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RegXchange API Documentation

Revisions table

Version	Name	Date	Description
0.3	Mathias Strasser	July 3, 2017	• Alignment with latest EPT/EMT templates • Clean-up for first public release
0.3.1	Mathias Strasser	July 3, 2017	• Updated URL references to new version of auth API
0.3.2	Adam Tull	July 6, 2017	• Updated ping test API endpoint
0.4	Mathias Strasser	July 17, 2017	• Changed node naming conventions such that each XPath consists only of unique node names to avoid naming clashes(*e.g.*, a document is now <document> not <item>) • Turned change log for current and prior versions of a KID into a list so that the field can hold multiple events for a single update and split event types into two levels (high-level and detailed) • Added change log for MiFID II data • Changed indication of whether KID includes comprehension into an indication of whether the product is complex and moved it to the end of the MiFID II data section • Added additional fields for structured products • Minor updates to MiFID 2 data fields • Updated MiFID II process flows
0.5	Mathias Strasser	July 23, 2017	• Replaced boolean fields for target market definition with an enum field consisting of three options: positive, negative and neutral • Did same for distribution strategy – but here fields are now called retail, professional, both and neither

			• Renamed knowledge and experience options • Added limited capital loss field • Added early termination option to investment horizon • Added discussion of positive, negative and neutral target market + distributor feedback
0.6	Preeti Gurung	August 10, 2017	• Renamed the field names in the priipData and mifid2Data sections to match the exact names in the EMT V1.0 / EPT V1.1 templates but prepended an underscore to not upset Java XML generators • Added new field names from the EPT and EMT templates
0.7	Mathias Strasser	August 24, 2017	• Added section on costs and charges
0.7.1	Mathias Strasser	August 28, 2017	• Revised section on costs and charges
0.7.2	Preeti Gurung	August 31, 2017	• Updated RegXchange fields to achieve full alignment with EPT/EMT templates
0.8	Mathias Strasser	September 2, 2017	• Revised REST API endpoint descriptions for “final UAT” environment • Added placeholder for upcoming REST API endpoints • Added section on RegXchange UI • Updated section on costs and charges • Miscellaneous structural revisions • Added links to target market & distributor feedback visualizations • Added links to XML & JSON schemas

			• Added roadmap
0.8.1	Paul King	September 6, 2017	• Updated description of “Delete a single data record” and “Download all data record of a given manufacturer (delta)” API endpoints
0.8.2	Paul King	September 9, 2017	• Updated description of “Delete all data records”, “Bulk delete data records”, “Subscribe to a notification (callback)” and “Publish a notification” API endpoints
0.8.3	Preeti Gurung	September 10, 2017	• Amended a few typos in the RegXchange API field descriptions
0.9	Mathias Strasser	September 11, 2017	• Added RegXchange API field for distributor retrocession fees • Added detailed development timeline
0.9.01	Paul King	September 12, 2017	• Re-added ping test API
0.9.1	Paul King	September 19, 2017	• Removed “holdToMaturityDateAsPrescribedInTheTradeDocumentation” from schema section • Removed “currencyProtection” from schema section • Updated “recommendedHoldingPeriod” in schema section • Updated “productIsComplex” in schema • Updated “Publish a notification” text
0.9.2	Paul King	September 25, 2017	• Added PULL notification documentation • Added Events documentation • Updated PUSH notification description

0.9.3	Paul King	September 27, 2017	• Updated RegXchange development timeline dates • Updated “RegXchange XML and JSON schemas” section to reflect XSD schema
0.9.9	Paul King	October 18, 2017	• Added/updated notifications section • Updated API endpoint titles • Updated API descriptions • Updated development timeline • Updated RegXchange format schema table • Added WM Daten & EPT-EMT (EWG) download filters descriptions • Added RegXchange format Excel uploader instructions • Added JSON support for RegXchange format upload • Various corrections • Fixed word spacing • Common errors section TO COME
1.0.0	Adam Tull	November 13, 2017	• Updated Roadmap • Added common errors section • Added API endpoint for retrieving a list of LEI’s and the corresponding name
1.3.0	Paul King	March 22 2018	Multiple Updates
1.4	Jane Case	November 12, 2018	Interim update until EMT Version 2 fields available.
1.4.1	Jon King Jane Case	February 19, 2019	Updated field names and endpoints for RegXchange V1.4 and EMTEPT V2

			INTERNAL FORMAT, NOT DISTRIBUTED TO CLIENTS.
1.4.2	Rory Mercer	February 26, 2019	Updated descriptions for fields now referencing EMT V2 Additional parameters added for bulk downloading and searching
1.4.3	Rory Mercer	May 3, 2019	Updates to optional and required fields Updated auth URL INTERNAL FORMAT, NOT DISTRIBUTED TO CLIENTS.
1.4.4	Rory Mercer	June 7, 2019	Updated fields in Format Schema Table
1.4.5	Jane Case	June 21, 2019	Updated API endpoint for retrieving metadata for a list of ISINs added
1.4.6	Jane Case	July 11, 2019	Updated fields in Format Schema Table
1.4.7	Rory Mercer	July 30, 2019	Updated additional fields in Format Schema Table
1.4.8	Jane Case	November 4, 2019	Updated additional fields in Format Schema Table
1.4.9	Jane Case	January 31, 2019	Updated additional fields in Format Schema Table
3.0	Jane Case	September 22, 2020	New Schema Format Table for EMTEPT-V3 Additional updates related to adding EMTEPT-V3 information New section for EMTEPT-V3 uploader

3.1.1	Rory Mercer	September 14, 2021	Additional updates related to adding EMTEPT-V3.1 information New section for EMTEPT-V3.1 uploader
4.0.0	Rory Mercer	September 2, 2022	Update to the schema parameter for downloading from RegXchange in ‘regx’ format Added EET upload, download (single and bulk) and search endpoints.
4.0.1	Rory Mercer	October 10, 2022	Updated parameters for EET bulk download endpoint
4.0.3	Rory Mercer	December, 22 2022	Updated EET with V1.1 parameter. Added EPT-V2.1 / EMT-V4 schema parameters7 Added EMT/EPT/EET CSV download endpoints.

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Overview

RegXchange is a platform for the exchange of PRIIP and MiFID II information between manufacturers and distributors and for the dissemination of KIDs to investors. Its original focus has been on structured products and OTC derivatives, but we also now support funds, and support for other investment classes will be added in the future. RegXchange is a subsidiary of WallStreetDocs, a document automation and data analytics company.

Architecture

RegXchange distinguishes between the following counterparties:

Type	Description
Manufacturers	Legal entities that manufacture PRIIPs – this includes (1) PRIIP Cloud manufacturers, which are entities that create KIDs via WallStreetDocs' PRIIP Cloud document automation platform; and (2) "third party" manufacturers who use their own KID provider and upload data directly into RegXchange
Distributors	Legal entities involved in the distribution of PRIIPs to investors
Data Vendors and exchanges	Legal entities engaged in the business of reselling or otherwise distributing PRIIPs data and MiFID II Information
Investors	Legal entities or individuals purchasing PRIIPs either directly from a manufacturer or via a distributors

Manufacturers may:

(i) upload PRIIP and MiFID II data, including target market and cost information, to the platform and share such data either publicly or with distributors and data vendors; and (ii) receive MiFID II distributor feedback.

Distributors may:

(i) download KIDs from different manufacturers via a single URL based on the relevant PRIIPs' ISIN;

(ii) download PRIIP data, either in bulk or on a per-ISIN basis;

(iii) download MiFID II data either in bulk or on a per-ISIN basis;

(iv) download metadata in either the RegXchange format or alternatively (1) the EMT format; or (2) WMDaten format;

(v) modify the target market and cost information embedded in the MiFID II data for a given PRIIP and share the modified data with other distributors;

(vi) upload MiFID II distributor feedback;

(vii) download 871(m) data; and

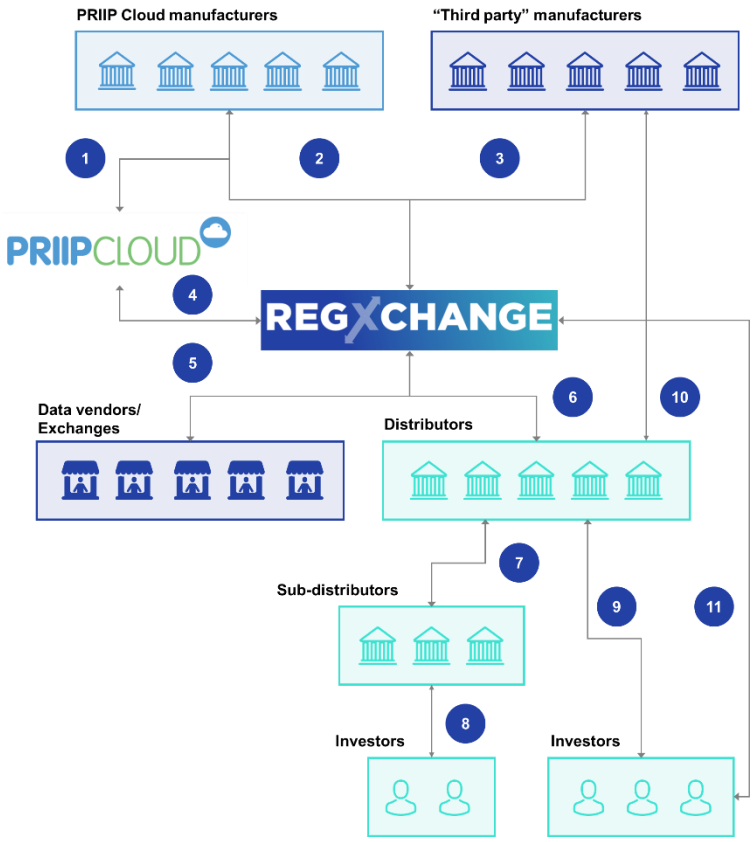
(viii) download historical RIY data.

Data vendors and exchanges may download PRIIP and MiFID II data for onward distribution in return for uploading MiFID II distributor feedback provided by their clients.

Investors may download KIDs.

While manufacturers, distributors, data vendors and exchanges may carry out all actions via a REST API or a webapp, investors may only use the webapp.

The following graph visualizes the flow of data from manufacturers to distributors and investors as well as data vendors and exchanges.



1. PRIIP Cloud manufacturers upload PRIIP data and, optionally (see 2.), MiFID II data, to PRIIP Cloud.
2. As an alternative to uploading PRIIP data to PRIIP Cloud, PRIIP Cloud manufacturers may post MiFID II data to RegXchange directly.
3. "Third party" manufacturers post PRIIP and MiFID II data to RegXchange directly.
4. PRIIP Cloud propagates PRIIP and MiFID II data to RegXchange. PRIIP Cloud stores the KIDs of PRIIP Cloud manufacturers. Third party manufacturers maintain their own KID repositories.
5. RegXchange makes PRIIP and MiFID II data available to data vendors (*e.g.*, WMDaten) and exchanges (*e.g.*, SIX) in accordance with the arrangements in place with the relevant party.
6. RegXchange makes PRIIP and MiFID II data available to distributors via the RegXchange API or the RegXchange webapp, either on a per-manufacturer basis or on a per-ISIN basis.
7. Distributors may share PRIIP and MiFID II data with sub-distributors if they form part of a distribution chain.
8. Distributors (and any sub-distributors) forward KIDs and webapp links to investors – this occurs outside the RegXchange platform.
9. Distributors download KIDs via a proxied RegXchange URL or directly from the manufacturer of the relevant PRIIP using the URL embedded in the PRIIP data.
10. Investors download KIDs via a public section of the RegXchange webapp via a proxied RegXchange URL.

Suppliers and consumers of data are classified as either organizations or End-Users.

(i) Organizations are legal entities. To be set up in the system, organizations must send an email to servicedesk@regxchange.com specifying their legal name, address and telephone number and indicate whether they are a manufacturer, distributor, data vendor, exchange and/or investor. Only organizations set up as manufacturers have the right to upload PRIIP and MiFID II data to the platform.

(ii) Each organization is identified by its Legal Entity Identifier (LEI) & an internal organization ID allocated by RegXchange.

(iii) Each organization has one or more administrators (referred to as org admins) and one or more End-Users.

(iv) End-Users are individuals affiliated with an organization. They are set up by the organization's org admin.

(v) Each End-User is identified by its email address.

For any organization that conducts both Manufacturer and Distributor business activity, separate organization accounts will be set up. The part of an organization that is involved in the manufacture of the organization's PRIIPs will be set up as the Manufacturer organization of that organization; and the part of the organization that is involved in the distribution of PRIIPs of other organizations will be set up as the Distributor organization of that organization. Each separate organization will have a minimum of one org admin. The org admin for a Manufacturer organization will always be an End-User that has the role of Manufacturer and the org admin for a

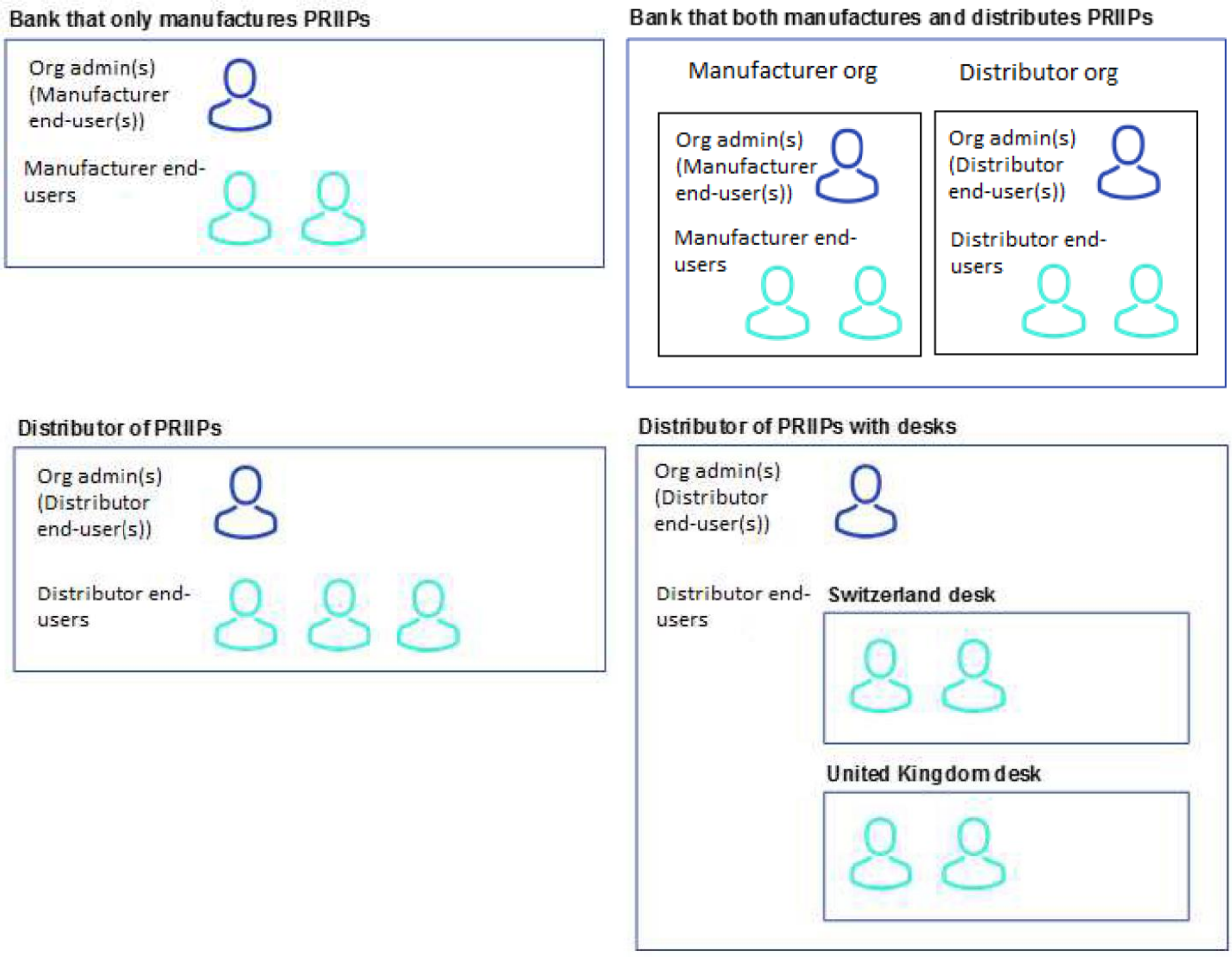
Distributor organization user will always be an End-User that has the role of Distributor. It is not possible for an End-User to be assigned with both Distributor and Manufacturer permission rights.

The org admin also defines each End-User's permissions (*e.g.*, whether a Manufacturer end-user has the right to upload only PRIIP data or both PRIIP data and MiFID II data).

For any organization that is a Distributor, the org admin may create desks. A desk aggregates all End-Users tagged as Distributor End-User into groups. It is up to the org admin to decide whether to create desks and, if so, how End-Users should be grouped (*e.g.*, by geography or other criteria).

Individuals who are unaffiliated with an organization may only access the public sections of the webapp.

The following graphs visualize the different types of possible organization setups. Note, reference to Manufacturer Users and Distributor Users should be reference to Manufacturer End-Users and Distributor End-Users.



Data records

Overview

A RegXchange metadata record consists of:

(i) KID data,

(ii) PRIIP data,

(iii) MiFID II data, which in turn consists of:

(1) target market metadata and

(2) costs and charges metadata

(iv) 871(m) data, and

(v) other data related to structured products, including pricing data.

Choosing a global identifier

(a) A PRIIPs' global identifier is typically the PRIIP's ISIN. In the case of "generic" OTC trades and other "PRIIPs" that do not have an ISIN, the global identifier is a unique identifier chosen by the manufacturer. Each Manufacturer will be allocated a unique prefix for global identifiers for non-ISIN products to reduce the risk of the same identifier being used by multiple manufacturers. These will be allocated by RegXchange to each participating manufacturer.

Creating a data record

(a) Organizations that are Manufacturers may create data records by uploading them via the RegXchange REST API. End-Users affiliated with organizations who hold the appropriate permissions may also create data records via the webapp.

(b) Each data record relates to a PRIIP and is uniquely identified by the PRIIP's global identifier.

(c) A data record consists of the following sections:

(i) KID , which includes (1) the current version number of the KID, expressed as a timestamp, (2) the trigger for the publication of the current version of the KID (*e.g.*, "initial Publication" or any of a number of specified trigger events) and (3) download information for the current version of the KID and any prior versions;

(ii) PRIIP data;

(iii) MiFID II Information, which includes target market and cost information;

(iv) 871(m) data; and

(v) other data related to structured products, including pricing data.

(d) Data records must be uploaded via the RegXchange REST API and must be provided as XML or JSON files that comply with the RegXchange schema (see RegXchange format schema table). If a Manufacturer wishes to upload data records in a different format, this must be agreed with RegXchange.

(e) Organizations may upload data records in bulk or on an ISIN-by-ISIN basis.

(f) Each data record may be updated as a single upload or in multiple instalments. If only part of a data record is provided during an upload (*e.g.*, only PRIIP data, but no MiFID II Information), the platform will use the PRIIP's global identifier to match the information provided to the correct entry.

Updating a data record

(a) Each section of a data record is versioned separately. For two of the section – KIDs and MiFID II Information – the reason for why the version number was increased may be provided.

KIDs update events

(b) For KIDs updates, each update trigger consists of a high-level category and, optionally, the specific reason.

(ii) Set forth below are the KIDs update triggers:

High-level category	Specific reason
Life cycle event	(i) Initial publication (ii) Autocall (iii) Issuer call (iv) Investor put (v) Redemption at maturity (vi) Cancellation (vii) Other termination
Product description change	(i) Knock-in barrier breach (ii) Knock-out barrier breach (iii) Interest issuer switch (iv) Interest auto-switch

High-level category	Specific reason
	(v) Other payoff change (vi) Other product description change
Intended retail investor change	(i) Intended retail investor change
Reference asset change	(i) Stock split (ii) Ticker change (iii) Merger (iv) Spin-off (v) Other corporate action (vi) Credit event
Risk change	(i) Credit rating change (ii) CRM change (iii) MRM change (iv) SRI change (v) Scenario change (vi) Other risk change

MiFID II Information updates

(iii) For MiFID II data updates, each update trigger consists of a single field as follows:

(a) Internal governance review; and

(b) Other.

