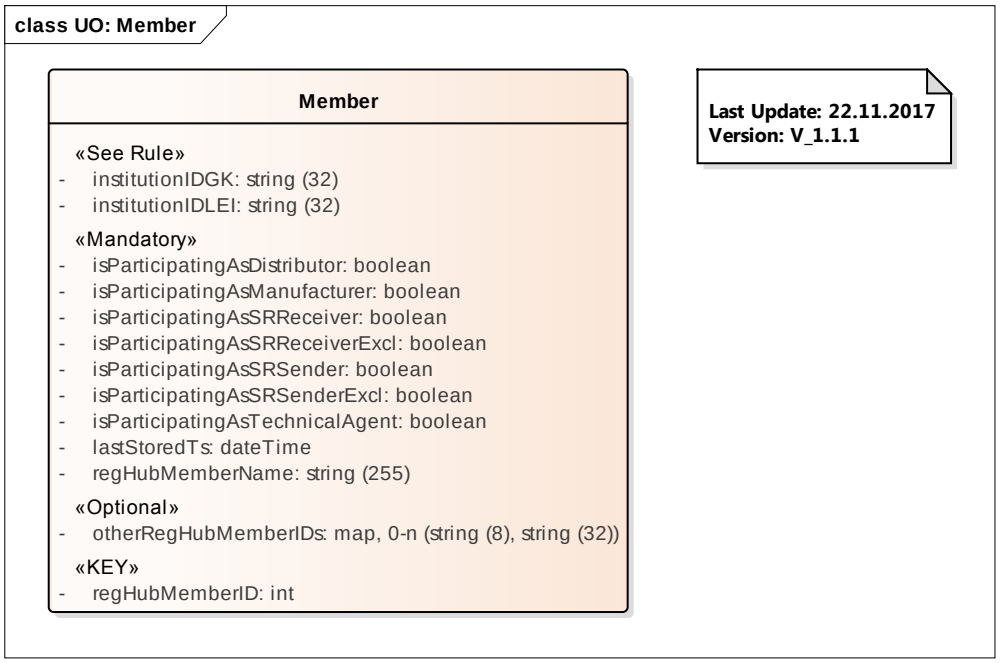

Figure 10: Utility Object: SIX RegHub Member

Description of the class:

- **Member:** This class provides an overview of all legal entity which uses the SIX RegHub. In addition to the “SIX RegHub Member Identifier” and the “SIX RegHub Member Name” all functions are displayed that a SIX RegHub Member uses. This overview is important to see for example who wants to receive a SalesReport via the SIX RegHub.

Attribute Name	Data Type	Condition	Description and Rule
Member:			
regHubMemberID	int	Mandatory (KEY)	This attribute contains the “RegHub Member ID” (five-digit number, e.g. “12345”). This RegHub internal identifier is used for adding members to entitlement channels for content data or submitting “MiFID 2 Sales Reports” to a receiving member.
isParticipatingAsDistributor	boolean	Mandatory	This attribute defines if the member is participating as a “Distributor” to SIX RegHub.
isParticipatingAsManufacturer	boolean	Mandatory	This attribute defines if the member is participating as a “Manufacturer” to SIX RegHub.
isParticipatingAsSRReceiver	boolean	Mandatory	This attribute defines if the member is participating as a “Receiver” of “MiFID 2 Sales Reports” to SIX RegHub.
isParticipatingAsSRReceiverExcl	boolean	Mandatory	This attribute defines if the member is participating exclusively as a “Receiver” of “MiFID 2 Sales Reports” to SIX RegHub.
isParticipatingAsSRSender	boolean	Mandatory	This attribute defines if the member is participating as a “Sender” of “MiFID 2 Sales Reports” to SIX RegHub.

isParticipatingAsSRSenderExcl	boolean	Mandatory	This attribute defines if the member is participating exclusively as a “Sender” of “MiFID 2 Sales Reports” to SIX RegHub.
isParticipatingAsTechnicalAgent	boolean	Mandatory	This attribute defines if the member is participating as a “Technical Agent” to SIX RegHub.
lastStoredTs	dateTime	Mandatory	SIX RegHub produced attribute: This attribute provides the information when the data record was stored in SIX RegHub.
regHubMemberName	string (255)	Mandatory	This attribute contains the “RegHub Member Name”.
institutionIDGK	string (32)	See Rule	This attribute contains the “RegHub Member's Institutions ID” for the “Institution Scheme GK”. **Rule:** - “institutionIDGK” or “institutionIDLEI” is **Mandatory**
institutionIDLEI	string (32)	See Rule	This attribute contains the “RegHub Member's Institutions ID” for the “Institution Scheme LEI”. **Rule:** - “institutionIDGK” or “institutionIDLEI” is **Mandatory**
otherInstitutionIDs	map, 0-n (string (8), string (32))	Optional	A map of “**Institution Scheme**” and “Institution Identifiers” for the “RegHub Member”.

Table 13: Utility Object: SIX RegHub Member

2.8. Definitions for scheme fields (general)

This chapter describes the schema fields across the whole Business Objects.

2.8.1. Institution Scheme

Scheme Name	Description		
Institution Scheme string (8)	**BIC**	=	Bank Identifier Code (ISO 9362)
	CIF	=	Spanish Fiscal Identification Code
	CVR	=	Danish CVR Number
	GK	=	SIX Internal Institution ID (Gesellschafts-Key)
	LEI	=	Legal Entity Identifier (ISO 17442)
	MDY	=	Moody's Institution Identification
	RCS	=	French Register Number
	S&P	=	Standard&Poor's Institution Identification
	UIC	=	Italian Issuer Identification Number
	UKCN	=	UK Company Number
	VP	=	VP Issuer ID

Table 14: Institution Scheme

2.8.2. Instrument Scheme

Scheme Name	Description		
Instrument Scheme string (8)	**I-**	=	ISIN
	CH	=	Swiss Valorennumber
	DE	=	German NSIN (WKN)
	GB	=	SEDOL (**1.**)
	US	=	CUSIP (**2.**)
	FR	=	Euroclear France
	R1	=	Supplier specific 1
	R2	=	Supplier specific 2
	R3	=	SIX DocGen OTC (e.g. unique product Identifier of Manufacturer)
	OTC	=	Composite OTC Identifier
	ETD-I-	=	ISIN hyphen "**Contract Side Type**" (**3.**)
	ETD-CH	=	Swiss Valorennumber hyphen "**Contract Side Type**" (**3.**)
	ETD-AII	=	AII (Alternative Instrument Identifier) hyphen "**Contract Side Type**" (**3.**)

Table 15: Instrument Scheme

Here are the explanations to the numbers listed above:

1. **SEDOL:** For a Distributor, the "Instrument Scheme" SEDOL requires a data license. Otherwise SIX is not allowed to distribute this "Instrument Scheme" and the "Instrument ID" in a machinable readable way (via file delivery or via REST services). If the data license is not available, the "Instrument Scheme" SEDOL and the "Instrument ID" are filtered out of the answer.
2. **CUSIP:** For a Distributor, the "Instrument Scheme" CUSIP requires a data license. Otherwise SIX is not allowed to distribute this "Instrument Scheme" and the "Instrument ID" in a machinable readable way (via file delivery or via REST services). Because the US-ISINs consists from the CUSIP, the US ISINs (ISIN begins with: US, CA, AN, KY, VG, BM and BS) fall under the same data license and are treated the same. If the data license is not available, the "Instrument Scheme" CUSIP and the below described ISINs and the "Instrument ID" are filtered out of the answer.
3. **ETD-***: The Derivative Exchanges will provide aggregated KIDs for the buy-side (long) and the sell-side (short). Besides the related Content data e.g. Target Market data can be different depending on if the investor buys or sells an ETD (Exchange traded derivatives) contract. As a consequence a new ETD identifier has to be introduced to uniquely identify the KID and the Content data which is related to the buy and the sell-side.
   The ETD identifier is a combination of an unique instrument identifier (e.g. ISIN, Swiss Valorennumber, etc.), a hyphen and a unique "**Contract Side Type**" (1=long/ 2=short).

2.9. Enumeration definitions for type fields (general)

This chapter describes the enumerations fields across the whole Business Objects.

2.9.1. Contract Side Type

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

Table 16: Contract Side Type

2.9.2. ETD Product Type

Scheme Name	Description
ETD Product Type	**1** = Option call **2** = Option put **3** = Future

Table 17: ETD Product Type

2.9.3. Publication Classification Type

Scheme Name	Description
Publication Classification Type	**1** = Public publishing **2** = Closed user group (clients of the Distributor)

Table 18: Publication Classification Type

2.9.4. Region Type

Scheme Name	Description
Region Type	**1** = EEA (European Economic Area) **2** = EU (European Union)

Table 19: Region Type

2.9.5. SIX Model Compliance Type

Scheme Name	Description
SIX Model Compliance Type	**1** = Partially compliant **10** = Fully compliant

Table 20: SIX Model Compliance Type

2.9.6. Sourcing Strategy Type

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

Table 21: Sourcing Strategy Type

2.10. Enumeration definitions for type fields (only for DMD)

This chapter describes the enumerations for type fields only for the Business Object Document metadata.

2.10.1. Document Type

Type Name	Description		
Document Type	**Investor protection regulatory documents:**		
	1	=	PRIIP KID
	2	=	German PIB
	3	=	UCITS/ AIF (Non-UCITS) KIID
	4	=	Spanish Order Documents
	5	=	Swiss BIB
	6	=	Italian Scheda prodotto
	7	=	Multi Option Products (MOP) style: Generic including KID
	8	=	Multi Option Products (MOP) style: Generic plus supplements
	Publication and certification obligations:		
	101	=	Prospectus
	102	=	Semi-annual Report
	103	=	Annual Report
	104	=	Terms of Contract
	105	=	Interim Report Short Form
	106	=	Additional Information for Investors
	107	=	Simplified Prospectus
	108	=	Product Highlight Sheet
	109	=	Key Fact Statement
	110	=	Regulations/ Fund Regulation
	111	=	Annual Report Short Form
	112	=	Supplement Information Document
	113	=	Dividend Table
	114	=	Subscription Form
	115	=	Supplement Subscription Form
	116	=	Trimestrial Financial Report
	117	=	§ 21 Abs. 1 AIFMG - Angaben
	118	=	Audit Report
	119	=	Termsheet
	120	=	Legal Publication
	Marketing material:		
	201	=	Monthly Report
	202	=	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

Table 22: Document Type

2.10.2. Generation Method Type

Type Name	Description		
Generation Method Type	**1**	=	Generated on the fly
	2	=	Pre-generated (intraday)
	3	=	Pre-generated on a daily basis only (or even more infrequently)
	9999	=	Unknown

Table 23: Generation Method Type

2.10.3. MIME Type

Type Name	Description		
MIME Type	**1**	=	application/pdf

Table 24: MIME Type

2.11. Enumeration definitions for type fields (only for CD)

This chapter describes the enumerations for type fields only for the Business Object Content data.

2.11.1. Complexity Local Flavor Type

Type Name	Description		
Complexity Local Flavor Type	**1**	=	Complex
	2	=	Non-complex
	3	=	Very/ highly complex

Table 25: Complexity Local Flavor Type

2.11.2. Complexity Type

Type Name	Description		
Complexity Type	**1**	=	Complex
	2	=	Non-complex

Table 26: Complexity Type

2.11.3. Costs Type

Type Name	Description		
Costs Type	**1**	=	Incidental Costs
	2	=	Incidental Costs Carried Interests
	3	=	Incidental Costs Performance Fee
	4	=	Inducement Costs
	5	=	Management Fee
	6	=	One-off Entry Costs
	7	=	One-off Entry Costs Acquired
	8	=	One-off Exit Costs
	9	=	One-off Exit Costs 1Y
	10	=	One-off Exit Costs Acquired
	11	=	One-off Exit Costs Half RHP
	12	=	One-off Exit Costs RHP
	13	=	One-off Exit Costs Structured Securities Prior RHP
	14	=	One-off Exit Costs Typical
	15	=	Ongoing Other Costs
	16	=	Ongoing Transaction Costs
	17	=	Net One-Off Entry Costs
	18	=	Gearing Costs
	101	=	Ongoing Other Costs (Accumulated)
	201	=	One-off Entry Costs (Maximum) Italy
	202	=	One-off Exit Costs (Maximum) Italy

Table 27: Costs Type

2.11.4. Credit Risk Measure (CRM) Class Type

Type Name	Description
Credit Risk Measure (CRM) Class Type	**1** = CR1 (Credit Risk Class 1) **2** = CR2 (Credit Risk Class 2) **3** = CR3 (Credit Risk Class 3) **4** = CR4 (Credit Risk Class 4) **5** = CR5 (Credit Risk Class 5) **6** = CR6 (Credit Risk Class 6)

Table 28: Credit Risk Measure (CRM) Class Type

2.11.5. Distribution Strategy Type

Type Name	Description
Distribution Strategy Type	**1** = Retail **2** = Professional **3** = Both **4** = Neither

Table 29: Distribution Strategy Type

2.11.6. EMT Instrument Legal Structure Type

Type Name	Description
EMT Instrument Legal Structure Type	**1** = Structured Securities **2** = Structured Funds **3** = UCITS **4** = Non UCITS **5** = UCITS Money Market Funds **6** = Non UCITS Money Market Funds **7** = Exchange Traded Commodities

Table 30: EMT Instrument Legal Structure Type

2.11.7. General Boolean Type

Type Name	Description
General Boolean Type	**1** = Yes **2** = No View / Neutral

Table 31: General Boolean Type

2.11.8. Hypothetical Investment Type

Type Name	Description
Hypothetical Investment Type	**1** = Lump Sum (LS), Single Premium (SP) **2** = Regular Premium (RP)

Table 32: Hypothetical Investment Type

2.11.9. Lifecycle Status Type

Type Name	Description		
Lifecycle Status Type	**1**	=	Indicative
	2	=	Active
	3	=	Inactive
	4	=	Deleted

Table 33: Lifecycle Status Type

2.11.10. Liquidity Risk Indicator (LRI) Type

Type Name	Description		
Liquidity Risk Indicator (LRI) Type	**1**	=	Material relevant liquidity risk
	2	=	Illiquid
	3	=	Liquid

Table 34: Liquidity Risk Indicator (LRI) Type

2.11.11. Manufacturer PRIIPs Scope Indicator Type

Type Name	Description		
Manufacturer PRIIPs Scope Indicator Type	**1**	=	Applicable - confirmed
	2	=	Not Applicable - confirmed

Table 35: Manufacturer PRIIPs Scope Indicator Type

2.11.12. Market Risk Measure (MRM) Class Type

Type Name	Description		
Market Risk Measure (MRM) Class Type	**1**	=	MR1 (Annualized volatility < 0.5%)
	2	=	MR2 (Annualized volatility 0.5% - 5%)
	3	=	MR3 (Annualized volatility 5% - 12%)
	4	=	MR4 (Annualized volatility 12% - 20%)
	5	=	MR5 (Annualized volatility 20% - 30%)
	6	=	MR6 (Annualized volatility 30% - 80%)
	7	=	MR7 (Annualized volatility >80%)

Table 36: Market Risk Measure (MRM) Class Type

2.11.13. Other MiFID 2 Risk Indicator Type

Type Name	Description		
Other MiFID 2 Risk Indicator Type	**2**	=	Low
	4	=	Medium
	6	=	High

Table 37: Other MiFID 2 Risk Indicator Type

2.11.14. Peculiarity Type

Type Name	Description		
Peculiarity Type	**1**	=	Simple contract
	2	=	Complex contract

Table 38: Peculiarity Type

2.11.15. Performance Scenario Type

Type Name	Description
Performance Scenario Type	**1** = Unfavorable **2** = Moderate **3** = Favorable **4** = Stress

Table 39: Performance Scenario Type

2.11.16. Period Type

Type Name	Description
Period Type	**1** = 1 Year **2** = RHP/2 **3** = RHP

Table 40: Period Type

2.11.17. Periodicity Type

Type Name	Description
Periodicity Type	**0** = Other Than **1** = Annual **2** = Biannual **4** = Quarterly **12** = Monthly **24** = Bimonthly **52** = Weekly **104** = Biweekly **252** = Daily

Table 41: Periodicity Type

2.11.18. PRIIPS Category Type

Type Name	Description
PRIIPS Category Type	**1** = PRIIPS Category 1 **2** = PRIIPS Category 2 **3** = PRIIPS Category 3 **4** = PRIIPS Category 4

Table 42: PRIIPS Category Type

2.11.19. Professional Target Market Type

Type Name	Description		
Professional Target Market Type	**1**	=	Positive Target market
	2	=	Negative Target market
	3	=	Positive and Negative Target market
	4	=	No View/ Neutral
	5	=	Positive Target market for Professional Per Se
	6	=	Positive Target market for Elective Professional
	7	=	Positive Target market for Professional Per Se & Elective Professional

Table 43: Professional Target Market Type

2.11.20. Sales Report Frequency Type

Type Name	Description		
Sales Report Frequency Type	**1**	=	Yearly
	2	=	Half-yearly
	3	=	Quarterly
	4	=	Monthly
	5	=	Daily

Table 44: Sales Report Frequency Type

2.11.21. Spanish SRI Type

Type Name	Description		
Distribution Type	**1**	=	SRISP1 (Spanish Summary Risk Indicator 1)
	2	=	SRISP2 (Spanish Summary Risk Indicator 2)
	3	=	SRISP3 (Spanish Summary Risk Indicator 3)
	4	=	SRISP4 (Spanish Summary Risk Indicator 4)
	5	=	SRISP5 (Spanish Summary Risk Indicator 5)
	6	=	SRISP6 (Spanish Summary Risk Indicator 6)

Table 45: Spanish SRI Type

2.11.22. Summary Risk Indicator (SRI) Type

Type Name	Description		
Summary Risk Indicator (SRI) Type	**1**	=	SRI1 (Summary Risk Indicator 1)
	2	=	SRI2 (Summary Risk Indicator 2)
	3	=	SRI3 (Summary Risk Indicator 3)
	4	=	SRI4 (Summary Risk Indicator 4)
	5	=	SRI5 (Summary Risk Indicator 5)
	6	=	SRI6 (Summary Risk Indicator 6)
	7	=	SRI7 (Summary Risk Indicator 7)

Table 46: Summary Risk Indicator (SRI) Type

2.11.23. Synthetic Risk and Reward Indicator (SRRI) Type

Type Name	Description		
Synthetic Risk and Reward Indicator (SRRI) Type	**1**	=	SRRI 1 (0% to <0,5%)
	2	=	SRRI 2 (≥0,5% to <2,0%)
	3	=	SRRI 3 (≥2,0% to <5,0%)
	4	=	SRRI 4 (≥5,0% to <10,0%)

	5	=	SRRI 5 (≥10,0% to <15,0%)
	6	=	SRRI 6 (≥15,0% to <25,0%)
	7	=	SRRI 7 (≥25,0%)

Table 47: Synthetic Risk and Reward Indicator (SRRI) Type

2.11.24. Target Market Type

Type Name	Description		
Target Market Type	**1**	=	Positive Target market
	2	=	Negative Target market
	3	=	Positive and Negative Target market
	4	=	No View/ Neutral

Table 48: Target Market Type

2.11.25. Tax Applicability Type

Type Name	Description		
Tax Applicability Type	**13**	=	Not applicable/ liable; confirmed
	33	=	In scope; confirmed
	35	=	Out of scope/ potentially in scope for combined transactions; confirmed
	37	=	Exempt qualified index; confirmed

Table 49: Tax Applicability Type

2.11.26. Tax Particularity Type

Type Name	Description		
Tax Particularity Type	**1**	=	Withholding tax paid by issuer

Table 50: Tax Particularity Type

2.11.27. Time Period Type

Type Name	Description		
Time Period Type	**1**	=	Year
	2	=	Month
	3	=	Week
	4	=	Day

Table 51: Time Period Type

2.11.28. UCITS Transaction Costs Methodology Type

Type Name	Description		
UCITS Transaction Costs Methodology Type	**1**	=	New PRIIPS methodology
	2	=	Full PRIIPS methodology
	3	=	Other methodology
	4	=	None
	5	=	Description

Table 52: UCITS Transaction Costs Methodology Type

2.11.29. Unit Type

Type Name	Description
Unit Type	**1** = Percentage (100% = 100) **2** = Absolute in “costCcy” **9999** = Not provided by source

Table 53: Unit Type

2.12. Enumeration definitions for type fields (only for SR)

This chapter describes the enumerations for type fields only for the Business Object Sales Report.

2.12.1. Appropriateness Test Type

Type Name	Description
Appropriateness Test Type	**1** = Passed **2** = Failed **96** = No information **98** = Not assessed **99** = Not relevant

Table 54: Appropriateness Test Type

2.12.2. Client Type

Type Name	Description
Client Type	**1** = Retail **2** = Professional **3** = EligibleCounterparty **4** = Both (Retail and Professional) **5** = Semi-Professional **6** = Institutional **98** = Not assessed **99** = Not relevant

Table 55: Client Type

2.12.3. Product Area

Type Name	Description
productrea	**1** = KnowledgeAndExperience **2** = FinancialSituationAbilityToBearLoss **3** = RiskTolerance **4** = ObjectivesAndNeeds **5** = Client Type **6** = Distribution Strategy **7** = Not within NTM **98** = Not assessed **99** = No information

Table 56: Product Area

2.12.4. Complaint Type

Type Name	Description		
Complaint Type	**1**	=	Lower performance than disclosed in unfavorable scenario
	2	=	More costs than disclosed pretrade
	3	=	Product behavior too difficult to understand for retail investor
	98	=	No complaints
	99	=	Other (possible add free text in "Comment for complaint")
	100	=	Not defined

Table 57: Complaint Type

2.12.5. Constellation Outside Target Market Type

Type Name	Description		
Constellation Outside Target Market Type	**1**	=	Within Negative Target Market
	2	=	Outside Positive Target Market

Table 58: Constellation Outside Target Market Type

2.12.6. Deviation Reason Type

Type Name	Description		
Deviation Reason Type	**1**	=	Hedging
	2	=	Portfolio diversification
	3	=	Tax optimization
	4	=	Implementation of client portfolio strategy (investment view)
	5	=	Exercise of (optional) right
	6	=	Client order/client demand
	7	=	Sophistication of client
	95	=	Other (possible add free text in (“Comment in Deviation Reason”)
	96	=	No information
	98	=	Not assessed
	99	=	Not relevant

Table 59: Deviation Reason Type

2.12.7. Distribution Type

Type Name	Description		
Distribution Type	**1**	=	AdvisedDistribution
	2	=	ExecutionOnly
	3	=	ExecutionSpecial
	4	=	PortfolioManagement
	5	=	Execution Only – Appropriateness test failed
	6	=	Execution with Appropriateness
	7	=	Not NDC
	98	=	Not assessed
	99	=	Not relevant

Table 60: Distribution Type

2.12.8. Report Status Type

Type Name	Description		
Report Status Type	**1**	=	In draft (only for UI)
	2	=	Reported

Table 61: Report Status Type

Type Name	Description

2.12.9. Reporting Unit Type

Type Name	Description		
Reporting Unit Type	**1**	=	Percentage (100% = 100)
	2	=	Absolute in “reportingCcy”
	3	=	Unites (total number of units in purchased)

Table 62: Reporting Unit Type

2.12.10. Comment for deviation complaint

Type Name	Description		
Comment for deviation complaint	**1**	=	Has Freetext
	2	=	Has no Freetext

Table 63: Comment for deviation complaint

2.12.11. Comment for deviation reason

Type Name	Description		
Comment for deviation reason	**1**	=	Has Freetext
	2	=	Has no Freetext

Table 64: Comment for deviation reason

2.12.12. Report Type

Type Name	Description		
Report Type	**1**	=	Total sales
	2	=	Report of sales within Positive Target market
	3	=	Report of sales within Negative Target market
	4	=	Report of sales within Positive and Negative Target market
	5	=	Report of sales within Target market within "No View/ Neutral"
	6	=	Report of sales within a not assessed Target market
	99	=	No information

Table 65: Report Type

2.12.13. Specific Product Area

Type Name	Description
Specific ProductArea	KnowledgeAndExperience **10** = Advanced **11** = Basics **12** = Expert Germany **13** = Informed FinancialSituationAbilityToBearLoss **20** = Capital Loss Maximum (Limited capital loss level) **21** = Fully protected capital (Clients who cannot bear capital loss) **22** = Loss of more than capital (Clients who can bear loss beyond capital) **23** = Not protected capital (Clients who cannot bear capital loss) **24** = Partially protected RiskTolerance **30** = RiskTolerance low risk **31** = RiskTolerance medium risk **32** = RiskTolerance high risk **33** = SRI **34** = SRRI **35** = Spanisch SRI **36** = Lowest risk tolerance (Germany) ObjectivesAndNeeds **40** = Capital püreservation (return profile) **41** = Cash liquidity supply (return) **42** = Growth **43** = Heding of captital **44** = Income **45** = Option or Leverage **46** = Others **47** = Pension Scheme Germany **48** = Retirement provision **49** = Time horizon long term **50** = Time horizon medium term **51** = Time horizon short term **52** = Time horizon very short term **53** = Time horizon recommended holding period **98** = Not assessed **99** = No information

Table 66: Specific Product Area

2.12.14. Indication of Additonal Feedback Summary of Salesreport

Type Name	Description
Indication of Additional Feedback Summary of Salesreport	**1** = No specific target market details **2** = Specific target market details **99** = Not defined

Table 67: Indication of Additional Feedback Summary of Salesreport

2.12.15. Indication of Complaint

Type Name	Description
Indication of Complaint	**1** = No Complaints

	2	=	Complaints
	99	=	Not defined

Table 68: Indication of Complaint

2.12.16. Indication of Sales Outside Target Market

Type Name	Description		
Indication of Sales Outside Target Market	**1**	=	Sales only within positive target market
	2	=	Sales outside positive target market
	3	=	Sales within negative target market
	4	=	Combination of cases
	99	=	Not defined

Table 69: Indication of Sales Outside Target Market

2.12.17. Indication of Specific Feedback on Target Market Report

Type Name	Description		
Indication of Specific Feedback on Target Market Report	**1**	=	No specific target market details
	2	=	Specific target market details
	99	=	Not defined

Table 70: Indication of Specific Feedback on Target Market Repor

Type Name	Description

Table 71: Reporting Date Type

2.12.18. Region Type

Type Name	Description		
Region Type	**1**	=	EEA (European Economic Area)
	2	=	EU (European Union)

Table 72: Region Type

2.12.19. Sourcing Strategy

Type Name	Description		
Sourcing Strategy	**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
	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 / documents calculated/generated by data supplier (not by manufacturer)
	7	=	Data / documents calculated/generated by SIX rule set (not by manufacturer)
	99	=	Sourcing strategy not defined
	999	=	Sourcing activity stopped

Table 73: Sourcing Strategy

2.12.20. Processing Information

Type Name	Description
Processing Information	**Date fields missing** **1** = No date provided by sender, which would indicate when this record was created. RegHub has set the date based on when the record was received. **2** = (MIFID relevant only) No date field provided for ex-post cost start date. RegHub has set the date based on when the record was received. **Basic reference data missing** **20** = Data source has only delivered manufacturer name (but not LEI). Based on name (and pre-defined mapping) LEI got mapped

Table 74: Processing Information

2.12.21. Target Market Constellation

Type Name	Description
Target Market Constellation	**1** = Total sales **2** = insidePositiveTargetMarket **3** = outsidePositiveTargetMarket **4** = insideNegativeTargetMarket **5** = neutral, i.e. neither inside positive nor negative target market

Table 75: Target Market Constellation

2.12.22. Target Market Constellation Details

Type Name	Description
Target Market Constellation	**1** = Positive Target market **2** = Negative Target market **3** = Positive and Negative Target market **4** = No View/ Neutral **5** = Not assessed **6** = No information

Table 76: Target Market Constellation Details

2.12.23. Reporting Format

Type Name	Description
reportingFormat	**1** = Exception reporting - Aggregate **2** = Exception reporting – Transaction Level **3** = Transaction Level Full Target Market Level

Table 779: Reporting Format

2.12.24. Reporting Aggregated Type

Type Name	Description
reportingAggregatedType	**1** = Investor **2** = Unit **3** = Volume

Table 80: Reporting Aggregated Type

2.12.25. Transaction Status

Type Name	Description		
transactionStatus	**1**	=	Not sold within NTM and/or NDC
	2	=	Sold within NTM and/or NDC as part of a diversified and/or hedged portfolio
	3	=	Sold within NTM and/or NDC due to disagreement with manufacturers TM assessment
	4	=	Sold within NTM and/or NDC due to other reasons

Table 81: Transaction Status

2.12.26. Transaction Distribution Channel

Type Name	Description		
transactionDistribution Channel	**1**	=	Execution Only
	2	=	Execution with Appropriateness Test - Passed
	3	=	Execution with Appropriateness Test - Failed
	4	=	Investment advice
	5	=	Portfolio Management

Table 82: Transaction Distribution Channel

3. API between SIX RegHub and Manufacturers

3.1. API: Overview

3.1.1. Term definitions

Term	Description
Full file delivery	"Full file" delivery: This means that a Technical Agent (or Manufacturer) provides his **complete** universe of Document metadata (DMD) or Content data (CD) with all filled attributes and structures into a file. TBD: Normally a "Full file" is sent during the night between 00:00 to 05:00 UTC and on a daily basis. Some Technical Agents may not send the full file daily, but maybe only weekly/ monthly (e.g. if they have very static products). Supported technologies are CSV or XML and can be submitted via SFTP/ FTP or email.
Delta file delivery	"Delta file" delivery: This feature (supported for DMD as well as CD) allows a Technical Agent to submit only what has changed between "Full file" deliveries. This is typically only a small set of data. TBD: To correctly interpret the changes, all keys and mandatory attributes must be provided and, of course, the changed attributes themselves (for further details see following chapters where the implementation of the corresponding file technologies is described). The minimum time interval between two "Delta file" deliveries is 15 minutes. However, the delta delivery approach is also supported via "REST service".
REST Service delivery	TBD: This means that a Technical Agent provides his DMD and/ or CD with all keys, mandatory attributes and the changed ones via the REST API to the SIX RegHub.

