

# Investor Protection

## MiFID II & PRIIPs

Streamline workflow to meet investor protection requirements

### Stronger Investor Protection Requirements

As one of the MiFID II and PRIIPs regulation's aims is to enhance investor protection standards for retail clients by increasing transparency and awareness of instruments, firms must need to meet all investment protection requirements before advising or executing for a client.

For pre-investment suitability and appropriateness assessment, MiFID II Complex Instruments and Target Market data and PRIIPs Key Information Document (KID) are required. MiFID II and PRIIPs cost and charges disclosures are required to enable clients to make informed decisions.

### Bloomberg Streamlines Investor Protection Compliance Workflow

Bloomberg's Investor Protection data enables clients access to MiFID II and PRIIPs KID data in an efficient and structured way, without reaching out to every individual manufacturer. It also removes the burden of manually reviewing individual documents to identify the complexity of the instrument.

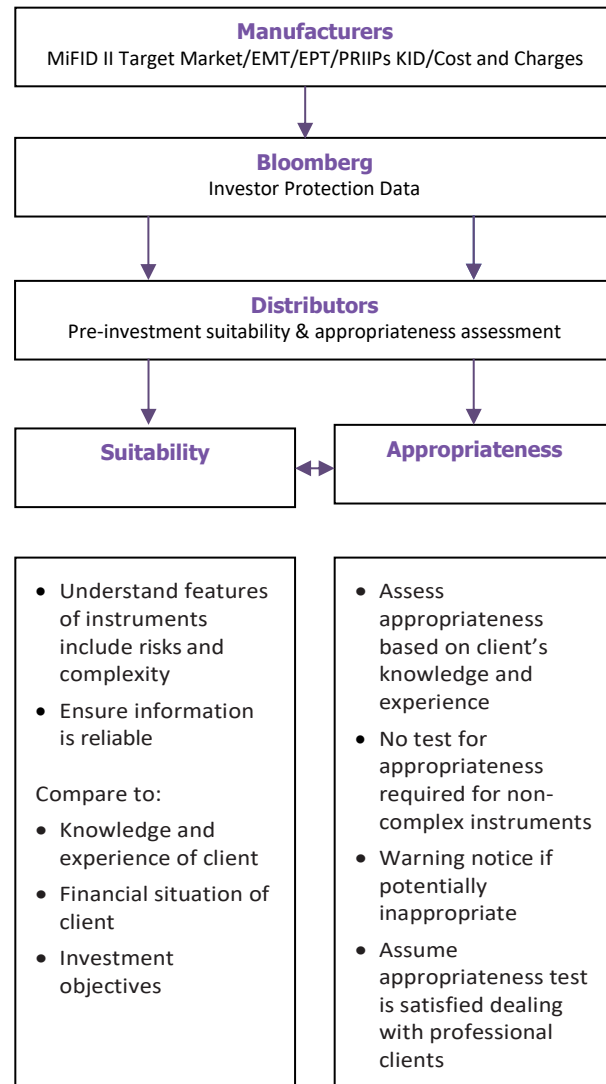
The solution collates data supporting firms in their MiFID II and PRIIPs suitability and appropriateness requirements.

Broad instrument coverage with fully standardized data of high quality can be integrated into distributors' workflow delivering efficiencies.