Granting access to a data record

(a) Each of main sections of a data record – KIDs, PRIIP data, MiFID II Information (target market), MiFID II Information (costs and charges), 871(m) data, and other data relating to structured products, including pricing data – is subject to a separate set of access controls.

(b) Access controls allow an organization uploading a data record to define which sections are public or which ones are private (*i.e.*, restricted to registered end-users of RegXchange)

and, if they are private, which user organizations and where relevant, desks and End-Users have access to it.

(c) Public sections are accessible by the world at large. This is the normal setting for KIDs relating to publicly distributed PRIIPs and those PRIIPs that a manufacturer determines should be made available on a public section if the specific ISIN is known. In addition, however, it may be relevant for MiFID II Information if a Manufacturer decides to make such information available to participants in the secondary market.

(d) Private sections are accessible only by user organizations, desks and end-users that match the criteria specified in the access controls.

(e) Access controls are defined as follows:

(i) First, the target audience is defined in general terms (public, registered users or no one).

(ii) The second step is to add or subtract users from the target audience based on individual user IDs (if known), organizational affiliation and desk membership.

(f) The following examples illustrate how to construct the two most common access controls. Access controls can be specified by 'organization' or 'LEI'. The 'organization' parameter is the internal ID allocated by RegXchange while the LEI is the organization's Legal Entity Identifier.:

Sharing model	**Access controls**
Public	<accessControls> <informationSharingTemplate>public</informationSharingTemplate> </accessControls>
Selected distributors only	<accessControls> <informationSharingTemplate>restricted</informationSharingTemplate> <modifiers> <modifier> <modifier>include</modifier> <organization>10</organization> </modifier> <modifier> <modifier>include</modifier> <organization>13</organization> </modifier> <modifier> <modifier>include</modifier> <LEI>7LTWFZYICNSX8D621K86</LEI> </modifier> </modifiers> </accessControls>

Populating the fields

Overview

The metadata included in RegXchange data records generally follows the templates developed by FinDatEx, an association led by the insurance and asset management industries.

FinDatEx has developed two templates: (1) the “European Product Template” (EPT) and (2) the “European MiFID II Template” (EMT). More detail on these templates can be found at https://www.findatex.eu/.

FinDatEx developed the EPT primarily for the communication of fund related product information from asset managers to insurers where a fund is intended to be offered in an insurance wrapper.

In RegXchange, these fields serve a dual purpose:

- On the one hand, the fields can be used to communicate product related information from a product manufacturer to an insurer where the product (*e.g.*, a fund or structured product) is intended to be offered in an insurance wrapper.

- On the other hand, the fields can also be used to communicate the same information (along with other product information not contained in the EPT template) to downstream data vendors and distributors.

By contrast, the EMT was developed for the communication of MiFID II information from product manufacturers (including manufacturers of funds, insurance products, structured products and OTC derivatives) to data vendors and distributors.

RegXchange supports the EPT and EMT in an effort to achieve harmonization of the way information about financial products is communicated across the industry.

As a result, RegXchange generally follows the naming conventions of the EPT and EMT. In a few instances, however, it deviates from the EPT and EMT by introducing additional fields that are necessary to satisfy the demands of downstream data vendors and distributors.

FinDatEx has not specified a data format for the exchange of the information embodied by the EPT and EMT. Therefore, RegXchange supports both XML and JSON data formats.

EMT Version 3 and Version 3.1

RegXchange has adopted EMT Version 3. You can now upload in our EMTEPT Version 3 schema format or continue to upload in the original EMTEPT Version 1, EMTEPT Version 2 or RegXchange schema formats. You can also download in any of these four formats. EMTEPT-V3 contains EPT V1 data along with the updated EMT V3 data from FinDatEx.

Additionally, RegXchange has also adopted FinDatEx’s interm EMT V3.1 in our new EMTEPT Version 3.1 schema, which includes the new ESG fields for various markets. We will also adopt EMT V4 and EPT V2 in due course once we receive final versions of these from FinDatEx.

RegXchange has an internal mapping in place so that distributors can download in any format regardless of the schema format of upload of the manufacturer. RegXchange will eventually deactivate older versions of the EMTEPT schemas along with the RegXchange schema, however, we will give a minimum of 6 months' notice before doing so and will only do so with approval of a voting majority of its consortium member manufacturing banks.

PRIIP data

The KID data comprised in a data record includes information on where the KID and any prior versions of it may be found and in which languages and for which jurisdictions the KID or the relevant prior version is available. However, the data record does not include the KID document itself.

This means that distributors and investors who wish to download a KID must do so by connecting to the relevant manufacturer's KID repository directly. The KID data record include the URL of the KID. In addition, RegXchange provides a proxied URL through which the KIDs of different manufacturers are available.

PRIIP Cloud manufacturers get a KID repository from PRIIP Cloud as part of the PRIIP Cloud contract. For "third party" manufacturers, the KID repository sits with the relevant manufacturer or any vendor employed by such manufacturer to provide the repository. Manufacturers may contract RegXchange separately to provide KID repository services.

Costs and charges data

The RegXchange template holds information on costs and charges in two places:

- PRIIP data; and
- MiFID II data.

The fields in the PRIIP data section generally correspond to the EPT, whereas the fields in the MiFID II data section generally correspond to the EMT.

The RegXchange system will map the costs and charges data fields in to the exact EMT data fields where requested.

The types of costs relevant for structured products and OTC derivatives are:

- entry costs,
- ongoing costs and
- exit costs.

For structured products and OTC derivatives, the costs included in the PRIIP data section are stated as a reduction in the yield (RIY) of the moderate performance scenario shown in the KID, whereas the costs included in the MiFID II data section are stated as the actual raw costs of the product.

The MiFID II data section includes raw cost information because distributors need this in order to be able to calculate the overall costs of a product. Distributors are required to disclose the overall costs of a product on an ex ante basis as well as in the ex post cost reports that they are required to prepare.

The PRIIP data section includes cost information on an RIY basis. Strictly speaking, insurers offering multi-option products (MOPs) would need the raw costs of the individual investment options included in the MOP to show an overall RIY figure for the MOP in the KID. For many structured products, however, a product's raw costs in and of themselves are not sufficient to calculate the product's RIY. Therefore, the industry practice for the time being will be to use the product's RIY.

For structured products for which the manufacturer makes a market and provides daily or more frequent price updates (as well as for situations where the manufacturer otherwise has the relevant information readily available), entry costs are defined as (1) the product's current ask price minus (2) its current fair value. In all other cases (including for unlisted structured products and structured products with a technical listing but no active market making, as well as OTC derivatives), it is expected that manufacturers provide a fixed amount representing a conservative estimate of the product's entry costs. The difference in approach is designed to reduce the ongoing updating burden for manufacturers of products that are not actively traded. The estimate would only be revised if it becomes materially wrong or the manufacturer enters into a transaction that reflects different costs.

Similarly, for structured products for which the manufacturer makes a market and provides daily or more frequent price updates (as well as for situations where the manufacturer otherwise has the relevant information readily available), exit costs are defined as (1) the product's current fair value minus (2) its current bid price, although other calculation methods (*e.g.*, such as the typical bid/ask spread or half the typical bid/ask spread) may apply, depending on the relevant market. Again, in all other cases (including for unlisted structured products and structured products with a technical listing but no active market making, as well as OTC derivatives), it is expected that manufacturers provide a fixed amount representing a conservative estimate of the product's exit costs to avoid having to update this information frequently.

Ongoing costs include items such as (1) a management fee for an open-end product or (2) the financing costs for an open-end turbo or mini future. Where appropriate, the ongoing costs may be provided as a fixed amount. Depending on the nature of the ongoing costs, however, updates may be necessary.

With ongoing costs, distributors expect the ex-ante figures to be provided for a 12-month period and the ex post figures to be provided on a cumulative basis since January 1 of the relevant year, as this allows them to calculate the actual ongoing costs incurred by a client by reading out the ongoing costs for the relevant day and deducting from that amount the ongoing costs for the day the client purchased the product. Manufacturers of structured products that are not actively traded and OTC derivatives may provide the ongoing costs broken down to a single calendar day and leave the calculation of the cumulative cost figure to RegXchange.

In different markets, manufacturers may follow different approaches when it comes to updating the cost information for their products.

For structured products for which the manufacturer makes a market and provides daily or more frequent price updates (as well as for situations where the manufacturer otherwise has the relevant information readily available), all cost information is updated daily. Generally, updates are expected to be provided once a day based on a snapshot taken at a particular time of the day (*e.g.*, at 12 p.m.). Manufacturers will need to take into account the cut-off times of the relevant distribution channels when deciding at what time to take the snapshot. Effectively, the snapshot serves both as a proxy for the costs incurred by an investor on that day (ex post) and as an estimate of the costs expected to be incurred by an investor on the following trading day (ex-ante). Manufacturers may, but are not required to, provide more frequent intraday updates, including potentially an update for every transaction they enter into on a given day.

In all other cases (including for unlisted structured products and structured products with a technical listing but no active market making, as well as OTC derivatives), updates are only provided when (1) the cost information provided previously becomes materially wrong or (2) the issuer enters into a transaction at a different cost.

The ex post entry and exit costs for a given trading day are expected to be identical to the ex-ante entry and exit costs for the next trading day. In other words, the ex-ante costs are deemed to be an estimate, based on today's ex post costs, of the costs an investor would incur if he or she were to buy or sell the product tomorrow.

Because the ex post ongoing costs are stated on a cumulative basis since January 1 of the current year, the figures for a given trading day will be calculated as the sum total of (1) the ex-ante costs for the next trading day broken down to a single calendar day and (2) the ex post costs for the previous trading day.

For subscription trades, the ex-ante exit costs will be zero during the subscription period. The same will be true for the ex post entry costs, except that the ex post entry costs for the last day of the subscription period will be equal to the ex-ante costs for the first day of trading.

Correcting ex post cost data for previous years

Manufacturers are in the process of uploading corrections to their historical EMT ex post cost data for previous years. Corrections are held in a separate database outside of the RegXchange live data database.

Distributors can access ex post cost correction data uploaded by a manufacturer to date in addition to cost data provided by the manufacturer throughout the year using the endpoints in the "Distributor API endpoints" section of via the RegXchange webapp.

RegXchange offers the data in a raw report showing costs and where applicable corrections to date in the order received by RegXchange. RegXchange also offers the data in an amalgamated report with applicable corrections received to date overwriting the cost data already in the system using the 08090 Beginning and 08100 End date fields as reference dates. We expect manufacturers to continue to upload correction data.

EET V1 Metadata

RegXchange has adopted EET Version 1.0 for the exchange for European ESG Data. This information is uploaded directly to RegXchange by all issuers, where it is stored as a separate data object, on a separate data table from the core EMTEPT metadata. We currently only support the single EET V1.0 template. Endpoints are available for single and bulk uploads and downloads.

RegXchange website

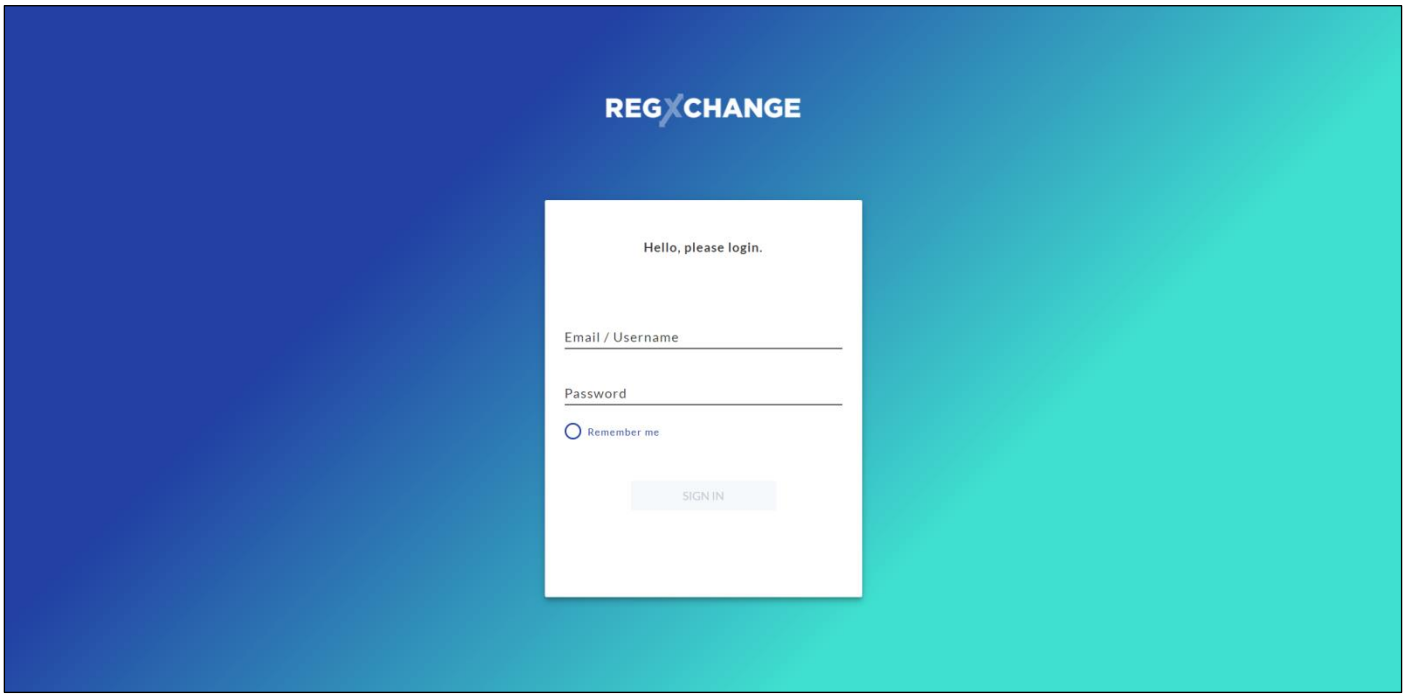
Overview

The below discussion relates to the Production version RegXchange website.

Usage

The address of the RegXchange website is https://www.regxchange.com.

User accounts are set up by the org admin of a manufacturer or distributors. To request the setup of an organization and one or more org admins, please send an email to servicedesk@regxchange.com.



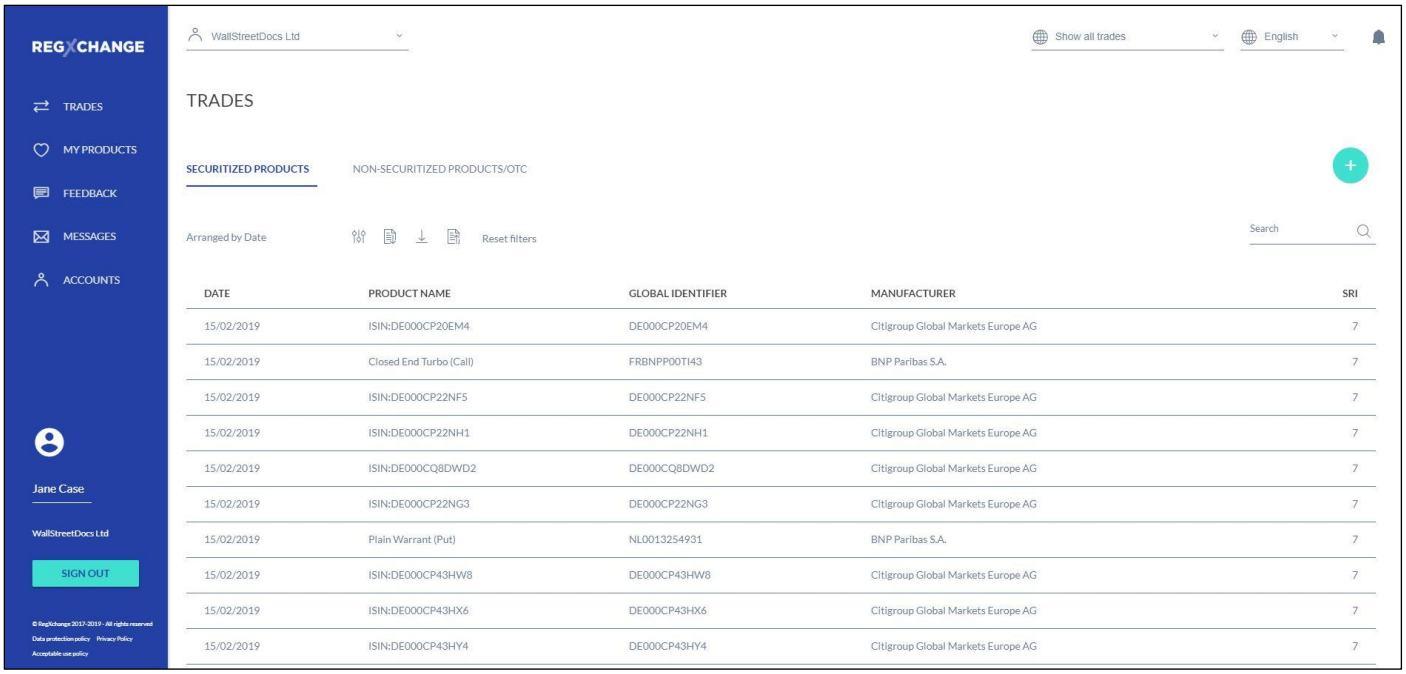
Dashboard

The dashboard list shows all products available on RegXchange.

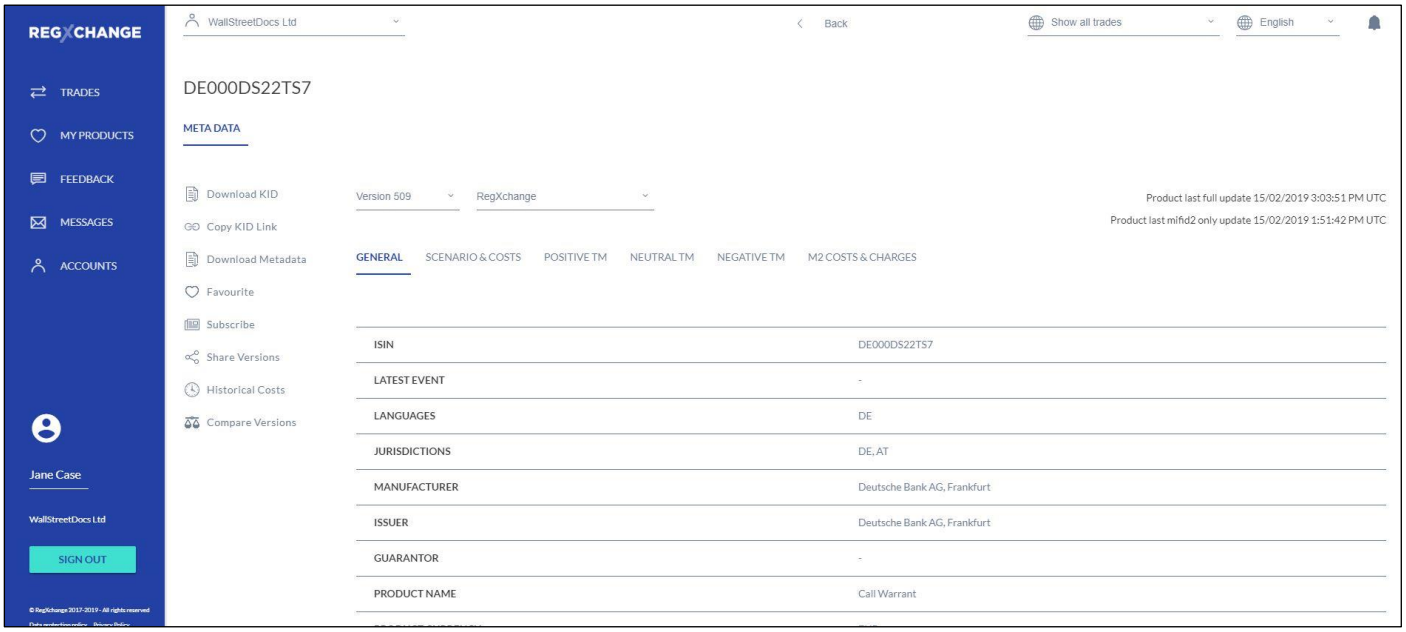
The dashboard is divided between “Structured products” and “OTC”. Other product types will be added in the future.

Structured products

Structured products may be filtered by manufacturer, EUSIPA type, maturity and SRI.