Table 78: Term definitions

3.1.2. Delivery Patterns

It is a very difficult task to connect several hundrets different Technical Agents to the SIX RegHub. The reason is that everyone already has it's own individual defined buiness processes and IT landscape run. The target is to provide a solution which can be integrated with a reasonable effort. For this reason, the SIX RegHub offers six different main "Delivery Patterns". Each of these patterns describes a possible delivery behavior of a Technical Agent.

Pattern	Description
Delivery Pattern 1	The Technical Agent delivers always a "Full file".
Delivery Pattern 2	The Technical Agent delivers one "Full file" every day, and during the day he delivers several "Delta files".
Delivery Pattern 3	The Technical Agent delivers periodically a "Full file" (E.g. once per week/ month, for verification purposes) and delivers a few dozen "Delta files" per day.
Delivery Pattern 4	The Technical Agent delivers one to a few dozen "Delta files" per day. He will never deliver a "Full File".
Delivery Pattern 5	The Technical Agent delivers periodically a "Full file" (E.g. once per week/ month, for verification purposes) and delivers all his changes near real time via the "REST Service".
Delivery Pattern 6	The Technical Agent delivers all his changes near real time via the rest "REST Service API". He will never deliver a "Full file".

Table 79: Delivery Patterns

The pattern proposal is better explained with the help of some scenarios.

Delivery scenario	Proposal
1. Rare data delivery to a maximum of one	For this scenario, SIX recommends using "Delivery Pattern 1".

	delivery daily.	
2.	Daily data delivery.	For this scenario, SIX recommends using “Delivery Pattern 1”.
3.	Multiple data deliveries within one day.	For this scenario, SIX recommends using “Delivery Pattern 2” or “Delivery Pattern 3”, because an additional “Full file” delivery improves the quality and the correctness of the data. The “Delivery Pattern 4" is also a valid option.
4.	Nearly real-time data deliveries within one day.	For this scenario, SIX recommends using “Delivery Pattern 5”, because an additional “Full file” delivery improves the quality and the correctness of the data (This makes a lot of sense if some products are changing fast (e.g. barrier reverse convertible)). However, the “Delivery Pattern 6” is also a valid option.

Table 80: Delivery scenarios and pattern proposal

3.2. File: Overview

3.2.1. Filename convention

The filename convention is documented with the Frontdoor Manual.

3.2.2. Delivery technology for files

The delivery technologies are documented with the Frontdoor Manual.

3.2.3. Feedback loop

If a file is sent via SFTP/ FTP to SIX RegHub, you can subscribe for a response from the SIX RegHub, if the file was successfully uploaded (asynchronously). The subscription must be placed with your onboarding manager.
After the success message the file delivery is finished. If a file is sent via email, you will not receive any direct response from the SIX RegHub (asynchronous) (See "**explanation of the notation**" in the sequence diagram). Afterwards, all uploaded files will be processed (standard FIFO, "first in, first out").
The Technical Agent has the possibility to get informed about the success or failure of each individual file processed file. This means, the Technical Agent receives an email with an extract of the logfile for each given file.
As default configuration the Technical Agent will be notified via email in case an error-event only.SIX recommends using the default setting, as otherwise an email flood is to be expected.

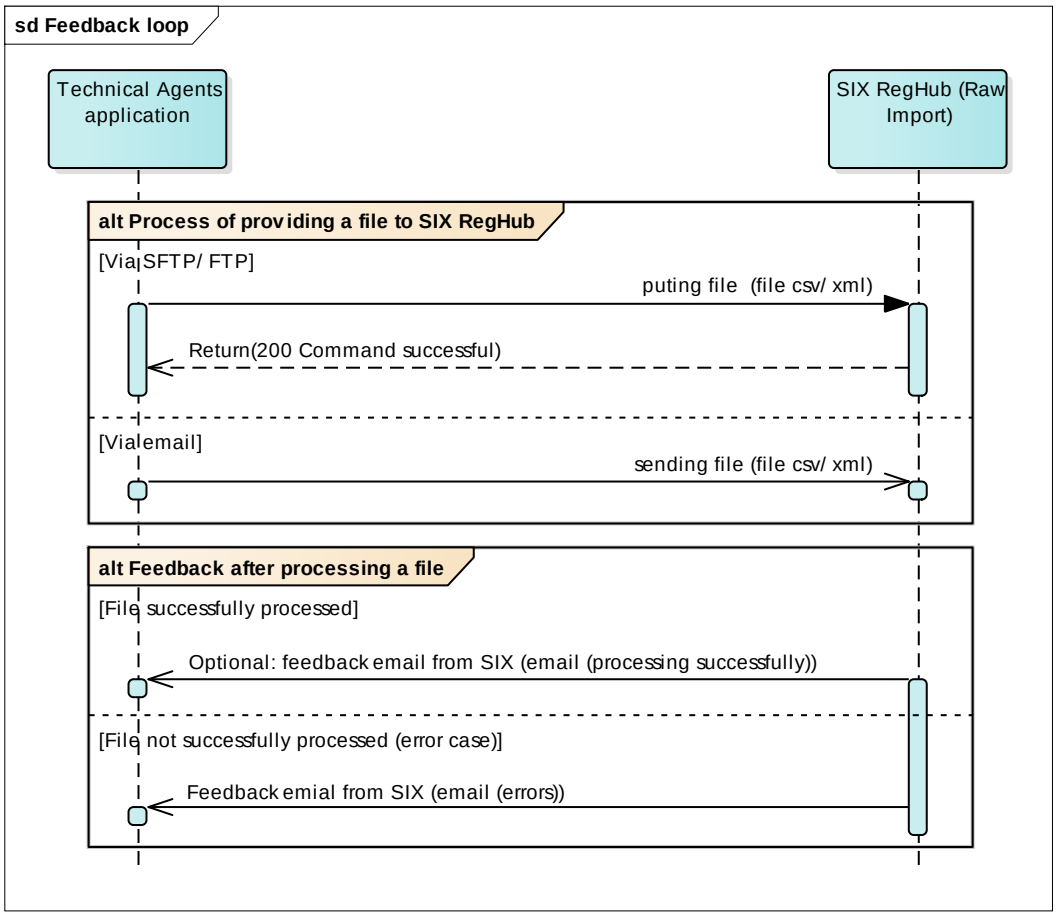

Figure 11: File: Feedback loop

3.2.4. Feedback email

This chapter describes the feedback email format, called in the previous chapter, and its structure.

Subject: "**ApplName**" - "**Filename**" - "**Status**" - "**Environment**"
Sender: "**EnvironmentMail**"

Body:
Dear Ladies and Gentlemen,

You receive this email as a result of an event within the application "**ApplName**":
- File: "**Filename**"
- Start: "**StartTs**"
- End: "**EndTs**"
- Total numbers of records processed: "**TotalNoRecords**"
- Successfully imported: "**NoSuccessful**"
- Failed: "**NoError**"
- Link: "**Link**"

Thank you for your attention.
Best regards
"**ApplName**"

This is an automatically generated email, please do not reply

Figure 12: Feedback email template

Element	Description
ApplName	The name of the application which sends the status mail **"SIX RegHub"**.
Filename	See "**Filename convention**" described in the chapter before.
Status	Possible answers are: • **processed sucessfully** • **processed with errors** • **could not be processed**
Environment	SIX RegHub is available in three environments: • **Prod = Production** • **MT2 = Membertest 2** • **MT1 = Membertest 1**
EnvironmentMail	SIX RegHub is available in three environments with different email addresses: • SIX-RegHub-Input@six-financial-information.com **= Production** • Test2.SIX-RegHub-Input@six-financial-information.com **= Membertest 2** • Test.SIX-RegHub-Input@six-financial-information.com **= Membertest 1**
StartTs, EndTs	The timestamp will be delivered in the following format: • **yyyy-mm-ddThh:mm:ss**
TotalNoRecords, NoSuccessfull, NoError	An integer value. In the case of a CSV File the specific row is counted. In the case of an XML file the main objects are counted.
Link	Providing a link with more details to download in case of an error.

Table 81: Elements of the feedback email

Subject: SIX RegHub - 20170530_090929_CH12345_M_F_2_00001.csv - processed with errors - Prod
Sender: SIX-RegHub-Input@six-financial-information.com

Body:
Dear Ladies and Gentlemen,

You receive this email as a result of an event within the application SIX RegHub:
- File: 20170530_090929_CH12345_M_F_2_00001.csv
- Start: 2017-05-30T09:12:11
- End: 2017-05-30T09:12:59
- Total numbers of records processed: 1000
- Successfully imported: 999
- Failed: 1
- Link: https://six-reghub.com/import/1234567890

Thank you for your attention.
Best regards
SIX RegHub

This is an automatically generated email, please do not reply

Figure 13: Feedback email example

3.2.5. CSV files

This chapter describes general information used for all CSV files for SIX RegHub.

Topic	Description
Column separation	"**;**" semicolon.
Encoding	The **encoding** used is UTF-8 without Byte Order Mark.
Escape character	If a value contains line breaks (**CRLF**) or the column separator (e.g. comma (**,**) or semicolon (**;**)), the complete value should be enclosed in double-quotes. If in an enclosure case, the value contains double-quotes (**"**) each double-quote has to be prefix with a double-quote. (RFC 4180). For example: • No enclosure: **aaa;bbb;ccc (orig. value: aaa/ bbb/ ccc)** • No enclosure: **a"aa;bbb;ccc (orig. value: aaa/ bbb/ ccc)** • Enclosure the column separator: **aaa;"b;bb";ccc (orig. value: aaa/ b;bb/ ccc)** Enclosure the column separator and double-quotes: **aaa;bbb; "c""c;""c" (orig. value: aaa/ bbb/ c"c;"c)**
File end convention	All csv files end with the text "**end**" in the last row.
Multiple value separator	"**|**" pipe. The pipe is used by the data types array and map to share the individual elements. E.g. Attribute: **distributions, array, 0-n (string (5))**: 12345**|**67890**|**C0002**|**C0006.

Table 82: General information for all used CSV files

Each CSV record starts with the following two mandatory attributes.

Attribute Name	Data Type	Condition	Description and Rule
modifier	string (1)	Mandatory	Describes the modification type of a record: **Full file delivery:** • **S = Static:** In the full file delivery, all records are marked as static. The full file delivery provides the whole universe of document metadata or content data. **Delta file delivery:** • **I = Insert:** A new record will be created. • **M = Modify:** Changes data in one record. From a record point of view all data in this record has to be provided. If an attribute is

			not set the interpretation will be that the value of an attribute will be delete. • **D = Delete:** Delete the complete record. In minimum all mandatory attributes has to be set. SIX recommends sending the complete filled record.
recordType	int	Mandatory	This attribute describes the type of a record. In the fact that classes have one-to-many relations, there is a need to build this fact in a record based structure: 1001 = InstrumentDMD 1002 = DocumentMetadata 1101 = Instrument 1110 = MiFID2 1111 = CostGroupMiFID2ExAnte 1112 = CostGroupMiFID2ExPost 1113 = TargetMarketMiFID2 1120 = PRIIP 1121 = CostGroupPRIIP 1122 = CostSection 1123 = NarrativeInformation 1124 = PerformanceScenario 1125 = PIA 1126 = UCITS 1130 = CEPT 1131 = CEPTCostSection 1132 = CEPTPerformanceScenario 1133 = Price 1140 = Tax871m 1141 = UnderlyingInstrument 1142 = DividendEquivalentAmount

Table 83: Mandatory attributes for all CSV files

3.2.6. XML files

This chapter describes general information used for all XML files for SIX RegHub.

Topic	Description
Root element	Each XML document has exactly one single root element. It encloses all the other elements and is therefore the sole parent element to all others. Root element = "**SIXRegHub**"
TLO	Top Level Object: This is the main class of an object group. All further classes and elements are subordinated to the parent class. In the SIX RegHub we have the following TLOs: TLO = "**Instrument**"
XML attribute "**et**"	The XML attribute "**Extract Type**" can be set only to the TLO: • **s = Static:** In the full file delivery, all TLO's are marked as static. The full file delivery provides the whole universe of Document metadata or Content data. If the "Extract Type" is defined as **static** the other XML attribute "Manipulation Type" can't set. • **u = Updatable:** In the delta file delivery, all TLO's are marked as updatable. If the "Extract Type" is defined as **updatable** the XML attribute "Manipulation Type" must set.
XML attribute "**mt**"	The XML attribute "**Manipulation Type**" can be set only to the TLO: • **i = Insert:** A TLO will be inserted. • **m = Modify:** Classes or elements of a TLO will be modified. • **d = Delete:** A TLO will be deleted.
Naming convention for a class	Camel case, the first letter for classes is capitalized.
One to one class relation	The relation is named like the class, but begins with a lowercase letter.
A to many class relation	The relation is named like the class, but begins with a lowercase letter and ends with an additional character "s".

Table 84: General information for all used XML files

Please note, that, in contrast to the CSV notation, the extract and manipulation type are in lower case.

Extract Type and Manipulation type are submitted with the TLO only. Update, delete or insert on classes and elements is processed as follows:

Modification Type “i”, i.e. insert:

- A TLO is created
- At least all mandatory classes and elements needs to be provided

Modification Type “m”, i.e. modify:

- The TLO is updated / modified
- At least all mandatory classes and elements needs to be provided
- If the value of a class / element is unchanged, the class / element will not be updated
- If a new, i.e. not submitted before, class / element is provided the new class / element is inserted
- If the value of a class / element is changed, the class / element will be updated with the new value
- If the value of a class / element is empty or not provided the class / element will be deleted

3.2.7. Modification Example: Update costGroupMiFID2ExPosts

To update, i.e. add a new CostGroupMiFID2ExPost entry, the TLO Instrument with the MiFID2 element is updated. Therefore, the mandatory attributes of the Instrument and MiFID 2 needs to be provided with the new CostGroupMiFID2ExPost record. Please note, a CostGroupMiFID2ExPost itself cannot be updated nor deleted. Any modification is a new CostGroupMiFID2ExPost record.

Example

```
<?xml version="1.0" encoding="UTF-8"?>
<SIXRegHub>
    <Instrument mt="m" et="u">
        <primaryInstrumentScheme>CH</primaryInstrumentScheme>
        <primaryInstrumentID>1234567</primaryInstrumentID>
        <primaryManufacturerScheme>LEI</primaryManufacturerScheme>
        <primaryManufacturerID>ABCDEFGHIJKLMNOPQRST</primaryManufacturerID>
        <primaryTechnicalAgentScheme>GK</primaryTechnicalAgentScheme>
        <primaryTechnicalAgentID>98754</primaryTechnicalAgentID>
        <supplierLastUpdateTs>2018-05-18T08:44:00+02:00</supplierLastUpdateTs>
        <MiFID2>
            <supplierLastUpdateTs>2018-05-18T08:44:00+02:00</supplierLastUpdateTs>
            <distributions>
                <distribution>22111</distribution>
                <distribution>22333</distribution>
            </distributions>
            <publicationClassificationType>2</publicationClassificationType>
            <sourcingStrategyType>1</sourcingStrategyType>
            <isReceivingSRViaSIX>1</isReceivingSRViaSIX>
            <receivingSRRegHubMemberID>22111</receivingSRRegHubMemberID>
            <oneOffEntryCosts>0.627</oneOffEntryCosts>
            <oneOffEntryCostsUnitType>1</oneOffEntryCostsUnitType>
            <costGroupMiFID2ExPosts>
                <CostGroupMiFID2ExPost>
                    <supplierLastUpdateTs>2018-0518T08:44:00+02:00</supplierLastUpdateTs>
                    <distributions>
                        <distribution>22111</distribution>
                        <distribution>22333</distribution>
                    </distributions>
                    <declarationDate>2018-05-18</declarationDate>
                    <exPostCostType>6</exPostCostType>
                    <periodStartDate>2018-05-17</periodStartDate>
                    <costUnitType>1</costUnitType>
                    <costValue>0.627</costValue>
                    <periodEndDate>2018-05-17</periodEndDate>
                    <calculationDate>2018-05-18</calculationDate>
                </CostGroupMiFID2ExPost>
            </costGroupMiFID2ExPosts>
        </MiFID2>
    </Instrument>
</SIXRegHub>
```

3.3. REST Service Overview

The detailed JSON schemas for each service are published with the SWAGGER UI and will be provided for download on the member area.

3.3.1. SIX RegHub API versions

The SIX RegHub API provides currently one main version. See the following table for more details.

SIX RegHub API version	Description
v1	Initial SIX RegHub REST API version.

Table 85: SIX RegHub: REST API versions

3.3.2. Environments

Topic	URL
Production:	
Base URL SIX API Portal	https://api.six-group.com
Base URL for SIX RegHub	https://api.six-group.com/api/reghub
Authentication/ Identity Server	**https://www.tkfweb.com/reghub/apilogin?FD_TID=175.000.200.005**
Member Test 2:	
Base URL SIX API Portal	https://api-vpd.six-group.com
Base URL for SIX RegHub	**https://api-vpd.six-group.com/api/reghub**
Authentication/ Identity Server	**https://wwwintegra.tkfweb.com/reghub/apilogin?FD_TID=175.000.200.003**
Member Test 1:	
Base URL SIX API Portal	https://api-etu.six-group.com
Base URL for SIX RegHub	https://api-etu.six-group.com/api/reghub
Authentication/ Identity Server	**https://wwwintegra.tkfweb.com/reghub/apilogin?FD_TID=175.000.200.002**

Table 86: SIX RegHub: REST API environments

3.3.3. Authentication for SIX RegHub

This chapter describes the authentication mechanism for SIX RegHub. Customer shall use this for a machine based authenticated connection. The flow consists of three steps:

1. Authenticating end-user
2. Authenticating client application
3. Use of the SIX RegHub API

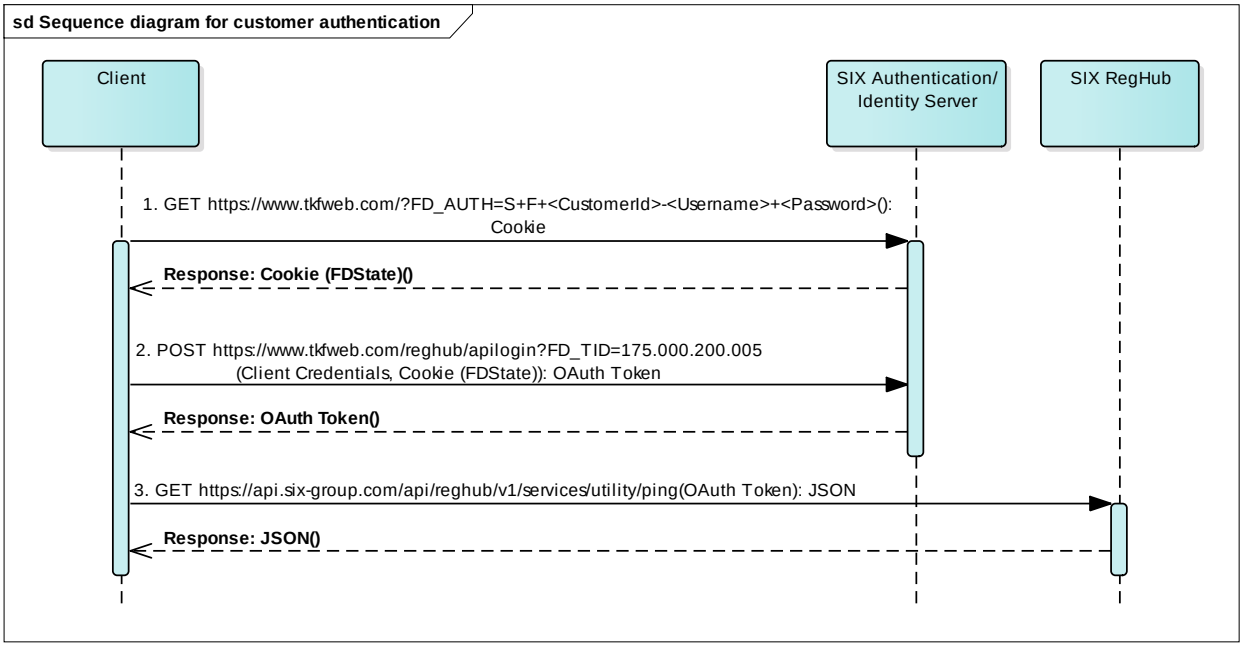

Figure 14: Authentication flow

1. Authenticating end-user:

Prior requesting an access token, the end-user must be authenticated with “FD_AUTH”. To authenticate the end-user the user's credentials (CustomerId, Username and Password (all attributes are case sensitive)) are necessary. To request an end-user authentication a http GET request must be sent in the following schema:

- https://www.tkfweb.com/?FD_AUTH=S+F+<CustomerId>-<Username>+<Password>"

Example:

URI:	GET https://www.tkfweb.com/?FD_AUTH=S+F+<**CustomerId**>-<**Username**>+<**Password**>
Header:	None
Body:	None

Figure 15: Detailed call: Authenticating end-user

Response:	HTTP/1.1 200 Ok
Header:	
content-type:	text/html
cookie:	FDState=b64-U2VzYW1lLWIhq3uBnT3FvKA3FEppay7Qt5-Hj4SItrLTQ8UzOKn-aLJ0AXTNlmLr7qpvNYrr9PnmyABg0kE8J5$37COo0OGoh8pkXIjzyx0FjIifpA-uhqsBdCUAOAgDdfmO4plGDKk9HCfb4CJiAbY9UdsvYmYiiC0eRjNu4lj3QcXV0j5Qzv5-LnXfVVOhcvcqOxTZbfq6nsncDRRN8EdiAhyvGm4-lUbbGdE$W498sMpP$-vu-GUndZbHz9uL8Eqa9Vd4N2lekQ7afSS7fj8OuCGC0QqSTxL0Gg2QYJ82UkRTGqOfkkdbMZG46HU=

Figure 16: Example of the response of the call Authenticating end-user

2. Authenticating client application:

If the user authentication was successful an access_token request can be issued. The access_token request must be sent in an http POST to the SIX authorization server with the following parameters. In addition, the FDState cookie received in the preceding step must be added to the request.

Attribute Name	Data Type	Condition	Description and Rule
“grant_type”	string	Mandatory	Must be set fix and afterward also the “client credentials”.
Client_id	string	Mandatory	The client application id.
Client_secrect	string	Mandatory	The client application secret.

Table 87: Body attributes for the call Authenticating client application

Example:

URI: POST https://www.tkfweb.com/reghub/apilogin?FD_TID=175.000.200.005

Header: None

Body:
grant_type=client_credentials&client_id=<**Client_id**>&client_secret=<**Client_secret**>
cookie: FDState=b64-U2VzYW1lLWIhq3uBnT3FvKA3FEppay7Qt5-Hj4SItrLTQ8UzOKn-aLJ0AXTNlmLr7qpvNYrr9PnmyABg0kE8J5$37COo0OGoh8pkXIjzyx0FjIifpA-uhqsBdCUAOAgDdfmO4plGDKk9HCfb4CJiAbY9UdsvYmYiiC0eRjNu4lj3QcXV0j5Qzv5-LnXfVVOhcvcqOxTZbfq6nsncDRRN8EdiAhyvGm4-IUbbGdE$W498sMpP$-vu-GUndZbHz9uL8Eqa9Vd4N2lekQ7afSS7fj8OuCGC0QqSTxL0Gg2QYJ82UkRTGqOfkkdbMZG46HU=

Figure 17: Detailed call: Authenticating client application

Response: HTTP/1.1 200 OK

Header: content-type: application/json

Body:
{"access_token":"**gmVwhg0Cw620q2ULBa9GQV7vqEEmu18V3Si6SJozc11RTaVKke9Shx**","token_type":"Bearer","expires_in":3599,"scope":"[resource.WRITE, resource.READ]"}

Figure 18: Example of the response of the call Authenticating client application

3. Use of the SIX RegHub API:

After the two authentication steps we try to check the REST Service availability (“…/services/utility/ping”). When calling an SIX RegHub API service the client application sends the access token with in the http header attribute “Authorization”.