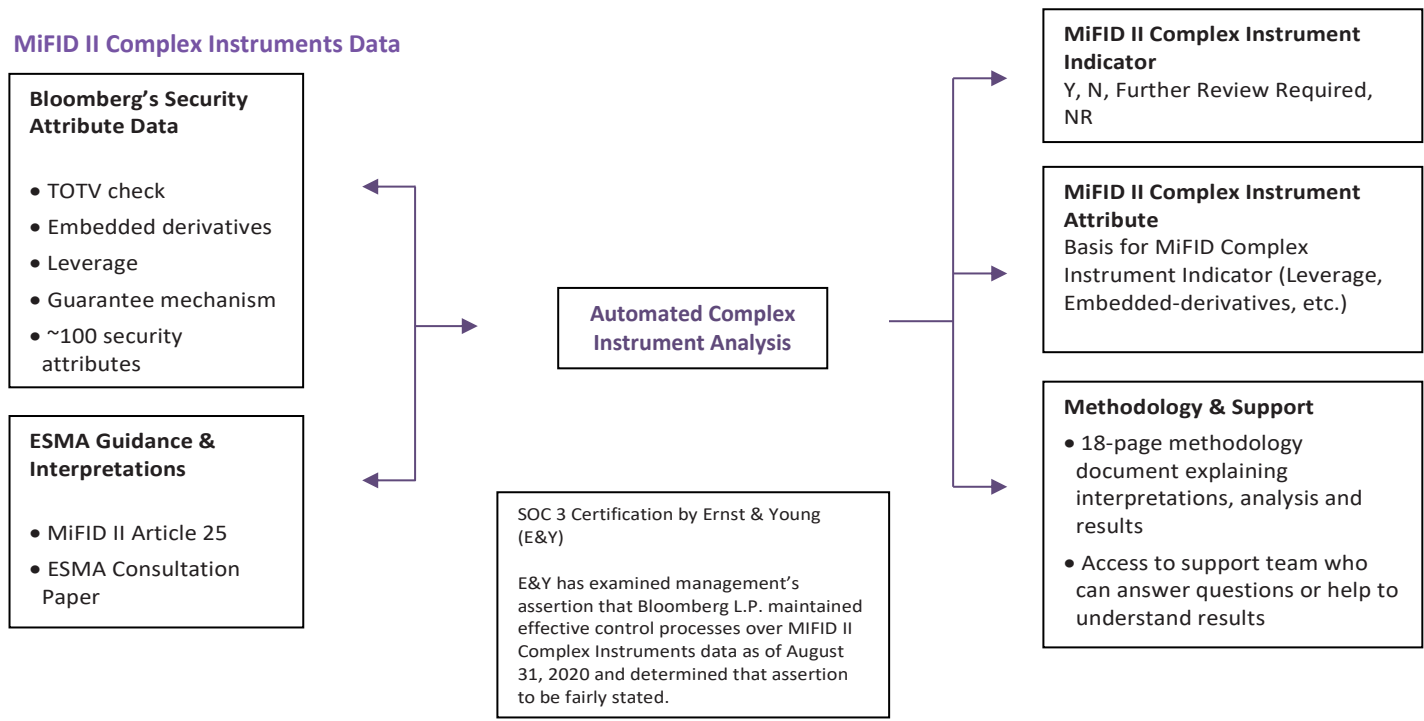
Moreover, front-office slow-downs are eliminated as workflow becomes faster and more efficient while adhering to vital pre-trade compliance checks.

"While solutions abound, few offer a comprehensive solution across trade reporting, transaction reporting, and communications monitoring. **Bloomberg offers the broadest range of coverage**, spanning all three areas."

*MiFID II Spending and Solutions Landscape Report, Opimas LLC*



## MiFID II Complex Instruments Data



## Bloomberg Investor Protection Dataset

### MiFID II

- MiFID II Complexity flag and the attribute explaining the underlying complexity factor according to ESMA guidelines
- MiFID II Target Market data fields including target client type, client objective, knowledge and experience, loss bearing ability, risk tolerance and distribution strategy
- Ex-ante and Ex-post Cost and Charges data from the European MiFID Template (EMT) Version 1.0 and 3.0 including on-going costs, transaction charges, management and performances fees

### PRIIPs

- PRIIPs Key Information Document (KID) fields including KID weblink, Summary Risk Indicator (SRI)
- Cost and Charges data from the European PRIIPs Template (EPT) Version 1.1 including entry costs, exist costs, management and performance fees

## Bloomberg for Enterprise

To succeed today, financial institutions must respond to challenges that are not addressed by traditional approaches. They require world-class solutions that integrate people, processes, information and technology for the front office, middle office and operations. Bloomberg partners with these institutions to protect and capitalize on data, manage risk, deliver transparency and control costs. Through enterprise-level expertise and three decades of deep industry experience, Bloomberg creates real value through the use of innovative technology that turns data into a strategic asset.

### Learn More

Learn more about how we can help your firm automate a critical Volcker rule compliance process. Visit [bloomberg.com/enterprise](http://bloomberg.com/enterprise) or reach us at [eprise@bloomberg.net](mailto:eprise@bloomberg.net).

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