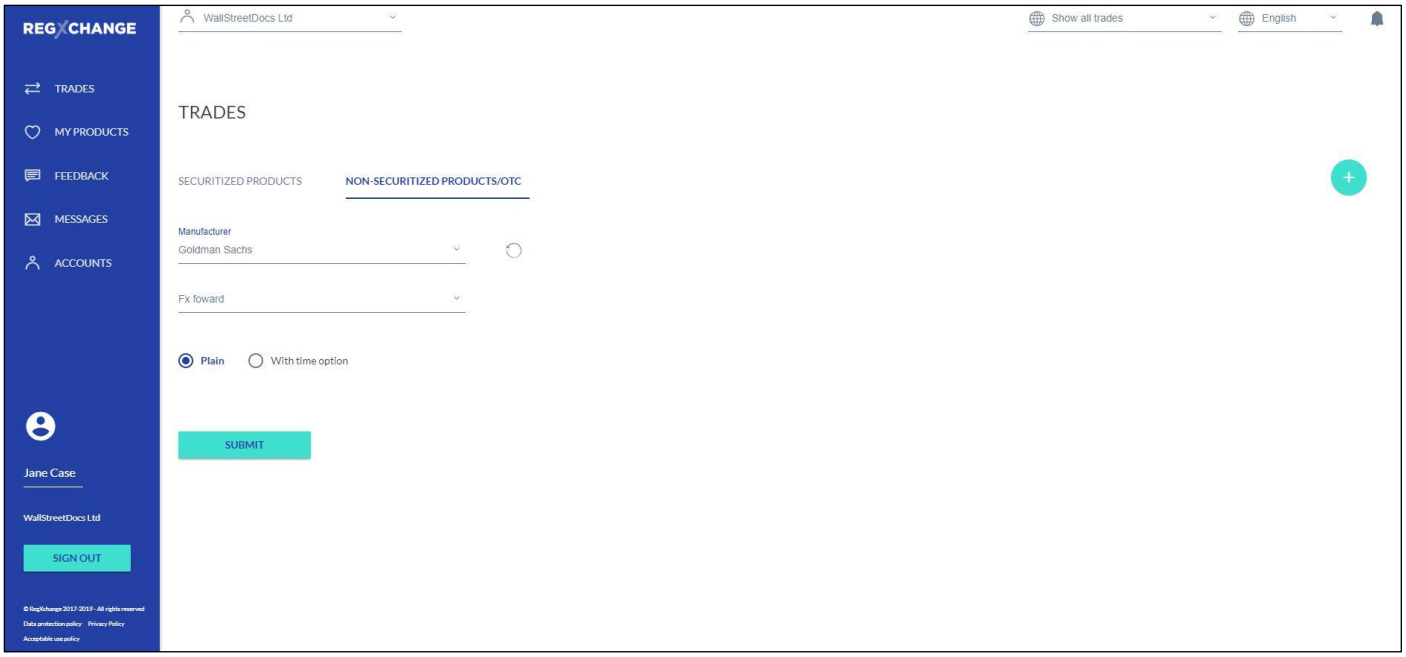


By clicking on a product's identifier, which is typically the ISIN of the structured product (but could also be its WKN or other internal identifier), users can bring up a screen that allows them to download the KID, copy a link to the KID or view the product's PRIIP data and MiFID II data.

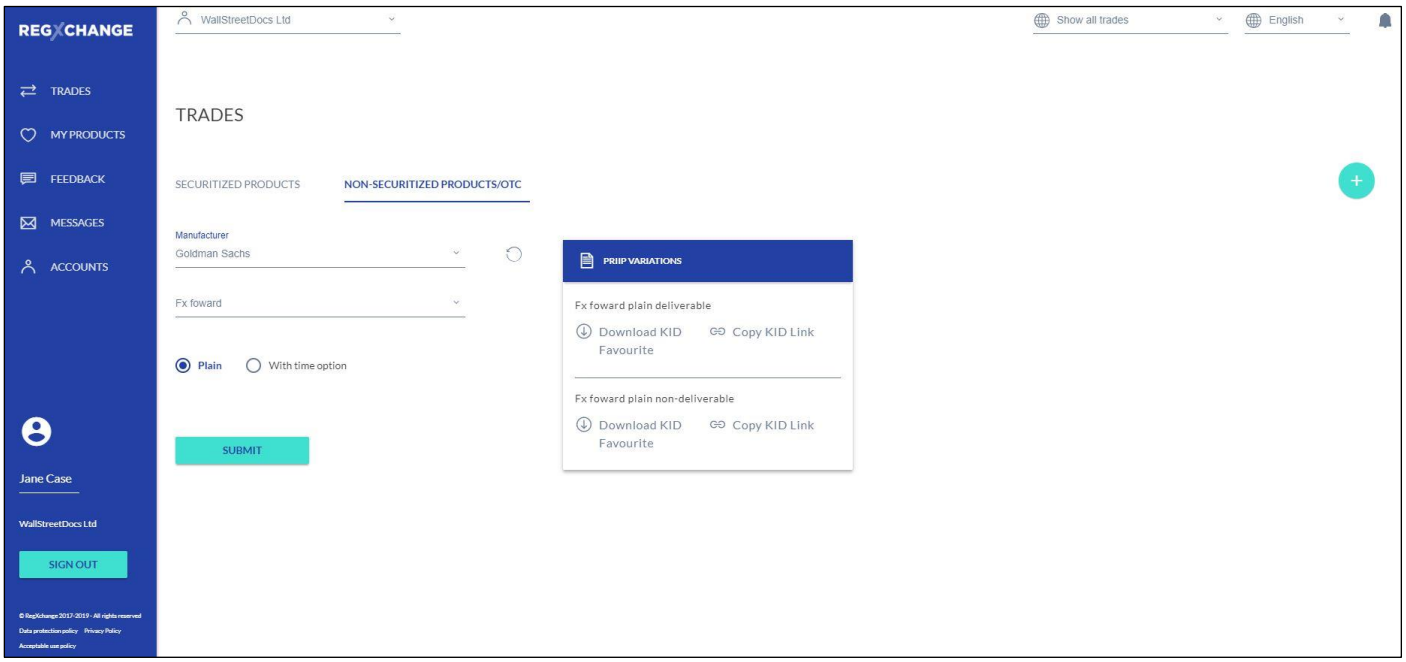


OTC

OTC products are shown in the form of a tree. By clicking through each level of the tree, users can navigate to the KID they need.



After submitting their selection, users can retrieve the KID.



RegXchange REST API

Overview

The below API endpoints relate to the Production version of the RegXchange REST API.

Environments

RegXchange has two testing environments as well as one production environment for client usage. The testing environments include UAT for testing of individual product requests and FINAL-UAT for load testing. PROD where production data is held. The data held in testing environments is not the same as the data held in PROD.

To access these environments via API, please update the prefix to access the relevant environment. All endpoints use the same set of prefixes.

```
UAT: 'https://uat-fe.regxchange.com/...

FINAL UAT: 'https://finaluat-fe.regxchange.com/...

PROD: 'https://fe.regxchange.com//...
```

Ping the service

The below API will allow you to ping the service to test whether it is up and running.

```
curl -X GET \

  'https://fe.regxchange.com/api/v1.0/test/ping' \
```

GET auth/access token

Since most RegXchange API endpoints are authenticated, the first step is to get an access token, which can then be used to access the other endpoints.

Please contact servicedesk@regxchange.com to obtain a client_id and client_secret.

```
curl -X POST \

  'https://authentication.wallstreetdocs.com/oauth/token\

  -H 'content-type: application/x-www-form-urlencoded' \

  -d
'grant_type=client_credentials&client_id={{client_id}}&client_secret={{client_secret}
}'
```

You will need to use the corresponding authentication endpoint to retrieve the token for the environment you are using:

```
UAT: uat-authentication.wallstreetdocs.com

Final UAT: finaluat-authentication.wallstreetdocs.com

PROD: authentication.wallstreetdocs.com
```

Manufacturer API endpoints

POST PRIIPs: (bulk) and (single) full upload (EMTEPT)

This API endpoint allows you to upload or update one or more data records for the PRIIP manufacturer identified by the access token. A data record can include a link to a KID, PRIIP data and MiFID II data.

You can upload in JSON format by replacing `application/xml` with `application/json`, in the content-type header.

Note, if you update any field with the full upload, it updates the entire record, so please include all related fields from other nodes, as the full record overwrites any previous record.

RegXchange supports the upload of FinDatEx format XMLs. Uploading can be achieved by adding the newest EMTEPT-V3_1 schema i.e. '`emtept-v3_1`' parameter in the endpoint's URL. Details on the fields for the EMTEPT-V3_1 schema can be found in the below section entitled: EMTEPT-V3_1 format schema table.

Alternatively, you can use one of our older schema formats (RegXchange) i.e. '`priips`', EMTEPT-V1 i.e. '`emtept`', EMTEPT-V2 i.e. '`emtept-v2`', or EMTEPT-V3 i.e. '`emtept-v3`'.

As mentioned above, RegXchange will eventually deactivate older versions of the EMTEPT schemas along with the RegXchange schema, however, we will give a minimum of 6 months' notice before doing so and will only do so with approval of a voting majority of its consortium member manufacturing banks.

```
curl -X POST \

'https://fe.regxchange.com/kid-portal/kid-availability-report?schema={{emtept|emtept-v2|emtept-v3|emtept-v3_1|ept-v1emt-v4|ept-v2emt-v4|ept-v2_1emt-v4}}' \

  -H 'authorization: Bearer {{access_token}}' \

  -H 'content-type: application/{{xml|json}}' \

  -d'{{payload}}'
```

A single upload:

```
<priipList>
    <priip>
     ...
    </priip>
</priipList>
```

A bulk upload:

```
<priipList>
    <priip>
     ...
```

```
    </priip>
    <priip>
     ...
    </priip>
    <priip>
     ...
    </priip>
</priipList>
```

POST PRIIPs: mifid II data only upload (EMT)

This API endpoint allows you to upload or update partial data records for the PRIIP manufacturer identified by the access token. Unlike the above endpoint, which updates the full data record, this API endpoint allows you to upload all mifid2Data fields only, leaving the remainder of the data unchanged.

You can specify which format you want to upload using the URL parameter “?schema={{format}}”, with the value ‘regx’, ‘emtept’, ‘emtept-v2’, ‘emtept-v3’, ‘emtept-v3_1’, `ept-v1emt-v4', `ept-v2emt-v4' or ‘ept-v2_1emt-v4’

```
curl -X POST \

'https://fe.regxchange.com/kid-portal/mifid2Data/{identifier}?schema={{emtept|emtept-v2|emtept-v3|emtept-v3|emtept-v3_1|ept-v1emt-v4|ept-v2emt-v4|ept-v2_1emt-v4}}'

  -H 'authorization: Bearer {{access_token}}' \

  -H 'content-type: application/{{xml|json}}' \

  -d'{{payload}}'
```

POST PRIIPs: mifid II costs and charges data only upload (EMT)

This API endpoint allows you to upload or update partial data records for the PRIIP manufacturer identified by the access token. This API endpoint allows you to upload all mifid2CostsAndCharges fields only, leaving the remainder of the data unchanged.

You can specify which format you want to upload using the URL parameter “?schema={{format}}”, with the value ‘regxchange’, ‘emtept’, ‘emtept-v2’, ‘emtept-v3’, ‘emtept-v3_1’, `ept-v1emt-v4` or `ept-v2emt-v4`

```
curl -X POST \

https://fe.regxchange.com/kid-portal/mifid2CostsAndCharges/{identifier}?schema={{emtept|emtept-v2|emtept-v3|emtept-v3|emtept-v3_1|ept-v1emt-v4|ept-v2emt-v4|ept-v2_1emt-v4}}'

  -H 'authorization: Bearer {{access_token}}' \

  -H 'content-type: application/{{xml|json}}' \
```

```
  -d'{{payload}}'
```

POST PRIIPs: mifid II data and mifid costs and charges data (EMT)

This API endpoint allows you to upload or update partial data records for the PRIIP manufacturer identified by the access token. This API endpoint allows you to upload both mifid2Data fields and mifid2CostsAndCharges fields, leaving the remainder of the data unchanged.

You can specify which format you want to upload using the URL parameter “?schema={{format}}”, with the value ‘regxchange’, ‘emtept’, ‘emtept-v2’, ‘emtept-v3’, ‘emtept-v3_1’, `ept-v1emt-v4`, `ept-v2emt-v4` or `ept-v2_1emt-v4`

```
curl -X POST \

https://fe.regxchange.com/kid-
portal/mifid2Update/{identifier}?schema={{emtept|emtept-v2|emtept-v3|emtept-
v3|emtept-v3_1|ept-v1emt-v4|ept-v2emt-v4|ept-v2_1emt-v4}}'

  -H 'authorization: Bearer {{access_token}}' \

  -H 'content-type: application/{{xml|json}}' \

  -d'{{payload}}'
```

DELETE PRIIPs: (single) delete record (EMTEPT)

This API endpoint allows you to delete a single data record of a given manufacturer identified by its global identifier.

```
curl -X DELETE \

'https://fe.regxchange.com/kid-portal/priips/{identifier}' \

  -H 'authorization: Bearer {{access_token}}' \
```

DELETE PRIIPs: (bulk) delete records (EMTEPT)

This API endpoint allows you to delete multiple data records of a given manufacturer identified by their global identifiers.

```
curl -X DELETE \

  'https://fe.regxchange.com/kid-portal/priips' \

  -H 'authorization: Bearer {{access_token}}' \

  -H 'content-type: application/json' \
```

```
 -d '["{{aaa}}","{{bbb}}","{{ccc}}"……]'
```

POST : (bulk) and (single) full upload (EET)

This API endpoint allows you to upload or update one or more EET data records for the manufacturer identified by the access token. Each data record contains the EET data fields only.

```
curl -X POST \

'https://fe.regxchange.com/eet/identifier}' \

  -H 'authorization: Bearer {{access_token}}' \

  -H 'content-type: application/{{xml}}' \

  -d'{{payload}}'
```

A single upload:

```
<productList>
    <product>
      ...
    </product>
</productList>
```

A bulk upload:

```
<productList>
    <product>
      ...
    </product>
    <product>
      ...
    </product>
</productList>
```

GET Distributor Feedback: retrieve Distributor Feedback provided by distributors

This API endpoint allows you to retrieve distributor feedback that has been provided by distributors to RegXchange.

You can specify which format you want to download using the URL parameter “?type={{type}}” with the value ‘individual’ or ‘aggregate’ and the format you want to download using the URL parameter “?format={{format}}” with the value ‘csv’ or ‘json’.

```
curl -X GET \

  '
https://api.regxchange.com/api/v1.0/feedback/download/all?type={{type}}&format={{form
at}}' \
```

```
  -H 'authorization: Bearer {{access_token}}' \
```

Distributor API endpoints

GET PRIIPs: search summary of all records of a manufacturer by LEI (EMTEPT)

This API endpoint allows you to retrieve a ‘search summary’ of all records of a manufacturer identified by its Legal Entity Identifier (LEI).

```
curl -X GET \

  'https://fe.regxchange.com/kid-portal/kid-availability-
report/search/identifiers?filterBy=lei&filter={{lei}}' \

  -H 'accept: application/json' \

  -H 'authorization: Bearer {{access_token}}' \
```

GET PRIIPs: full metadata of all records of a manufacturer by LEI (EMTEPT)

This API endpoint allows you to retrieve a ‘search summary’ of all records of a manufacturer identified by its Legal Entity Identifier (LEI).

```
curl -X GET \

  'https://fe.regxchange.com/kid-portal/kid-availability-
report/search?filterBy=lei&filter={{lei}}&schema={{emtept|emtept-v2|emtept-
v3|emtept-v3_1|ept-v1emt-v4|ept-v2emt-v4|ept-v2_1emt-v4}} ' \

  -H 'accept: application/{{json|xml}}' \

  -H 'authorization: Bearer {{access_token}}' \
```

GET PRIIPs: search summary of all records of a manufacturer by organization ID (EMTEPT)

This API endpoint allows you to retrieve a ‘search summary’ of all records of a manufacturer identified by its organization ID.

```
curl -X GET \

  'https://fe.regxchange.com/kid-portal/kid-availability-
report/manufacturer-id/{{org_id}}/identifiers' \

  -H 'accept: application/json' \

  -H 'authorization: Bearer {{access_token}}' \
```

GET PRIIPs: full metadata of all records of a manufacturer by organization ID (EMTEPT)

This API endpoint allows you to retrieve all records of a manufacturer identified by its organization ID.

You can specify which format you want to download using the URL parameter "?schema={{format}}", with the value 'regxchange', 'emtept', 'emtept-v2', 'emtept-v3', 'emtept-v3_1', 'ept-v1emt-v4', 'ept-v2emt-v4' or 'ept-v2_1emt-v4',.

```
curl -X GET \

  'https://fe.regxchange.com/kid-portal/kid-availability-
report/manufacturer-id/{{org_id}}?schema={{emtept|emtept-v2|emtept-
v3|emtept-v3_1|ept-v1emt-v4|ept-v2emt-v4|ept-v2_1emt-v4}} '  \

  -H 'accept: application/{{json|xml}}' \

  -H 'authorization: Bearer {{access_token}}'
```

The previous four endpoints have some optional URL parameters:

- "`&updated_min={{YYYY-MM-DD}}`" – specify the minimum date of the trades being retrieved
- "`&updated_max={{YYYY-MM-DD}}`" – specify the maximum date of the trades being retrieved
- "`&limit={{10000}}`" – specify the maximum number of trades to return
- "`&min_doc_id={{0}}`" – specify which record ID number (doc_id) to start retrieving/searching from
- "`&max_doc_id={{2000000}}`" – specify the doc_id of the last record in the returned data

Keyset pagination

Our API also supports keyset pagination. Rather than using the formerly available 'offset' parameter to specify how many records to skip over (as in traditional offset/limit pagination), 'min_doc_id' is used to specify which record ID number (doc_id) to start retrieving/searching from; please note, doc_id is an incremental number automatically assigned to each row in our database, not the record's global identifier. The API response will have an identical body structure as when using 'offset' - however, the response will contain a "x-max-doc-id" header. This header is what allows for accurate pagination; it will contain the doc_id of the last record in the returned data. To retrieve the next page of data you will simply need to set the 'min_doc_id' parameter to the value of "x-max-doc-id" and perform your next API call.

When using keyset pagination for 'min_doc_id', the records will be returned in ascending doc_id order (which is essentially the same as order of version creation). You can instead retrieve records in descending order by providing the 'max_doc_id' parameter rather than 'min_doc_id'. As such, the API response will contain a 'x-min-doc-id' header.

'doc_id' pagination is much more performant than offset pagination, and as the database input is itself ordered by version update date there is no need to input additional order parameters for update date which are now discontinued.

Batch Min Max API

The min and max document id numbers can be collected using the below API. These can then be used to construct an asynchronously request instead of requesting the different parts in sequence:

```
curl -X GET \

 'https://fe.regxchange.com/kid-portal/kid-availability-
report/search/max_min_doc_id/batches?{{parameters}}' \

-H 'Accept: application/json' \

-H 'Authorization: Bearer {{token}}
```

The {{parameters}} should match the corresponding /kid-availability-report API request (without “&offset=”). “&manufacturer_id={{org_id}}” can also be introduced to specify an org.

Please note that as this collects the doc id numbers for the entire search in advance, this request may take a longer time to process.

GET EETs: EET record bulk download endpoints

The search and bulk download endpoints for EET metadata are set up in an equivalent way to EMTEPT search and bulk download endpoints (please read prior section in full.)

The supported parameters for this url are generally the same as the bulk EMTEPT search and download endpoints, and keyset pagination generally works in the same manner.

For pagination, `min_eet_id` / `max_eet_id` should be used (equivalent to `min_doc_id`/ `max_doc_id` parameters on EMTEPT bulk download.)

```
curl -X GET \


'https://fe.regxchange.com/eet?version=v1.1&identifier={identifier_code},{identifier_
code}&min_doc_id=X&max_doc_id=Y&filterBy=identifier&filter='  \

  -H 'accept: application/{{json|xml}} | text/csv \

  -H 'authorization: Bearer {{access_token}}' \
```

GET EETs: full EET metadata of all records of a manufacturer by LEI

```
curl -X GET \

   https://fe.regxchange.com/eet?version=v1.1&org_id={{org_id}}' \
```

```
  -H 'accept: application/json' \

  -H 'authorization: Bearer {{access_token}}' \
```

GET EETs: full EET metadata of all records of a manufacturer by organization ID

```
curl -X GET \

   https://fe.regxchange.com/eet?version=v1.1&lei={{lei}}' \

  -H 'accept: application/json' \

  -H 'authorization: Bearer {{access_token}}' \
```

GET PRIIP: (single) metadata (EMTEPT)

This API endpoint allows you to retrieve the data record for a given PRIIP identified by the PRIIP's global identifier, ISIN, WKN, RIC or Valoren.