Example:

URI: GET https://api.six-group.com/api/reghub/v1/services/utility/ping

Header:
authorization: Bearer **gmVwhg0Cw620q2ULBa9GQV7vqEEmu18V3Si6SJozc11RTaVKke9Shx**

Body: None

Figure 19: Detailed call: GET /services/utility/ping

Response: HTTP/1.1 200 OK

Header:
content-type: application/json

Body:
{
  "result": {
    "message": "Welcome to SIX RegHub",
    "version": "0.10-SNAPSHOT"
  },
  "notifications": []
}

Figure 20: Example of the response of the call GET /services/utility/ping

3.3.4. Response format of the REST services

The SIX RegHub returns a structured response for all REST services. In the response header part the following two attributes are important to describe:

Header Attributes	Description
content-type	The content-type header entity is used to indicate the media type of the resource. For example: • content-type: text/html; charset=UTF-8 • content-type: application/json
location	Responses from a POST- or PUT-REST Service include the attribute location in the header. It indicates the URL to the newly created resource. For example: • location: /instruments/I-/CH0012345678/LEI/888800ABCDEFGHIJKL00/LEI/12300ABCDEFKMQAKL12

Table 88: REST header attributes

In the response body part the JSON answer always contains the two attributes "result" and "notification".

Header Attributes	Description
result (as object “{ }”)	The result attribute includes either a complete JSON object or an array of JSON objects. The response data of the service call can then be found in the object.
result (as array “[ ]”)	The result attribute includes either a complete JSON object or an array of JSON objects. The response data of the service call can then be found in the array.
notification (as array “[ ]”)	The notifications attribute always contain an array of JSON objects (0..*) One notification object contains the following two attributes • **type**: A string enumeration with the values (“ERROR”, “INFO”, “WARNING”). • **message**: A simple string with the length of 4096 characters.

Table 89: REST body attributes

Response: HTTP/1.1 200 OK

Header:
content-type: application/json

Body:
```
{
  "result": [
    {
      "message": "The DocHub is up and ready."
    },
    {
      "message": "The DataHub is up and ready."
    }
  ],
  "notifications": []
}
```

Figure 21: Response example with the attribute result as array and zero notification objects

Response: HTTP/1.1 201 Created

Header:
content-type: application/json
location: https://api.six-group.com/api/reghub**/v1**/instruments/I-/CH0012345678/LEI/888800ABCDEFGHIJKL00/GK/188935

Body:
```
{
  "result": {
    "primaryKeyValues": {
      "primaryInstrumentScheme": "I-",
      "primaryInstrumentID": "CH0012345678",
      "primaryManufacturerScheme": "LEI",
      "primaryManufacturerID": "888800ABCDEFGHIJKL00",
      "primaryTechnicalAgentScheme": "GK",
```

```
        "primaryTechnicalAgentID": "188935"
      }
    },
    "notifications": [
      {
        "type": "WARNING",
        "message": "Recommended Field [/pRIIP/costCcy] is not set."
      },
      {
        "type": "WARNING",
        "message": "Recommended Field [/pRIIP/cEPT/costCcy] is not set."
      }
    ]
  }
```


Figure 22: Response example with the attribute result as object and two notification objects

3.3.5. Overview of all REST API Calls

The REST API provides functions to create, update and delete the business objects mentioned in the previous chapters. The following table shows all possible REST API calls for Manufacturers. If an API call is marked as **draft** this means that this call will not be productively available.

Resource	HTTP Method	Short Description
InstrumentDMD (Providing DMD):		
/v1/instrumentdmds	GET	Search for an InstrumentDMD with various parameters including parameters for Document metadata.
/v1/instrumentdmds	POST	Create a new InstrumentDMD with zero or more Document metadata records.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}	DELETE	Delete an InstrumentDMD with all dependent Document metadata records.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}	GET	Get an InstrumentDMD with all dependent Document metadata records.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}	PATCH (draft)	Update an Instrument and all Content data records by providing only the changed or new attributes with all needed keys.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}	PUT	Replace an InstrumentDMD and all Document metadata records by providing the complete updated InstrumentDMD and all Content data records.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/documentmetadatas	POST	Create one new Document metadata record under an existing InstrumentDMD.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/documentmetadatas/{documentID}	DELETE	Delete a Document metadata record.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/documentmetadatas/{documentID}	GET	Get a Document metadata record.

/v1/instrumentdmds/ {instrumentScheme}/{instrumentID}/ {manufacturerScheme}/{manufacturerID}/ {technicalAgentScheme}/{technicalAgentID} /documentmetadatas/{documentID}	PATCH (draft)	Update a Document metadata record by providing only the changed or new attributes with all needed keys.
/v1/instrumentdmds/ {instrumentScheme}/{instrumentID}/ {manufacturerScheme}/{manufacturerID}/ {technicalAgentScheme}/{technicalAgentID} /documentmetadatas/{documentID}	PUT	Replace a Document metadata record by providing the complete updated Document metadata record.
Instrument (Providing CD):		
/v1/instruments	GET	Search for an Instrument with various parameters.
/v1/instruments	POST	Create a new Instruments with zero or more Content data records.
/v1/instruments/ {instrumentScheme}/{instrumentID}/ {manufacturerScheme}/{manufacturerID}/ {technicalAgentScheme}/{technicalAgentID}	DELETE	Delete an Instrument with all dependent Content data records.
/v1/instruments/ {instrumentScheme}/{instrumentID}/ {manufacturerScheme}/{manufacturerID}/ {technicalAgentScheme}/{technicalAgentID}	GET	Get an Instrument with all dependent Content data records.
/v1/instruments/ {instrumentScheme}/{instrumentID}/ {manufacturerScheme}/{manufacturerID}/ {technicalAgentScheme}/{technicalAgentID}	PATCH (draft)	Update an Instrument and all Content data records by providing only the changed or new attributes with all needed keys.
/v1/instruments/ {instrumentScheme}/{instrumentID}/ {manufacturerScheme}/{manufacturerID}/ {technicalAgentScheme}/{technicalAgentID}	PUT	Replace an Instrument and all Content data records by providing the complete updated Instrument and Content data records.
/v1/instruments/ {instrumentScheme}/{instrumentID}/ {manufacturerScheme}/{manufacturerID}/ {technicalAgentScheme}/{technicalAgentID}/ (**mifid2 or priip or tax871m**)	DELETE	Delete the (MiFID2 or PRIIP or Tax871m) Content data record.
/v1/instruments/ {instrumentScheme}/{instrumentID}/ {manufacturerScheme}/{manufacturerID}/ {technicalAgentScheme}/{technicalAgentID}/ (**mifid2 or priip or tax871m**)	GET	Get the (MiFID2 or PRIIP or Tax871m) Content data record.
/v1/instruments/ {instrumentScheme}/{instrumentID}/ {manufacturerScheme}/{manufacturerID}/ {technicalAgentScheme}/{technicalAgentID}/ (**mifid2 or priip or tax871m**)	PATCH (draft)	Update the (MiFID2 or PRIIP or Tax871m) Content data record by providing only the changed or new attributes with all needed keys.
/v1/instruments/ {instrumentScheme}/{instrumentID}/ {manufacturerScheme}/{manufacturerID}/ {technicalAgentScheme}/{technicalAgentID}/ (**mifid2 or priip or tax871m**)	POST	Create the new (MiFID2 or PRIIP or Tax871m) Content data record and paste it to the given Instrument.
/v1/instruments/ {instrumentScheme}/{instrumentID}/ {manufacturerScheme}/{manufacturerID}/ {technicalAgentScheme}/{technicalAgentID}/ (**mifid2 or priip or tax871m**)	PUT	Replace the (MiFID2 or PRIIP or Tax871m) Content data record by providing the complete updated (MiFID2 or PRIIP or Tax871m) Content data record.
ExPostCosts:		
/manufacturerExPostAPI/v1/exPostCosts	POST (draft)	Submit a new ExPostCost element to RegHub. The element is appended. There is no correction of an ExPostCost record **This service is not yet provided and scheduled for a later release**
/manufacturerExPostQueryAPI/v1/exPostCosts	POST (draft)	Request ExPostCosts time series for defined Instruments of the manufacturers inventory,

/exPostCosts/v1/reports	POST (draft)	Request for a ExPostCost report as a file. The report is defined by the provided query filter and the file type is defined by the output type definition. The service returns a processing id identifying the request.
Sales Report:		
/v1/salesreports/receiver	GET	Get a list of all MifiDII Sales Report for the member is entitled to and where "**reportStatusType**" is in "7" or "8".
/v1/salesreports/receiver/{senderRegHubMemberID}/{report ID}	GET	Get the Sales Report with the reportId of the identified report sender, i.e. distributor member id. The sales reports needs to be visible to the receiver, if "**reportStatusType**" is in "7" or "8".
/v1/salesreports/receiver/{senderRegHubMemberID}/{report ID}/status	PUT (draft)	Update the "**reportStatusType**" of the Sales Report reportId of the identified report sender, i.e. distributor member id , to value "7" or "8".
/manufacturerSalesreportQueryAPI/v1/salesreport	POST (draft)	Request for Sales Report report. The report is defined by the provided query filter.
/manufacturerSalesreport/v1/salesreport	POST (draft)	Request for a SalesReport report as a file. The report is defined by the provided query filter. The service returns a processing id identifying the request.
Services:		
/v1/services/otcisin (private)	POST (draft)	Returns an OTC ISIN from ANNA-DSB.
/v1/services/utility/members	GET	Get all SIX RegHub Member with various information.
/v1/services/utility/ping	GET	Get some information on the SIX RegHub system. Will used for checks if the system is available.
Services: File Services		
/reportAPI/v1/reports/jobID	GET (draft)	Request the processing state of a request. The service returns the processing state and, in case of "Completed", the fileURL. The fileURL is valid for 48 hours.
<fileUrl>	GET (draft)	Returns the file, i.e. MIME attachment application/octet-stream

Table 90: Overview of the SIX RegHub REST API calls for Manufacturer

3.4. API: Document metadata (DMD)

3.4.1. CSV Format: DMD (version 2)

A description of the respective data type and an implementation in the corresponding technology can be found in chapter "**Description of Data Types**".
The following graphic gives an overview of the records and all the attributes in the CSV file for DMD. The attributes are numbered to indicate the sequence in the CSV file. The grouping is used to show the delivery condition for each attribute.

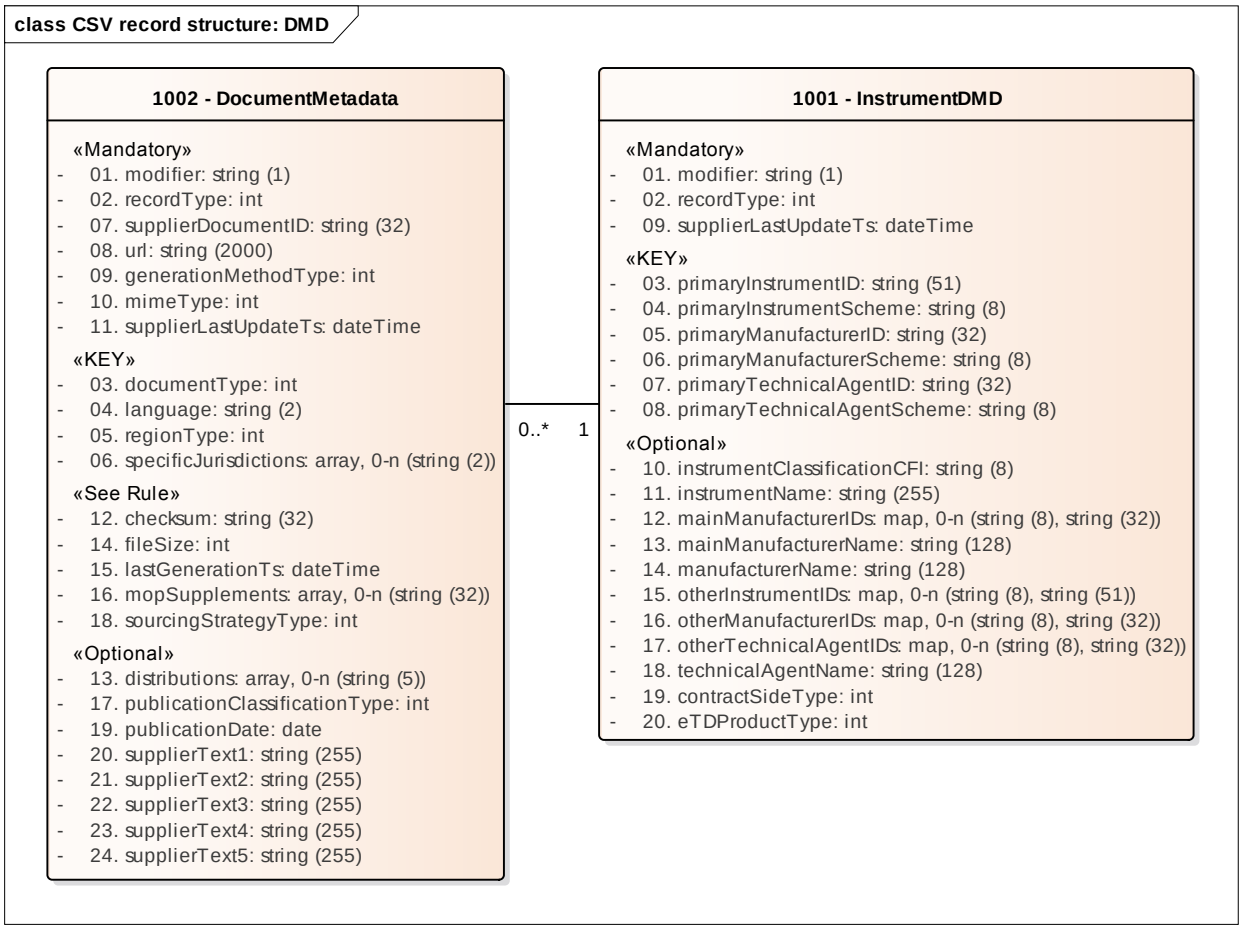

Figure 23: Overview CSV record structure for DMD

No	Attribute Name	Example
Record: 1001 - InstrumentDMD		
01	modifier	I
02	recordType	1001
03	primaryInstrumentID	CH0012345678
04	primaryInstrumentScheme	I-
05	primaryManufacturerID	888800ABCDEFGHIJKL00
06	primaryManufacturerScheme	LEI
07	primaryTechnicalAgentID	888800ABCDEFGHIJKL00
08	primaryTechnicalAgentScheme	LEI
09	supplierLastUpdateTs	2017-07-16T10:00:00+02:00
10	instrumentClassificationCFI	DB
11	instrumentName	Example Instrument

12	mainManufacturerIDs	GK=2211|LEI=9998811ABCDEFL00
13	mainManufacturerName	The Main Manufacturer
14	manufacturerName	The Instrument Manufacturer
15	otherInstrumentIDs	DE=D1234567|CH=1234567
16	otherManufacturerIDs	GK=2211|BIC=8888232
17	otherTechnicalAgentIDs	GK=2211|BIC=8888232
18	technicalAgentName	The Instrument Manufacturer
19	contractSideType	1
20	eTDProductType	2
Record: 1002 - DocumentMetadata		
01	modifier	I
02	recordType	1002
03	documentType	1
04	language	en
05	regionType	
06	specificJurisdictions	DE|CH
07	supplierDocumentID	
08	url	http://test.ch/1
09	generationMethodType	2
10	mimeType	1
11	supplierLastUpdateTs	2017-07-16T10:00:00+02:00
12	checksum	
13	distributions	12345|67890|C0002|C0006
14	fileSize	
15	lastGenerationTs	
16	mopSupplements	
17	publicationClassificationType	2
18	sourcingStrategyType	99
19	publicationDate	2017-07-17
20	supplierText1	Example Text 1
21	supplierText2	Example Text 2
22	supplierText3	Example Text 3
23	supplierText4	Example Text 4
24	supplierText5	Example Text 5

Table 91: DMD attributes in CSV format

The following example shows one CSV example (multi line) with one static TLO (InstrumentDMD record and two DocumentMedatada records). Important, this sample shows one complete object, it is a part out of a "**Full file**".

```
S;1001;CH0012345678;I-;888800ABCDEFGHIJKL00;LEI;888800ABCDEFGHIJKL00;LEI;2017-07-
16T10:00:00+02:00;DB;Example Instrument;GK=2211|LEI=9998811ABCDEFL00;The Main Manufacturer;The
Instrument Manufacturer;DE=D1234567|CH=1234567;GK=2211|BIC=8888232;GK=2211|BIC=8888232;The
Manufacturer;1;2;
S;1002;1;en;;DE|CH;;http://test.ch/1;2;1;2017-07-16T10:00:00+02:00;;12345|67890|C0002|C0006;;;;2;99;2017-07-
17;Example Text 1;Example Text 2;Example Text 3;Example Text 4;Example Text 5;
S;1002;8;de;2;;;http://test.ch/1;3;1;2017-07-16T10:00:00+02:00;2EF6BD36F9;12345|67890|C0002|C0006;122;2017-
07-16T10:00:00+02:00;CH0012345678|DE0012345678;2;99;2017-07-17;Beispiel Test 1;Beispiel Test 2;Beispiel Test
3;Beispiel Test 4;Beispiel Test 5;
end
```

Figure 24: Example part of a DMD file in CSV format ("Full file")

The following example shows one CSV example (multi line) with one new TLO (InstrumentDMD record and two DocumentMedatada records) wich will inserted. Important, this sample shows one complete object, it is a part out of a “**Delta file**”.

```
I;1001;CH0012345678;I-;888800ABCDEFGHIJKL00;LEI;888800ABCDEFGHIJKL00;LEI;2017-07-
16T10:00:00+02:00;DB;Example Instrument;GK=2211|LEI=9998811ABCDEFL00;The Main Manufacturer;The
Instrument Manufacturer;DE=D1234567|CH=1234567;GK=2211|BIC=8888232;GK=2211|BIC=8888232;The
Manufacturer;1;2;
I;1002;1;en;;DE|CH;;http://test.ch/1;2;1;2017-07-16T10:00:00+02:00;;12345|67890|C0002|C0006;;;;2;99;2017-07-
17;Example Text 1;Example Text 2;Example Text 3;Example Text 4;Example Text 5;
I;1002;8;de;2;;;http://test.ch/1;3;1;2017-07-16T10:00:00+02:00;2EF6BD36F9;12345|67890|C0002|C0006;122;2017-
07-16T10:00:00+02:00;CH0012345678|DE0012345678;2;99;2017-07-17;Beispiel Test 1;Beispiel Test 2;Beispiel Test
3;Beispiel Test 4;Beispiel Test 5;
end
```

Figure 25: Example part of a DMD file in CSV format (“Delta file”)

3.4.2. XML Format: DMD (version 2)

A description of the respective data type and an implementation in the corresponding technology can be found in chapter "**Description of Data Types**".
The following graphic gives an overview of the classes, relations and attributes in the XML file for DMD. The grouping is used to show the delivery condition for each attribute.

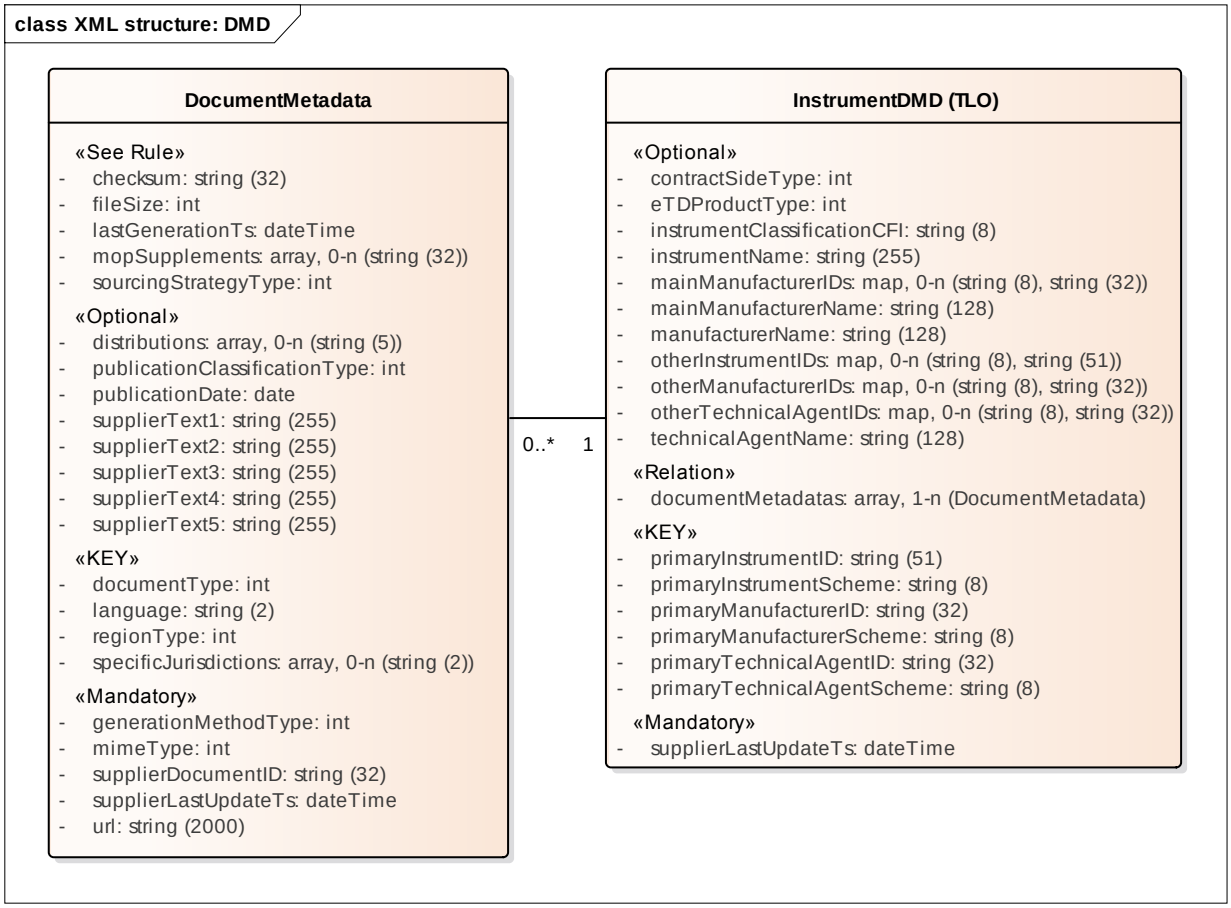

Figure 26: Overview XML structure for DMD

The DMD structure in XML is encapsulated with the root element "**SIXRegHub**". The explanation of the XML attributes "**et**" and "**mt**" is in the chapter "**General information for all used XML files**".
The following example shows one XML example with one static TLO (InstrumentDMD and two DocumentMedatada classes). Important, this sample shows one complete object, it is a part out of a "**Full file**".

```
<SIXRegHub>
  <InstrumentDMD et="s">
    <primaryInstrumentScheme>I-</primaryInstrumentScheme>
    <primaryInstrumentID>CH2112345678</primaryInstrumentID>
    <primaryManufacturerScheme>LEI</primaryManufacturerScheme>
    <primaryManufacturerID>888800ABCDEFGHIJKL00</primaryManufacturerID>
    <primaryTechnicalAgentScheme>LEI</primaryTechnicalAgentScheme>
    <primaryTechnicalAgentID>12300ABCDEFKMQAKL12</primaryTechnicalAgentID>
    <supplierLastUpdateTs>2017-07-16T10:00:00+02:00</supplierLastUpdateTs>
    <contractSideType>1</contractSideType>
    <eTDProductType>2</eTDProductType>
    <instrumentClassificationCFI>DB</instrumentClassificationCFI>
    <instrumentName>Example Instrument</instrumentName>
    <mainManufacturerIDs>
      <mainManufacturerID scheme="GK">2211</mainManufacturerID>
      <mainManufacturerID scheme="LEI">9998811ABCDEFL00</mainManufacturerID>
    </mainManufacturerIDs>
    <mainManufacturerName>The Main Manufacturer</mainManufacturerName>
```

```
    <manufacturerName>The Instrument Manufacturer</manufacturerName>
    <otherInstrumentIDs>
      <otherInstrumentID scheme="DE">2112345678</otherInstrumentID>
      <otherInstrumentID scheme="CH">D2112345678</otherInstrumentID>
    </otherInstrumentIDs>
    <otherManufacturerIDs>
      <otherManufacturerID scheme="GK">2211</otherManufacturerID>
      <otherManufacturerID scheme="BIC">8888232</otherManufacturerID>
    </otherManufacturerIDs>
    <otherTechnicalAgentIDs>
      <otherTechnicalAgentID scheme="GK">2211</otherTechnicalAgentID>
      <otherTechnicalAgentID scheme="BIC">8888232</otherTechnicalAgentID>
    </otherTechnicalAgentIDs>
    <technicalAgentName>The Instrument Manufacturer</technicalAgentName>
    <documentMetadatas>
      <DocumentMetadata>
        <supplierLastUpdateTs>2017-07-16T10:00:00+02:00</supplierLastUpdateTs>
        <distributions>
          <distribution>12345</distribution>
          <distribution>67890</distribution>
          <distribution>C0002</distribution>
          <distribution>C0006</distribution>
        </distributions>
        <publicationClassificationType>2</publicationClassificationType>
        <documentType>1</documentType>
        <language>en</language>
        <specificJurisdictions>
          <specificJurisdiction>DE</specificJurisdiction>
          <specificJurisdiction>CH</specificJurisdiction>
        </specificJurisdictions>
        <generationMethodType>2</generationMethodType>
        <mimeType>1</mimeType>
        <url><![CDATA[http://testdocument.ch/1]]></url>
        <sourcingStrategyType>99</sourcingStrategyType>
        <publicationDate>2017-07-17</publicationDate>
        <supplierText1><![CDATA[Example Text Document 1]]></supplierText1>
        <supplierText2><![CDATA[Example Text Document 2]]></supplierText2>
        <supplierText3><![CDATA[Example Text Document 3]]></supplierText3>
        <supplierText4><![CDATA[Example Text Document 4]]></supplierText4>
        <supplierText5><![CDATA[Example Text Document 5]]></supplierText5>
      </DocumentMetadata>
      <DocumentMetadata>
        <supplierLastUpdateTs>2017-07-16T10:00:00+02:00</supplierLastUpdateTs>
        <distributions>
          <distribution>67890</distribution>
          <distribution>C0006</distribution>
        </distributions>
        <publicationClassificationType>2</publicationClassificationType>
        <documentType>8</documentType>
        <language>de</language>
        <regionType>2</regionType>
        <generationMethodType>3</generationMethodType>
        <mimeType>1</mimeType>
        <url><![CDATA[http://testdocument.ch/2]]></url>
        <checksum>2EF6BD38F9</checksum>
        <fileSize>456</fileSize>
        <lastGenerationTs>2017-07-16T10:00:00+02:00</lastGenerationTs>
        <mopSupplements>
          <mopSupplement>CH2112345678</mopSupplement>
          <mopSupplement>DE2112345678</mopSupplement>
        </mopSupplements>
        <sourcingStrategyType>99</sourcingStrategyType>
        <publicationDate>2017-07-17</publicationDate>
        <supplierText1><![CDATA[Beispiel Test Dokument 1]]></supplierText1>
        <supplierText2><![CDATA[Beispiel Test Dokument 2]]></supplierText2>
        <supplierText3><![CDATA[Beispiel Test Dokument 3]]></supplierText3>
        <supplierText4><![CDATA[Beispiel Test Dokument 4]]></supplierText4>
        <supplierText5><![CDATA[Beispiel Test Dokument 5]]></supplierText5>
      </DocumentMetadata>
    </documentMetadatas>
  </InstrumentDMD>
</SIXRegHub>
```

Figure 27: Example part of a DMD file in XML format (“Full file”)

The following example shows one XML example with one new TLO (InstrumentDMD and two DocumentMedatada classes) wich will inserted. Important, this sample shows one complete object, it is a part out of a “**Delta file**”.

```
<SIXRegHub>
  <InstrumentDMD et="u" mt="i">
    <primaryInstrumentScheme>I-</primaryInstrumentScheme>
    <primaryInstrumentID>CH0012345678</primaryInstrumentID>
    <primaryManufacturerScheme>LEI</primaryManufacturerScheme>
    <primaryManufacturerID>888800ABCDEFGHIJKL00</primaryManufacturerID>
    <primaryTechnicalAgentScheme>LEI</primaryTechnicalAgentScheme>
    <primaryTechnicalAgentID>12300ABCDEFKMQAKL12</primaryTechnicalAgentID>
    <supplierLastUpdateTs>2017-07-16T10:00:00+02:00</supplierLastUpdateTs>
    <contractSideType>1</contractSideType>
    <eTDProductType>2</eTDProductType>
    <instrumentClassificationCFI>DB</instrumentClassificationCFI>
    <instrumentName>Example Instrument</instrumentName>
    <mainManufacturerIDs>
      <mainManufacturerID scheme="GK">2211</mainManufacturerID>
      <mainManufacturerID scheme="LEI">9998811ABCDEFL00</mainManufacturerID>
    </mainManufacturerIDs>
    <mainManufacturerName>The Main Manufacturer</mainManufacturerName>
    <manufacturerName>The Instrument Manufacturer</manufacturerName>
    <otherInstrumentIDs>
      <otherInstrumentID scheme="DE">D1234567</otherInstrumentID>
      <otherInstrumentID scheme="CH">1234567</otherInstrumentID>
    </otherInstrumentIDs>
    <otherManufacturerIDs>
      <otherManufacturerID scheme="GK">2211</otherManufacturerID>
      <otherManufacturerID scheme="BIC">8888232</otherManufacturerID>
    </otherManufacturerIDs>
    <otherTechnicalAgentIDs>
      <otherTechnicalAgentID scheme="GK">2211</otherTechnicalAgentID>
      <otherTechnicalAgentID scheme="BIC">8888232</otherTechnicalAgentID>
    </otherTechnicalAgentIDs>
    <technicalAgentName>The Instrument Manufacturer</technicalAgentName>
    <documentMetadatas>
      <DocumentMetadata>
        <supplierLastUpdateTs>2017-07-16T10:00:00+02:00</supplierLastUpdateTs>
        <distributions>
          <distribution>12345</distribution>
          <distribution>67890</distribution>
          <distribution>C0002</distribution>
          <distribution>C0006</distribution>
        </distributions>
        <publicationClassificationType>2</publicationClassificationType>
        <documentType>1</documentType>
        <language>en</language>
        <specificJurisdictions>
          <specificJurisdiction>DE</specificJurisdiction>
          <specificJurisdiction>CH</specificJurisdiction>
        </specificJurisdictions>
        <generationMethodType>2</generationMethodType>
        <mimeType>1</mimeType>
        <url><![CDATA[http://test.ch/1]]></url>
        <sourcingStrategyType>99</sourcingStrategyType>
        <publicationDate>2017-07-17</publicationDate>
        <supplierText1><![CDATA[Example Text 1]]></supplierText1>
        <supplierText2><![CDATA[Example Text 2]]></supplierText2>
        <supplierText3><![CDATA[Example Text 3]]></supplierText3>
        <supplierText4><![CDATA[Example Text 4]]></supplierText4>
        <supplierText5><![CDATA[Example Text 5]]></supplierText5>
      </DocumentMetadata>
      <DocumentMetadata>
        <supplierLastUpdateTs>2017-07-16T10:00:00+02:00</supplierLastUpdateTs>
        <distributions>
          <distribution>67890</distribution>
          <distribution>C0006</distribution>
        </distributions>
        <publicationClassificationType>2</publicationClassificationType>
```

```
        <documentType>8</documentType>
        <language>de</language>
        <regionType>2</regionType>
        <generationMethodType>3</generationMethodType>
        <mimeType>1</mimeType>
        <url><![CDATA[http://test.ch/2]]></url>
        <checksum>2EF6BD36F9</checksum>
        <fileSize>122</fileSize>
        <lastGenerationTs>2017-07-16T10:00:00+02:00</lastGenerationTs>
        <mopSupplements>
          <mopSupplement>CH0012345678</mopSupplement>
          <mopSupplement>DE0012345678</mopSupplement>
        </mopSupplements>
        <sourcingStrategyType>99</sourcingStrategyType>
        <publicationDate>2017-07-17</publicationDate>
        <supplierText1><![CDATA[Beispiel Test 1]]></supplierText1>
        <supplierText2><![CDATA[Beispiel Test 2]]></supplierText2>
        <supplierText3><![CDATA[Beispiel Test 3]]></supplierText3>
        <supplierText4><![CDATA[Beispiel Test 4]]></supplierText4>
        <supplierText5><![CDATA[Beispiel Test 5]]></supplierText5>
      </DocumentMetadata>
    </documentMetadatas>
  </InstrumentDMD>
</SIXRegHub>
```

Figure 28: Example of a DMD file in XML format (“Delta file”)

3.4.3. REST Service: DMD (version 1)

A description of the respective data type and an implementation in the corresponding technology can be found in chapter "**Description of Data Types**".
The following table give an overview of all REST operations for this topic.

3.4.3.1. Overview of all REST API Calls for DMD

If an API call is marked as **draft** this means that this call will not be productively available.

Resource	HTTP Method	Short Description
InstrumentDMD (Providing DMD):		
/v1/instrumentdmds	GET	Search for an InstrumentDMD with various parameters including parameters for Document metadata.
/v1/instrumentdmds	POST	Create a new InstrumentDMD with zero or more Document metadata records.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}	DELETE	Delete an InstrumentDMD with all dependent Document metadata records.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}	GET	Get an InstrumentDMD with all dependent Document metadata records.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}	PATCH (draft)	Update an Instrument and all Content data records by providing only the changed or new attributes with all needed keys.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}?strategy=UPSERT or MERGE	PUT	Replace an InstrumentDMD and all Document metadata records by providing the complete updated InstrumentDMD and all Content data records. Optional request parameter UPSERT: Execution of insert or update, existing records are fully replaced. Optional request parameter request parameter MERGE: Execution of insert or update, existing records are merged, i.e. for not delivered childs the values still exist. Default behavior is UPSERT.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/documentmetadatas	POST	Create one new Document metadata record under an existing InstrumentDMD.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/documentmetadatas/{documentID}	DELETE	Delete a Document metadata record.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/documentmetadatas/{documentID}	GET	Get a Document metadata record.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/documentmetadatas/{documentID}	PATCH (draft)	Update a Document metadata record by providing only the changed or new attributes with all needed keys.
/v1/instrumentdmds/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}	PUT	Replace a Document metadata record by providing the complete updated Document metadata record.

/documentmetadatas/{documentID}

Table 92: Overview of the SIX RegHub REST API calls for DMD

TBD: All chapters with the details REST Service description will be provided with the next specification version. Sample files can be downloaded from the SIX RegHub Member Area.

3.5. API: Content data (CD)

3.5.1. CSV Format: CD (version 1)

A description of the respective data type and an implementation in the corresponding technology can be found in chapter "**Description of Data Types**".
The following graphic gives an overview of the record and all the attributes in the CSV file for CD. The attributes are numbered to indicate the sequence in the CSV file. The grouping is used to show the delivery condition for each attribute.

3.5.1.1. Overview CSV record structure for CD

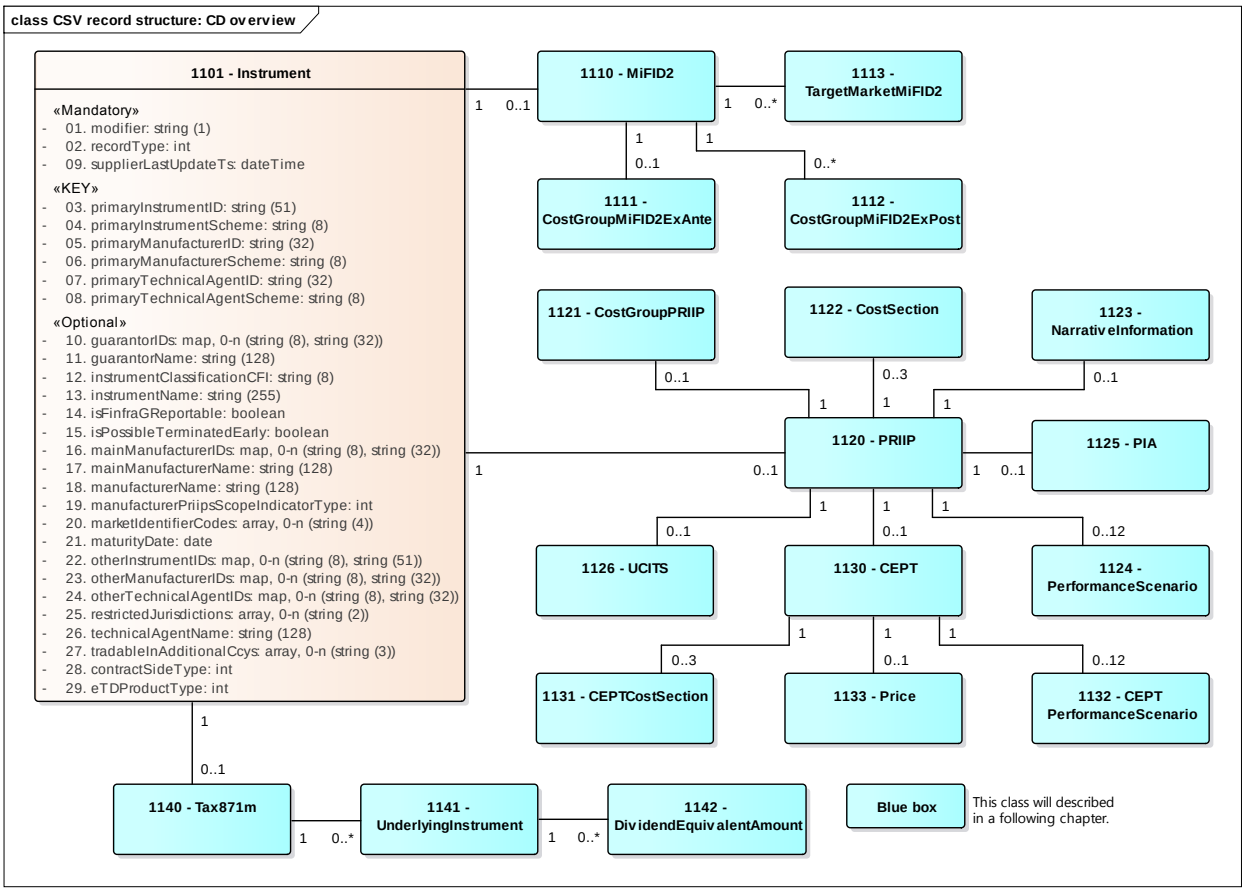

Figure 29: Overview CSV record structure for CD

No	Attribute Name	Example
Record: 1101 - Instrument		
01	modifier	I
02	recordType	1101
03	primaryInstrumentID	CH0012345678
04	primaryInstrumentScheme	I-
05	primaryManufacturerID	888800ABCDEFGHIJKL00
06	primaryManufacturerScheme	LEI
07	primaryTechnicalAgentID	888800ABCDEFGHIJKL00
08	primaryTechnicalAgentScheme	LEI
09	supplierLastUpdateTs	2017-07-17T00:00:00+02:00
10	guarantorIDs	GK=123148|BIC=2920933

11	guarantorName	Guarantor Name
12	instrumentClassificationCFI	DB
13	instrumentName	Example Instrument
14	isFinfraGReportable	1
15	isPossibleTerminatedEarly	0
16	mainManufacturerIDs	GK=2211|LEI=9998811ABCDEFL00
17	mainManufacturerName	The Main Manufacturer
18	manufacturerName	The Manufacturer
19	manufacturerPriipsScopeIndicatorType	1
20	marketIdentifierCodes	XFRA|DOTS
21	maturityDate	2017-07-17
22	otherInstrumentIDs	DE=D1234567|CH=1234567
23	otherManufacturerIDs	GK=2211|BIC=8888232
24	otherTechnicalAgentIDs	GK=2211|BIC=8888232
25	restrictedJurisdictions	DE|CH
26	technicalAgentName	The Manufacturer
27	tradableInAdditionalCcys	EUR|CHF
28	contractSideType	1
29	eTDProductType	2
30	manufacturerLEI	9998811ABCDEFL00
31	manufacturerEmail	manufacturer@xyz-group.com
32	productGovernanceProcess	1

Table 93: Instrument (part of CD) attributes in CSV format

The following example shows one CSV example (multi line) with one new TLO (Instrument with each Content data classes like MiFID2, PRIIP and Tax871m) which will be inserted. Important, this sample shows one complete object, it is a part out of a "**Delta file**". All the followed examples are part of this TLO splitted per model part.

```
I;1101;CH0012345678;I-;888800ABCDEFGHIJKL00;LEI;888800ABCDEFGHIJKL00;LEI;2017-07-
17T00:00:00+02:00;GK=123148|BIC=2920933;Guarantor Name;DB;Example
Instrument;1;0;GK=2211|LEI=9998811ABCDEFL00;The Main Manufacturer;The Manufacturer;1;XFRA|DOTS;2017-
07-17;DE=D1234567|CH=1234567;GK=2211|BIC=8888232;GK=2211|BIC=8888232;DE|CH;The
Manufacturer;EUR|CHF;1;2;
[Other parts possible]
end
```

Figure 30: Example of the Instrument part of a CD file in CSV format

3.5.1.2. CSV record structure for MiFID 2 (part of CD)

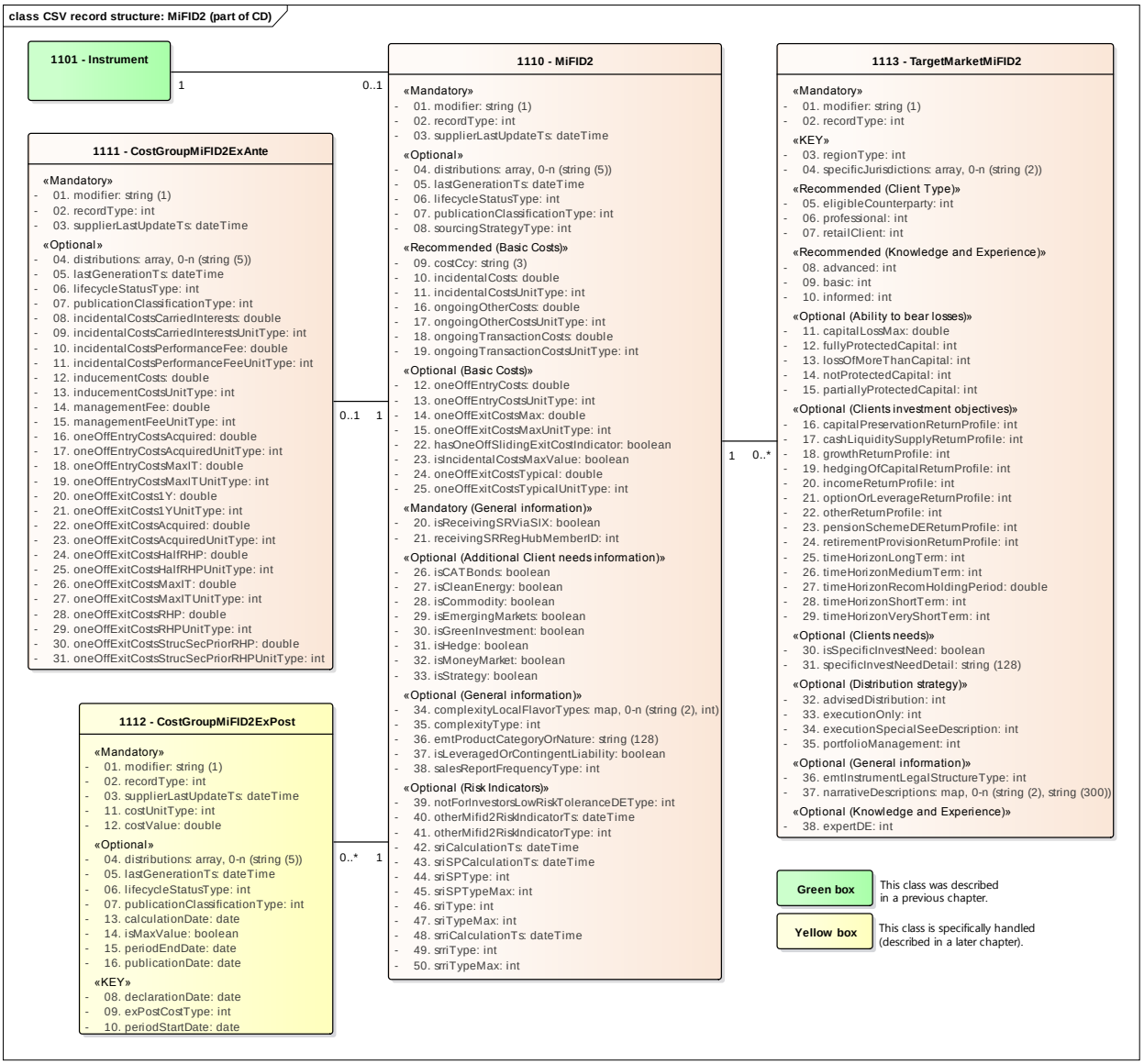

Figure 31: CSV record structure for MiFID 2 (part of CD)

No	Attribute Name	Example
Record: 1110 - MiFID2		
01	modifier	I
02	recordType	1110
03	supplierLastUpdateTs	2017-07-17T00:00:00+02:00
04	distributions	12345|67890|C0002|C0006
05	lastGenerationTs	2017-07-17T00:00:00+02:00
06	lifecycleStatusType	2
07	publicationClassificationType	1
08	sourcingStrategyType	1
09	costCcy	EUR
10	incidentalCosts	0.05
11	incidentalCostsUnitType	1
12	oneOffEntryCosts	0.0125

13	oneOffEntryCostsUnitType	1
14	oneOffExitCostsMax	1.293
15	oneOffExitCostsMaxUnitType	2
16	ongoingOtherCosts	3.303
17	ongoingOtherCostsUnitType	1
18	ongoingTransactionCosts	0.0125
19	ongoingTransactionCostsUnitType	1
20	isReceivingSRViaSIX	1
21	receivingSRRegHubMemberID	30932
22	hasOneOffSlidingExitCostIndicator	1
23	isIncidentalCostsMaxValue	0
24	oneOffExitCostsTypical	2.29
25	oneOffExitCostsTypicalUnitType	2
26	isCATBonds	0
27	isCleanEnergy	1
28	isCommodity	0
29	isEmergingMarkets	0
30	isGreenInvestment	1
31	isHedge	0
32	isMoneyMarket	1
33	isStrategy	0
34	complexityLocalFlavorTypes	DE=3|CH=1
35	complexityType	1
36	emtProductCategoryOrNature	EMT Template
37	isLeveragedOrContingentLiability	0
38	salesReportFrequencyType	5
39	notForInvestorsLowRiskToleranceDEType	2
40	otherMifid2RiskIndicatorTs	2017-07-16T11:30:00+02:00
41	otherMifid2RiskIndicatorType	4
42	sriCalculationTs	2017-07-17T00:00:00+02:00
43	sriSPCalculationTs	2017-07-16T02:00:00+02:00
44	sriSPType	2
45	sriSPTypeMax	4
46	sriType	3
47	sriTypeMax	7
48	srriCalculationTs	2017-07-17T00:00:00+02:00
49	srriType	2
50	srriTypeMax	5
51	recordInputFormatVersion	EMT_V1
52	inputFileGenerationDate	2017-07-17T00:00:00+02:00
53	hasPerformanceFee	1
54	hasDistributionOfCash	1
55	structuredSecuritiesProductCategoryOrNature	
56	structuredSecuritiesQuotation	1
Record: 1111 - CostGroupMiFID2ExAnte		
01	modifier	I
02	recordType	1111
03	supplierLastUpdateTs	2017-07-17T00:00:00+02:00
04	distributions	12345|67890|C0002|C0006
05	lastGenerationTs	2017-07-17T00:00:00+02:00
06	lifecycleStatusType	2
07	publicationClassificationType	1
08	incidentalCostsCarriedInterests	1.293

09	incidentalCostsCarriedInterestsUnitType	2
10	incidentalCostsPerformanceFee	2.398
11	incidentalCostsPerformanceFeeUnitType	2
12	inducementCosts	0.05
13	inducementCostsUnitType	1
14	managementFee	0.0125
15	managementFeeUnitType	1
16	oneOffEntryCostsAcquired	2.304
17	oneOffEntryCostsAcquiredUnitType	2
18	oneOffEntryCostsMaxIT	0.123
19	oneOffEntryCostsMaxITUnitType	1
20	oneOffExitCosts1Y	2.28
21	oneOffExitCosts1YUnitType	2
22	oneOffExitCostsAcquired	7.383
23	oneOffExitCostsAcquiredUnitType	2
24	oneOffExitCostsHalfRHP	8.05
25	oneOffExitCostsHalfRHPUnitType	2
26	oneOffExitCostsMaxIT	0.125
27	oneOffExitCostsMaxITUnitType	1
28	oneOffExitCostsRHP	0.09
29	oneOffExitCostsRHPUnitType	1
30	oneOffExitCostsStrucSecPriorRHP	4.932
31	oneOffExitCostsStrucSecPriorRHPUnitType	1
32	referenceValueExAnte	1000.00
33	referenceDateExAnte	2017-07-17
34	gearingCosts	0.0123
35	gearingCostsUnitType	1
36	netOnOffEntryCosts	0.0125
37	netOneOffEntryCostsUnitType	1
Record: 1112 - CostGroupMiFID2ExPost		
01	modifier	I
02	recordType	1112
03	supplierLastUpdateTs	2017-07-17T00:00:00+02:00
04	distributions	12345|67890|C0002|C0006
05	lastGenerationTs	2017-07-17T00:00:00+02:00
06	lifecycleStatusType	2
07	publicationClassificationType	1
08	declarationDate	2017-07-17
09	exPostCostType	5
10	periodStartDate	2017-07-18
11	costUnitType	2
12	costValue	5.938
13	calculationDate	2017-07-16
14	isMaxValue	
15	periodEndDate	2017-08-25
16	publicationDate	2017-07-16
17	referenceValueExPost	1000.00
18	referenceDateExPost	2017-07-17
Record: 1113 - TargetMarketMiFID2		
01	modifier	I
02	recordType	1113
03	regionType	
04	specificJurisdictions	EU|DE

05	eligibleCounterparty	4
06	professional	7
07	retailClient	3
08	advanced	3
09	basic	2
10	informed	4
11	capitalLossMax	0.0875
12	fullyProtectedCapital	2
13	lossOfMoreThanCapital	1
14	notProtectedCapital	2
15	partiallyProtectedCapital	2
16	capitalPreservationReturnProfile	4
17	cashLiquiditySupplyReturnProfile	2
18	growthReturnProfile	3
19	hedgingOfCapitalReturnProfile	2
20	incomeReturnProfile	3
21	optionOrLeverageReturnProfile	2
22	otherReturnProfile	1
23	pensionSchemeDEReturnProfile	3
24	retirementProvisionReturnProfile	3
25	timeHorizonLongTerm	5
26	timeHorizonMediumTerm	
27	timeHorizonRecomHoldingPeriod	12
28	timeHorizonShortTerm	
29	timeHorizonVeryShortTerm	
30	isSpecificInvestNeed	1
31	specificInvestNeedDetail	Ethical Invest Product
32	advisedDistribution	3
33	executionOnly	2
34	executionSpecialSeeDescription	3
35	portfolioManagement	4
36	emtInstrumentLegalStructureType	2
37	narrativeDescriptions	en=German Narrative Target Market|de=Deutsche Marktbeschreibung
38	expertDE	
39	timeHorizonHoldToMaturity	

Table 94: MiFID 2 (part of CD) attributes in CSV format

[Instrument part 1101]

I;1110;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-17T00:00:00+02:00;2;1;1;EUR;0.05;1;0.0125;1;1.293;2;3.303;2;0.0125;1;1;30932;1;0;2.29;2;0;1;0;0;1;0;1;0;DE=3|CH=1;1;EMT Template;0;5;2;2017-07-16T11:30:00+02:00;4;2017-07-17T00:00:00+02:00;2017-07-16T02:00:00+02:00;2;4;3;7;2017-07-17T00:00:00+02:00;2;5;
I;1111;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-17T00:00:00+02:00;2;1;1.293;2;2.398;2;0.05;1;0.0125;1;2.304;2;0.123;1;2.28;2;7.383;2;8.05;2;0.125;1;0.09;1;4.932;1;
I;1112;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-17T00:00:00+02:00;2;1;2017-07-17;5;2017-07-18;2;5.938;2017-07-16;;2017-08-25;2017-07-16;
I;1113;2;;4;7;3;3;2;4;0.0875;2;1;2;2;4;2;3;2;3;2;1;3;3;;;12;;;1;Ethical Invest Product;3;2;3;4;2;de=Europ. Marktbeschreibung|en=European Narrative Target Market;;
I;1113;;DE;4;7;3;3;2;4;0.03075;2;1;2;2;4;2;3;2;3;2;1;3;3;;;12;;;1;Ethical Invest Product;3;2;3;4;2;de=Deutsche Marktbeschreibung|en=German Target Market Description;3;
I;1113;;CH;4;7;3;3;2;4;0.01075;2;1;2;2;4;2;3;2;3;2;1;3;3;;;12;;;1;Ethical Invest Product;3;2;3;4;2;de=Schweizer Marktbeschreibung|en=Swiss Target Market Description;;