You can specify which format you want to download using the URL parameter "?schema={{format}}", with the value 'regxchange', 'emtept', 'emtept-v2', 'emtept-v3', `emtept-v3_1`, `ept-v1emt-v4`, `ept-v2emt-v4` or ept-v2_1emt-v4

```
curl -X GET \

 'https://fe.regxchange.com/kid-portal/kid-availability-
report/{{id|isin|wkn|ric|valoren}}/{{identifier_code}}?schema={{emtept|emtept-
v2|emtept-v3|emtept-v3_1|ept-v1emt-v4|ept-v2emt-v4|ept-v2_1emt-v4}}'  \

  -H 'accept: application/{{json|xml}}' \

  -H 'authorization: Bearer {{access_token}}' \
```

GET EET: (single) EET metadata

This API endpoint allows you to retrieve the data record for a given EET identified by the EET's global identifier.

Requesting without the "version=" parameter will return EET-V1.0 by default.

```
curl -X GET \

 'https://fe.regxchange.com/eet/{{identifier_code}}?version=v1.1 \

  -H 'accept: application/{{json|xml}}' \

  -H 'authorization: Bearer {{access_token}}' \
```

GET KID: (single)

This API endpoint allows you to retrieve the KID for a given PRIIP identified by the PRIIP's global identifier, ISIN, WKN, RIC or Valoren. {{jurisdiction_code}} and {{language_code}} are two-character codes.

```
curl -X GET \

  'https://fe.regxchange.com/kid-
portal/kid/{{identifier|isin|wkn|ric|valoren}}/{{global_identifier}}?documentType={{p
df|docx}}&jurisdiction={{jurisdiction_code}}&language={{language_code}}' \

  -H 'authorization: Bearer {{access_token}}' \

  -H 'cache-control: no-cache'
```

GET PRIIP: (single) metadata in CSV format (EMT)

This API endpoint allows to specifically download EMT-only data in CSV format

```
curl -X GET \

  'https://fe.regxchange.com/kid-
portal/metadata/emt/id/{{identifier_code}}?template=[[emt-v1|emt-v2|emt-v3|emt-v4' \

  -H 'accept: text/csv' \

  -H 'authorization: Bearer {{access_token}}' \
```

GET Metadata: (single) metadata in CSV format (EPT)

This API endpoint allows to specifically download EPT-only data in CSV format

```
curl -X GET \

  'https://fe.regxchange.com/kid-
portal/metadata/ept/id/{{identifier_code}}?template=[[ept-v1|ept-v2 \

  -H 'accept: text/csv' \

  -H 'authorization: Bearer {{access_token}}' \
```

GET Metadata: (single) metadata in CSV format (EET)

This API endpoint allows to specifically download EET-only data in CSV format

```
curl -X GET \
```

```
  'https://fe.regxchange.com/eet/id/{{identifier_code}}?version=v1.1 '\

  -H 'accept: text/csv' \

  -H 'authorization: Bearer {{access_token}}' \
```

GET data record prior version list (EMTEPT)

This API endpoint allows you to retrieve a list of the prior versions of a data record for a given PRIIP identified by the PRIIP's global identifier or ISIN.

```
curl -X GET \

'https://fe.regxchange.com/kid-portal/kid-availability-
report/{{id|isin}}/{{identifier_code}}/versions' \

  -H 'accept: application/json' \

  -H 'authorization: Bearer {{access_token}}' \

  -H 'cache-control: no-cache'
```

GET specific prior version of a data record (EMTEPT)

This API endpoint allows you to retrieve a specific prior version of a data record for a given PRIIP identified by the PRIIP's global identifier or ISIN.

You can specify whether you want to download an XML or JSON by changing the value of the "accept" header to application/json or application/xml.

```
curl -X GET \

'https://fe.regxchange.com/kid-portal/kid-availability-
report/{{id|isin}}/{{identifier_code}}/version/{{version}}' \

  -H 'accept: application/json' \

  -H 'authorization: Bearer {{access_token}}' \

  -H 'cache-control: no-cache'
```

GET PRIIP: (multiple) metadata (EMTEPT)

This API endpoint allows you to retrieve the data records for a list of PRIIPs identified by the PRIIP's global identifier or ISIN.

```
curl -X GET \
```

```
 'https://fe.regxchange.com/kid-portal/kid-availability-report/
search?id_or_isin=}}/{identifier_code},{identifier_code}&min_doc_id=X&max_doc_id=Y&fi
lterBy=identifier&filter='  \

  -H 'accept: application/{{json|xml}} | text/csv ' \

  -H 'authorization: Bearer {{access_token}}' \
```

GET raw historical costs AND any relevant cost corrections where provided by the manufacturer

This API endpoint allows you to retrieve the raw historical MiFID II costs that have been uploaded into RegXchange by the manufacturer throughout the year in addition to any cost corrections that have been uploaded by the manufacturer to date. This includes both historical versions of costs in addition to cost corrections, both in raw format i.e. in the schema format uploaded and in order received by the system.

```
curl -X GET \

'https://fe.regxchange.com/kid-portal/costs/merge/{identifier}' \

  -H 'authorization: Bearer {{access_token}}'
```

GET amalgamated report of historical costs AND any relevant cost corrections where provided by the manufacturer

This API endpoint allows you to retrieve the amalgamated historical MiFID II costs that have been uploaded into RegXchange by the manufacturer throughout the year in addition to any cost corrections that have been uploaded by the manufacturer within a given period. This includes historical versions of costs in addition to cost corrections, with corrections overwriting the historical cost data where applicable.

You can specify which format you want to download using the URL parameter “?schema={{format}}”, with the value ‘emtept-v2’ for EMT Version 2, with the value of ‘emtept-v3’ for EMT Version 3, with the value of emtept-v3_1 for EMT Version 3.1, and without the schema parameter for RegXchange Version 1.4.

You can provide a date range or alternatively, if you do not provide a date range, the default will retrieve the prior 18 months of data.

```
curl -X GET \

  'https://fe.regxchange.com/kid-
portal/costs/report/{identifier}?start={date}&end={date}&schema={schema}' \

 -H 'authorization: Bearer {{access_token}}'
```

GET amalgamated report of historical costs AND any relevant cost corrections provided by the manufacturer in CSV

This API endpoint allows you to retrieve the amalgamated historical MiFID II costs that have been uploaded into RegXchange by the manufacturer throughout the year in addition to any cost corrections that have been uploaded by the manufacturer within a given period in CSV. This includes historical versions of costs in addition to cost corrections, with corrections overwriting the historical cost data where applicable.

You can specify which format you want to download using the URL parameter "?schema={{format}}", with the value 'emtept-v2' for EMT Version 2, with the value of 'emtept-v3' for EMT Version 3, with the value of emtept-v3_1 for EMT Version 3.1, and without the schema parameter for RegXchange Version 1.4.

You can provide a date range or alternatively, if you do not provide a date range, the default will retrieve the prior 18 months of data.

```
curl -X GET \

'https://fe.regxchange.com/kid-
portal/costs/report/{identifier}/csv?start={date}&end={date}&schema={schema}' \

 -H 'authorization: Bearer {{access_token}}'
```

Common errors

404/Not found– This error is returned if the requested resource cannot be found/does not exist. This applies if an incorrect endpoint URL is request or if a trade is not found.

400/Bad request - This error will be returned with an error message if a payload (e.g. an XML being uploaded) is invalid. In this case an error message will be returned in the following format:

```
{
  "code": 400,
  "message": "Invalid document cvc-complex-type.2.4.a: Invalid content was found starting with
element 'general'. One of '{changeLog}' is expected.",
  "errors": []
}
```

In this case a node was missing and the error message will let the user know where this should go and what this should be. A 400 is also thrown if a value of an XML is incorrectly formatted or the system throws a validation error.

Reading and following the error message is usually the easiest and fastest way to resolve the issue, however if the message is hard to understand or you feel the issue should have been resolved then contact the service desk.

401/Unauthorised – This error will be returned if the ‘Bearer’ token is not correct. The most common reason for this is usually because the token is for a different environment or is past its 2 hour expiry time.

403/Forbidden – This error will be returned if the user’s account has not been granted permission for the action being attempted. To resolve this you will need to contact the service team can review and add the required permission. Once this has been applied and you have generated a new token you will be able to proceed.

503/Service unavailable – This error is returned when the system is experiencing downtime. Contact the RegXchange team for support.

EMTEPT-V3_1 format schema table

Overview

We have now added an XSD for schema format EMTEPT-V3, and EMTEPT-V3_1. This can be received upon request from servicedesk@regxchange.com. Viewing the XSD schemas is the most comprehensive way to understand the data structure.

The RegXchange GET API endpoints provide both XML and JSON responses, depending on the format specified in the ‘accept’ header of the request. The structure of the JSON for EMTEPT-V3 and EMTEPT-V3_1 generally correspond with the XML XPaths written in the table below, though there are sometimes variations allowed for due to the more flexible nature of JSON in comparison to XML.

Details

Below are descriptions of the PRIIP and MiFID II data fields supported by the EMTEPT-V3_1 XML schema. The below table should be used as a guide only and should be supplemented by reviewing the EMTEPT-V3_1 schema files, contain the exact specifications for the system.

Name/XPath	Type	Enumeration	Rule	Description
Properties			**Required**	
/priipList/priip/properties/suppressKIDDisplay	boolean	true, false	Optional	Defines whether or not the manufacturer has suppressed the KID and therefore made it not available to download.
/priipList/priip/properties/documentType	documentTypes	indicative, traded, final	Optional	Defines type of document provided.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/properties/globalIdentifier	string	-	Required	The PRIIP's global identifier – this will typically be the PRIIP's ISIN; In the case of "generic" OTC trades and other "PRIIPs" that do not have an ISIN, the global identifier is a unique identifier chosen by the manufacturer. It is recommended that each manufacturer discusses their preferred naming convention for global identifiers for non-ISIN products with RegXchange to avoid conflicts with other manufacturers.
/priipList/priip/properties/productSource	productSources	PRIIPCloud, 3rd Party	Optional	The source of the PRIIP - automatically populated by RegXchange.
/priipList/priip/properties/productType	productTypes	SP, OTC, Fund	Required	Defines the product type for filtering purposes.
/priipList/priip/properties/productSubType	string	-	Optional	Defines the product subtype.
/priipList/priip/properties/highLevelPayoffName	string	-	Optional	Defines the high level payoff name.
/priipList/priip/properties/lowLevelPayoffName	string	-	Optional	Defines the low level payoff name.
/priipList/priip/properties/MICs	complex	-	Optional	Defines the market identifier codes for the product.
/priipList/priip/properties/MICs/MIC	MIC	unbounded string of maximum length of 4 characters	Optional	List of market identifier codes.
/priipList/priip/properties/productIsMonitored	boolean	true, false	Optional	Defines whether or not the product is monitored.
/priipList/priip/properties/sendtoWMDaten	boolean	true, false	Optional	Defines whether or not the product is sent to WM Daten. WM Daten has additional requirements for receiving

Name/XPath	Type	Enumeration	Rule	Description
				data from RegXchange. For more information on WM Daten set-up, please email queries to servicedesk@regXchange.com.
/priipList/priip/properties/sendtoSIX	boolean	true, false	Optional	Defines whether or not the product is sent to SIX Financial Services. The product is sent to SIX where this flag is set to 'true' or left blank. For more information on SIX set-up, please email queries to servicedesk@regxchange.com.
/priipList/priip/properties/includesComprehensionAlert	boolean	true, false	Optional	Defines whether or not the product includes a comprehension alert.
/priipList/priip/properties/accessControls	complex userPopulations	Refer to both the section "Granting access to a data record" and the common-xsd-types schema directly for details	Optional	A composite field that defines who has access to the overall product. Refer to the section entitled "Granting access to a data record" for how to construct access controls. If left blank, the product will be publicly accessible.
/priipList/priip/properties/sixAccessControls	complex userPopulations	Refer to both the section "Granting access to a data record" and the common-xsd-types schema directly for details	Optional	A composite field that defines who has access to the overall product when that product is sent to SIX. Refer to "Granting access to a data record" for how to construct access controls. If left blank, the product will be publicly accessible to SIX as long as 'sendToSIX' is set to 'true' or left blank. SIX access controls do NOT take into consideration the rest of the access controls set for a product. If a product needs to be restricted to a particular SIX distributor, these access controls MUST be used in addition to the regular product level access controls.
/priipList/priip/properties/tradingJurisdictions	complex	-	Optional	Defines the jurisdiction(s) where the product is traded.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/properties/tradingJurisdictions/jurisdiction	jurisdictions	AD, AT, BE, BG, CA, CY, CZ, DK, FI, FR, DE, EE, ES, GR, HR, HU, IS, IT, IE, LI, LT, LU, LV, MT, NL, NO, other, PL, PT, RO, RU, SI, SK, SE, CH, GB, MC	Optional	A list of the jurisdiction(s) where the product is traded.
Prices			**Optional**	
/priipList/priip/prices/timestampOfLastPriceUpdate	dateTime	-	Optional	For those wanting to share secondary market prices via RegXchange Connect. For more information on sending data via RegXchange Connect, please contact servicedesk@regxchange.com.
/priipList/priip/prices/accessControls	complex userPopulations	Refer to both the section “Granting access to a data record” and the common-xsd-types schema directly for details	Optional	For those wanting to share secondary market prices via RegXchange Connect. For more information on sending data via RegXchange Connect, please contact servicedesk@regxchange.com.
/priipList/priip/prices/bidPrice	decimal	-	Optional	For those wanting to share secondary market prices to individual distributors via RegXchange Connect. For more information on sending data via RegXchange. Connect, please contact servicedesk@regxchange.com.
/priipList/priip/prices/askPrice	decimal	-	Optional	For those wanting to share secondary market prices to individual distributors via RegXchange Connect. For more information on sending data via RegXchange Connect, please contact servicedesk@regxchange.com.
/priipList/priip/prices/midPrice	decimal	-	Optional	For those wanting to share secondary market prices to individual distributors via RegXchange Connect. For more information on sending data via RegXchange

Name/XPath	Type	Enumeration	Rule	Description
				Connect, please contact servicedesk@regxchange.com.
/priipList/priip/prices/fairValueRegulatory	decimal	-	Optional	For those wanting to share secondary market prices to individual distributors via RegXchange Connect. For more information on sending data via RegXchange Connect, please contact servicedesk@regxchange.com.
KID data			**Optional**	
/priipList/priip/kid/accessControls	complex userPopulations	Refer to both the section “Granting access to a data record” and the common-xsd-types schema directly for details	Optional	A composite field that defines who has access to the KIDs. Refer to “Granting access to a data record” for how to construct access controls. If left blank, the KID will be publicly accessible.
/priipList/priip/kid/generationMethod	generationMethods	onTheFly, cached	Optional	Defines how the KIDs are generated.
/priipList/priip/kid/lastUpdated	dateTime	-	Optional	Date and time when the KID was last updated.
/priipList/priip/kid/dateAndTimeAsOfWhichPRIIPDataIsCurrent	dateTime	-	Optional	Date and time at which the data used to generate the KID is current.
/priipList/priip/kid/dateAndTimeAsOfWhichPRIIPDataExpires	dateTime	-	Optional	Date and time when the KID expires. (currently informational only)
/priipList/priip/kid/timestampOfLastQlabUpdate	dateTime	-	Optional	Date and time when PRIIP Cloud’s Qlab tool ran analytics (Relevant for PRIIP Cloud Clients only).
/priipList/priip/kid/startDate	dateTime	-	Optional	Date and time when the KID becomes effective (currently informational only).

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/kid/showKidOnRegXchange	boolean	-	Optional	Choose whether to show the KID download link on RegXchange. ([New field, does not currently affect data record).
/priipList/priip/kid/currentVersion	complex	-	Optional	Information on the current version of the KID.
/priipList/priip/kid/currentVersion/version	dateTime	-	Required	Current version number of the KID. This is a timestamp.
/priipList/priip/kid/currentVersion/changelog	complex	-	Required	A list of fields indicating why the current version of the KID was published.
/priipList/priip/kid/currentVersion/changeLog/updateTriggers	complex	-	Required	Information on why the current version of the KID was published.
/priipList/priip/kid/currentVersion/changeLog/updateTriggers/updateTriggerLevel1	kidUpdateTriggersLevel1	lifeCycleEvent, productDescriptionChange, intendedRetailInvestorChange, underlyingChange, riskChange	Required	A high-level description of why the current version of the KID was published.
/priipList/priip/kid/currentVersion/changeLog/updateTriggers/updateTriggerLevel2	kidUpdateTriggersLevel2	initialPublication, autoCall, issuerCall, investorPut, redemptionAtMaturity, cancellation, otherTermination, knockInBarrierBreach, knockOutBarrierBreach, interestIssuerSwitch, interestAutoSwitch, otherPayoffChange, otherProductDescriptionChange, intendedRetailInvestorChange, stockSplit, tickerChange, merger, spinOff, otherCorporateAction, creditRatingChange, crmChange, mrmChange, sriChange, scenarioChange, otherRiskChange	Optional	The specific reason why the current version of the KID was published. It is sufficient to provide just the high-level description, but the specific reason may be provided for additional detail.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/kid/currentVersion/documents	complex	-	Optional	Information on the available KID documents.
/priipList/priip/kid/currentVersion/documents/document	complex	-	Optional	List of composite fields, each containing the URL, language, jurisdiction and, if applicable, UUID, of the different download options for the current version of the KID.
/priipList/priip/kid/currentVersion/documents/document/url	string	-	Required	KID download URL.
/priipList/priip/kid/currentVersion/documents/document/language	languages	BG, CS, DA, DE, EL, EN, ES, ET, FI, FR, GA, HR, HU, IT, LT, LV, MT, NL, NO, PL, PT, RO, RU, SE, SK, SL, SV	Required	Language in the KID to which the download URL relates.
/priipList/priip/kid/currentVersion/documents/document/jurisdiction	jurisdictions	AD, AT, BE, BG, CA, CY, CZ, DK, FI, FR, DE, EE, ES, GR, HR, HU, IS, IT, IE, LI, LT, LU, LV, MT, NL NO, other, PL, PT, RO, RU, SI, SK, SE, CH, GB, MC	Optional	Jurisdiction in the KID to which the download URL relates.
/priipList/priip/kid/currentVersion/documents/document/UUID	string	-	Optional	UUID of the KID to which the download URL relates.
/priipList/priip/kid/languages	complex	-	Optional	List of languages in which the KID is available.
/priipList/priip/kid/languages/language	languages	BG, CS, DA, DE, EL, EN, ES, ET, FI, FR, GA, HR, HU, IT, LT, LV, MT, NL, NO, PL, PT, RO, RU, SE, SK, SL, SV	Optional	Languages in which the KID is available.
/priipList/priip/kid/jurisdictions	complex	-	Optional	List of jurisdictions for which the KID is available.
/priipList/priip/kid/jurisdictions/jurisdiction	jurisdictions	AD, AT, BE, BG, CA, CY, CZ, DK, FI, FR, DE, EE, ES, GR, HR, HU, IS, IT, IE, LI, LT, LU, LV, MT, NL NO, other, PL, PT,	Optional	Jurisdictions for which the KID is available.