[Other parts possible]

```
end
```

Figure 32: Example of the MiFID 2 part of a CD file in CSV format

3.5.1.3. CSV record structure for PRIIP (part of CD)

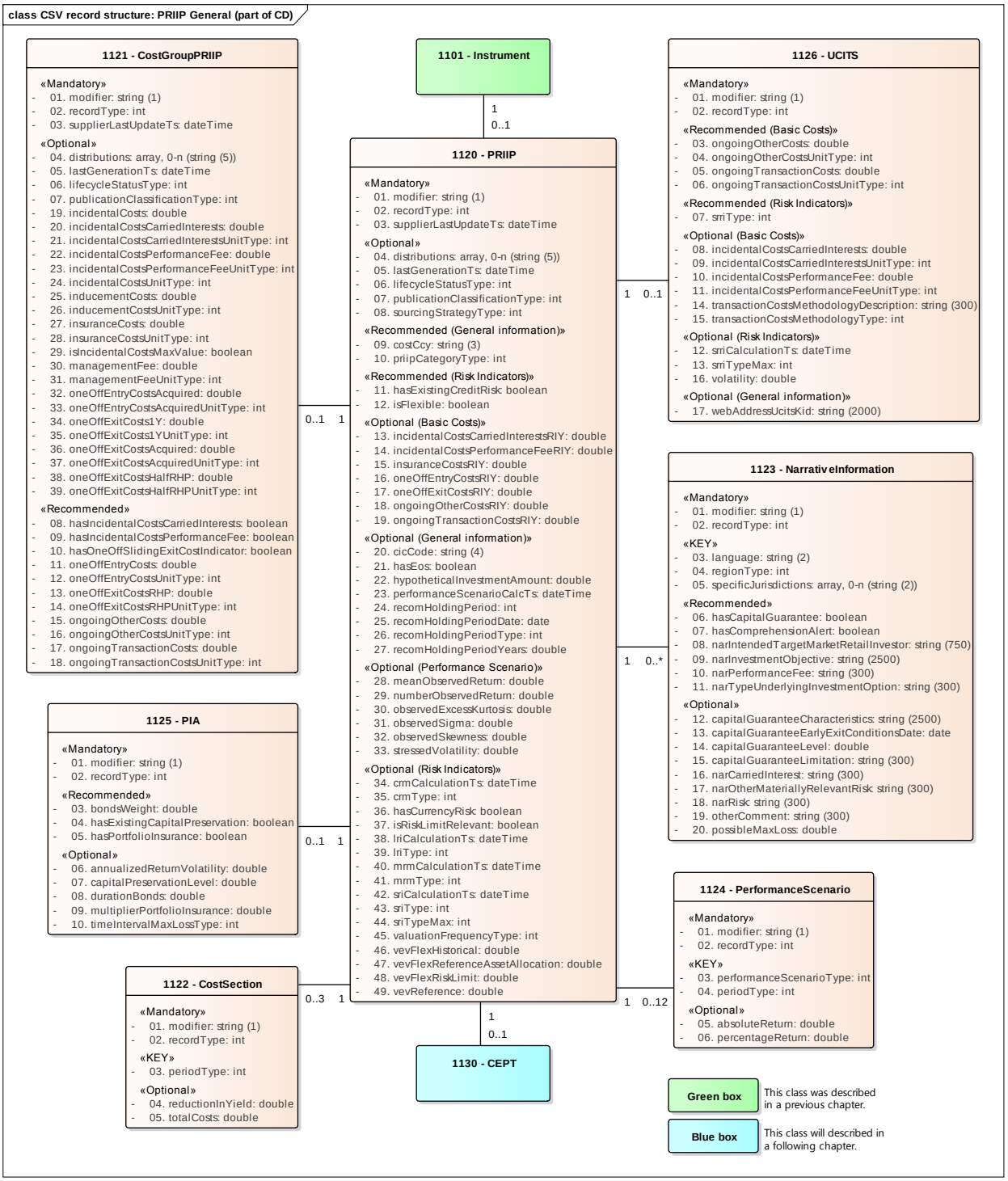

Figure 33: CSV record structure for PRIIP (part of CD)

No	Attribute Name	Example
Record: 1120 - PRIIP		
01	modifier	I
02	recordType	1120
03	supplierLastUpdateTs	2017-07-17T00:00:00+02:00
04	distributions	12345|67890|C0002|C0006

05	lastGenerationTs	2017-07-17T00:00:00+02:00
06	lifecycleStatusType	2
07	publicationClassificationType	2
08	sourcingStrategyType	1
09	costCcy	EUR
10	priipCategoryType	3
11	hasExistingCreditRisk	1
12	isFlexible	0
13	incidentalCostsCarriedInterestsRIY	12.256
14	incidentalCostsPerformanceFeeRIY	
15	insuranceCostsRIY	11.125
16	oneOffEntryCostsRIY	
17	oneOffExitCostsRIY	
18	ongoingOtherCostsRIY	2.393
19	ongoingTransactionCostsRIY	
20	cicCode	XL22
21	hasEos	0
22	hypotheticalInvestmentAmount	2.293
23	performanceScenarioCalcTs	2017-07-17T00:00:00+02:00
24	recomHoldingPeriod	2
25	recomHoldingPeriodDate	2017-07-17
26	recomHoldingPeriodType	4
27	recomHoldingPeriodYears	2.0
28	meanObservedReturn	35.393
29	numberObservedReturn	
30	observedExcessKurtosis	
31	observedSigma	54.029
32	observedSkewness	
33	stressedVolatility	9.282
34	crmCalculationTs	2017-07-17T00:00:00+02:00
35	crmType	4
36	hasCurrencyRisk	0
37	isRiskLimitRelevant	
38	lriCalculationTs	2017-07-17T00:00:00+02:00
39	lriType	3
40	mrmCalculationTs	2017-07-17T00:00:00+02:00
41	mrmType	3
42	sriCalculationTs	2017-07-17T00:00:00+02:00
43	sriType	2
44	sriTypeMax	6
45	valuationFrequencyType	252
46	vevFlexHistorical	
47	vevFlexReferenceAssetAllocation	
48	vevFlexRiskLimit	
49	vevReference	0.1132
Record: 1121 - CostGroupPRIIP		
01	modifier	I
02	recordType	1121
03	supplierLastUpdateTs	2017-07-17T00:00:00+02:00
04	distributions	12345|67890|C0002|C0006
05	lastGenerationTs	2017-07-17T00:00:00+02:00

06	lifecycleStatusType	2
07	publicationClassificationType	1
08	hasIncidentalCostsCarriedInterests	1
09	hasIncidentalCostsPerformanceFee	1
10	hasOneOffSlidingExitCostIndicator	1
11	oneOffEntryCosts	1.29
12	oneOffEntryCostsUnitType	2
13	oneOffExitCostsRHP	0.014
14	oneOffExitCostsRHPUnitType	1
15	ongoingOtherCosts	0.0122
16	ongoingOtherCostsUnitType	1
17	ongoingTransactionCosts	3.202
18	ongoingTransactionCostsUnitType	2
19	incidentalCosts	2.912
20	incidentalCostsCarriedInterests	0.122
21	incidentalCostsCarriedInterestsUnitType	1
22	incidentalCostsPerformanceFee	0.088
23	incidentalCostsPerformanceFeeUnitType	1
24	incidentalCostsUnitType	2
25	inducementCosts	3.298
26	inducementCostsUnitType	2
27	insuranceCosts	0.1282
28	insuranceCostsUnitType	1
29	isIncidentalCostsMaxValue	
30	managementFee	0.1214
31	managementFeeUnitType	2
32	oneOffEntryCostsAcquired	
33	oneOffEntryCostsAcquiredUnitType	
34	oneOffExitCosts1Y	1.19
35	oneOffExitCosts1YUnitType	2
36	oneOffExitCostsAcquired	0.001
37	oneOffExitCostsAcquiredUnitType	1
38	oneOffExitCostsHalfRHP	0.005
39	oneOffExitCostsHalfRHPUnitType	1
Record: 1122 - CostSection		
01	modifier	I
02	recordType	1122
03	periodType	1
04	reductionInYield	0.015
05	totalCosts	2.25
Record: 1123 - NarrativeInformation		
01	modifier	I
02	recordType	1123
03	language	en
04	regionType	2
05	specificJurisdictions	
06	hasCapitalGuarantee	1
07	hasComprehensionAlert	0
08	narIntendedTargetMarketRetailInvestor	Intended for European Union
09	narInvestmentObjective	Objective for European Union
10	narPerformanceFee	Performance Output EU
11	narTypeUnderlyingInvestmentOption	Investment Trust

12	capitalGuaranteeCharacteristics	Characteristics of the guarantee
13	capitalGuaranteeEarlyExitConditionsDate	2017-07-17
14	capitalGuaranteeLevel	15.028
15	capitalGuaranteeLimitation	Limited Guarantee for EU
16	narCarriedInterest	Carried Interest EU
17	narOtherMateriallyRelevantRisk	
18	narRisk	
19	otherComment	Other Comment for EU
20	possibleMaxLoss	11.29
Record: 1124 - PerformanceScenario		
01	modifier	I
02	recordType	1124
03	performanceScenarioType	2
04	periodType	2
05	absoluteReturn	2.15
06	percentageReturn	0.115
Record: 1125 - PIA		
01	modifier	I
02	recordType	1125
03	bondsWeight	89.38
04	hasExistingCapitalPreservation	1
05	hasPortfolioInsurance	0
06	annualizedReturnVolatility	45.29
07	capitalPreservationLevel	12.29
08	durationBonds	11.12
09	multiplierPortfolioInsurance	
10	timeIntervalMaxLossType	
Record: 1126 - UCITS		
01	modifier	I
02	recordType	1126
03	ongoingOtherCosts	2.23
04	ongoingOtherCostsUnitType	2
05	ongoingTransactionCosts	1.125
06	ongoingTransactionCostsUnitType	1
07	srriType	6
08	incidentalCostsCarriedInterests	32.92
09	incidentalCostsCarriedInterestsUnitType	2
10	incidentalCostsPerformanceFee	22.28
11	incidentalCostsPerformanceFeeUnitType	2
12	srriCalculationTs	2017-07-17T00:00:00+02:00
13	srriTypeMax	7
14	transactionCostsMethodologyDescription	
15	transactionCostsMethodologyType	3
16	volatility	
17	webAddressUcitsKid	

Table 95: PRIIP (part of CD) attributes in CSV format

[Instrument part 1101]

I;1120;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-17T00:00:00+02:00;2;2;1;EUR;3;1;0;12.256;;11.125;;;2.393;;XL22;0;2.293;2017-07-17T00:00:00+02:00;2;2017-07-17;4;2.0;35.393;;;54.029;;9.282;2017-07-17T00:00:00+02:00;4;0;;2017-07-17T00:00:00+02:00;3;2017-07-17T00:00:00+02:00;3;2017-07-17T00:00:00+02:00;2;6;252;;;;0.1132;

```
I;1121;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-
17T00:00:00+02:00;2;1;1;1;1;1.29;2;0.014;1;0.0122;1;3.202;2;2.912;0.122;1;0.088;1;2;3.298;2;0.1282;1;;0.1214;2;;;1
.19;2;0.001;1;0.005;1;
I;1122;1;0.015;2.25;
I;1122;2;0.02;1.96;
I;1122;3;0.023;1.06;
I;1123;en;2;;1;0;Intended for European Union;Objective for European Union;Performance Output EU;Investment
Trust;Characteristics of the guarantee;2017-07-17;15.028;Limited Guarantee for EU;Carried Interest EU;;;Other
Comment for EU;11.29;
I;1123;en;;DE;1;0;Intended for Germany;Objective for Germany;Performance Output DE;Investment
Trust;Characteristics of the guarantee;2017-07-17;10.18;Limited Guarantee for DE;Carried Interest DE;;;Other
Comment for DE;13.39;
I;1123;en;;CH;1;0;Intended for Switzerland;Objective for Switzerland;Performance Output CH;Investment
Trust;Characteristics of the guarantee;2017-07-17;9.28;Limited Guarantee for DE;Carried Interest CH;;;Other
Comment for CH;7.58;
I;1124;2;2;1.15;0.09;
I;1124;2;2;2.15;0.115;
I;1124;2;2;2.36;0.125;
I;1125;89.38;1;0;45.29;12.29;11.12;;;
I;1126;2.23;2;1.125;1;6;32.92;2;22.28;2;2017-07-17T00:00:00+02:00;7;;3;;;
[Other parts possible]
end
```

Figure 34: Example of the PRIIP part of a CD file in CSV format

3.5.1.4. CSV record structure for PRIIP CEPT (part of CD)

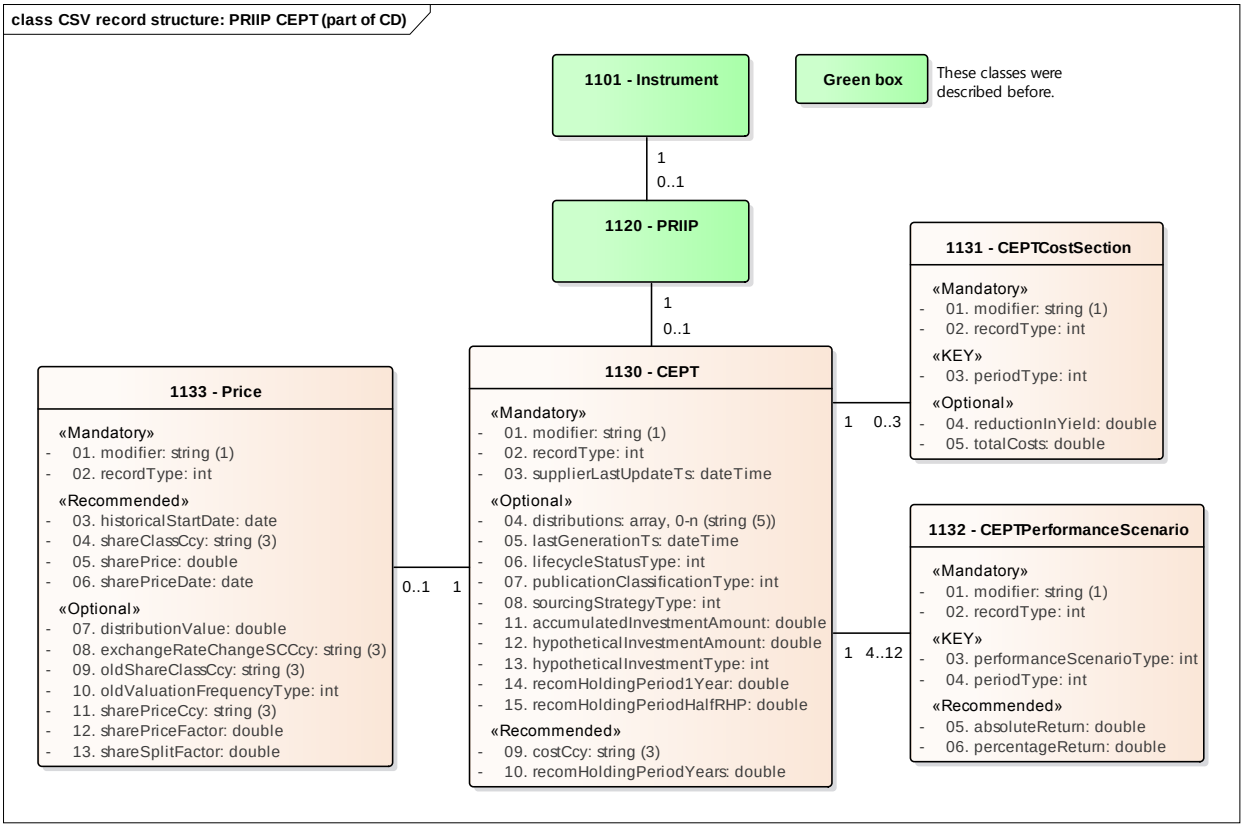

Figure 35: CSV record structure for PRIIP CEPT (part of CD)

No	Attribute Name	Example
Record: 1130 - CEPT		
01	modifier	I
02	recordType	1130
03	supplierLastUpdateTs	2017-07-17T00:00:00+02:00
04	distributions	12345|67890|C0002|C0006
05	lastGenerationTs	2017-07-17T00:00:00+02:00
06	lifecycleStatusType	2
07	publicationClassificationType	2
08	sourcingStrategyType	1
09	costCcy	EUR
10	recomHoldingPeriodYears	1.5
11	accumulatedInvestmentAmount	2.49
12	hypotheticalInvestmentAmount	2.05
13	hypotheticalInvestmentType	2
14	recomHoldingPeriod1Year	
15	recomHoldingPeriodHalfRHP	
Record: 1131 - CEPTCostSection		
01	modifier	I
02	recordType	1131
03	periodType	1
04	absoluteReturn	0.75
05	percentageReturn	2.05
Record: 1132 - CEPTPerformanceScenario		

01	modifier	I
02	recordType	1132
03	performanceScenarioType	2
04	periodType	1
05	absoluteReturn	25.39
06	percentageReturn	0.095
Record: 1133 - Price		
01	modifier	I
02	recordType	1133
03	historicalStartDate	2000-07-17
04	shareClassCcy	EUR
05	sharePrice	16.06
06	sharePriceDate	2017-06-20
07	distributionValue	
08	exchangeRateChangeSCCcy	EUR
09	oldShareClassCcy	DDM
10	oldValuationFrequencyType	104
11	sharePriceCcy	EUR
12	sharePriceFactor	7.18
13	shareSplitFactor	3.57

Table 96: CEPT (part of CD) attributes in CSV format

[Instrument part 1101]
[PRIIP part 1120]
I;1130;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-17T00:00:00+02:00;2;2;1;EUR;1.5;2.49;2.05;2;;;
I;1131;1;0.75;2.05;
I;1131;2;1.05;3.05;
I;1131;3;1.55;5.05;
I;1132;2;1;25.39;0.095;
I;1132;2;2;36.39;0.124;
I;1132;3;1;55.93;0.234;
I;1132;3;2;62.93;0.55;
I;1133;2000-07-17;EUR;16.06;2017-06-20;;EUR;DDM;104;EUR;7.18;3.57;
[Other parts possible]
end

Figure 36: Example of the PRIIP CEPT part of a CD file in CSV format

3.5.1.5. CSV record structure for Tax871m (part of CD)

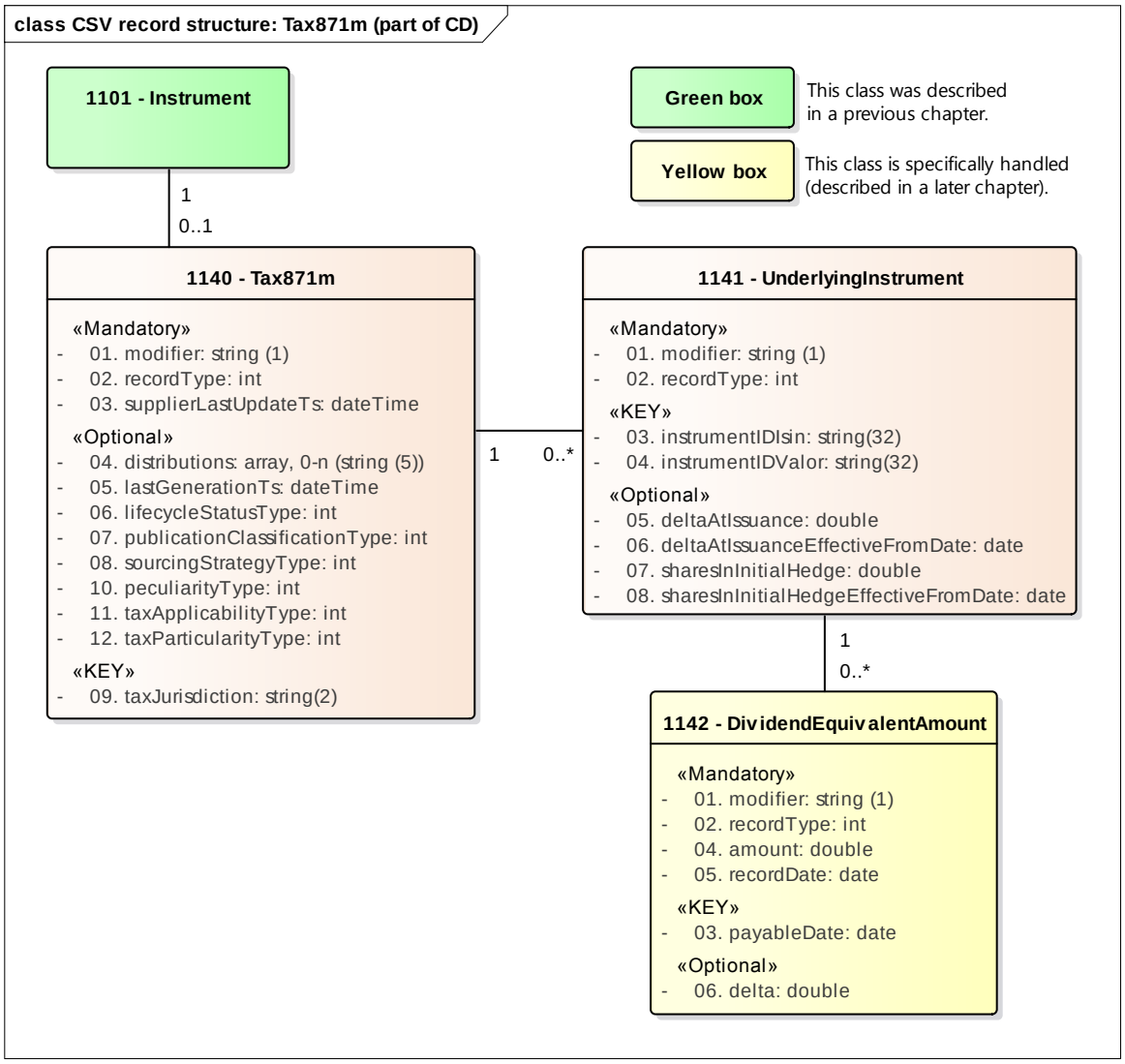

Figure 37: CSV record structure for Tax871m (part of CD)

No	Attribute Name	Example
Record: 1140 - Tax871m		
01	modifier	I
02	recordType	1140
03	supplierLastUpdateTs	2017-07-17T00:00:00+02:00
04	distributions	12345|67890|C0002|C0006
05	lastGenerationTs	2017-07-17T00:00:00+02:00
06	lifecycleStatusType	2
07	publicationClassificationType	1
08	sourcingStrategyType	1
09	taxJurisdiction	US
10	peculiarityType	1
11	taxApplicabilityType	33
12	taxParticularityType	1
Record: 1141 - UnderlyingInstrument		
01	modifier	I

02	recordType	1141
03	instrumentIDIsin	US10291212
04	instrumentIDValor	
05	deltaAtIssuance	12.2902
06	deltaAtIssuanceEffectiveFromDate	2017-07-17
07	sharesInInitialHedge	
08	sharesInInitialHedgeEffectiveFromDate	
Record: 1142 - DividendEquivalentAmount		
01	modifier	I
02	recordType	1142
03	payableDate	2017-08-03
04	amount	2.298
05	recordDate	2017-07-17
06	delta	0.11

Table 97: Tax871m (part of CD) attributes in CSV format

[Instrument part 1101]
I;1140;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-17T00:00:00+02:00;2;1;1;US;1;33;1;
I;1141;;US10291212;;12.2902;2017-07-17;;;
I;1142;2017-08-03;2.298;2017-07-17;0.11;
I;1142;2017-09-10;3.493;2017-07-17;0.15;
I;1141;;US10001111;;9.322;2017-08-19;;;
I;1142;2017-08-18;3.292;2017-07-17;1.12;
I;1142;2017-10-25;4.001;2017-07-17;0.98;
[Other parts possible]
end

Figure 38: Example of the part Tax871m of a CD file in CSV format

3.5.1.6. Complete CD CSV File

```
I;1101;CH0012345678;I-;888800ABCDEFGHIJKL00;LEI;888800ABCDEFGHIJKL00;LEI;2017-07-
17T00:00:00+02:00;GK=123148|BIC=2920933;Guarantor Name;DB;Example
Instrument;1;0;GK=2211|LEI=9998811ABCDEFL00;The Main Manufacturer;The Manufacturer;1;XFRA|DOTS;2017-
07-17;DE=D1234567|CH=1234567;GK=2211|BIC=8888232;GK=2211|BIC=8888232;DE|CH;The
Manufacturer;EUR|CHF;1;2;
I;1110;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-
17T00:00:00+02:00;2;1;1;EUR;0.05;1;0.0125;1;1.293;2;3.303;2;0.0125;1;1;30932;1;0;2.29;2;0;1;0;0;1;0;1;0;DE=3|C
H=1;1;EMT Template;0;5;2;2017-07-16T11:30:00+02:00;4;2017-07-17T00:00:00+02:00;2017-07-
16T02:00:00+02:00;2;4;3;7;2017-07-17T00:00:00+02:00;2;5;
I;1111;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-
17T00:00:00+02:00;2;1;1.293;2;2.398;2;0.05;1;0.0125;1;2.304;2;0.123;1;2.28;2;7.383;2;8.05;2;0.125;1;0.09;1;4.932;
1;
I;1112;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-17T00:00:00+02:00;2;1;2017-07-
17;5;2017-07-18;2;5.938;2017-07-16;;2017-08-25;2017-07-16;
I;1113;2;;4;7;3;3;2;4;0.0875;2;1;2;2;4;2;3;2;3;2;1;3;3;;;12;;;1;Ethical Invest Product;3;2;3;4;2;de=Europ.
Marktbeschreibung|en=European Narrative Target Market;;
I;1113;;DE;4;7;3;3;2;4;0.03075;2;1;2;2;4;2;3;2;3;2;1;3;3;;;12;;;1;Ethical Invest Product;3;2;3;4;2;de=Deutsche
Marktbeschreibung|en=German Target Market Description;3;
I;1113;;CH;4;7;3;3;2;4;0.01075;2;1;2;2;4;2;3;2;3;2;1;3;3;;;12;;;1;Ethical Invest Product;3;2;3;4;2;de=Schweizer
Marktbeschreibung|en=Swiss Target Market Description;;
I;1120;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-
17T00:00:00+02:00;2;2;1;EUR;3;1;0;12.256;;11.125;;;2.393;;XL22;0;2.293;2017-07-17T00:00:00+02:00;2;2017-07-
17;4;2.0;35.393;;;54.029;;9.282;2017-07-17T00:00:00+02:00;4;0;;2017-07-17T00:00:00+02:00;3;2017-07-
17T00:00:00+02:00;3;2017-07-17T00:00:00+02:00;2;6;252;;;;0.1132;
I;1121;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-
17T00:00:00+02:00;2;1;1;1;1;1.29;2;0.014;1;0.0122;1;3.202;2;2.912;0.122;1;0.088;1;2;3.298;2;0.1282;1;;0.1214;2;;;1
.19;2;0.001;1;0.005;1;
I;1122;1;0.015;2.25;
I;1122;2;0.02;1.96;
I;1122;3;0.023;1.06;
I;1123;en;2;;1;0;Intended for European Union;Objective for European Union;Performance Output EU;Investment
Trust;Characteristics of the guarantee;2017-07-17;15.028;Limited Guarantee for EU;Carried Interest EU;;;Other
Comment for EU;11.29;
I;1123;en;;DE;1;0;Intended for Germany;Objective for Germany;Performance Output DE;Investment
Trust;Characteristics of the guarantee;2017-07-17;10.18;Limited Guarantee for DE;Carried Interest DE;;;Other
Comment for DE;13.39;
I;1123;en;;CH;1;0;Intended for Switzerland;Objective for Switzerland;Performance Output CH;Investment
Trust;Characteristics of the guarantee;2017-07-17;9.28;Limited Guarantee for DE;Carried Interest CH;;;Other
Comment for CH;7.58;
I;1124;2;2;1.15;0.09;
I;1124;2;2;2.15;0.115;
I;1124;2;2;2.36;0.125;
I;1125;89.38;1;0;45.29;12.29;11.12;;;
I;1126;2.23;2;1.125;1;6;32.92;2;22.28;2;2017-07-17T00:00:00+02:00;7;;3;;;
I;1130;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-
17T00:00:00+02:00;2;2;1;EUR;1.5;2.49;2.05;2;;;
I;1131;1;0.75;2.05;
I;1131;2;1.05;3.05;
I;1131;3;1.55;5.05;
I;1132;2;1;25.39;0.095;
I;1132;2;2;36.39;0.124;
I;1132;3;1;55.93;0.234;
I;1132;3;2;62.93;0.55;
I;1133;2000-07-17;EUR;16.06;2017-06-20;;1.98;DDM;104;EUR;7.18;3.57;
I;1140;2017-07-17T00:00:00+02:00;12345|67890|C0002|C0006;2017-07-17T00:00:00+02:00;2;1;1;US;1;33;1;
I;1141;;US10291212;;12.2902;2017-07-17;;;
I;1142;2017-08-03;2.298;2017-07-17;0.11;
I;1142;2017-09-10;3.493;2017-07-17;0.15;
I;1141;;US10001111;;9.322;2017-08-19;;;
I;1142;2017-08-18;3.292;2017-07-17;1.12;
I;1142;2017-10-25;4.001;2017-07-17;0.98;
end
```

Figure 39: Example of the complete CD file in CSV format

3.5.2. XML Format: CD (version 1)

A description of the respective data type and an implementation in the corresponding technology can be found in chapter "**Description of Data Types**".
The following graphic gives an overview of the classes, relations and attributes in the XML file for ContentData. The grouping is used to show the delivery condition for each attribute.

3.5.2.1. Overview XML structure for CD

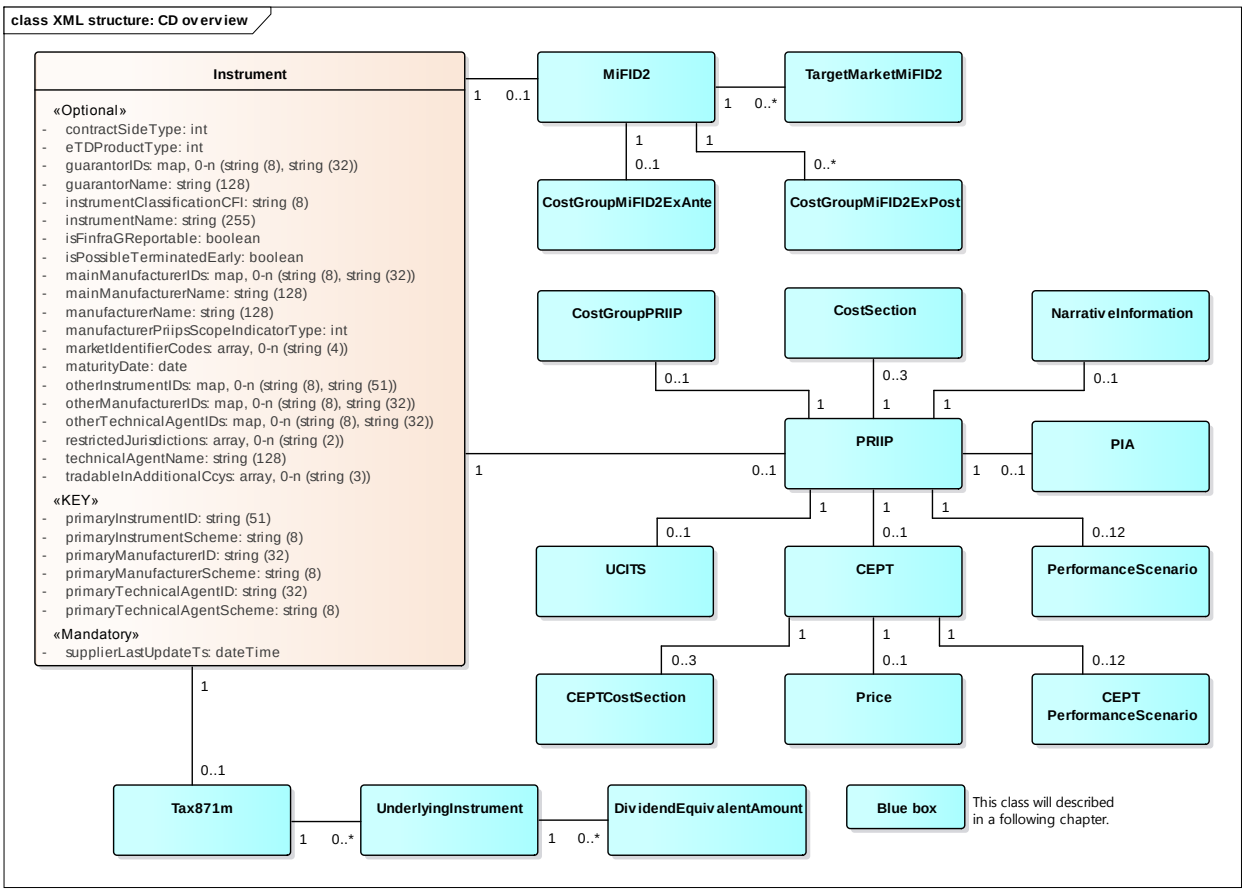

Figure 40: Overview XML structure for CD

The DMD structure in XML is encapsulated with the root element "**SIXRegHub**". The explanation of the XML attributes "**et**" and "**mt**" is in the chapter "**General information for all used XML files**".
The following example shows one XML example with one new TLO (Instrument with each Content data classes like MiFID2, PRIIP and Tax871m) which will be inserted. Important, this sample shows one complete object, it is a part out of a "**Delta file**". All the followed examples are part of this TLO splitted per model part.

```
<SIXRegHub>
  <Instrument et="u" mt="i">
    <primaryInstrumentScheme>I-</primaryInstrumentScheme>
    <primaryInstrumentID>CH0012345678</primaryInstrumentID>
    <primaryManufacturerScheme>LEI</primaryManufacturerScheme>
    <primaryManufacturerID>888800ABCDEFGHIJKL00</primaryManufacturerID>
    <primaryTechnicalAgentScheme>LEI</primaryTechnicalAgentScheme>
    <primaryTechnicalAgentID>12300ABCDEFKMQAKL12</primaryTechnicalAgentID>
    <supplierLastUpdateTs>2017-07-17T00:00:00+02:00</supplierLastUpdateTs>
    <contractSideType>1</contractSideType>
    <eTDProductType>2</eTDProductType>
    <guarantorIDs>
      <guarantorID scheme="GK">123148</guarantorID>
```

```
      <guarantorID scheme="BIC">2920933</guarantorID>
    </guarantorIDs>
    <guarantorName>Guarantor Name</guarantorName>
    <instrumentClassificationCFI>DB</instrumentClassificationCFI>
    <instrumentName>Example Instrument</instrumentName>
    <isFinfraGReportable>1</isFinfraGReportable>
    <isPossibleTerminatedEarly>0</isPossibleTerminatedEarly>
    <mainManufacturerIDs>
      <mainManufacturerID scheme="GK">2211</mainManufacturerID>
      <mainManufacturerID scheme="LEI">9998811ABCDEFL00</mainManufacturerID>
    </mainManufacturerIDs>
    <mainManufacturerName>The Main Manufacturer</mainManufacturerName>
    <manufacturerName>The Manufacturer</manufacturerName>
    <manufacturerPriipsScopeIndicatorType>1</manufacturerPriipsScopeIndicatorType>
    <marketIdentifierCodes>
      <marketIdentifierCode>XFRA</marketIdentifierCode>
      <marketIdentifierCode>DOTS</marketIdentifierCode>
    </marketIdentifierCodes>
    <maturityDate>2017-07-17</maturityDate>
    <otherInstrumentIDs>
      <otherInstrumentID scheme="DE">D1234567</otherInstrumentID>
      <otherInstrumentID scheme="CH">1234567</otherInstrumentID>
    </otherInstrumentIDs>
    <otherManufacturerIDs>
      <otherManufacturerID scheme="GK">2211</otherManufacturerID>
      <otherManufacturerID scheme="BIC">8888232</otherManufacturerID>
    </otherManufacturerIDs>
    <otherTechnicalAgentIDs>
      <otherTechnicalAgentID scheme="GK">2211</otherTechnicalAgentID>
      <otherTechnicalAgentID scheme="BIC">8888232</otherTechnicalAgentID>
    </otherTechnicalAgentIDs>
    <restrictedJurisdictions>
      <restrictedJurisdiction>DE</restrictedJurisdiction>
      <restrictedJurisdiction>CH</restrictedJurisdiction>
    </restrictedJurisdictions>
    <technicalAgentName>The Manufacturer</technicalAgentName>
    <tradableInAdditionalCcys>
      <tradableInAdditionalCcy>EUR</tradableInAdditionalCcy>
      <tradableInAdditionalCcy>CHF</tradableInAdditionalCcy>
    </tradableInAdditionalCcys>
    <!--Other parts possible-->
  </Instrument>
</SIXRegHub>
```

Figure 41: Example of the Instrument part of a CD file in XML format

3.5.2.2. XML structure for MiFID 2 (part of CD)

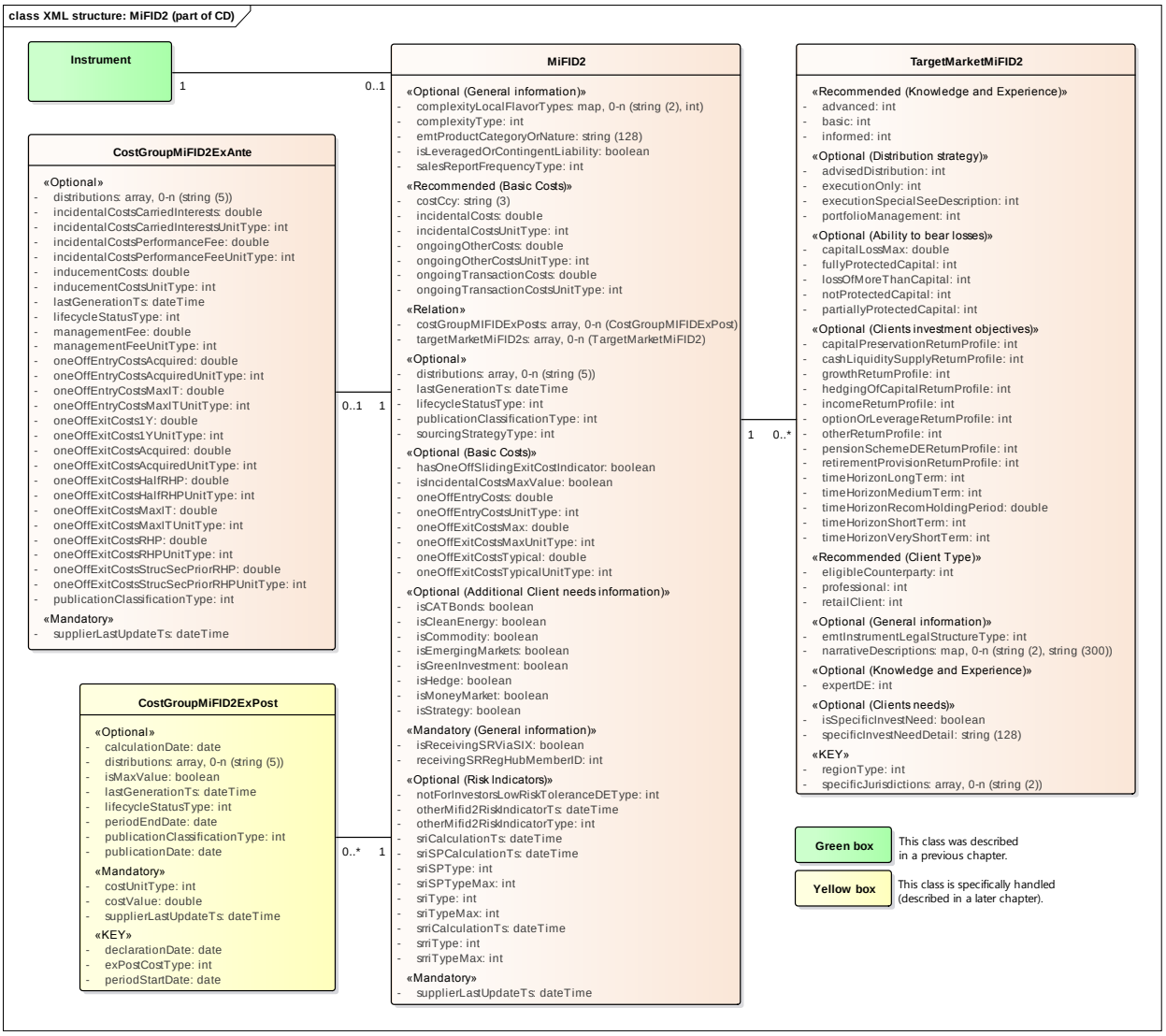

Figure 42: XML structure for MiFID 2 (part of CD)

```
<SIXRegHub>
  <Instrument et="u" mt="i">
    <!--Instrument attributes-->
    <MiFID2>
      <supplierLastUpdateTs>2017-07-17T00:00:00+02:00</supplierLastUpdateTs>
      <distributions>
        <distribution>12345</distribution>
        <distribution>67890</distribution>
        <distribution>C0002</distribution>
        <distribution>C0006</distribution>
      </distributions>
      <lastGenerationTs>2017-07-17T00:00:00+02:00</lastGenerationTs>
      <lifecycleStatusType>2</lifecycleStatusType>
      <publicationClassificationType>1</publicationClassificationType>
      <sourcingStrategyType>1</sourcingStrategyType>
      <isCATBonds>0</isCATBonds>
      <isCleanEnergy>1</isCleanEnergy>
      <isCommodity>0</isCommodity>
      <isEmergingMarkets>0</isEmergingMarkets>
      <isGreenInvestment>1</isGreenInvestment>
      <isHedge>0</isHedge>
      <isMoneyMarket>1</isMoneyMarket>
      <isStrategy>0</isStrategy>
```

```
<isReceivingSRViaSIX>1</isReceivingSRViaSIX>
<receivingSRRegHubMemberID>30932</receivingSRRegHubMemberID>
<complexityLocalFlavorTypes>
  <complexityLocalFlavorType jurisdiction="DE">3</complexityLocalFlavorType>
  <complexityLocalFlavorType jurisdiction="CH">1</complexityLocalFlavorType>
</complexityLocalFlavorTypes>
<complexityType>1</complexityType>
<emtProductCategoryOrNature>EMT Template</emtProductCategoryOrNature>
<isLeveragedOrContingentLiability>0</isLeveragedOrContingentLiability>
<salesReportFrequencyType>5</salesReportFrequencyType>
<otherMifid2RiskIndicatorTs>2017-07-16T11:30:00+02:00</otherMifid2RiskIndicatorTs>
<otherMifid2RiskIndicatorType>4</otherMifid2RiskIndicatorType>
<notForInvestorsLowRiskToleranceDEType>2</notForInvestorsLowRiskToleranceDEType>
<sriCalculationTs>2017-07-17T00:00:00+02:00</sriCalculationTs>
<sriSPCalculationTs>2017-07-16T02:00:00+02:00</sriSPCalculationTs>
<sriSPType>2</sriSPType>
<sriSPTypeMax>4</sriSPTypeMax>
<sriType>3</sriType>
<sriTypeMax>7</sriTypeMax>
<srriCalculationTs>2017-07-17T00:00:00+02:00</srriCalculationTs>
<srriType>2</srriType>
<srriTypeMax>5</srriTypeMax>
<costCcy>EUR</costCcy>
<incidentalCosts>0.05</incidentalCosts>
<incidentalCostsUnitType>1</incidentalCostsUnitType>
<oneOffEntryCosts>0.0125</oneOffEntryCosts>
<oneOffEntryCostsUnitType>1</oneOffEntryCostsUnitType>
<oneOffExitCostsMax>1.293</oneOffExitCostsMax>
<oneOffExitCostsMaxUnitType>2</oneOffExitCostsMaxUnitType>
<ongoingOtherCosts>3.303</ongoingOtherCosts>
<ongoingOtherCostsUnitType>2</ongoingOtherCostsUnitType>
<ongoingTransactionCosts>0.0125</ongoingTransactionCosts>
<ongoingTransactionCostsUnitType>1</ongoingTransactionCostsUnitType>
<hasOneOffSlidingExitCostIndicator>1</hasOneOffSlidingExitCostIndicator>
<isIncidentalCostsMaxValue>0</isIncidentalCostsMaxValue>
<oneOffExitCostsTypical>2.29</oneOffExitCostsTypical>
<oneOffExitCostsTypicalUnitType>2</oneOffExitCostsTypicalUnitType>
<targetMarketMiFID2s>
  <TargetMarketMiFID2>
    <regionType>2</regionType>
    <emtInstrumentLegalStructureType>2</emtInstrumentLegalStructureType>
    <narrativeDescriptions>
      <narrativeDescription language="de">Europ. Marktbeschreibung</narrativeDescription>
      <narrativeDescription language="en">European Narrative Target Market</narrativeDescription>
    </narrativeDescriptions>
    <capitalLossMax>0.0875</capitalLossMax>
    <fullyProtectedCapital>2</fullyProtectedCapital>
    <lossOfMoreThanCapital>1</lossOfMoreThanCapital>
    <notProtectedCapital>2</notProtectedCapital>
    <partiallyProtectedCapital>2</partiallyProtectedCapital>
    <eligibleCounterparty>4</eligibleCounterparty>
    <professional>7</professional>
    <retailClient>3</retailClient>
    <capitalPreservationReturnProfile>4</capitalPreservationReturnProfile>
    <cashLiquiditySupplyReturnProfile>2</cashLiquiditySupplyReturnProfile>
    <growthReturnProfile>3</growthReturnProfile>
    <hedgingOfCapitalReturnProfile>2</hedgingOfCapitalReturnProfile>
    <incomeReturnProfile>3</incomeReturnProfile>
    <optionOrLeverageReturnProfile>2</optionOrLeverageReturnProfile>
    <otherReturnProfile>1</otherReturnProfile>
    <pensionSchemeDEReturnProfile>3</pensionSchemeDEReturnProfile>
    <retirementProvisionReturnProfile>3</retirementProvisionReturnProfile>
    <timeHorizonRecomHoldingPeriod>12</timeHorizonRecomHoldingPeriod>
    <isSpecificInvestNeed>1</isSpecificInvestNeed>
    <specificInvestNeedDetail>Ethical Invest Product</specificInvestNeedDetail>
    <advisedDistribution>3</advisedDistribution>
    <executionOnly>2</executionOnly>
    <executionSpecialSeeDescription>3</executionSpecialSeeDescription>
    <portfolioManagement>4</portfolioManagement>
    <advanced>3</advanced>
    <basic>2</basic>
    <informed>4</informed>
  </TargetMarketMiFID2>
  <TargetMarketMiFID2>
```

```
      <specificJurisdictions>
        <specificJurisdiction>DE</specificJurisdiction>
      </specificJurisdictions>
      <emtInstrumentLegalStructureType>2</emtInstrumentLegalStructureType>
      <narrativeDescriptions>
        <narrativeDescription language="de">Deutsche Marktbeschreibung</narrativeDescription>
        <narrativeDescription language="en">German Target Market Description</narrativeDescription>
      </narrativeDescriptions>
      <capitalLossMax>0.03075</capitalLossMax>
      <fullyProtectedCapital>2</fullyProtectedCapital>
      <lossOfMoreThanCapital>1</lossOfMoreThanCapital>
      <notProtectedCapital>2</notProtectedCapital>
      <partiallyProtectedCapital>2</partiallyProtectedCapital>
      <eligibleCounterparty>4</eligibleCounterparty>
      <professional>7</professional>
      <retailClient>3</retailClient>
      <capitalPreservationReturnProfile>4</capitalPreservationReturnProfile>
      <cashLiquiditySupplyReturnProfile>2</cashLiquiditySupplyReturnProfile>
      <growthReturnProfile>3</growthReturnProfile>
      <hedgingOfCapitalReturnProfile>2</hedgingOfCapitalReturnProfile>
      <incomeReturnProfile>3</incomeReturnProfile>
      <optionOrLeverageReturnProfile>2</optionOrLeverageReturnProfile>
      <otherReturnProfile>1</otherReturnProfile>
      <pensionSchemeDEReturnProfile>3</pensionSchemeDEReturnProfile>
      <retirementProvisionReturnProfile>3</retirementProvisionReturnProfile>
      <timeHorizonRecomHoldingPeriod>12</timeHorizonRecomHoldingPeriod>
      <isSpecificInvestNeed>1</isSpecificInvestNeed>
      <specificInvestNeedDetail>Ethical Invest Product</specificInvestNeedDetail>
      <advisedDistribution>3</advisedDistribution>
      <executionOnly>2</executionOnly>
      <executionSpecialSeeDescription>3</executionSpecialSeeDescription>
      <portfolioManagement>4</portfolioManagement>
      <advanced>3</advanced>
      <basic>2</basic>
      <expertDE>3</expertDE>
      <informed>4</informed>
    </TargetMarketMiFID2>
    <TargetMarketMiFID2>
      <specificJurisdictions>
        <specificJurisdiction>CH</specificJurisdiction>
      </specificJurisdictions>
      <emtInstrumentLegalStructureType>2</emtInstrumentLegalStructureType>
      <narrativeDescriptions>
        <narrativeDescription language="de">Schweizer Marktbeschreibung</narrativeDescription>
        <narrativeDescription language="en">Swiss Target Market Description</narrativeDescription>
      </narrativeDescriptions>
      <capitalLossMax>0.01075</capitalLossMax>
      <fullyProtectedCapital>2</fullyProtectedCapital>
      <lossOfMoreThanCapital>1</lossOfMoreThanCapital>
      <notProtectedCapital>2</notProtectedCapital>
      <partiallyProtectedCapital>2</partiallyProtectedCapital>
      <eligibleCounterparty>4</eligibleCounterparty>
      <professional>7</professional>
      <retailClient>3</retailClient>
      <capitalPreservationReturnProfile>4</capitalPreservationReturnProfile>
      <cashLiquiditySupplyReturnProfile>2</cashLiquiditySupplyReturnProfile>
      <growthReturnProfile>3</growthReturnProfile>
      <hedgingOfCapitalReturnProfile>2</hedgingOfCapitalReturnProfile>
      <incomeReturnProfile>3</incomeReturnProfile>
      <optionOrLeverageReturnProfile>2</optionOrLeverageReturnProfile>
      <otherReturnProfile>1</otherReturnProfile>
      <pensionSchemeDEReturnProfile>3</pensionSchemeDEReturnProfile>
      <retirementProvisionReturnProfile>3</retirementProvisionReturnProfile>
      <timeHorizonRecomHoldingPeriod>12</timeHorizonRecomHoldingPeriod>
      <isSpecificInvestNeed>1</isSpecificInvestNeed>
      <specificInvestNeedDetail>Ethical Invest Product</specificInvestNeedDetail>
      <advisedDistribution>3</advisedDistribution>
      <executionOnly>2</executionOnly>
      <executionSpecialSeeDescription>3</executionSpecialSeeDescription>
      <portfolioManagement>4</portfolioManagement>
      <advanced>3</advanced>
      <basic>2</basic>
      <informed>4</informed>
    </TargetMarketMiFID2>
```

```
      </targetMarketMiFID2s>
      <CostGroupMiFID2ExAnte>
        <supplierLastUpdateTs>2017-07-17T00:00:00+02:00</supplierLastUpdateTs>
        <distributions>
          <distribution>12345</distribution>
          <distribution>67890</distribution>
          <distribution>C0002</distribution>
          <distribution>C0006</distribution>
        </distributions>
        <lastGenerationTs>2017-07-17T00:00:00+02:00</lastGenerationTs>
        <lifecycleStatusType>2</lifecycleStatusType>
        <publicationClassificationType>1</publicationClassificationType>
        <incidentalCostsCarriedInterests>1.293</incidentalCostsCarriedInterests>
        <incidentalCostsCarriedInterestsUnitType>2</incidentalCostsCarriedInterestsUnitType>
        <incidentalCostsPerformanceFee>2.398</incidentalCostsPerformanceFee>
        <incidentalCostsPerformanceFeeUnitType>2</incidentalCostsPerformanceFeeUnitType>
        <inducementCosts>0.05</inducementCosts>
        <inducementCostsUnitType>1</inducementCostsUnitType>
        <managementFee>0.0125</managementFee>
        <managementFeeUnitType>1</managementFeeUnitType>
        <oneOffEntryCostsAcquired>2.304</oneOffEntryCostsAcquired>
        <oneOffEntryCostsAcquiredUnitType>2</oneOffEntryCostsAcquiredUnitType>
        <oneOffEntryCostsMaxIT>0.123</oneOffEntryCostsMaxIT>
        <oneOffEntryCostsMaxITUnitType>1</oneOffEntryCostsMaxITUnitType>
        <oneOffExitCosts1Y>2.28</oneOffExitCosts1Y>
        <oneOffExitCosts1YUnitType>2</oneOffExitCosts1YUnitType>
        <oneOffExitCostsAcquired>7.383</oneOffExitCostsAcquired>
        <oneOffExitCostsAcquiredUnitType>2</oneOffExitCostsAcquiredUnitType>
        <oneOffExitCostsHalfRHP>8.05</oneOffExitCostsHalfRHP>
        <oneOffExitCostsHalfRHPUnitType>2</oneOffExitCostsHalfRHPUnitType>
        <oneOffExitCostsMaxIT>0.125</oneOffExitCostsMaxIT>
        <oneOffExitCostsMaxITUnitType>1</oneOffExitCostsMaxITUnitType>
        <oneOffExitCostsRHP>0.09</oneOffExitCostsRHP>
        <oneOffExitCostsRHPUnitType>1</oneOffExitCostsRHPUnitType>
        <oneOffExitCostsStrucSecPriorRHP>4.932</oneOffExitCostsStrucSecPriorRHP>
        <oneOffExitCostsStrucSecPriorRHPUnitType>1</oneOffExitCostsStrucSecPriorRHPUnitType>
      </CostGroupMiFID2ExAnte>
      <costGroupMiFID2ExPosts>
        <CostGroupMiFID2ExPost>
          <supplierLastUpdateTs>2017-07-17T00:00:00+02:00</supplierLastUpdateTs>
          <distributions>
            <distribution>67890</distribution>
            <distribution>C0006</distribution>
          </distributions>
          <lastGenerationTs>2017-07-17T00:00:00+02:00</lastGenerationTs>
          <lifecycleStatusType>2</lifecycleStatusType>
          <publicationClassificationType>1</publicationClassificationType>
          <declarationDate>2017-07-17</declarationDate>
          <exPostCostType>5</exPostCostType>
          <periodStartDate>2017-07-18</periodStartDate>
          <costUnitType>2</costUnitType>
          <costValue>5.938</costValue>
          <periodEndDate>2017-08-25</periodEndDate>
          <calculationDate>2017-07-16</calculationDate>
          <publicationDate>2017-07-16</publicationDate>
        </CostGroupMiFID2ExPost>
      </costGroupMiFID2ExPosts>
    </MiFID2>
    <!--Other parts possible-->
  </Instrument>
</SIXRegHub>
```