Name/XPath	Type	Enumeration	Rule	Description
		RO, RU, SI, SK, SE, CH, GB, MC		
/priipList/priip/kid/priorVersions	complex	-	Optional	Prior version history of the KID.
/priipList/priip/kid/priorVersions/priorVersion	complex	-	Optional	Reference to particular prior version of the KID.
/priipList/priip/kid/priorVersions/priorVersion/version	dateTime	-	Optional	Version number of the specified prior KID version. This is a timestamp.
/priipList/priip/kid/priorVersions/priorVersion/changeLog	complex	-	Required	A list of fields indicating why the prior version of the KID was published.
/priipList/priip/kid/priorVersions/priorVersion/changeLog/updateTriggers/updateTriggerLevel1	string	lifeCycleEvent, productDescriptionChange, intendedRetailInvestorChange, underlyingChange, riskChange	Required	A high-level description of why the prior version of the KID was published.
/priipList/priip/kid/priorVersions/priorVersion/changeLog/updateTriggers/updateTriggerLevel2	string	initialPublication, autoCall, issuerCall, investorPut, redemptionAtMaturity, cancellation, otherTermination, knockInBarrierBreach, knockOutBarrierBreach, interestIssuerSwitch, interestAutoSwitch, otherPayoffChange, otherProductDescriptionChange, intendedRetailInvestorChange, stockSplit, tickerChange, merger, spinOff, otherCorporateAction, creditRatingChange, crmChange, mrmChange, sriChange, scenarioChange, otherRiskChange	Optional	The specific reason why the prior version of the KID was published. It is sufficient to provide just the high-level description, but the specific reason may be provided for additional detail.
/priipList/priip/kid/priorVersions/item/documents	complex	-	Optional	Information on the prior KID versions.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/kid/priorVersions/item/documents/document	complex	-	Optional	List of composite fields, each containing the URL, language, jurisdiction and, if applicable, UUID, of the different download options for the specified prior KID version.
/priipList/priip/kid/priorVersions/item/documents/document/url	string	-	Optional	KID download URL.
/priipList/priip/kid/priorVersions/item/documents/document/language	languages	BG, CS, DA, DE, EL, EN, ES, ET, FI, FR, GA, HR, HU, IT, LT, LV, MT, NL, NO, PL, PT, RO, RU, SE, SK, SL, SV	Optional	Language in the prior version of the KID to which the download URL relates.
/priipList/priip/kid/priorVersions/item/documents/document/jurisdiction	jurisdictions	AD, AT, BE, BG, CA, CY, CZ, DK, FI, FR, DE, EE, ES, GR, HR, HU, IS, IT, IE, LI, LT, LU, NO, NL, PL, PT, RO, RU, SI, SK, SE, CH, GB, MC, other	Optional	Jurisdiction in the prior version of the KID to which the download URL relates.
/priipList/priip/kid/priorVersions/item/documents/document/UUID	string	-	Optional	UUID of the KID to which the download URL relates.
PRIIP data			**Required**	
/priipList/priip/priipData/accessControls	complex userPopulations	Refer to both the section “Granting access to a data record” and the common-xsd-types schema directly for details	Optional	A composite field that defines who has access to the PRIIP data. Refer to the documentation for how to construct access controls. If left blank, the data will be publicly accessible.
General			**Required**	
/priipList/priip/priipData/general/manufacturerName	string	-	Required	The name of the product’s manufacturer.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/priipData/general/_00010_Portfolio_Issuer_Name	string	-	Optional	The name of the product’s issuer.
/priipList/priip/priipData/general/_00020_Portfolio_Guarantor_Name	string	-	Optional	The name of the product’s guarantor.
/priipList/priip/priipData/general/identiferCodes	complex	-	Required	Identification and codification for product.
/priipList/priip/priipData/general/identiferCodes/identifierCode	complex	-	Required	Specific identifying data and code for product.
/priipList/priip/priipData/general/identiferCodes/identifierCode/_00030_Portfolio_Identifying_Data	string	-	Required	List of the product’s security codes.
/priipList/priip/priipData/general/identiferCodes/identifierCode/_00040_Type_Of_Identification_Code_For_The_Fund_Share_Or_Portfolio	codeTypes	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 99	Required	The code type.
/priipList/priip/priipData/general/_00050_Portfolio_Name	string	-	Optional	Name of the portfolio.
/priipList/priip/priipData/general/_00060_Share_Class_Currency	currencies	AED, AUD, BGN, BRL, CAD, CHF, CLP, CNH, CNY, CZK, DKK, EGP, EUR, GBP, GBX, HKD, HRK, HUF, IDR, ILS, INR, JPY, KRD, KRW, MXN, MYR, NOK, NZD, PLN, RON, RUB, SEK, SGD, THB, TRY, TWD, UAH, USD, USX, XAU, XAG, XPT, XPD, ZAR, ZAX	Optional	The payout currency of the product.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/priipData/general/_00070_Reference_Date	date	-	Optional	The date of which the information for the product is valid.
/priipList/priip/priipData/general/_00080_Portfolio_PRIIPS_Category	priipCategories	1, 2, 3, 4	Optional	The PRIIP's categorization as per the RTS adopted under the PRIIPs Regulation.
/priipList/priip/priipData/general/_00090_Fund_CIC_code	string	-	Optional	The CIC code of the share class of the fund, or the financial instrument, provided to assist insurance companies in the handling of PRIIPS KID production. It allows them to segregate equity, debt, money market, asset allocation, real estate…funds.
/priipList/priip/priipData/general/_00100_EOS_portfolio	yesNo	Y, N	Optional	This field named "Environmental Or Social" portfolio refers to Article 8(4) of the PRIIPs Regulation. As from January 1, 2018, PRIIP manufacturers will have to indicate whether a product follow EOS objectives or not.
Risk			**Optional**	
/priipList/priip/priipData/risk/_01010_Valuation_Frequency	valuationFrequencies	1, 2, 4, 12, 104, 52, 252, 0, 24	Required	Valuation frequency used for MRM calculation and performance scenario purposes. This corresponds to the number of valuation days of the fund, share class or portfolio, per year.
/priipList/priip/priipData/risk/_01020_Portfolio_VEV_Reference	float	-	Optional	The product's value at risk equivalent volatility (VEV).
/priipList/priip/priipData/risk/_01030_IS_Flexible	yesNo	Y, N	Required	If applicable, indicates if the portfolio underlying the PRIIP is flexible (*i.e.*, whether Annex 2 Section 14 of the PRIIPs Regulation applies).

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/priipData/risk/_01040_Flex_VEV_Historical	float	-	Optional	If applicable, the VEV of the portfolio
/priipList/priip/priipData/risk/_01050_Flex_VEV_Ref_Asset_Allocation	float	-	Optional	If applicable, the VEV of the reference asset allocation of the portfolio
/priipList/priip/priipData/risk/_01060_IS_Risk_Limit_Relevant	yesNo	Y, N	Optional	If applicable, indicates if there is a relevant risk limit for flexible funds
/priipList/priip/priipData/risk/_01070_Flex_VEV_Risk_Limit	float	-	Optional	If applicable, the VEV of the risk limit of the portfolio
/priipList/priip/priipData/risk/_01080_Existing_Credit_Risk	yesNo	Y, N	Required	If applicable, the credit risk applies. Credit risk exists only when the NAV of the fund is guaranteed and the valuation of the guarantee exceeds 10% of the NAV without collateralization. Cleared OTC or listed derivatives entail no credit risk for the purpose of the CRM calculation.
/priipList/priip/priipData/risk/_01090_SRI	sriClasses	1, 2, 3, 4, 5, 6, 7	Optional	The PRIIP’s SRI.
/priipList/priip/priipData/risk/_01100_MRM	mrmClasses	1, 2, 3, 4, 5, 6, 7	Optional	The PRIIP’s MRM.
/priipList/priip/priipData/risk/_01110_CRM	crmClasses	1, 2, 3, 4, 5, 6	Required	The PRIIP’s CRM.
/priipList/priip/priipData/risk/_01120_Recommended_Holding_Period	float	-	Required	The recommended holding period for the PRIIP in years
/priipList/priip/priipData/risk/_01130_Maturity_Date	date	-	Optional	The PRIIP’s maturity date.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/priipData/risk/_01140_Liquidity_Risk	liquidityRiskTypes	M, I, L	Required	The degree to which the PRIIP is subject to liquidity risk.
/priipList/priip/priipData/performanceScenarios/_02090_Portfolio_return_favorable_scenario_RHP	float	-	Required	The annualized return of the PRIIP for the positive scenario at the end of the RHP.
/priipList/priip/priipData/performanceScenarios/_02070_Portfolio_return_favorable_scenario_1_year	float	-	Optional	The annualized return of the PRIIP for the positive scenario at the end of the IHP 1.
/priipList/priip/priipData/performanceScenarios/_02080_Portfolio_return_favorable_scenario_half_RHP	float	-	Optional	The annualized return of the PRIIP for the positive scenario at the end of the IHP 2.
/priipList/priip/priipData/performanceScenarios/_02060_Portfolio_return_moderate_scenario_RHP	float	-	Required	The annualized return of the PRIIP for the moderate scenario at the end of the RHP.
/priipList/priip/priipData/performanceScenarios/_02040_Portfolio_return_moderate_scenario_1_year	float	-	Optonal	The annualized return of the PRIIP for the moderate scenario at the end of the IHP 1.
/priipList/priip/priipData/performanceScenarios/_02050_Portfolio_return_moderate_scenario_half_RHP	float	-	Optional	The annualized return of the PRIIP for the moderate scenario at the end of the IHP 2.
/priipList/priip/priipData/performanceScenarios/_02030_Portfolio_return_unfavorable_scenario_RHP	float	-	Required	The annualized return of the PRIIP for the negative scenario at the end of the RHP.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/priipData/performanceScenarios/_02010_Portfolio_return_unfavorable_scenario_1_year	float	-	Optional	The annualized return of the PRIIP for the negative scenario at the end of the IHP 1.
/priipList/priip/priipData/performanceScenarios/_02020_Portfolio_return_unfavorable_scenario_half_RHP	float	-	Optional	The annualized return of the PRIIP for the negative scenario at the end of the IHP 2.
/priipList/priip/priipData/performanceScenarios/_02120_Portfolio_return_stress_scenario_RHP	float	-	Required	The annualized return of the PRIIP for the stress scenario at the end of the RHP.
/priipList/priip/priipData/performanceScenarios/_02100_Portfolio_return_stress_scenario_1_year	float	-	Optional	The annualized return of the PRIIP for the stress scenario at the end of the IHP 1.
/priipList/priip/priipData/performanceScenarios/_02110_Portfolio_return_stress_scenario_half_RHP	float	-	Optional	The annualized return of the PRIIP for the stress scenario at the end of the IHP 2.
/priipList/priip/priipData/performanceScenarios/_02130_Portfolio_number_of_observed_return_M0	float	-	Optional	See PRIIPs Regulation.
/priipList/priip/priipData/performanceScenarios/_02140_Portfolio_mean_observed_returns_M1	float	-	Optional	See PRIIPs Regulation.
/priipList/priip/priipData/performanceScenarios	float	-	Optional	See PRIIPs Regulation.

Name/XPath	Type	Enumeration	Rule	Description
/_02150_Portfolio_observed_Sigma				
/priipList/priip/priipData/performanceScenarios/_02160_Portfolio_observed_Skewness	float	-	Optional	See PRIIPs Regulation.
/priipList/priip/priipData/performanceScenarios/_02170_Portfolio_observed_Excess_Kurtosis	float	-	Optional	See PRIIPs Regulation.
/priipList/priip/priipData/performanceScenarios/_02180_Portfolio_observed_Stressed_Volatility	float	-	Optional	See PRIIPs Regulation.
Costs			**Optional**	
General cost fields[1]			**Optional**	
/priipList/priip/priipData/costs/generalCostFields/_03010_One-off_cost_Portfolio_entry_cost	float	-	Required	For structured products and OTC derivatives, this field is expected to be filled with the same value as priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07020_Gross_One-off_Cost_Financial_Instrument_Maximum_Entry_Cost_Non_Acquired This data is the maximum costs that may be charged by the Asset managers. These costs are generally acquired to the distributor. It is indicative and should be adapted by the insurance company receiving the file to take into account the

[1] The insurance industry expects manufacturers of structured products that are intended to be offered in insurance wrappers to provide values for the “General cost fields” and to resort to the section “Cost fields for structured products” only where it would be impossible for the insurer to calculate an overall reduction in yield figure for the wrapper based on the information provided. This is the case for products with periodic coupons and/or an early redemption feature. Note that the fields in this section have been designed for funds and have received only very limited discussion in the context of structured products and OTC derivatives.

Name/XPath	Type	Enumeration	Rule	Description
				commercial agreement with the asset manager. EMT guidance: For funds, this number represent the maximum costs that may be charged by the asset manager. These costs are generally acquired to the distributor. It is indicative and should be adapted by the insurance company receiving the file to take into account the commercial agreement with the asset manager. In the case of structured products, this data should only incorporate manufacturer costs (i.e. cost of the financial instrument) and distributor upfront when known by the manufacturer. It should however NOT include distribution fees added on top of the product price by distributors that is out of control of the manufacturer.
/priipList/priip/priipData/costs/generalCostFields/_03015_One-off_cost_Portfolio_entry_cost_Acquired	float	-	Required	This data correspond to fixed fees that may be charged to any subscriber and that are acquired to the fund. It is the case for some real estate funds. These costs are paid by the subscriber but included in the assets of the fund. EMT guidance: For funds, this number corresponds to fixed fees that may be charged to any subscriber and that are acquired to the fund. It applies to some real estate funds. These costs are paid by the subscriber but are included in the assets of the fund.
/priipList/priip/priipData/costs/generalCostFields/_03020_One-off_costs_Portfolio_exit_cost_at_RHP	float	-	Required	For structured products and OTC derivatives, this field is expected to be filled with the same value as priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07080_One-off_Costs_Financial_Instrument_Typical_Exit_Cost, which means the value is typically zero.

Name/XPath	Type	Enumeration	Rule	Description
				Be careful entry and exit fees may be considered as transaction fees at the level of the insurance contract as well as arbitrage costs.
/priipList/priip/priipData/costs/generalCostFields/_03030_One-off_costs_Portfolio_exit_cost_at_1_year	float	-	Optional	For structured products and OTC derivatives, this field is expected to be filled with the same value as /priipList/priip/priipData/costs/generalCostFields/_03020_One-off_costs_Portfolio_exit_cost_at_RHP, pro rated down to one year, which means the value is typically zero. Be careful entry and exit fees may be considered as transaction fees at the level of the insurance contract as well as arbitrage costs.
/priipList/priip/priipData/costs/generalCostFields/_03040_One-off_costs_Portfolio_exit_cost_at_half_RHP	float	-	Optional	For structured products and OTC derivatives, this field is expected to be filled with the same value as /priipList/priip/priipData/costs/generalCostFields/_03020_One-off_costs_Portfolio_exit_cost_at_RHP, pro rated down to one year, which means the value is typically zero. Be careful entry and exit fees may be considered as transaction fees at the level of the insurance contract as well as arbitrage costs.
/priipList/priip/priipData/costs/generalCostFields/_03050_One-off_costs_Portfolio_sliding_exit_cost_Indicator	yesNo	Y, N	Required	For structured products and OTC derivatives, this field is N/A. UCITs generally have no exit cost
/priipList/priip/priipData/costs/generalCostFields/_03060_Ongoing_costs_Portfolio_other_costs	float	-	Required	For structured products and OTC derivatives, this field is expected to be filled with the same value as /priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07100_Financial_Instrument_Ongoing_costs. Maximum fees, including look through for fund of funds / custodian fees / management fees.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/priipData/costs/generalCostFields/_03070_Ongoing_costs_Portfolio_management_costs	float	-	Optional	For structured products and OTC derivatives, this field is expected to be filled with the same value as /priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07110_Financial_Instrument_Management_fee. Maximum fee. Can be submitted to reduction for some specific commercial agreement between insurers and structurers.
/priipList/priip/priipData/costs/generalCostFields/_03080_Ongoing_costs_Portfolio_transaction_costs	float	-	Required	For structured products and OTC derivatives, this field is N/A. Transaction costs calculated as per annex VI part 1 point 7 to 23.
/priipList/priip/priipData/costs/generalCostFields/_03090_Existing_performance_fees	YesNo	Y, N	Required	For structured products and OTC derivatives, this field is N/A.
/priipList/priip/priipData/costs/generalCostFields/_03095_Incidental_costs_Portfolio_performance_fees	float	-	Optional	For structured products and OTC derivatives, this field is N/A. as per regulation. Mandatory if item 52 is set to Y
/priipList/priip/priipData/costs/generalCostFields/_03100_Existing_carried_interest_fees	YesNo	Y, N	Required	For structured products and OTC derivatives, this field is N/A.
/priipList/priip/priipData/costs/generalCostFields/_03105_Incidental_costs_Portfolio_carried_interest	float	-	Optional	For structured products and OTC derivatives, this field is N/A. Should be based on actual incidental costs divided by the Invested capital, and NOT divided by the Committed capital. Mandatory if item 54 is set to Y

Name/XPath	Type	Enumeration	Rule	Description
Cost fields for structured products			Optional	
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07010_Total_cost_1_year	float	-	Optional	The PRIIP's total costs over the RHP, expressed as an absolute amount calculated on the basis of an assumed investment amount equal to 10,000 currency units in the PRIIP's currency.
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07020_RIY_1_year	float	-	Optional	The PRIIP's total costs over the RHP, expressed as a reduction in yield.
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07030_Total_cost_half_RHP	float	-	Optional	The PRIIP's total costs over the IHP 1, expressed as an absolute amount calculated on the basis of an assumed investment amount equal to 10,000 currency units in the PRIIP's currency.
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07040_RIY_half_RHP	float	-	Optional	The PRIIP's total costs over the IHP 1, expressed as a reduction in yield.
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07050_Total_cost_RHP	float	-	Optional	The PRIIP's total costs over the IHP 2, expressed as an absolute amount calculated on the basis of an assumed investment amount equal to 10,000 currency units in the PRIIP's currency.
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07060_RIY_RHP	float	-	Optional	The PRIIP's total costs over the IHP 2, expressed as a reduction in yield.
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07070_One-	float	-	Optional	The entry cost in RIY terms. Includes the impact on return (RIY) per year of the entry cost assuming the investor sells the product at the RHP.

Name/XPath	Type	Enumeration	Rule	Description
off_costs_Portfolio_entry_cost_RIY				
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07080_One-off_costs_Portfolio_exit_cost_RIY	float	-	Optional	Exit cost at the RHP (typically 0%)
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07090_Ongoing_costs_Portfolio_transaction_costs_RIY	float	-	Optional	The portfolio transaction costs in RIY terms. Includes the impact on return (RIY) per year of the portfolio transaction costs assuming the investor sells the product at the RHP.
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07100_Ongoing_costs_Other_ongoing_costs_RIY	float	-	Optional	The other ongoing costs in RIY terms. Includes the impact on return (RIY) per year of the other ongoing costs assuming the investor sells the product at the RHP.
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07110_Incidental_costs_Portfolio_performance_fees_RIY	float	-	Optional	The performance fees in RIY terms. Includes the impact on return (RIY) per year of the performance fees assuming the investor sells the product at the RHP.
/priipList/priip/priipData/costs/costFieldsForStructuredProducts/_07120_Incidental_costs_Portfolio_carried_interests_RIY	float	-	Optional	The carried interests in RIY terms. Includes the impact on return (RIY) per year of the carried interests assuming the investor sells the product at the RHP.
Additional data for UCITs			**Optional**	
/priipList/priip/priipData/additionalDataForUcits/_05010_PRIIP_data_delivery	yesNo	Y, N	Required	Indicates if the data present is PRIIPs data.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/priipData/additionalDataForUcits/_05020_UCITS_data_delivery	yesNo	Y, N	Required	Indicates if the data present is UCITS data.
/priipList/priip/priipData/additionalDataForUcits/_05030_Portfolio_UCITS_SRRI	sriClasses	1, 2, 3, 4, 5, 6, 7	Required	If applicable, the PRIIP's SRRI.
/priipList/priip/priipData/additionalDataForUcits/_05040_Portfolio_UCITS_Vol	float	-	Optional	The PRIIP's historical volatility; indicative value only.
/priipList/priip/priipData/additionalDataForUcits/_05050_Ongoing_costs_Portfolio_other_costs_UCITS	float	-	Required	The management fees as per the UCITS KID.
/priipList/priip/priipData/additionalDataForUcits/_05060_Ongoing_costs_Portfolio_transaction_costs	float	-	Required	The transactions calculated as per the previous field.
/priipList/priip/priipData/additionalDataForUcits/_05065_Transactions_costs_methodology	string	Indicative (free text field): "Yes. New PRIIPS methodology", "Yes. Full PRIIPS methodology", "No, and there is a defined project to achieve delivery", "No, and the project is not yet defined"	Optional	Indicates how the asset manager calculates transaction costs for UCITS.
/priipList/priip/priipData/additionalDataForUcits/_05070_Incidental_costs_Portfolio_performance_fees_UCITS	float	-	Optional	See UCITS definition as a % of NAV of the portfolio, the funds or the share class / per annum
/priipList/priip/priipData/additionalDataForUcits/_05080_Incidental_c	float	-	Optional	Should be based on actual incidental costs divided by the Invested capital, and NOT divided by the Committed

Name/XPath	Type	Enumeration	Rule	Description
osts_Portfolio_carried_interest_UCITS				capital. Level 3 regulation must confirm
/priipList/priip/priipData/additionalDataForUcits/_05090_UCITS_KID_Web_Address	string	-	Optional	The URL of the UCITS KID.
Additional data for German CAT IV PRIIPs (PIA model)			**Optional**	
Characteristics of the fund / portfolio			**Optional**	
/priipList/priip/priipData/additionalDataForGermanCATIVPRIIPs_PIAModel/characteristicsOfTheFundOrPortfolio/_06010_Bonds_Weight	float	-	Optional	The proportion of bonds within the fund/portfolio measured in percentage of market value.
/priipList/priip/priipData/additionalDataForGermanCATIVPRIIPs_PIAModel/characteristicsOfTheFundOrPortfolio/_06020_Annualized_Return_Volatility	float	-	Optional	The annualized daily volatility of the fund / portfolio 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.
/priipList/priip/priipData/additionalDataForGermanCATIVPRIIPs_PIAModel/characteristicsOfTheFundOrPortfolio/_06030_Duration_Bonds	float	-	Optional	The asset prices weighted Macaulay-Duration in years of the fund / portfolio.
Additional information for capital preservation funds/portfolio			**Optional**	

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/priipData/additionalDataForGermanCATIVPRIIPs_PIAModel/additionalInformationForCapitalPreservationFundsOrPortfolio/_06040_Existing_Capital_Preservation	yesNo	Y, N	Optional	Identifies if a capital preservation method is used (Y) or not (N).
/priipList/priip/priipData/additionalDataForGermanCATIVPRIIPs_PIAModel/additionalInformationForCapitalPreservationFundsOrPortfolio/_06050_Capital_Preservation_Level	float	-	Optional	100% minus the maximum possible loss in percentage of its market value.
/priipList/priip/priipData/additionalDataForGermanCATIVPRIIPs_PIAModel/additionalInformationForCapitalPreservationFundsOrPortfolio/_06060_Time_Interval_Maximum_Loss	valuationFrequenciesPIA	1, 2, 4, 12, 104, 52, 252, 24	Optional	The time period in which a possible loss of a capital preservation funds is measured.
/priipList/priip/priipData/additionalDataForGermanCATIVPRIIPs_PIAModel/additionalInformationForCapitalPreservationFundsOrPortfolio/_06070_Uses_PI	yesNo	Y, N	Optional	Identifies if PI (Portfolio Insurance including CPPI Constant Proportion Portfolio Insurance) is used for capital preservation.
/priipList/priip/priipData/additionalDataForGermanCATIVPRIIPs_PIAModel/additionalInformationForCapitalPreservationFundsOrPortfolio/_06080_Multiplier_PI	float	-	Optional	Gives the maximum multiplier value if PI algorithm is used.
Narratives			**Optional**	

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/priipData/narratives/_04010_Reference_Language	languagesEMT	BUL, CES, CZE, DAN, DEU, DUT, ENG, EST, FIN, FRA, FRE, GER, GLE, GRE, HRV, HUN, ITA, LAV, LIT, MLT, NLD, NOR, POL, POR, RON, RUM, RUS, SCR, SLK, SLO, SLV, SPA, SWE	Required	-
/priipList/priip/priipData/narratives/_04020_Comprehension_Alert_Portfolio	yesNo	Y, N	Required	-
/priipList/priip/priipData/narratives/_04030_Intended_target_market_retail_investor_Portfolio	string	-	Required	-
/priipList/priip/priipData/narratives/_04040_Investment_objective_Portfolio	string	-	Required	-
/priipList/priip/priipData/narratives/_04050_Risk_narrative_Portfolio	string	-	Optional	-
/priipList/priip/priipData/narratives/_04060_Other_materially_relevant_risk_narrative_Portfolio	string	-	Required	-
/priipList/priip/priipData/narratives/_04070_Type_of_underlying_Investment_Option	string	-	Required	-
/priipList/priip/priipData/narratives/_04080_Capital_Guarantee	yesNo	Y, N	Required	-

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/priipData/narratives/_04081_Capital_Guarantee_Level	float	-	Optional	-
/priipList/priip/priipData/narratives/_04082_Capital_Guarantee_Limitations	string	-	Optional	-
/priipList/priip/priipData/narratives/_04083_Capital_Guarantee_Early_Exit_Conditions	date	-	Optional	-
/priipList/priip/priipData/narratives/_04084_Capital_guarantee_Portfolio	string	-	Optional	-
/priipList/priip/priipData/narratives/_04085_Possible_maximum_loss_Portfolio	float	-	Optional	-
/priipList/priip/priipData/narratives/_04090_Portfolio_Performance_Fees_Narrative	string	-	Optional	-
/priipList/priip/priipData/narratives/_04100_Portolio_Carried_Interest_Narrative	string	-	Optional	-
/priipList/priip/priipData/narratives/_04110_Other_comment	string	-	Optional	-
MiFID II data			**Optional**	
/priipList/priip/mifid2Data/accessControls	complex userPopulations	Refer to both the section “Granting access to a data record” and the common-xsd-	Optional	A composite field that defines who has access to the MiFID II data.

Name/XPath	Type	Enumeration	Rule	Description
		types schema directly for details		Refer to the documentation for how to construct access controls. If left blank, the data will be publicly accessible.
/priipList/priip/mifid2Data/changeLog	complex	-	Required	A list of fields indicating why this EMT file was published.
/priipList/priip/mifid2Data/changeLog/updateTriggers	complex	-	Required	Information on why this EMT was published.
/priipList/priip/mifid2Data/changeLog/updateTriggers/updateTrigger	Mifid2UpdateTriggers	internalGovernanceReview, other	Required	A high-level description of why the EMT was published.
/priipList/priip/mifid2Data/_00001_EMT_Version	emtVersions	V1, V2, V3, V3S1, V3S2	Required	This field specifies the output version of the template and is used by the recipient to understand the number of fields expected, their labeling and order. The first two characters describe that the output version is V3 and the potential 3rd and 4th characters describe the original source version if converted into V3 from either V1 or V2. V3 means that data is presented in V3 format and originates from a V3 source V3S1 means that data is presented in V3 format and originates from a V1 source V3S2 means that data is presented in V3 format and originates from a V2 source Information about the occurrence of conversion from previous versions will provide information to EMT recipients related to potential data loss and to the effects on the interpretability of the content of such converted fields.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/mifid2Data/_00002_EMT_Producer_Name	string	-	Optional	If the Manufacturer/Issuer have chosen to outsource the production of an EMT posting to another party responsible for the production and publication of the EMT data set, such party name should be entered in this field. This field enables firms to report EMT on behalf of an Issuer/Manufacturer.
/priipList/priip/mifid2Data/_00003_EMT_Producer_LEI	string	-	Optional	If the Manufacturer/Issuer have chosen to outsource the production of an EMT posting to another party responsible for the production and publication of the EMT data set, such party LEI should be entered in this field. This field enables firms to report EMT on behalf of an Issuer/Manufacturer.
/priipList/priip/mifid2Data/_00004_EMT_Producer_Email	string	-	Optional	Contact entry point for distributors regarding the EMT.
/priipList/priip/mifid2Data/_00005_File_Generation_Date_and_Time	dateTime		Required	Date and Time of the creation of the EMT file. YYYY-MM-DD hh:mm:ss ISO 8601 (UTC+0). Universal Time zone.
/priipList/priip/mifid2Data/_00006_EMT_Data_Reporting_Target_Market	yesNo	Y, N	Required	Specifies if the Target Market section is filled in the current EMT posting.
/priipList/priip/mifid2Data/_00007_EMT_Data_Reporting_Ex_Ante	yesNo	Y, N	Required	Specifies if the Ex-Ante Cost & Charges section is filled in the current EMT posting.
/priipList/priip/mifid2Data/_00008_EMT_Data_Reporting_Ex_Post	yesNo	Y, N	Required	Specifies if the Ex-Post Cost & Charges section is filled in the current EMT posting.

Name/XPath	Type	Enumeration	Rule	Description
General portfolio information			**Optional**	
/priipList/priip/mifid2Data/generalPortfolioInformation/identiferCodes	complex	-	Required	Identification and codification for product.
/priipList/priip/mifid2Data/generalPortfolioInformation /identiferCodes/identifierCode	complex	-	Required	Specific identifying data and code for product.
/priipList/priip/mifid2Data/ generalPortfolioInformation/identiferCodes/identifierCode/_00010_Financial_Instrument_Identifying_Data	string	-	Required	Identification of the financial instrument. Use the following priority: - ISO 6166 code of ISIN when available - Other recognised codes (e.g.: CUSIP, Bloomberg Ticker, Reuters RIC) - Code attributed by the undertaking, when the options above are not available. Code must be unique and kept consistent over time. Same value as for field “/priipList/priip/priipData/general/identiferCodes/identifierCode/_00030_Portfolio_Identifying_Data”.
/priipList/priip/mifid2Data/ generalPortfolioInformation/identiferCodes/identifierCode/_00020_Type_Of_Identification_Code_For_The_Financial_Instrument	codeTypes	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 99	Required	Codification chosen to identify the financial instrument. One of the options in the following closed list to be used: 1 - ISO 6166 for ISIN code 2 - CUSIP (The Committee on Uniform Securities Identification Procedures number assigned by the CUSIP Service Bureau for U.S. and Canadian companies)

Name/XPath	Type	Enumeration	Rule	Description
				3 - SEDOL (Stock Exchange Daily Official List for the London Stock Exchange) 4 – WKN (Wertpapier Kenn-Nummer, the alphanumeric German identification number) 5 - Bloomberg Ticker (Bloomberg letters code that identify a company's securities) 6 - BBGID (The Bloomberg Global ID) 7 - Reuters RIC (Reuters instrument code) 8 – FIGI (Financial Instrument Global Identifier) 9 - Other code by members of the Association of National Numbering Agencies 10 - LEI 99 - Code attributed by the undertaking Same value as for field “/priipList/priip/priipData/general/identiferCodes/identifierCode/_00040_Type_Of_Identification_Code_For_The_Fund_Share_Or_Portfolio”.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00030_Financial_Instrument_Name	string	-	Required	Name of the financial instrument. Same value as for field “/priipList/priip/priipData/general/_00050_Portfolio_Name”.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00040_Financial_Instrument_Currency	currencies	AED, AUD, BGN, BRL, CAD, CHF, CLP, CNH, CNY, CZK, DKK, EGP, EUR, GBP, GBX, HKD, HRK, HUF, IDR, ILS, INR, JPY, KRD, KRW, MXN, MYR, NOK, NZD, PLN, RON, RUB, SEK, SGD, THB, TRY, TWD, UAH, USD, USX, XAU, XAG, XPT, XPD, ZAR, ZAX	Required	Denomination currency of the financial instrument. Code ISO 4217 Same value as for field “/priipList/priip/priipData/general/_00060_Share_Class_Currency”.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/mifid2Data/generalPortfolioInformation/_00045_Financial_Instrument_Performance_Fee	yesNo	Y, N	Required	Does this financial instrument have potential performance fees or carried interest? Potential Performance Fees or Carried interest should be reported in 07140 and 08080 respectively.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00047_Financial_Instrument_Distribution_Of_Cash	yesNo	Y, N	Required	Does this financial instrument distribute Income in the form of cash to the investor?
/priipList/priip/mifid2Data/generalPortfolioInformation/_00050_General_Reference_Date	date	-	Required	Date to which the General data within the EMT refer. YYYY-MM-DD ISO 8601. Date of the data set.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00060_Financial_Instrument_Product_Type	financialInstrumentTypes	S, SF, U, N, UM, NM, ETC, B	Required	The type of financial instrument. Structured Securities or Structured Funds or UCITS or Non UCITS or UCITS Money Market Funds or Non UCITS Money Market Funds or Exchanged Traded Commodities or Bonds This item allows to fullfil the EMT. It is not designed to give the legal structure. All ETNs, ETCs and Bonds are considered structured securities, for any other part of the file. All ETNs and Bonds are structured securities.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00065_Maturity_Date	date	-	Optional	Date of Maturity. YYYY-MM-DD ISO 8601
/priipList/priip/mifid2Data/	yesNo	Y, N	Optional	Can the product be terminated early?

Name/XPath	Type	Enumeration	Rule	Description
generalPortfolioInformation/_00067_May_Be_Terminated_Early				
/priipList/priip/mifid2Data/generalPortfolioInformation/_00070_Financial_Instrument_Manufacturer_Name	string	-	Required	Name of Manufacturer of the financial instrument. The one who is responsible for the financial instrument management/issuance Same value as for field “/priipList/priip/priipData/general/_00010_Portfolio_Issuer_Name”.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00073_Financial_Instrument_Manufacturer_LEI	string	-	Optional	Legal Entity Identifier, LEI of the Manufacturer of the financial instrument. Important for reference when Feed Back Reporting takes place from Distributors as specified in future template EFT.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00074_Financial_Instrument_Manufacturer_Email	string	-	Optional	Contact entry point for communication with the Manufacturer to either provide feedback reporting or to retrieve details on how to provide feedback reporting.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00075_Financial_Instrument_Manufacturer_Product_Governance_Process	ABCD	A, B, C, D	Optional	A = Product governance procedure pursuant to MiFID II B = Product governance procedure comparable to MiFID II C = Product governance procedure not in accordance with MiFID II D = No information is requested from the issuer Mandatory if the financial instrument is distributed in Germany. For ex, Banks are MiFID II regulated -> A For ex, Fund Managers regulated by AIFMD or UCITS Directive -> B

Name/XPath	Type	Enumeration	Rule	Description
				For ex, Fund Managers without any comparable regulation to MiFID II -> C For ex, often with Non European based Asset Managers or banks -> D
/priipList/priip/mifid2Data/generalPortfolioInformation/_00080_Financial_Instrument_Guarantor_Name	string	-	Optional	Name of Guarantor of the financial instrument. Same value as for field “/priipList/priip/priipData/general/_00020_Portfolio_Guarantor_Name”.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00085_Financial_Instrument_Type_Notional_Or_Item_Based	notionalItemBased	N, I	Optional	N for Notional based instrument, I for Item based instrument. Enables interpretation of Cost & Charges data when used together with fields 00096, 08110 and 08120.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00090_Product_Category_Or_Nature_Germany	prodCategoryCode	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30	Optional	Designation of the respective product category or nature for Germany. If the financial instrument is distributed in Germany, complete with the German categorization code.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00095_Structured_Securities_Product_Category_Or_Nature	eusipaProductTypes	1100, 1110, 1120, 1130, 1140, 1199, 1200, 1210, 1220, 1230, 1240, 1250, 1260, 1299, 1300, 1310, 1320, 1330, 1340, 1399, 1440, 1450, 1460, 1499, 2100, 2110, 2199, 2200, 2205, 2210, 2230, 2299, 2300, 2399, other	Optional	EMT V 2 field (new EMT V2 fields are optional in the RegXchange schema) – For structured securities, designation of the respective product category or nature. EUSIPA Map/Codes for structured securities (https://eusipa.org/governance/#EusipaDMap)
/priipList/priip/mifid2Data/generalPortfolioInformation/_00096_Structured_Securities_Quotation	tradingMethods	P, U	Optional	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 as presented in field 07150,07155, 08110 and 08120 respectively.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/mifid2Data/generalPortfolioInformation/_00100_Leveraged_Financial_Instrument_Or_Contingent_Liability_Instrument	yesNo	Y, N	Optional	To enable reporting on the depreciation of leveraged financial instruments or contingent liability transactions in accordance with Art. 62 of the MiFID II's Delegated Regulation.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00110_Fund_Share_Class_Without_Retrocession	yesNo	Y, N	Optional	The share class does not pay any inducement in the context of MiFID II.
/priipList/priip/mifid2Data/generalPortfolioInformation/_00120_Ex_Post_Cost_Calculation_Basis_Italy	calculationBasisTypes	R, F	Optional	Rolling based (last 12 months) or Fixed base (calendar year). It is mandatory (for funds) in respect of Italian distributors.
Target market			**Optional**	
Client type			**Required**	
/priipList/priip/mifid2Data/targetMarket/clientType//_01000_Target_Market_Reference_Date	date	-	Required	Date to which the Target Market data within the EMT refer. YYYY-MM-DD ISO 8601. Date of the data set.
/priipList/priip/mifid2Data/targetMarket/clientType/_01010_Investor_Type_Retail	targetMarketOptions	Y, N, Neutral	Required	Indicates whether the PRIIP is designed for retail clients. Neutral means usage by Retail clients are available under certain conditions.
/priipList/priip/mifid2Data/targetMarket/clientType/_01020_Investor_Type_Professional	targetMarketOptionsProfessionalInvestors	Y, N, P, E	Required	Indicates whether the PRIIP is designed for professional clients.

Name/XPath	Type	Enumeration	Rule	Description
				Y means both Professional Per Se and Elective Professionals are compatible. N means that neither Professional Per Se nor Elective Professionals are compatible. P means that Professional Per Se is compatible but Elective Professionals are not. E means that Elective Professional is compatible but Professionals Per Se are not. P is only used if the distinction Per Se is done in the Prospectus.
/priipList/priip/mifid2Data/targetMarket/clientType/_01030_Investor_Type_Eligible_Counterparty	YesNo	Y, N	Required	Indicates whether the PRIIP is designed for eligible counterparties.
Distribution strategy			**Optional**	
/priipList/priip/mifid2Data/targetMarket/distributionStrategy/_06010_Execution_Only	distributionStrategyOptions	R, P, B, N	Optional	Indicates whether the PRIIP is designed for execution only/RTO without an appropriateness assessment. Retail or Professional or Both or Neither.
/priipList/priip/mifid2Data/targetMarket/distributionStrategy/_06020_Execution_With_Appropriateness_Test_Or_Non_Advised_Services	distributionStrategyOptions	R, P, B, N	Optional	Indicates whether the PRIIP is designed for execution only/RTO with appropriateness assessment. Retail or Professional or Both or Neither.
/priipList/priip/mifid2Data/targetMarket/distributionStrategy/_06030_Investment_Advice	distributionStrategyOptions	R, P, B, N	Optional	Indicates whether the PRIIP is designed for investment advice with suitability assessment.

Name/XPath	Type	Enumeration	Rule	Description
				Retail or Professional or Both or Neither.
/priipList/priip/mifid2Data/targetMarket/distributionStrategy/_06040_Portfolio_Management	distributionStrategyOptions	R, P, B, N	Optional	Indicates whether the PRIIP is designed for portfolio management with suitability assessment. Retail or Professional or Both or Neither.
Knowledge and Experience			**Required**	
/priipList/priip/mifid2Data/targetMarket/knowledgeAndExperience/_02010_Basic_Investor	targetMarketOptions	Y, N, Neutral	Required	Investors having the following characteristics: • basic knowledge of relevant financial instruments (a basic investor can make an informed investment decision based on the regulated and authorised offering documentation or with the help of basic information provided by point of sale); • no financial industry experience, i.e. suited to a first time investor.
/priipList/priip/mifid2Data/targetMarket/knowledgeAndExperience/_02020_Informed_Investor	targetMarketOptions	Y, N, Neutral	Required	Having one, or more, of the following characteristics: • average knowledge of relevant financial products (an informed investor can make an informed investment decision based on the regulated and authorised offering documentation, together with knowledge and understanding of the specific factors/risks highlighted within them only) • some financial industry experience.
/priipList/priip/mifid2Data/targetMarket/knowledgeAndExperience/_02030_Advanced_Investor	targetMarketOptions	Y, N, Neutral	Required	Investors having one, or more, of the following characteristics: • good knowledge of relevant financial products and transactions

Name/XPath	Type	Enumeration	Rule	Description
				• financial industry experience or accompanied by professional investment advice or included in a discretionary portfolio service.
/priipList/priip/mifid2Data/targetMarket/knowledgeAndExperience/_02040_Expert_Investor_Germany	targetMarketOptions	Y, N, Neutral	Optional	Expert knowledge of and / or experience with highly specialised financial products (Regulatory requirement in Germany/ example: CFD/ the updated list will be provided by the DSGV).
Ability to bear losses			**Optional**	
/priipList/priip/mifid2Data/targetMarket/abilityToBearLosses/_03010_Compatible_With_Clients_Who_Can_Not_Bear_Capital_Loss	targetMarketOptions	Y, N, Neutral	Required	Investor can bear no loss of capital. Minor losses especially due to costs possible. Yes or No or Neutral. N for negative target: product should not be sold to investors that cannot bear losses.
/priipList/priip/mifid2Data/targetMarket/abilityToBearLosses/_03020_Compatible_With_Clients_Who_Can_Bear_Limited_Capital_Loss	targetMarketOptions	Y, N, Neutral	Optional	Investor seeking to preserve capital or can bear losses limited to a level specified by the product. Assessment of loss level is based on investments in the same currency as the instrument denomination and do not take into consideration potential adverse FX market performance. To be filled only for structured securities & funds with an explicit capital protection or for Money Market funds. Yes or No or Neutral. To be filled only for structured securities & funds with an explicit capital protection or for Money Market funds.
/priipList/priip/mifid2Data/targetMarket/abilityToBearLosses/_03030_	float	-	Optional	To be completed for products that have a clearly stated full or partial capital guarantee, provided on the primary market. This field represents

Name/XPath	Type	Enumeration	Rule	Description
Limited_Capital_Loss_Level				the maximum loss a client could incur when investing in this product – it is not the level of capital protection offered.
/priipList/priip/mifid2Data/targetMarket/abilityToBearLosses/_03040_Compatible_With_Clients_Who_Do_Not_Need_Capital_Guarantee	targetMarketOptions	Y, N, Neutral	Required	No Capital Guarantee nor protection. 100% capital at risk. Yes or No or Neutral.
/priipList/priip/mifid2Data/targetMarket/abilityToBearLosses/_03050_Compatible_With_Clients_Who_Can_Bear_Loss_Beyond_Capital	targetMarketOptions	Y, N, Neutral	Required	Loss Beyond the Capital. Yes or No or Neutral.
Risk tolerance			**Optional**	
/priipList/priip/mifid2Data/targetMarket/riskTolerance/_04010_Risk_Tolerance_PRIIPS_Methodology	sriClasses	1, 2, 3, 4, 5, 6, 7	Optional	The PRIIP's SRI. If PRIIPS KID is available. German distributors will use only this Risk Tolerance item
/priipList/priip/mifid2Data/targetMarket/riskTolerance/_04020_Risk_Tolerance_UCITS_Metholodology	srriClasses	1, 2, 3, 4, 5, 6, 7	Optional	If applicable, theproducts SRRI. For funds.
/priipList/priip/mifid2Data/targetMarket/riskTolerance/_04030_Risk_Tolerance_Internal_Methodology_For_Non_PRIIPS_And_Non_UCITS	riskToleranceOptions	L, M, H	Optional	Low/medium/high. For NON PRIIPS and NON UCITS.
/priipList/priip/mifid2Data/targetMarket/riskTolerance/_04040_Risk_Tolerance_For_Non_PR	sriClassesSpanish	1, 2, 3, 4, 5, 6	Optional	If applicable, the Spanish SRI. For Spanish local NON PRIIPS and NON UCITS products.