Figure 43: Example of the MiFID 2 part of a CD file in XML format

3.5.2.3. XML structure for PRIIP (part of CD)

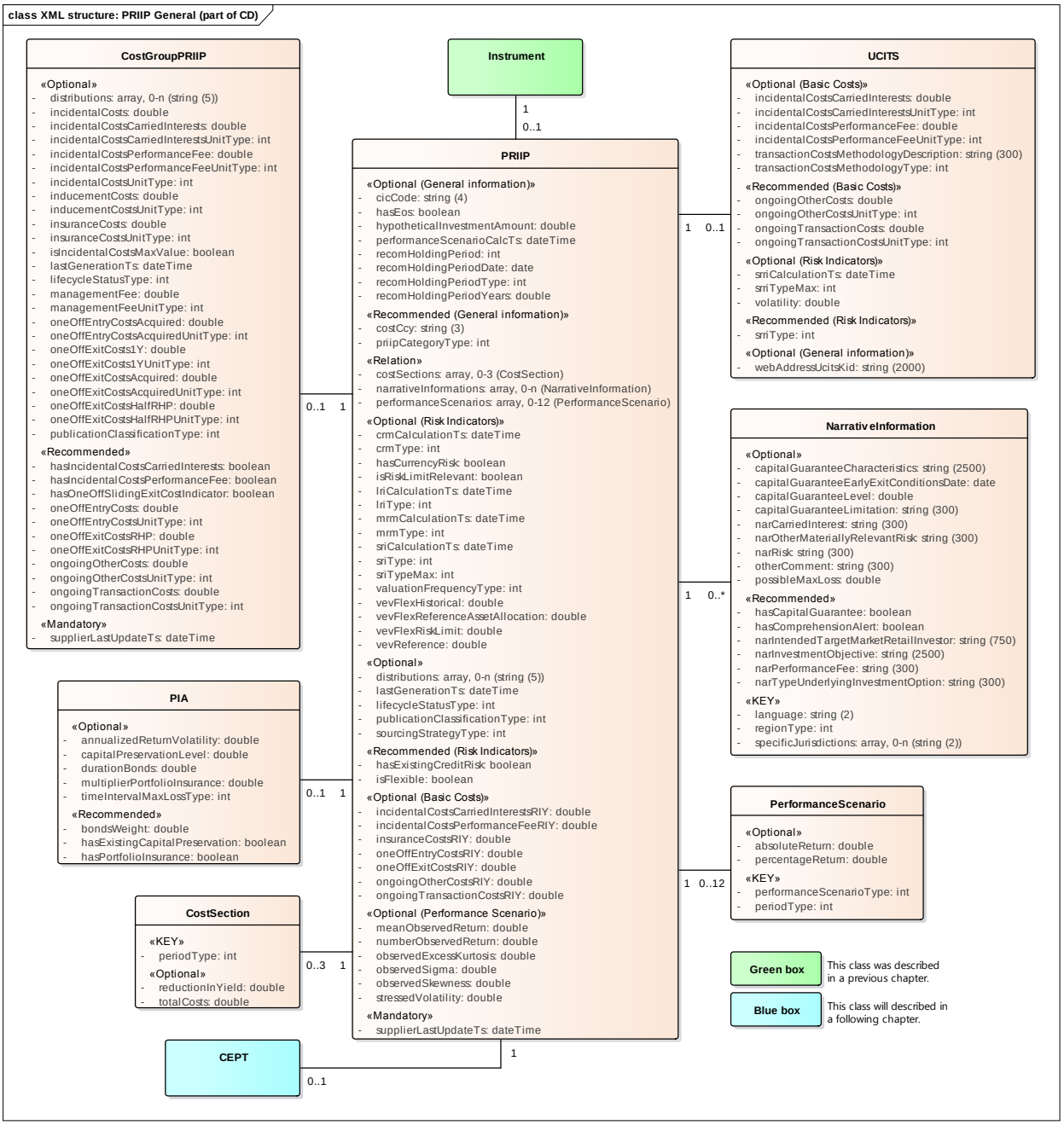

Figure 44: XML structure for PRIIP (part of CD)

```
<SIXRegHub>
  <Instrument et="u" mt="i">
    <!--Instrument attributes-->
    <PRIIP>
      <supplierLastUpdateTs>2017-07-17T00:00:00+02:00</supplierLastUpdateTs>
      <distributions>
        <distribution>12345</distribution>
        <distribution>67890</distribution>
        <distribution>C0002</distribution>
        <distribution>C0006</distribution>
      </distributions>
      <lastGenerationTs>2017-07-17T00:00:00+02:00</lastGenerationTs>
      <lifecycleStatusType>2</lifecycleStatusType>
      <publicationClassificationType>2</publicationClassificationType>
```

```
<sourcingStrategyType>1</sourcingStrategyType>
<hasExistingCreditRisk>1</hasExistingCreditRisk>
<isFlexible>0</isFlexible>
<crmCalculationTs>2017-07-17T00:00:00+02:00</crmCalculationTs>
<crmType>4</crmType>
<hasCurrencyRisk>0</hasCurrencyRisk>
<lriCalculationTs>2017-07-17T00:00:00+02:00</lriCalculationTs>
<lriType>3</lriType>
<mrmCalculationTs>2017-07-17T00:00:00+02:00</mrmCalculationTs>
<mrmType>3</mrmType>
<sriCalculationTs>2017-07-17T00:00:00+02:00</sriCalculationTs>
<sriType>2</sriType>
<sriTypeMax>6</sriTypeMax>
<valuationFrequencyType>252</valuationFrequencyType>
<vevReference>0.1132</vevReference>
<costCcy>EUR</costCcy>
<priipCategoryType>3</priipCategoryType>
<cicCode>XL22</cicCode>
<hasEos>0</hasEos>
<hypotheticalInvestmentAmount>2.293</hypotheticalInvestmentAmount>
<performanceScenarioCalcTs>2017-07-17T00:00:00+02:00</performanceScenarioCalcTs>
<recomHoldingPeriod>2</recomHoldingPeriod>
<recomHoldingPeriodDate>2017-07-17</recomHoldingPeriodDate>
<recomHoldingPeriodType>4</recomHoldingPeriodType>
<recomHoldingPeriodYears>2.0</recomHoldingPeriodYears>
<incidentalCostsCarriedInterestsRIY>12.256</incidentalCostsCarriedInterestsRIY>
<insuranceCostsRIY>11.125</insuranceCostsRIY>
<ongoingOtherCostsRIY>2.393</ongoingOtherCostsRIY>
<meanObservedReturn>35.393</meanObservedReturn>
<observedSigma>54.029</observedSigma>
<stressedVolatility>9.282</stressedVolatility>
<PIA>
  <bondsWeight>89.38</bondsWeight>
  <hasExistingCapitalPreservation>1</hasExistingCapitalPreservation>
  <hasPortfolioInsurance>0</hasPortfolioInsurance>
  <annualizedReturnVolatility>45.29</annualizedReturnVolatility>
  <capitalPreservationLevel>12.29</capitalPreservationLevel>
  <durationBonds>11.12</durationBonds>
</PIA>
<UCITS>
  <ongoingOtherCosts>2.23</ongoingOtherCosts>
  <ongoingOtherCostsUnitType>2</ongoingOtherCostsUnitType>
  <ongoingTransactionCosts>1.125</ongoingTransactionCosts>
  <ongoingTransactionCostsUnitType>1</ongoingTransactionCostsUnitType>
  <srriType>6</srriType>
  <incidentalCostsCarriedInterests>32.92</incidentalCostsCarriedInterests>
  <incidentalCostsCarriedInterestsUnitType>2</incidentalCostsCarriedInterestsUnitType>
  <incidentalCostsPerformanceFee>22.28</incidentalCostsPerformanceFee>
  <incidentalCostsPerformanceFeeUnitType>2</incidentalCostsPerformanceFeeUnitType>
  <srriCalculationTs>2017-07-17T00:00:00+02:00</srriCalculationTs>
  <srriTypeMax>7</srriTypeMax>
  <transactionCostsMethodologyType>3</transactionCostsMethodologyType>
</UCITS>
<costSections>
  <CostSection>
    <periodType>1</periodType>
    <reductionInYield>0.015</reductionInYield>
    <totalCosts>2.25</totalCosts>
  </CostSection>
  <CostSection>
    <periodType>2</periodType>
    <reductionInYield>0.02</reductionInYield>
    <totalCosts>1.96</totalCosts>
  </CostSection>
  <CostSection>
    <periodType>3</periodType>
    <reductionInYield>0.023</reductionInYield>
    <totalCosts>1.06</totalCosts>
  </CostSection>
</costSections>
<CostGroupPRIIP>
  <supplierLastUpdateTs>2017-07-17T00:00:00+02:00</supplierLastUpdateTs>
  <distributions>
    <distribution>12345</distribution>
```

```
          <distribution>67890</distribution>
          <distribution>C0002</distribution>
          <distribution>C0006</distribution>
        </distributions>
        <lastGenerationTs>2017-07-17T00:00:00+02:00</lastGenerationTs>
        <lifecycleStatusType>2</lifecycleStatusType>
        <publicationClassificationType>1</publicationClassificationType>
        <hasIncidentalCostsCarriedInterests>1</hasIncidentalCostsCarriedInterests>
        <hasIncidentalCostsPerformanceFee>1</hasIncidentalCostsPerformanceFee>
        <hasOneOffSlidingExitCostIndicator>1</hasOneOffSlidingExitCostIndicator>
        <oneOffEntryCosts>1.29</oneOffEntryCosts>
        <oneOffEntryCostsUnitType>2</oneOffEntryCostsUnitType>
        <oneOffExitCostsRHP>0.014</oneOffExitCostsRHP>
        <oneOffExitCostsRHPUnitType>1</oneOffExitCostsRHPUnitType>
        <ongoingOtherCosts>0.0122</ongoingOtherCosts>
        <ongoingOtherCostsUnitType>1</ongoingOtherCostsUnitType>
        <ongoingTransactionCosts>3.202</ongoingTransactionCosts>
        <ongoingTransactionCostsUnitType>2</ongoingTransactionCostsUnitType>
        <incidentalCosts>2.912</incidentalCosts>
        <incidentalCostsUnitType>2</incidentalCostsUnitType>
        <incidentalCostsCarriedInterests>0.122</incidentalCostsCarriedInterests>
        <incidentalCostsCarriedInterestsUnitType>1</incidentalCostsCarriedInterestsUnitType>
        <incidentalCostsPerformanceFee>0.088</incidentalCostsPerformanceFee>
        <incidentalCostsPerformanceFeeUnitType>1</incidentalCostsPerformanceFeeUnitType>
        <inducementCosts>3.298</inducementCosts>
        <inducementCostsUnitType>2</inducementCostsUnitType>
        <insuranceCosts>0.1282</insuranceCosts>
        <insuranceCostsUnitType>1</insuranceCostsUnitType>
        <managementFee>0.1214</managementFee>
        <managementFeeUnitType>2</managementFeeUnitType>
        <oneOffExitCosts1Y>1.19</oneOffExitCosts1Y>
        <oneOffExitCosts1YUnitType>2</oneOffExitCosts1YUnitType>
        <oneOffExitCostsAcquired>0.001</oneOffExitCostsAcquired>
        <oneOffExitCostsAcquiredUnitType>1</oneOffExitCostsAcquiredUnitType>
        <oneOffExitCostsHalfRHP>0.005</oneOffExitCostsHalfRHP>
        <oneOffExitCostsHalfRHPUnitType>1</oneOffExitCostsHalfRHPUnitType>
      </CostGroupPRIIP>
      <narrativeInformations>
        <NarrativeInformation>
          <language>en</language>
          <regionType>2</regionType>
          <hasCapitalGuarantee>1</hasCapitalGuarantee>
          <hasComprehensionAlert>0</hasComprehensionAlert>
          <narIntendedTargetMarketRetailInvestor><![CDATA[Intended for European
Union]]></narIntendedTargetMarketRetailInvestor>
          <narInvestmentObjective><![CDATA[Objective for European Union]]></narInvestmentObjective>
          <narPerformanceFee><![CDATA[Performance Output EU]]></narPerformanceFee>
          <narTypeUnderlyingInvestmentOption><![CDATA[Investment Trust]]></narTypeUnderlyingInvestmentOption>
          <capitalGuaranteeCharacteristics><![CDATA[Characteristics of the guarantee]]></capitalGuaranteeCharacteristics>
          <capitalGuaranteeEarlyExitConditionsDate>2017-07-17</capitalGuaranteeEarlyExitConditionsDate>
          <capitalGuaranteeLevel>15.028</capitalGuaranteeLevel>
          <capitalGuaranteeLimitation><![CDATA[Limited Guarantee for EU]]></capitalGuaranteeLimitation>
          <narCarriedInterest><![CDATA[Carried Interest EU]]></narCarriedInterest>
          <otherComment><![CDATA[Other Comment for EU]]></otherComment>
          <possibleMaxLoss>11.29</possibleMaxLoss>
        </NarrativeInformation>
        <NarrativeInformation>
          <language>en</language>
          <specificJurisdictions>
            <specificJurisdiction>DE</specificJurisdiction>
          </specificJurisdictions>
          <hasCapitalGuarantee>1</hasCapitalGuarantee>
          <hasComprehensionAlert>0</hasComprehensionAlert>
          <narIntendedTargetMarketRetailInvestor><![CDATA[Intended for Germany]]></narIntendedTargetMarketRetailInvestor>
          <narInvestmentObjective><![CDATA[Objective for Germany]]></narInvestmentObjective>
          <narPerformanceFee><![CDATA[Performance Output DE]]></narPerformanceFee>
          <narTypeUnderlyingInvestmentOption><![CDATA[Investment Trust]]></narTypeUnderlyingInvestmentOption>
          <capitalGuaranteeCharacteristics><![CDATA[Characteristics of the guarantee]]></capitalGuaranteeCharacteristics>
          <capitalGuaranteeEarlyExitConditionsDate>2017-07-17</capitalGuaranteeEarlyExitConditionsDate>
          <capitalGuaranteeLevel>10.18</capitalGuaranteeLevel>
          <capitalGuaranteeLimitation><![CDATA[Limited Guarantee for DE]]></capitalGuaranteeLimitation>
          <narCarriedInterest><![CDATA[Carried Interest DE]]></narCarriedInterest>
          <otherComment><![CDATA[Other Comment for DE]]></otherComment>
          <possibleMaxLoss>13.39</possibleMaxLoss>
```

```
        </NarrativeInformation>
        <NarrativeInformation>
          <language>en</language>
          <specificJurisdictions>
            <specificJurisdiction>CH</specificJurisdiction>
          </specificJurisdictions>
          <hasCapitalGuarantee>1</hasCapitalGuarantee>
          <hasComprehensionAlert>0</hasComprehensionAlert>
          <narIntendedTargetMarketRetailInvestor><![CDATA[Intended for Switzerland]]></narIntendedTargetMarketRetailInvestor>
          <narInvestmentObjective><![CDATA[Objective for Switzerland]]></narInvestmentObjective>
          <narPerformanceFee><![CDATA[Performance Output CH]]></narPerformanceFee>
          <narTypeUnderlyingInvestmentOption><![CDATA[Investment Trust]]></narTypeUnderlyingInvestmentOption>
          <capitalGuaranteeCharacteristics><![CDATA[Characteristics of the guarantee]]></capitalGuaranteeCharacteristics>
          <capitalGuaranteeEarlyExitConditionsDate>2017-07-17</capitalGuaranteeEarlyExitConditionsDate>
          <capitalGuaranteeLevel>9.28</capitalGuaranteeLevel>
          <capitalGuaranteeLimitation><![CDATA[Limited Guarantee for DE]]></capitalGuaranteeLimitation>
          <narCarriedInterest><![CDATA[Carried Interest CH]]></narCarriedInterest>
          <otherComment><![CDATA[Other Comment for CH]]></otherComment>
          <possibleMaxLoss>7.58</possibleMaxLoss>
        </NarrativeInformation>
      </narrativeInformations>
      <performanceScenarios>
        <PerformanceScenario>
          <performanceScenarioType>2</performanceScenarioType>
          <periodType>2</periodType>
          <absoluteReturn>1.15</absoluteReturn>
          <percentageReturn>0.09</percentageReturn>
        </PerformanceScenario>
        <PerformanceScenario>
          <performanceScenarioType>2</performanceScenarioType>
          <periodType>2</periodType>
          <absoluteReturn>2.15</absoluteReturn>
          <percentageReturn>0.115</percentageReturn>
        </PerformanceScenario>
        <PerformanceScenario>
          <performanceScenarioType>2</performanceScenarioType>
          <periodType>2</periodType>
          <absoluteReturn>2.36</absoluteReturn>
          <percentageReturn>0.125</percentageReturn>
        </PerformanceScenario>
      </performanceScenarios>
    </PRIIP>
    <!--Other parts possible-->
  </Instrument>
</SIXRegHub>
```

Figure 45: Example of the PRIIP part of a CD file in XML format

3.5.2.4. XML structure for PRIIP CEPT (part of CD)

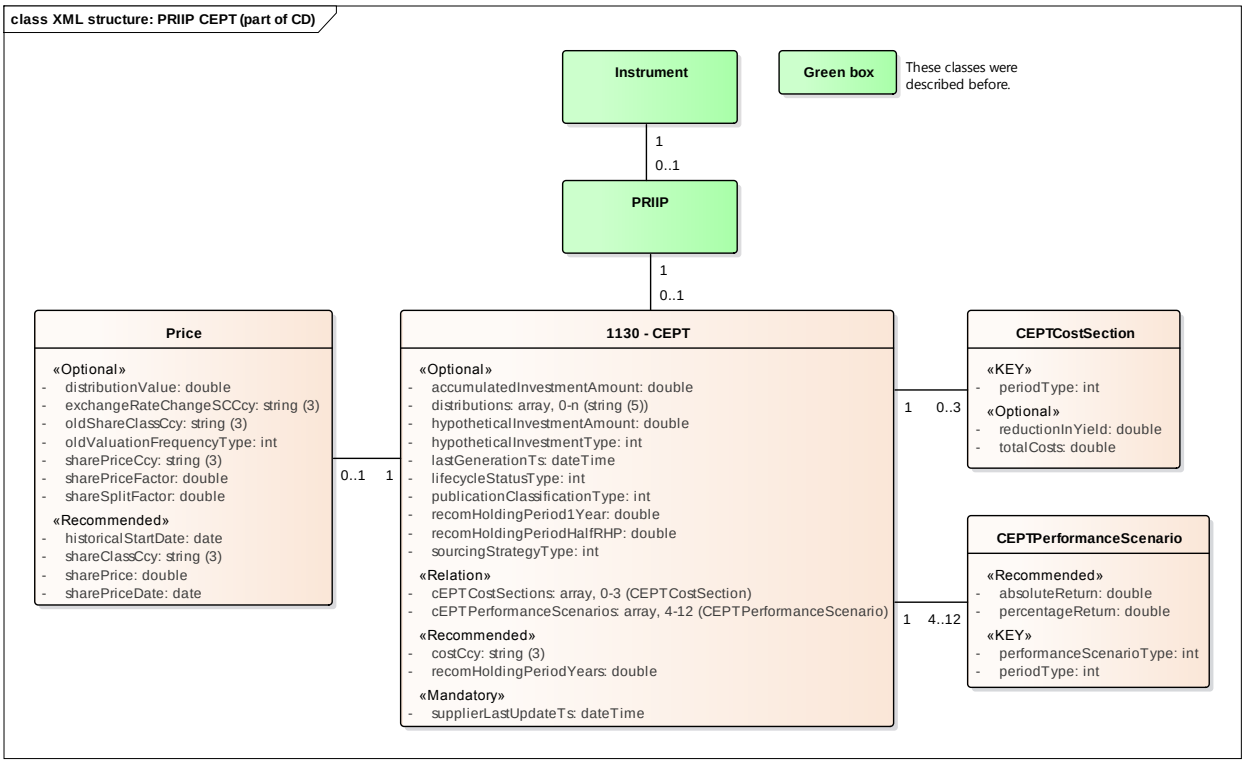

Figure 46: XML structure for PRIIP CEPT (part of CD)

```
<SIXRegHub>
  <Instrument et="u" mt="i">
    <!--Instrument attributes-->
    <PRIIP>
      <!--PRIIP Classes and attributes-->
      <CEPT>
        <supplierLastUpdateTs>2017-07-17T00:00:00+02:00</supplierLastUpdateTs>
        <distributions>
          <distribution>12345</distribution>
          <distribution>67890</distribution>
          <distribution>C0002</distribution>
          <distribution>C0006</distribution>
        </distributions>
        <lastGenerationTs>2017-07-17T00:00:00+02:00</lastGenerationTs>
        <lifecycleStatusType>2</lifecycleStatusType>
        <publicationClassificationType>2</publicationClassificationType>
        <sourcingStrategyType>1</sourcingStrategyType>
        <costCcy>EUR</costCcy>
        <recomHoldingPeriodYears>1.5</recomHoldingPeriodYears>
        <accumulatedInvestmentAmount>2.49</accumulatedInvestmentAmount>
        <hypotheticalInvestmentAmount>2.05</hypotheticalInvestmentAmount>
        <hypotheticalInvestmentType>2</hypotheticalInvestmentType>
        <cEPTCostSections>
          <CEPTCostSection>
            <periodType>1</periodType>
            <reductionInYield>0.75</reductionInYield>
            <totalCosts>2.05</totalCosts>
          </CEPTCostSection>
          <CEPTCostSection>
            <periodType>2</periodType>
            <reductionInYield>1.05</reductionInYield>
            <totalCosts>3.05</totalCosts>
          </CEPTCostSection>
          <CEPTCostSection>
            <periodType>3</periodType>
            <reductionInYield>1.55</reductionInYield>
```

```
            <totalCosts>5.05</totalCosts>
          </CEPTCostSection>
        </cEPTCostSections>
        <cEPTPerformanceScenarios>
          <CEPTPerformanceScenario>
            <performanceScenarioType>2</performanceScenarioType>
            <periodType>1</periodType>
            <absoluteReturn>25.39</absoluteReturn>
            <percentageReturn>0.095</percentageReturn>
          </CEPTPerformanceScenario>
          <CEPTPerformanceScenario>
            <performanceScenarioType>2</performanceScenarioType>
            <periodType>2</periodType>
            <absoluteReturn>36.39</absoluteReturn>
            <percentageReturn>0.124</percentageReturn>
          </CEPTPerformanceScenario>
          <CEPTPerformanceScenario>
            <performanceScenarioType>3</performanceScenarioType>
            <periodType>1</periodType>
            <absoluteReturn>55.93</absoluteReturn>
            <percentageReturn>0.234</percentageReturn>
          </CEPTPerformanceScenario>
          <CEPTPerformanceScenario>
            <performanceScenarioType>3</performanceScenarioType>
            <periodType>2</periodType>
            <absoluteReturn>62.93</absoluteReturn>
            <percentageReturn>0.55</percentageReturn>
          </CEPTPerformanceScenario>
        </cEPTPerformanceScenarios>
        <Price>
          <historicalStartDate>2000-07-17</historicalStartDate>
          <shareClassCcy>EUR</shareClassCcy>
          <sharePrice>16.06</sharePrice>
          <sharePriceDate>2017-06-20</sharePriceDate>
          <exchangeRateChangeSCCcy>EUR</exchangeRateChangeSCCcy>
          <oldShareClassCcy>DDM</oldShareClassCcy>
          <oldValuationFrequencyType>104</oldValuationFrequencyType>
          <sharePriceCcy>EUR</sharePriceCcy>
          <sharePriceFactor>7.18</sharePriceFactor>
          <shareSplitFactor>3.57</shareSplitFactor>
        </Price>
      </CEPT>
    </PRIIP>
    <!--Other parts possible-->
  </Instrument>
</SIXRegHub>
```