Name/XPath	Type	Enumeration	Rule	Description
IIPS_And_Non_UCITS_Spain				Orden ECC/2316/2015, de 4 de noviembre, relativa a las obligaciones de información y clasificación de productos financieros.
/priipList/priip/mifid2Data/targetMarket/riskTolerance/_04050_Not_For_Investors_With_The_Lowest_Risk_Tolerance_Germany	targetMarketOptionsLim	Y, Neutral	Optional	For all products distributed in Germany.
Objectives investment horizon & needs			**Required**	
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds/objectives/_05010_Return_Profile_Client_Looking_For_Preservation	targetMarketOptions	Y, N, Neutral	Required	Indicates if the product is compatible with clients looking for preserving their capital. Products stipulating a capital preservation objective should be YES. For other products, the answer should be NO or NEUTRAL based on a case-by-case analysis. In Germany fields 05010, 05020 and 05030 are merged and regarded "General Capital Formation". A YES in any of these fields will be regarded a YES in the German combined field.
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds/objectives/_05020_Return_Profile_Client_Looking_For_Capital_Growth	targetMarketOptions	Y, N, Neutral	Required	Indicates if the product is compatible with clients looking for growing their capital. In Germany fields 05010, 05020 and 05030 are merged and regarded "General Capital Formation". A YES in any of these fields will be regarded a YES in the German combined field.
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds/objectives/_05030_Return_Profile_	targetMarketOptions	Y, N, Neutral	Required	Indicates if the product is compatible with clients looking for Income. In Germany fields 05010, 05020 and 05030 are merged and regarded "General Capital Formation". A YES

Name/XPath	Type	Enumeration	Rule	Description
Client_Looking_For_Income				in any of these fields will be regarded a YES in the German combined field.
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds/objectives/_05040_Return_Profile_Hedging	targetMarketOptions	Y, N, Neutral	Optional	Indicates whether the PRIIP is designed for hedging.
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds/objectives/_05050_Option_Or_Leveraged_Return_Profile	targetMarketOptions	Y, N, Neutral	Optional	Indicates whether the PRIIP is designed for investors looking for an option or leveraged return profile.
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds/objectives/_05070_Return_Profile_Pension_Scheme_Germany	targetMarketOptions	Y, N, Neutral	Optional	Indicates whether the PRIIP is designed for German pension schemes (Riester-Rente).
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds /_05080_Minimum_Recommended_Holding_Period	timeHorizonOptions	V, S, M, L, H, float	Required	Minimum recommending holding period: RHP in years or Very Short Term (<1Y) or Short term (>=1Y) or Medium term (>=3Y) or Long term (>5Y) or Hold To Maturity. RHP: Recommended Holding Period.
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds/_05105_Intended_Compatible_With_Clients_Having_Sustainability_Preferences	targetMarketOptions Sustainability	Neutral, C, O	Optional	Discloses if the product is developed with the aim of being compatible with clients having sustainability preferences. C = preferences for products having ESG Characteristics O = preferences for products having Sustainable Characteristics
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds/_05115_Ot	enum05115Needs	N, I, O	Optional	No, Islamic banking or Other.

Name/XPath	Type	Enumeration	Rule	Description
her_Specific_Investment_Need				
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds/additionalProductInformationRequiredForDistributionInGermany/_09000_ESG_Category_For_German_Market	esgGermanTypes	B, E, I	Optional	Basic (B): - ESG opportunities/risks according to the criteria of the “ESG integration enhanced” taken into account - Integration approach disclosed - Product manager follows recognised industry standard (UN PRI) ESG (E): - Dedicated ESG strategy (pursuant to Art. 8 Disclosure Regulation) - Minimum exclusion criteria - Relevant for both individual products and those in a portfolio/basket (shares/bonds) - Product manager follows recognised industry standard (UN PRI) Impact (I): - Impact-related investments (pursuant to Art.9 Disclosure Regulation) - No serious breach of UNGC - Relevant for both individual products and those in a portfolio/basket (shares/bonds) - Product manager follows recognised industry standard (UN PRI)
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds/additionalProductInformationRequiredForDistributionInGermany/_09010_ESG_Focus	esgFocusTypes	E, S, G	Optional	To be input only where 09000 == E/ I Only one item, main focus will be Environmental or Social or Governance
/priipList/priip/mifid2Data/targetMarket/objectivesInvestmentHorizonAndNeeds/additionalProductInformationRequiredForDistributionInGermany/_09020_ESG_Label_Or_Standard	string	A or B or C… A;G or C;H;J…	Optional	Cf ESG Label-Standard List Multiple selections possible List embedded in Sheet 2 of EMT-V3.1 template available at https://findatex.eu/
additionalProductInformationRequiredForDist	amfDoctrineTypes	1, 2, 3	Optional	https://www.amf-france.org/sites/default/files/doctrine/

Name/XPath	Type	Enumeration	Rule	Description
ributionInFrance/_10020_AMF_Doctrine				Position/Information to be provided by collective investment schemes incorporating non-financial approaches.pdf
MiFID II – Cost and charges			**Optional**	
/priipList/priip/mifid2CostsAndCharges/accessControls	complex userPopulations	Refer to both the section “Granting access to a data record” and the common-xsd-types schema directly for details	Optional	A composite field that defines who has access to the MiFID II costs & charges data. Refer to the documentation for how to construct access controls. If left blank, the data will be publicly accessible.
/priipList/priip/mifid2CostsAndCharges/timestampOfLastCostUpdate	dateTime	-	Optional	Date and time when the MiFID II costs & charges data becomes effective.
Costs and charges ex-ante			**Optional**	
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07020_Gross_One-off_Cost_Financial_Instrument_Maximum_Entry_Cost_Non_Acquired	float	-	Optional	Funds: Maximum not acquired to the fund. Expressed as a % of the amount to be invested. This data is a maximum cost not acquired to the fund. It is indicative and should be adapted by the distributor receiving the file to take into account the commercial agreement with the asset manager. Conditional to the existence of this feature. Structured Securities: "Ask Price" - Fair Value (as of Reference Date Ex-Ante) This data should only incorporate manufacturer costs (i.e. cost of the financial instrument) and distributor upfront when known by the manufacturer. It should however NOT include distribution fees added on top of the product price by

Name/XPath	Type	Enumeration	Rule	Description
				distributors that is out of control of the manufacturer.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07025_Net_One-off_Cost_Structured_Products_Entry_Cost_Non_Acquired	float	-	Optional	Structured Funds: Expressed as a % of the amount to be invested. Subscription NAV - Fair Value. Structured Securities: Net_One-off Entry cost = 07020 less upfront distribution fee embedded in the 07020. In practice 07025 will be the portion of the 07020 retained by the manufacturer. This data is optional and could be used in the event of only one layer of intermediation or in a case where distributor up fronts are paid equally to all distributors. The costs reported in this field is a Net disclosure and therefore the distributor upfront is equal to the difference between 07020 and 07025.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07030_One-off_Cost_Financial_Instrument_Maximum_Entry_Cost_Fixed_Amount_Italy	float	-	Optional	Funds: Maximum fixed amount per subscription, not incorporated. Flat fixed fee defined by the manufacturer (Linked to Paying Agent). Only for the Italian Market. Conditional to the existence of the feature It is subscription related but decided by the manufacturers. In all cases it must be adapted to the specific relationship between the manufacturers and the distribution. This cost is not taken in account in the entry cost item 07020
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07040_One-off_Cost_Financial_Instrument_Maximum_Entry_Cost_Acquired	float	-	Optional	Funds: Subscription fees acquired to the fund. Expressed as a % of the amount to be invested. Not included in the entry cost 07020. Conditional to the fact that the fund has this feature.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07050_One-off_Costs_Financial_Instrument_Maximum_Exit_Cost_Non_Acquired	float	-	Optional	Funds: Maximum not acquired to the fund Expressed as a % of the NAV. Maximum fees not acquired to the funds that could happen at a certain time during the life of the product. Conditional to the existence of this feature.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07060_One-off_Costs_Financial_Instrument_Maximum_Exit_Cost_Fixed_Amount_Italy	float	-	Optional	Funds: Maximum fixed amount per redemption, not incorporated. Flat fee defined by the manufacturer. Only for the Italian Market. Conditional to the existence of the feature. It is redemption related but decided by the manufacturers. In all cases it must be adapted to the specific relationship between the manufacturers and the distribution. This cost is not taken in account in the exit cost item 07050.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07070_One-off_Costs_Financial_Instrument_Maximum_Exit_Cost_Acquired	float	-	Optional	Funds: Maximum Exit fees acquired to the fund. Expressed as a % of the NAV. Not included in the exit cost item 07050. Conditional to the existence of this feature.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07080_One-off_Costs_Financial_Instrument_Typical_Exit_Cost	float	-	Optional	Funds: Current exit cost linked to the RHP or Time to Maturity or 1Y (V) or 3Y(S) or 5Y (M L) (the value of 05080_Minimum_Recommended_Holding_Period). Normal fees if the client holds the product until maturity or during RHP. Example: a product with a 5 year maturity has exit costs of: - 4% after 1 and 2yrs - 3% after 3yrs

Name/XPath	Type	Enumeration	Rule	Description
				- 1% after 4 yrs, - 0 at maturity Then maximum exit cost: 4% Typical cost: 0 Structured Securities: Exit cost at the RHP.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07090_One-off_Cost_Financial_Instrument_Exit_Cost_Structured_Products_Prior_RHP	float	-	Optional	Structured Funds: Expressed as a % of the amount to be divested. Fair Value - Exit Value (eg Bid Price). Structured Securities: Fixed amount.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07100_Financial_Instrument_Gross_Ongoing_Costs	float	-	Required	Funds: % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be applied). Ongoing costs include management fees and distribution fees, and exclude all transaction costs, incidental costs and performance fees. Costs reported should reflect current running ongoing costs. Structured Securities: Expressed as a % of NAV / Notional (or currency amount for Absolute quotation) of the Financial Product in annualized terms related to Reference in 07150 or 07155 respectively.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07105_Financial_Instrument_Borrowing_Costs_Ex_Ante_UK				Funds: Financing costs related to borrowing for the purposes of gearing expressed as a % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be applied). Only applicable if the product is borrowing. Borrowing costs are included in Ongoing costs.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07110_Financial_Instrument_Management_Fee	float	-	Optional	Funds: % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be applied). These fees are included in total on going costs. These fees are used by distributors to calculate their retrocession fees. Costs reported should reflect current running management costs. Structured Securities: Expressed as a % of NAV / Notional (or currency amount for Absolute quotation) of the Financial Product in annualized terms related to Reference Value in 07150 or 07155 respectively. These fees are included in total on going costs. Only applicable if the product has this feature. These fees are used by distributors to calculate their retrocession fees.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07120_Financial_Instrument_Distribution_Fee	float	-	Optional	Funds: % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be applied). Only applicable if the product has this feature (legal wording in the documentation). These fees are included in total on going costs and are not included into the management fees. Costs reported should reflect current running Distribution fees.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07130_Financial_Instrument_Transaction_Costs_Ex_Ante	float	-	Optional	Funds: % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be applied). 0 for structured products. Costs within the products.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07	float	-	Required	Funds: % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be

Name/XPath	Type	Enumeration	Rule	Description
140_Financial_Instrument_Incidental_Costs_Ex_Ante				applied). Includes Performance Fees and other costs. Structured Securities: Expressed as a % of NAV / Notional (or currency amount for Absolute quotation) of the Financial Product in annualized terms related to Reference Value in 07150 or 07155 respectively.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07150_Structured_Securities_Reference_Price_Ex_Ante	float		Optional	Structured Securities: The Reference Price is the instrument price to which a Unit disclosed Ex-Post cost is based and to which a Percentage disclosed cost should be multiplied in order to retrieve the Unit cost. This field is conditional and only used if 07155 is not used. Reference Price can be used for both Item based and Notional Based instruments as defined in 00085. This field is used if a Price is the preferred reference to which the disclosed ex-post cost are related. This field can NOT be used simultaneously with 07155.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07155_Structured_Securities_Notional_Reference_Amount_Ex_Ante	float	-	Optional	Structured Securities: The Notional Reference Amount is the amount expressed in number of currency units to which a Unit disclosed Ex-Post cost is based and to which a Percentage disclosed cost should be multiplied in order to retrieve the Unit cost. This field is conditional and only used if 07150 is not used. Only used if 00085 is set to N (Notional Based) and if a Notional Reference Amount is the preferred cost reference. This field can NOT be used simultaneously with 07150.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExAnte/_07160_Ex_Ante_Costs_Reference_Date	date	-	Required	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).

Name/XPath	Type	Enumeration	Rule	Description
Costs &charges ex post			**Optional**	
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08010_Gross_One-off_Cost_Structured_Securities_Entry_Cost_Ex_Post	float	-	Optional	Structured Securities: Fixed Amount. This data should only incorporate manufacturer costs (i.e. cost of the financial instrument) and distributor upfront when known by the manufacturer. It should however NOT include distribution fees added on top of the product price by distributors that is out of control of the manufacturer.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08015_Net_One-off_Cost_Structured_Securities_Entry_Cost_Ex_Post	float	-	Optional	Structured Securities: Net One-off Entry cost = 08010 less upfront distribution fee embedded in the 08010. In practice 08015 will be the portion of the 08010 retained by the manufacturer. This data is optional and could be used in the event of only one layer of intermediation or in a case where distributor up fronts are paid equally to all distributors. The costs reported in this field is a Net disclosure and therefore the distributor upfront is equal to the difference between 08010 and 08025.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08020_One-off_Costs_Structured_Securities_Exit_Cost_Ex_Post	float	-	Optional	Structured Securities: Fixed amount. This exit cost is supposed to be prior RHP.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08025_One-off_Cost_Financial_Instrument_Entry_Cost_Acquired	float	-	Optional	Funds: % of NAV.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08030_Financial_Instrument_Ongoing_Costs_Ex_Post	float	-	Required	Funds: % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be applied). Structured Securities: Expressed as a % of NAV / Notional (or currency amount for Absolute quotation) of the Financial Product in annualized terms related to Reference Value in 08110.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08040_Structured_Securities_Ongoing_Costs_Ex_Post_Accumulated	float	-	Optional	Structured Securities: Sum of each daily Recurring Product Costs. Mandatory field for Distribution in Germany, Switzerland and Austria
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08045_Financial_Instrument_Borrowing_Costs_Ex_Post_UK	float	-	Optional	Funds: Financing costs related to borrowing for the purposes of gearing expressed as a % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be applied). Only applicable if the product is borrowing. Borrowing costs are included in Ongoing costs.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08050_Financial_Instrument_Management_Fee_Ex_Post	float	-	Optional	Funds: % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be applied). These fees are included in total on going costs. These fees are used by distributors to calculate their retrocession fees. Structured Securities: Expressed as a % of NAV / Notional (or currency amount for Absolute quotation) of the Financial Product in annualized terms related to Reference Value in 08110. These fees are included in total on going costs. Only applicable if the product has this feature. These fees

Name/XPath	Type	Enumeration	Rule	Description
				are used by distributors to calculate their retrocession fees.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08060_Financial_Instrument_Distribution_Fee_Ex_Post	float	-	Optional	Funds: % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be applied). Only applicable if the product has this feature (legal wording in the documentation). These fees are included in total on going costs and are not included into the management fees.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08070_Financial_Instrument_Transaction_Costs_Ex_Post	float	-	Optional	Funds: % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be applied). Costs within the products.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08080_Financial_Instrument_Incidental_Costs_Ex_Post	float	-	Required	Funds: % of NAV of the Financial Product expressed in annualized terms (rate of cost deduction to be applied). Structured Securities: Expressed as a % of NAV / Notional (or currency amount for Absolute quotation) of the Financial Product in annualized terms related to Reference Value in 08110.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08090_Beginning_Of_Reference_Period	date	-	Required	The Date that specifies the start of the Reference Period. Defined as "From and including". All ex-post cost disclosures apart from 08040 refers to all dates in such period. YYYY-MM-DD ISO 8601. The Reference Period as defined by 08090 and 08100 indicate the period of calendar days to which disclosed ex-post costs should be applied.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08100_End_Of_Reference_Period	date	-	Required	The Date that specifies the end of the Reference Period. Defined as "To and including". All ex-post cost disclosures apart from 08040 refers to all dates in such period. For the avoidance of doubt, this date can be specified as equal to the date specified in 08090. YYYY-MM-DD ISO 8601. The Reference Period as defined by 08090 and 08100 indicate the period of calendar days to which disclosed ex-post costs should be applied.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08110_Structured_Securities_Reference_Price_Ex_Post	float	-	Optional	Structured Securities: The Reference Price is the instrument price to which a Unit disclosed Ex-Post cost is based and to which a Percentage disclosed cost should be multiplied in order to retrieve the Unit cost. This field is conditional and only used if 08120 is not used. Reference Price can be used for both Item based and Notional Based instruments as defined in 00085. This field is used if a Price is the preferred reference to which the disclosed ex-post cost are related. This field can NOT be used simultaneously with 08120.
/priipList/priip/mifid2CostsAndCharges/costsAndChargesExPost/_08120_Structured_Securities_Notional_Reference_Amount	float	-	Optional	Structured Securities: The Notional Reference Amount is the amount expressed in number of currency units to which a Unit disclosed Ex-Post cost is based and to which a Percentage disclosed cost should be multiplied in order to retrieve the Unit cost. This field is conditional and only used if 08110 is not used. Only used if 00085 is set to N (Notional Based) and if a Notional Reference Amount is the preferred

Name/XPath	Type	Enumeration	Rule	Description
				cost reference. This field can NOT be used simultaneously with 08110.
s871mData			**Optional**	
/priipList/priip/s871mData/accessControls	complex userPopulations	Refer to both the section “Granting access to a data record” and the common-xsd-types schema directly for details	Optional	A composite field that defines who has access to the s871mData node. Refer to “Granting access to a data record” for how to construct access controls. If left blank, the 871m data will be publicly accessible.
/priipList/priip/s871mData/ S871mReferenceDate	date		Optional	Date of the last update of the 871m data. To be populated by the issuer, if not RegXChange will define submission date as reference date.
Product characteristics			**Required**	
/priipList/priip/s871mData/ ProductCharacteristics/ TransactionType	transactionTypes871M	ELI, NPC	Optional	Transaction Type.
/priipList/priip/s871mData/ ProductCharacteristics/ S871mRelevancy	relevancyOptions	0,1,2	Required	Relevancy vis-à-vis 871m.
/priipList/priip/s871mData/ ProductCharacteristics/ WithholdingSolution	withholdingSolutions871M	I, D	Optional	Withholding Solution. Data element is mandatory if product is eligible ("1"), not applicable if out-of-scope ("0") or not relevant ("2").
DEP notice			**Optional**	
/priipList/priip/s871mData/	string	-	Optional	ISIN of the Underlying.

Name/XPath	Type	Enumeration	Rule	Description
DepNotice/UnderlyingIsin				Information is required when an ISIN exists for the Underlying.
/priipList/priip/s871mData/DepNotice/UnderlyingOtherIn	complex	-	Optional	Other Identification Number of the Underlying.
/priipList/priip/s871mData/DepNotice/UnderlyingOtherIn/OtherInType	string	-	Required	Other IN Type of the Underlying. E.g., "CUSIP", "SEDOL", "VALOREN", "WKN".
/priipList/priip/s871mData/DepNotice/DeterminationDate	date	-	Required	Date of DEP determination = Ex-date minus 1 Close-of-Business
/priipList/priip/s871mData/DepNotice/PayableDate	date	-	Required	Payable date
/priipList/priip/s871mData/DepNotice/DeaAmount	float	-	Required	Amount in US dollars of the dividend equivalent per underlying, i.e., unitary amount for one security of the derivative.
/priipList/priip/s871mData/DepNotice/WithholdingData	complex	-	Optional	Data block is required in case of product under the Issuer Solution, i.e., if WithholdingSolution = "I".
/priipList/priip/s871mData/DepNotice/WithholdingData/WithheldTaxAmount	float	-	Required	Amount in US dollars of withholding tax transferred to the IRS for one security of the derivative.
/priipList/priip/s871mData/DepNotice/WithholdingData/WithholdingAgentEIN	string	-	Required	EIN of the withholding agent.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/s871mData/DepNotice/WithholdingData/WithholdingAgentName	string	-	Required	Name of the withholding agent.
/priipList/priip/s871mData/DepNotice/RecordType	recordTypes	1, 2	Optional	Type of Delivery. "1": New delivery "2": Delivery cancellation If omitted, "1" to be considered by default
Additional PRIIP data			**Optional**	
/priipList/priip/additionalPriipData/accessControls	complex userPopulations	Refer to both the section “Granting access to a data record” and the common-xsd-types schema directly for details	Optional	A composite field that defines who has access to the additional PRIIP data node. Refer to “Granting access to a data record” for how to construct access controls. If left blank, the data will be publicly accessible.
Performance scenario related values			**Optional**	
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/investmentAmountForScenarios	decimal	-	Optional	The PRIIP’s investment amount for scenarios.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/positiveScenarioPayoutRHP	decimal	-	Optional	The PRIIP’s pay out for the positive scenario at the end of the RHP.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip /additionalPriipData/performanceScenariosRelatedValues/positiveScenarioPayoutIHP1	decimal	-	Optional	The PRIIP's pay out for the positive scenario at the end of the IHP 1.
/priipList/priip /additionalPriipData/performanceScenariosRelatedValues/positiveScenarioPayoutIHP2	decimal	-	Optional	The PRIIP's pay out for the positive scenario at the end of the IHP 2.
/priipList/priip /additionalPriipData/performanceScenariosRelatedValues/moderateScenarioPayoutRHP	decimal	-	Optional	The PRIIP's pay out for the moderate scenario at the end of the RHP.
/priipList/priip /additionalPriipData/performanceScenariosRelatedValues/moderateScenarioPayoutIHP1	decimal	-	Optional	The PRIIP's pay out for the moderate scenario at the end of the IHP 1.
/priipList/priip /additionalPriipData/performanceScenariosRelatedValues/moderateScenarioPayoutIHP2	decimal	-	Optional	The PRIIP's pay out for the moderate scenario at the end of the IHP 2.
/priipList/priip /additionalPriipData/performanceScenariosRelatedValues/negativeScenarioPayoutRHP	decimal	-	Optional	The PRIIP's pay out for the negative scenario at the end of the RHP.
/priipList/priip /additionalPriipData/performanceScenariosRelatedValues/negativeScenarioPayoutIHP1	decimal	-	Optional	The PRIIP's pay out for the negative scenario at the end of the IHP 1.
/priipList/priip /additionalPriipData/performanceScenariosRe	decimal	-	Optional	The PRIIP's pay out for the negative scenario at the end of the IHP 2.

Name/XPath	Type	Enumeration	Rule	Description
latedValues/negativeScenarioPayoutIHP2				
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/stressScenarioPayoutRHP	decimal	-	Optional	The PRIIP's pay out for the stress scenario at the end of the RHP.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/stressScenarioPayoutIHP1	decimal	-	Optional	The PRIIP's pay out for the stress scenario at the end of the IHP 1.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/stressScenarioPayoutIHP2	decimal	-	Optional	The PRIIP's pay out for the stress scenario at the end of the IHP 2.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/positiveScenarioActualReturnRHP	decimal	-	Optional	The PRIIP's actual return for the positive scenario at the end of the RHP.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/positiveScenarioActualReturnIHP1	decimal	-	Optional	The PRIIP's actual return for the positive scenario at the end of the IHP 1.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/positiveScenarioActualReturnIHP2	decimal	-	Optional	The PRIIP's actual return for the positive scenario at the end of the IHP 2.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/moderate	decimal	-	Optional	The PRIIP's actual return for the moderate scenario at the end of the RHP.

Name/XPath	Type	Enumeration	Rule	Description
ScenarioActualReturnRHP				
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/moderateScenarioActualReturnIHP1	decimal	-	Optional	The PRIIP's actual return for the moderate scenario at the end of the IHP 1.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/moderateScenarioActualReturnIHP2	decimal	-	Optional	The PRIIP's actual return for the moderate scenario at the end of the IHP 2.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/negativeScenarioActualReturnRHP	decimal	-	Optional	The PRIIP's actual return for the negative scenario at the end of the RHP.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/negativeScenarioActualReturnIHP1	decimal	-	Optional	The PRIIP's actual return for the negative scenario at the end of the IHP 1.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/negativeScenarioActualReturnIHP2	decimal	-	Optional	The PRIIP's actual return for the negative scenario at the end of the IHP 2.
/priipList/priip/additionalPriipData/performanceScenariosRelatedValues/stressScenarioActualReturnRHP	decimal	-	Optional	The PRIIP's actual return for the stress scenario at the end of the RHP.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip /additionalPriipData/performanceScenariosRelatedValues/stressScenarioActualReturnIHP1	decimal	-	Optional	The PRIIP's actual return for the stress scenario at the end of the IHP 1.
/priipList/priip /additionalPriipData/performanceScenariosRelatedValues/stressScenarioActualReturnIHP2	decimal	-	Optional	The PRIIP's actual return for the stress scenario at the end of the IHP 2.
Additional data for structured products			**Optional**	
/priipList/priip/additionalDataForStructuredProducts/eusipaProductType	eusipaProductTypes	1100, 1110, 1120, 1130, 1140, 1199, 1200, 1210, 1220, 1230, 1240, 1250, 1260, 1299, 1300, 1310, 1320, 1330, 1340, 1399, 1440, 1450, 1460, 1499, 2100, 2110, 2199, 2200, 2205, 2210, 2230, 2299, 2300, 2399, other	Optional	The PRIIP's EUSIPA code. This will be one of the filtering criteria on the RegXchange website.
/priipList/priip/additionalDataForStructuredProducts/wrapperType	wrapperTypes	EIS	Optional	Indicates whether the PRIIP is offered in a wrapper. Currently, the only wrapper type is the U.K. Enterprise Investment Scheme (EIS).
/priipList/priip/additionalDataForStructuredProducts/securityType	securityTypes	note, certificate, warrant, coveredBond	Optional	The security type of the PRIIP.
/priipList/priip/additionalDataForStructuredProducts/tradingMethod	tradingMethods	P, U	Optional	If listed on an exchange, indicates whether the PRIIP is quoted on a par value/percentage or a non-par value/units basis.
/priipList/priip/additionalDataForStructuredProducts/notationType	notationTypes	notionalAmount, multiplier	Optional	Indicates whether the payoff of the PRIIP is described using reference amount notation or multiplier notation.
/priipList/priip/additionalDataForStructuredPro	accrualQuotationTypes	clean, dirty	Optional	For interest-bearing PRIIPs listed on an exchange, indicates whether the

Name/XPath	Type	Enumeration	Rule	Description
ducts/accrualQuotationType				price of the PRIIP is quoted clean (*i.e.*, excluding accrued but unpaid interest) or dirty (*i.e.*, including accrued but unpaid interest).
/priipList/priip/additionalDataForStructuredProducts/exerciseStyle	exerciseStyles	american, bermudan, european,	Optional	Indicates the exercise style of the PRIIP – only relevant for PRIIPs with the security type “warrant”.
/priipList/priip/additionalDataForStructuredProducts/insolvencyGuarantee	yesNo	Y, N	Optional	Optional field for the Italian Market. To be used by clients who are sending data to CONSOB.
/priipList/priip/additionalDataForStructuredProducts/guaranteeDescription	string		Optional	Optional field for the Italian Market. To be used where clients are sending data to CONSOB.
/priipList/priip/additionalDataForStructuredProducts/guaranteeInsolvencyLimits	yesNo	Y, N	Optional	Optional field for the Italian Market. To be used where clients are sending data to CONSOB.
/priipList/priip/additionalDataForStructuredProducts/earlyDisinvestmentPenalties	yesNo	Y, N	Optional	Optional field for the Italian Market. To be used where clients are sending data to CONSOB.
/priipList/priip/additionalDataForStructuredProducts/financialLeverageMeasure	float		Optional	Optional field for the Italian Market. To be used where clients are sending data to CONSOB.
/priipList/priip/additionalDataForStructuredProducts/couponApplies	boolean	-	Optional	Indicates whether the PRIIP is interest bearing.
/priipList/priip/additionalDataForStructuredProducts/autoCallApplies	boolean	-	Optional	Indicates whether the PRIIP is autocallable.

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/additionalDataForStructuredProducts/issuerCallApplies	boolean	-	Optional	Indicates whether the PRIIP may be terminated by the manufacturer.
/priipList/priip/additionalDataForStructuredProducts/investorPutApplies	boolean	-	Optional	Indicates whether the PRIIP may be terminated by the investor.
/priipList/priip/additionalDataForStructuredProducts/productIsOpenEnd	boolean	-	Optional	Indicates whether the product is open-end.
/priipList/priip/additionalDataForStructuredProducts/etpData	complex	-	Optional	Relevant data for ETPs.
/priipList/priip/additionalDataForStructuredProducts/etpData/currentRatio	float	-	Optional	The PRIIP's current ratio – only relevant for certain open-end ETPs.
/priipList/priip/additionalDataForStructuredProducts/etpData/currentFinancingLevelAbsolute	float	-	Optional	The PRIIP's current ratio – only relevant for certain open-end ETPs.
/priipList/priip/additionalDataForStructuredProducts/etpData/currentBarrierLevelAbsolute	float	-	Optional	The PRIIP's current ratio – only relevant for certain open-end ETPs.
Dates			**Optional**	
/priipList/priip/additionalDataForStructuredProducts/dates/issueDate	date	-	Optional	The PRIIP's issue date.
/priipList/priip/additionalDataForStructuredProducts/dates/exerciseDate	date	-	Optional	The PRIIP's exercise date – only relevant for PRIIPs with the security type "warrant".

Name/XPath	Type	Enumeration	Rule	Description
/priipList/priip/additionalDataForStructuredProducts/dates/exercisePeriodStartDate	date	-	Optional	The start date of the PRIIP's exercise period – only relevant for PRIIPs with the security type "warrant".
/priipList/priip/additionalDataForStructuredProducts/dates/exercisePeriodEndDate	date	-	Optional	The end date of the PRIIP's exercise period – only relevant for PRIIPs with the security type "warrant".
/priipList/priip/additionalDataForStructuredProducts/dates/terminationDate	date	-	Optional	The PRIIP's termination date.
/priipList/priip/additionalDataForStructuredProducts/dates/dateAndTimeAsOfWhichMIFIDDataExpires	dateTime	-	Optional	Indicates when the product expires and the MiFID data is no longer relevant.
Reference asset			**Optional**	
/priipList/priip/additionalDataForStructuredProducts/referenceAsset	Complex underlyingDetails		Optional	The reference asset of for the structured product.
/priipList/priip/additionalDataForStructuredProducts/underlyings/bloombergPage	string		Optional	The Bloomberg ticker of the underlying asset.
/priipList/priip/additionalDataForStructuredProducts/underlyings/reutersPage	string		Optional	The Reuters RIC code of the underlying asset.
/priipList/priip/additionalDataForStructuredProducts/underlyings/isin	string		Optional	The ISIN for the underlying asset.
/priipList/priip/additionalDataForStructuredPro	string		Optional	The name of the underlying asset

Name/XPath	Type	Enumeration	Rule	Description
ducts/underlyings/name				
/priipList/priip/additionalDataForStructuredProducts/investmentObjectivesNarrative	string		Optional	The narrative section describing investment objectives, taken from the KID.
/priipList/priip/additionalDataForStructuredProducts/customerTargetsNarrative	string		Optional	The narrative section describing customer targets, taken from the KID.

RegXchange Excel Uploader for EMTEPT-V3

We have added a new excel uploader, available in the user interface, for EMTEPT-V3. To access this uploader, please use the below link:

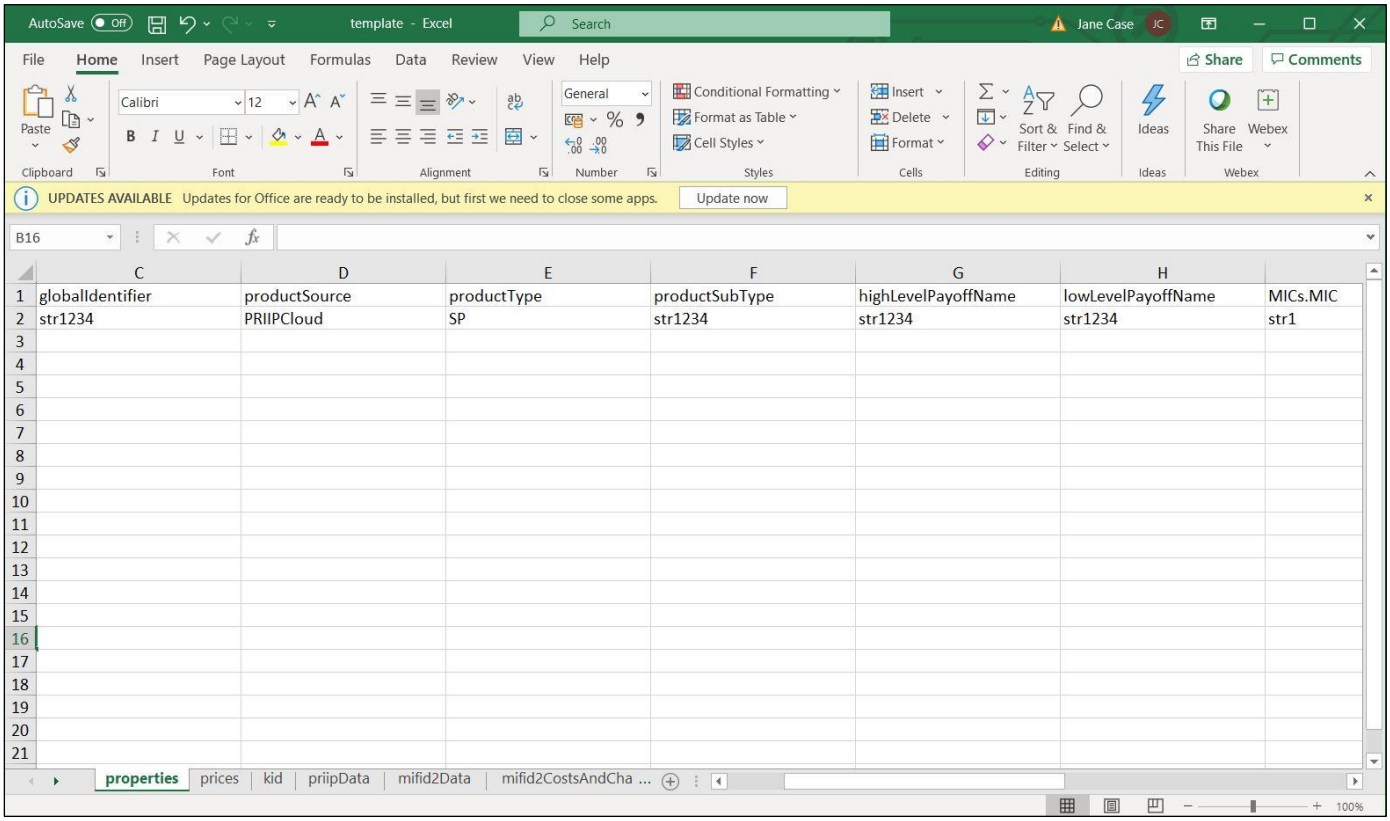
https://www.regxchange.com/#/trades/uploader/emt/v3

Using the spreadsheet

General Information

You must be logged into RegXchange to use this feature of the user interface. You can copy and paste or use the file uploader in the user interface to upload the spreadsheet. A template version of the spreadsheet can be found on the right hand side of the upload page.

The spreadsheet consists of seven tabs, one for each related node: properties, prices, kid, priipData, mifid2Data, mifid2CostsAndCharges and 871mData. The fields in the xls correspond to the individual fields in the EMTEPT-V3 schema, and should be fairly self-explanatory thanks to the clean nature of the EMTEPT-V3 schema.



	C	D	E	F	G	H	
1	globalIdentifier	productSource	productType	productSubType	highLevelPayoffName	lowLevelPayoffName	MICs.MIC
2	str1234	PRIIPCloud	SP	str1234	str1234	str1234	str1

If you have questions or run into any issues with the uploader, please feel free to contact us at servicedesk@regxchange.com.

RegXchange Excel Uploader for older versions of the schema

The Excel uploader allows you to specify the KID, PRIIP, MiFID2 & MiFID2-Costs & Charges data of multiple products simultaneously (similar to using the bulk upload API endpoint).

Please note, the older version of the excel uploader supports only EMTEPT V1.4 and RegXchange V1.4 format.

Using the spreadsheet

General Information

The spreadsheet consists of four tabs:

- “KID-PRIIP Data” – This is where you enter KID and PRIIP Data information (equivalent to kid & priipData in the RegXchange XML).
- “MiFID2” – This is where you enter MiFID2 & MiFID2-Costs & Charges data (equivalent to mifid2Data & mifid2CostsAndCharges in the RegXchange XML).

- “Client Details” – This is where you enter your organization’s client ID & client secret, to enable the service to upload the data to the correct organization.
- “Data validation” – This contains the enumerations for the each field. Validation against these values has not been implemented on the spreadsheet itself yet.

Each row within “KID-PRIIP Data” and “MiFID2” corresponds to one trade/PRIIP.

Step-by-step process to using the uploader

1) Fill the fields within the “KID-PRIIP Data” and “MiFID2” tabs as desired (the data is still subject to the validation and ‘mandatory field’ rules that you would encounter when using the API directly).
2) Enter client secret & ID into the “Client Details” tab.
3) Save the Excel file as “RegXchange_Format_Uploader” for the RegXchange format, or “EPTEMT_Format_Uploader.xlsx” for the EPT/EMT format uploader
4) Add “ – PROD” to the filename if you are submitting to the production environment, e.g. “RegXchange_Format_Uploader - PROD”
5) Attach the file to a new email, and send it to the address: pcimporter@transparitrade.com

   You will then receive an email containing a report on the upload, including a standard REST API HTTP status code and a success/error message response.

Limitations of the spreadsheet uploader

The spreadsheet retains almost identical functionality as submitting PRIIPs by API. There are only two limitations (purely caused by the physical limitations of a spreadsheet):

- Every section of the trade is given “public” access controls.
- Only one KID link can be included, and it is defaulted to the English language (code EN).
- Spreadsheet only supports EMT V1.