Figure 47: Example of the PRIIP CEPT part of a CD file in XML format

3.5.2.5. XML structure for Tax871m (part of CD)

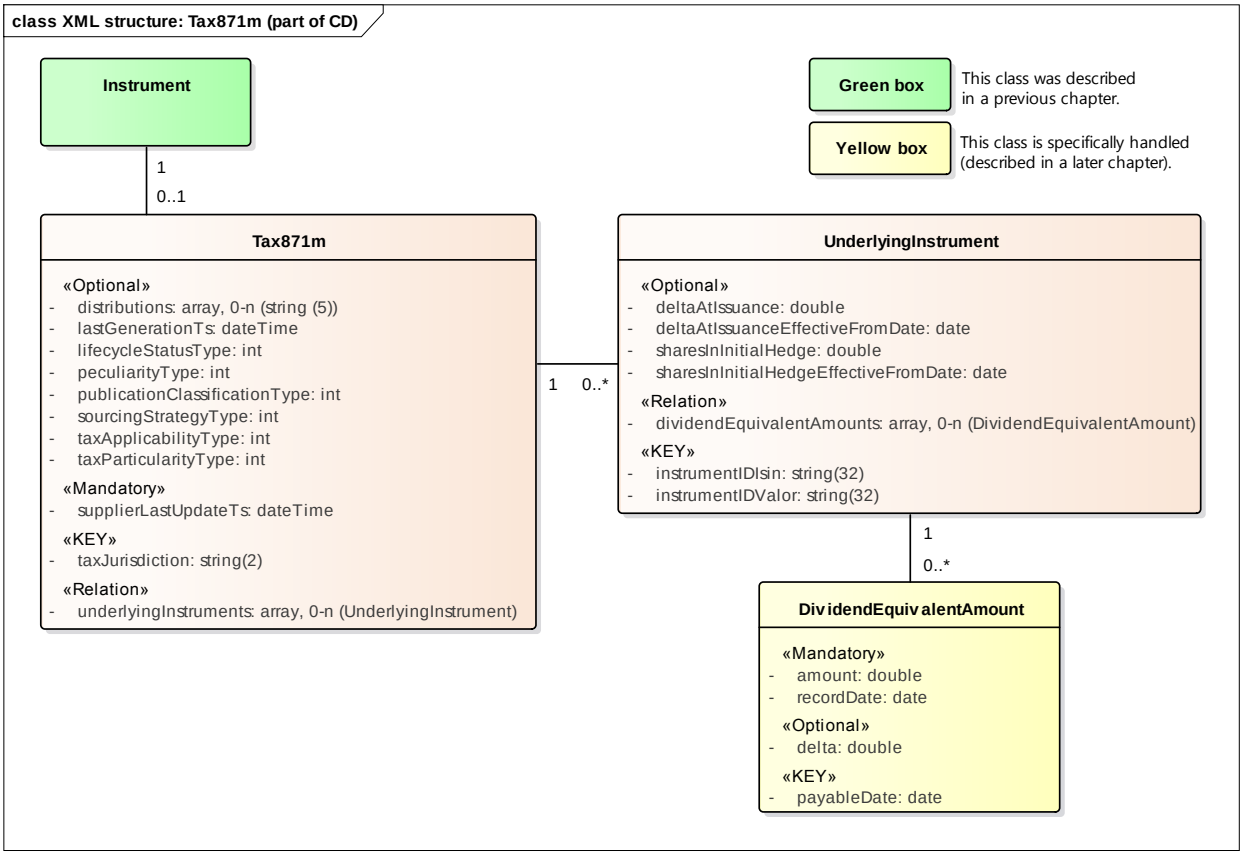

Figure 48: XML structure for Tax871m (part of CD)

```
<SIXRegHub>
  <Instrument et="u" mt="i">
    <!--Instrument attributes-->
    <Tax871m>
      <supplierLastUpdateTs>2017-07-17T00:00:00+02:00</supplierLastUpdateTs>
      <distributions>
        <distribution>12345</distribution>
        <distribution>67890</distribution>
        <distribution>C0002</distribution>
        <distribution>C0006</distribution>
      </distributions>
      <lastGenerationTs>2017-07-17T00:00:00+02:00</lastGenerationTs>
      <lifecycleStatusType>2</lifecycleStatusType>
      <publicationClassificationType>1</publicationClassificationType>
      <sourcingStrategyType>1</sourcingStrategyType>
      <taxJurisdiction>US</taxJurisdiction>
      <peculiarityType>1</peculiarityType>
      <taxApplicabilityType>33</taxApplicabilityType>
      <taxParticularityType>1</taxParticularityType>
      <underlyingInstruments>
        <UnderlyingInstrument>
          <instrumentIDIsin>US10291212</instrumentIDIsin>
          <deltaAtIssuance>12.2902</deltaAtIssuance>
          <deltaAtIssuanceEffectiveFromDate>2017-07-17</deltaAtIssuanceEffectiveFromDate>
          <dividendEquivalentAmounts>
            <DividendEquivalentAmount>
              <payableDate>2017-08-03</payableDate>
              <amount>2.298</amount>
              <delta>0.11</delta>
              <recordDate>2017-07-17</recordDate>
            </DividendEquivalentAmount>
            <DividendEquivalentAmount>
              <payableDate>2017-09-10</payableDate>
```

```
            <amount>3.493</amount>
            <delta>0.15</delta>
            <recordDate>2017-07-17</recordDate>
          </DividendEquivalentAmount>
        </dividendEquivalentAmounts>
      </UnderlyingInstrument>
      <UnderlyingInstrument>
        <instrumentIDIsin>US10001111</instrumentIDIsin>
        <deltaAtIssuance>9.322</deltaAtIssuance>
        <deltaAtIssuanceEffectiveFromDate>2017-08-19</deltaAtIssuanceEffectiveFromDate>
        <dividendEquivalentAmounts>
          <DividendEquivalentAmount>
            <payableDate>2017-08-18</payableDate>
            <amount>3.292</amount>
            <delta>1.12</delta>
            <recordDate>2017-07-17</recordDate>
          </DividendEquivalentAmount>
          <DividendEquivalentAmount>
            <payableDate>2017-10-25</payableDate>
            <amount>4.001</amount>
            <delta>0.98</delta>
            <recordDate>2017-07-17</recordDate>
          </DividendEquivalentAmount>
        </dividendEquivalentAmounts>
      </UnderlyingInstrument>
    </underlyingInstruments>
  </Tax871m>
  <!--Other parts possible-->
 </Instrument>
</SIXRegHub>
```

Figure 49: Example of the part Tax871m of a CD file in XML format

3.5.2.6. Complete CD XML File

This link leads you to an example of a **DMD file in XML format ("Full file")**.
This link leads you to an example of a **DMD file in XML format ("Delta file")**.

3.5.3. REST Service: CD (version 1)

A description of the respective data type and an implementation in the corresponding technology can be found in chapter "**Description of Data Types**".
The following table give an overview of all REST operations for this topic.

3.5.3.1. Overview of all REST API Calls for CD

If an API call is marked as **draft** this means that this call will not be productively available.

Resource	HTTP Method	Short Description
Instrument (Providing CD):		
/v1/instruments	GET	Search for an Instrument with various parameters.
/v1/instruments	POST	Create a new Instruments with zero or more Content data records.
/v1/instruments/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}	DELETE	Delete an Instrument with all dependent Content data records.
/v1/instruments/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}	GET	Get an Instrument with all dependent Content data records.
/v1/instruments/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}	PATCH (draft)	Update an Instrument and all Content data records by providing only the changed or new attributes with all needed keys.
/v1/instruments/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}}?strategy=UPSERT or MERGE	PUT	Replace an Instrument and all Content data records by providing the complete updated Instrument and Content data records. Optional request parameter UPSERT: Execution of insert or update, existing records are fully replaced. Optional request parameter request parameter MERGE: Execution of insert or update, existing records are merged, i.e. for not delivered childs the values still exist. Default behavior is UPSERT.
/v1/instruments/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/(**mifid2 or priip or tax871m**)	DELETE	Delete the (MiFID2 or PRIIP or Tax871m) Content data record.
/v1/instruments/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/(**mifid2 or priip or tax871m**)	GET	Get the (MiFID2 or PRIIP or Tax871m) Content data record.
/v1/instruments/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/(**mifid2 or priip or tax871m**)	PATCH (draft)	Update the (MiFID2 or PRIIP or Tax871m) Content data record by providing only the changed or new attributes with all needed keys.
/v1/instruments/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/(**mifid2 or priip or tax871m**)	POST	Create the new (MiFID2 or PRIIP or Tax871m) Content data record and paste it to the given Instrument.
/v1/instruments/{instrumentScheme}/{instrumentID}/{manufacturerScheme}/{manufacturerID}/{technicalAgentScheme}/{technicalAgentID}/(**mifid2 or priip or tax871m**)	PUT	Replace the (MiFID2 or PRIIP or Tax871m) Content data record by providing the complete updated (MiFID2 or PRIIP or Tax871m) Content data record.

Table 98: Overview of the SIX RegHub REST API calls for CD

3.5.3.2. REST Services: MiFID 2 ExPostCosts

Resource	HTTP Method	Short Description
/manufacturerExPostAPI/v1/exPostCosts	POST (draft)	Submit a new ExPostCost element to RegHub. The element is appended. There is no correction of an ExPostCost record **This service is not yet provided and scheduled for a later release**
/manufacturerExPostQueryAPI/v1/exPostCosts	POST (draft)	Request ExPostCosts time series for defined Instruments of the manufacturers inventory,
/exPostCosts/v1/reports	POST (draft)	Request for a ExPostCost report as a file. The report is defined by the provided query filter and the file type is defined by the output type definition. The service returns a processing id identifying the request.

The POST service require a query filter object. The query filter attributes are outlined below.

Attribute	Sub Attribute	Condition	DataType	Description	Result if not provided	Comment
searchPeriodStartDate		mandatory	Date	The start date of the search period	HTTP 400 "Bad Request"	
searchPeriodEndDate		optional	Date	The end date of the search period	The current date is used as search end date	
reportOutputType		mandatory	Enum of supported return formats	Identifies the return channel. Valid values are: "0": JSON File "1": XML File (Prio 2; supported in a later stage) *2": CSV File (Prio 2; supported in a later stage)	If not provided or "out of range", default is JSON	Only required for file request, not for REST GET request
instrumentIdentifications		optional	an array of the objects, where each object contains the attributes below			
	instrumentScheme	optional	string (8)	The "Instrument Scheme" - e.g. ISIN, Valor, etc - according to API specification	Based on the other filter criterias	HTTP 400 "Bad Request" If provided without

Attribute	Sub Attribute	Condition	DataType	Description	Result if not provided	Comment
						Identifier scheme
	instrumentIdentifier	optional	string (32)	The actual identifier string		HTTP 400 "Bad Request" If provided without Identifier
	manufacturerScheme	optional	string (8)	The "Institution Identifier" - e.g. LEI, GK, etc - according to API specification	Based on the other filter criterias	HTTP 400 "Bad Request" If provided without Identifier
	manufacturerIdentifier	optional	string (32)	The actual identifier string of the manufacturer		HTTP 400 "Bad Request" If provided without Identifier scheme
	technicalAgentScheme	optional	string (8)	The "Institution Identifier" - e.g. LEI, GK, etc - according to API specification	Based on the other filter criterias	HTTP 400 "Bad Request" If provided without Identifier
	technicalAgentIdentifier	optional	string (32)	The actual identifier string of the technical agent. The technical agent is of advantage, if the universe contains a physical instrument more than once. This happens if an instrument is part of more than one technical agent inventory		HTTP 400 "Bad Request" If provided without Identifier scheme
distributions		optional	array, 0-n (string (5))	Defines the distributions channels the search is applied to	results of all distribution channels	

Attribute	Sub Attribute	Condition	DataType	Description	Result if not provided	Comment
exPostCostType		optional	int	The cost type as defined with 'he attribute "**Costs Type**". This search filter is prio 2		

3.6. API: Sales report (SR)

If an API call is marked as **draft** this means that this call will not be productively available.

Resource	HTTP Method	Short Description
/manufacturersalesreportQueryAPI/v1/salesreport	POST (draft)	Request for Sales Report report. The report is defined by the provided query filter.
/manufacturerSalesreport/v1/salesreport	POST (draft)	Request for a SalesReport report as a file. The report is defined by the provided query filter. The service returns a processing id identifying the request.

The POST service require a query filter object. The query filter attributes are outlined below.

Attribute	Subattribute	Condition	DataType	Description	Result if not provided	Comment
reportingDateFrom		Mandatory	Date	The start date of the search period	HTTP 400 "Bad Request"	
reportingDateTo		Optional	Date	The end date of the search period	The current date is used as search end date	
instrumentIdentifications		Optional	An array of the objects, where each object contains the subattributes below			
	primaryInstrumentScheme	Optional	String(8)	The "Instrument Scheme" - e.g. ISIN, Valor, etc - according to API specification NOTE: First step only ISIN	Based on the other filter criterias	HTTP 400 "Bad Request" If provided without Identifier scheme
	primaryInstrumentID	Optional	String(32)	Instrument identifier string	Based on the other filter criterias	HTTP 400 "Bad Request" If provided without Identifier
manufacturerScheme		Optional	String(8)	The "Institution Identifier" - e.g. LEI, GK, etc - according to API specification	Based on the other filter criterias	HTTP 400 "Bad Request" If provided without Identifier
manufacturerID		Optional	String(32)	The actual identifier string of the manufactorer	Based on the other filter criterias	HTTP 400 "Bad Request" If provided without Identifier scheme

Attribute	Subattribute	Condition	DataType	Description	Result if not provided	Comment
distributorScheme		Optional	String(8)	The "Institution Identifier" - e.g. LEI, GK, etc - according to API specification	Based on the other filter criterias	HTTP 400 "Bad Request" If provided without Identifier
distributorID		Optional	String(32)	The actual identifier string of the technical agent.	Based on the other filter criterias	HTTP 400 "Bad Request" If provided without Identifier scheme

3.6.1. REST Service: SR (version 1)

A description of the respective data type and an implementation in the corresponding technology can be found in chapter "**Description of Data Types**".
The following table give an overview of all REST operations for this topic.

3.6.1.1. Overview of all REST API Calls for SR

If an API call is marked as **draft** this means that this call will not be productively available.

Resource	HTTP Method	Short Description
Sales Report:		
/v1/salesreports/receiver	GET	Get a list of all MifiDII Sales Report for the member is entitled to and where "**reportStatusType**" is in "7" or "8".
/v1/salesreports/receiver/{senderRegHubMemberID}/{reportID}	GET	Get the Sales Report with the reportId of the identified report sender, i.e. distributor member id. The sales reports needs to be visible to the receiver, if "**reportStatusType**" is in "7" or "8".
/v1/salesreports/receiver/{senderRegHubMemberID}/{reportID}/status	PUT (draft)	Update the "**reportStatusType**" of the Sales Report reportId of the identified report sender, i.e. distributor member id , to value "7" or "8".

Table 99: Overview of the SIX RegHub REST API calls for SR

3.7. API: Services

3.7.1. REST Service: Services (version 1)

A description of the respective data type and an implementation in the corresponding technology can be found in chapter "**Description of Data Types**".
The following table give an overview of all REST operations for this topic.

3.7.1.1. Overview of all REST API Calls for Services

If an API call is marked as **draft** this means that this call will not be productively available.

Resource	HTTP Method	Short Description
Services:		
/v1/services/otcisin (private)	POST (draft)	Returns an OTC ISIN from ANNA-DSB.
/v1/services/utility/members	GET	Get all SIX RegHub Member with various information.
/v1/services/utility/ping	GET	Get some information on the SIX RegHub system. Will used for checks if the system is available.

Table 100: Overview of the SIX RegHub REST API calls for Services

TBD: All chapters with the details REST Service description will be provided with the next specification version. Sample files can be downloaded from the SIX RegHub Member Area.

3.7.1.2. REST Service: File Service API

Reports are provided by a dedicated Reports API. In general the report is a file and handled by the file service API. The report is request by a particular domain linked service, e.g. /reghub/exPostCosts/v1/reports.

Resource	HTTP Method	Short Description
/reportAPI/v1/reports/jobID	GET (draft)	Request the processing state of a request. The service returns the processing state and, in case of "Completed", the fileURL. The fileURL is valid for 48 hours.
<fileUrl>	GET (draft)	Returns the file, i.e. MIME attachment application/octet-stream

3.8. 3rd Party API: “Call document” and “Call content data”

TBD: Please be aware that we are currently aligning this process. Afterwards this chapter will be updated with a later specification version.

This part describes the way how the SIX RegHub could get the document or contend data from a 3rd Party Supplier. For the document and content data retrieval SIX will be able to implement an existing document delivery platform providing either direct HTTP/HTTPS links, SOAP or REST service.

3.8.1. Onboarding process and attributes

The onboarding process is the sum of actions to integrate the 3rd Party Supplier API’s nto the SIX RegHub. There can be different ways how documents and content data are offered by the supplier (Example: requested via direct link or SOAP) and the authentication is handled.
Hence the following information will need to be defined during the onboarding process, in order to adapt the 3rd Party Suppliers different API’s

No	Name	Type	Condition	Description and Rule
1	3rd Party Supplier	String (128)	Required	The 3rd Party Supplier field stores the identifier how the supplier is known in the SIX DocGen environments.
2	Document Request Technology Type	Integer	Required	Describes the type of technology who can be used to request a document from a the 3rd Party Supplier: **1** = Document is requestable via SOAP. **2** = Document is requestable via Direct Link. **3** = Document is requestable via REST.
3	API Request Function	String (64)	See Rule	In order to request a document, the according API function needs to be defined. **Rule:** If “Document Request Technology Type” = 1 or 3 then → **Required**
4	Authentication Type	Integer	Required	Indicates whether a authentication is required in order to request a document and which type of authentication is used: **1** = A static API Key is required. **2** = A username and password are required. **3** = No authentication is required
5	API Key	String (64)	See Rule	The API Key to add to a document request. **Rule:** If “Authentication Type” = 1 then → **Required**
6	User Name	String (64)	See Rule	The User Name for login process. **Rule:** If “Authentication Type” = 2 then → **Required**
7	Password	String (64)	See Rule	The Password for login process. **Rule:** If “Authentication Type” = 2 then → **Required**
8	Support Mailbox	String (128)	Required	Support mailbox required, to provide errors, problems, etc. to our customer.

Table 101: Onboarding attributes

3.8.2. Direct Link/ REST

In order to request a document via direct link, the corresponding links have to be provided in the document metadata or content data file (attribute “url”).

3.8.3. SOAP

In order to request a document via SOAP, the API description from the 3rd Party Supplier needs to be provided to SIX. It is assumed that a document or a content data record can be downloaded with a single SOAP function (e.g. “getDocument” or “getContentData”). The general function information will be defined during the onboarding process and stored in stable attributes. The other parameters to call a document or a content data record can be delivered in the attribute “url” or “supplierDocumentID” sent with the metadata or the content data file.

4. Appendix

4.1. Notation: Sequence diagram

The various possibilities for displaying synchronous and asynchronous messages in the sequence diagram are shown below.

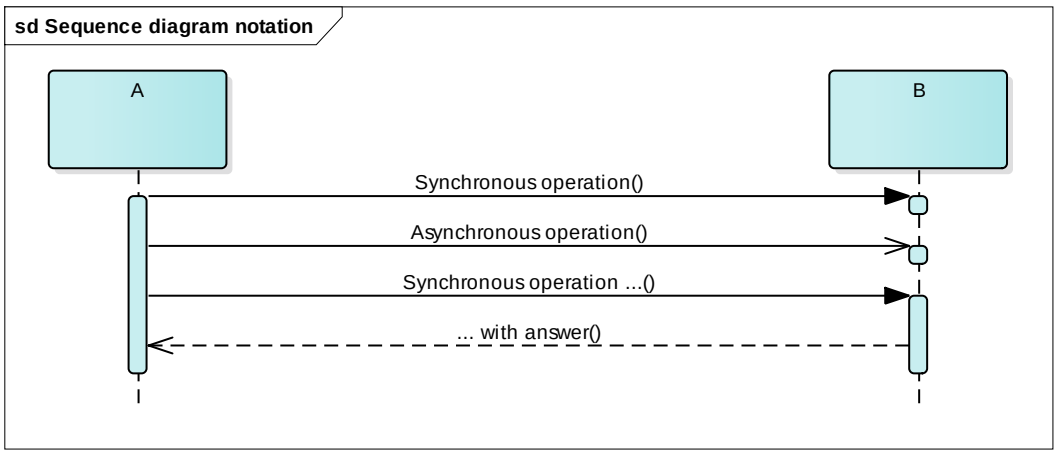

Figure 50: Sequence diagram notation

4.2. Description of Data Types

4.2.1. Array

Format of array	Description
array, C (E)	**C** = Describes the number of elements which can be provided with this structure. **E** = The data type of the elements.

Table 102: Format of the data type array

Implementation	Example for array
Basic Information	Attribute: **distributions, array, 0-n (string (5))** (values: 12345 and 67890 and C0002 and C0006)
File: CSV	12345|67890|C0002|C0006;
File: XML	<distributions> <distribution>**12345**</distribution> <distribution>**67890**</distribution> <distribution>**C0002**</distribution> <distribution>**C0006**</distribution> </distributions>
Service: JSON	"distributions": ["12345", "67890", "C0002", "C0006"]

Table 103: Implementation example for array

4.2.2. Boolean

Boolean data type is used to store values with two states: **1 = true** or **0 = false**.

Implementation	Example for date
Basic Information	Attribute: **hasCurrencyRisk** (value: 0)
File: CSV	0;
File: XML	<hasCurrencyRisk>**0**</hasCurrencyRisk>
Service: JSON	"hasCurrencyRisk"**: false**

Table 104: Implementation example for date

4.2.3. Date

Format of date	Description
yyyy-mm-dd	**yyyy** = Year. - = Separator between parts of the date portion. **mm** = Month. - = Separator between parts of the date portion. **dd** = Day. **All the date values have to be provided in the UTC time zone, i.e. RegHub is not converting the date into the UTC time zone.**

Table 105: Format of the data type date

Implementation	Example for date
Basic Information	Attribute: **periodStartDate** (value: 2017-05-18)
File: CSV	2017-05-18;
File: XML	<periodStartDate>**2017-05-18**</periodStartDate>
Service: JSON	"periodStartDate"**:** "2017-05-18"

Table 106: Implementation example for date

4.2.4. DateTime

Format of dateTime	Description
yyyy-mm-ddThh:mm:sszzzzzz	**yyyy** = Year. - = Separator between parts of the date portion. **mm** = Month. - = Separator between parts of the date portion. **dd** = Day. **T** = Separator indicating that time-of-day follows. **hh** = Hours. - = Separator between parts of the time-of-day portion. **mm** = Minutes. - = Separator between parts of the time-of-day portion. **ss** = Seconds. **zzzzzz** = Time zone regions with standard offset from UTC. More details can be found at: http://www.w3.org/TR/xmlschema-2/ (#dateTime).

Table 107: Format of the data type dateTime

Implementation	Example for dateTime
Basic Information	Attribute: **lastUpdateTs** (value: date: 2017-05-18, time: 11:49:02, time zone: +02:00)
File: CSV	2017-05-18T11:49:02+02:00;
File: XML	<lastUpdateTs>**2017-05-18T11:49:02+02:00**</lastUpdateTs>
Service: JSON	"lastUpdateTs": "2017-05-18T11:49:02+02:00"

Table 108: Implementation example for dateTime

4.2.5. Double

Double is a floating-point data type. It is used to represent numbers with a fractional part.

Implementation	Example for double
Basic Information	Attribute: **oneOffCharges** (value: 13.18)
File: CSV	13.18;
File: XML	<oneOffCharges>**13.18**</oneOffCharges>
Service: JSON	"oneOffCharges": 13.18

Table 109: Implementation example for double

4.2.6. Int (Integer)

Integer type can hold whole numbers such as for example 123 and -96.

Implementation	Example for integer
Basic Information	Attribute: **sriType** (value: 1)
File: CSV	1;
File: XML	<sriType>**1**</sriType>
Service: JSON	"sriType": 1

Table 110: Implementation example for integer

4.2.7. Enumeration

The Enumeration type holds a defined integer as value (not the defined text).

Implementation	Example for Enumeration
Basic Information	Attribute: **unitType** (value: 2) **Enumeration Unit Type:** **- 1 = Percentage (100%=100)** **- 2 = Absolute in "costCccy"**
File: CSV	2;
File: XML	<unitType>**2**</unitType>
Service: JSON	"unitType": 2

Table 111: Implementation example for Enumeration

4.2.8. Map

Format of map	Description
map, C (K, V)	**C** = Describes the amount of key- value pairs who can be provided with this structure. **K** = The data type of the keys for use this map. **V** = The data type of mapped values.

Table 112: Format of the data type map

Implementation	Example for map
Basic Information	Attribute: **instrumentIDs, map, 1-n (string (8), string (32))** (values: I-,CH0012345678 and CH,1234567)
File: CSV	I-=CH0012345678|CH=1234567;
File: XML	<instrumentIDs> <instrumentID scheme="I-">**CH0012345678**</instrumentID> <instrumentID scheme="CH">**1234567**</instrumentID> </instrumentIDs>

Service: JSON	"instrumentIDs": {
	"I-": "CH0012345678",
	"CH": "1234567"
	}

Table 113: Implementation example for map

4.2.9. String

Format of string	Description
String (L)	**L** = Numeric value, defines the length of the represented character string.

Table 114: Format of the data type map

Implementation	Example for string (simple value)
Basic Information	Attribute: **language, string (2)** (value: de)
File: CSV	de;
File: XML	<language>**de**</language>
Service: JSON	"language": "de"
Implementation	**Example for string (free text)**
Basic Information	Attribute: **url, string (2000)** (value: https://www.RegHub.com/Here_should_stand_the_rest_of_a_URL)
File: CSV	https://www.RegHub.com/Here_should_stand_the_rest_of_a_URL;
File: XML	<url><![CDATA[https://www.RegHub.com/Here_should_stand_the_rest_of_a_URL]]></url>
Service: JSON	"url": "https://www.RegHub.com/Here_should_stand_the_rest_of_a_URL"

Table 115: Implementation examples for string

4.3. Example Files

4.3.1. CD file in XML format ("Full file")

```
<SIXRegHub>
  <Instrument et="s">
    <primaryInstrumentScheme>I-</primaryInstrumentScheme>
    <primaryInstrumentID>CH0012345678</primaryInstrumentID>
    <primaryManufacturerScheme>LEI</primaryManufacturerScheme>
    <primaryManufacturerID>888800ABCDEFGHIJKL00</primaryManufacturerID>
    <primaryTechnicalAgentScheme>LEI</primaryTechnicalAgentScheme>
    <primaryTechnicalAgentID>12300ABCDEFKMQAKL12</primaryTechnicalAgentID>
    <supplierLastUpdateTs>2017-07-17T00:00:00+02:00</supplierLastUpdateTs>
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    <eTDProductType>2</eTDProductType>
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      <guarantorID scheme="BIC">2920933</guarantorID>
    </guarantorIDs>
    <guarantorName>Guarantor Name</guarantorName>
    <instrumentClassificationCFI>DB</instrumentClassificationCFI>
    <instrumentName>Example Instrument</instrumentName>
    <isFinfraGReportable>1</isFinfraGReportable>
    <isPossibleTerminatedEarly>0</isPossibleTerminatedEarly>
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      <mainManufacturerID scheme="LEI">9998811ABCDEFL00</mainManufacturerID>
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    <mainManufacturerName>The Main Manufacturer</mainManufacturerName>
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        <distribution>67890</distribution>
        <distribution>C0002</distribution>
        <distribution>C0006</distribution>
      </distributions>
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      <sriCalculationTs>2017-07-17T00:00:00+02:00</sriCalculationTs>
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      <costCcy>EUR</costCcy>
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      <hasEos>0</hasEos>
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```

```
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  <hasPortfolioInsurance>0</hasPortfolioInsurance>
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  <capitalPreservationLevel>12.29</capitalPreservationLevel>
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  <publicationClassificationType>2</publicationClassificationType>
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  <accumulatedInvestmentAmount>2.49</accumulatedInvestmentAmount>
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      <periodType>2</periodType>
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    <sharePriceDate>2017-06-20</sharePriceDate>
    <exchangeRateChangeSCCcy>1.98</exchangeRateChangeSCCcy>
    <oldShareClassCcy>DDM</oldShareClassCcy>
    <oldValuationFrequencyType>104</oldValuationFrequencyType>
    <sharePriceCcy>EUR</sharePriceCcy>
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```

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Figure 51: Example part of a CD file in XML format (“Full file”)

4.3.2. CD file in XML format ("Delta file")

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```

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Figure 52: Example part of a CD file in XML format (“Delta file”)