

Investor Protection: PRIIPs & MiFID II

At a glance

Solutions partner for the
financial services industry

Investor Protection PRIIPs & MiFID II

Solutions for regulatory & risk

Bloomberg Investor Protection Data Solution:

MiFID II Complexity, Target Market and PRIIPs KID fields

Achieve investor protection compliance through data feeds.

MiFID II Complexity flag and the attribute explaining the underlying complexity factor according to ESMA guidelines.

PRIIPs KID key data fields e.g. weblink KID & SRI and the **MiFID II Target Market fields**.

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

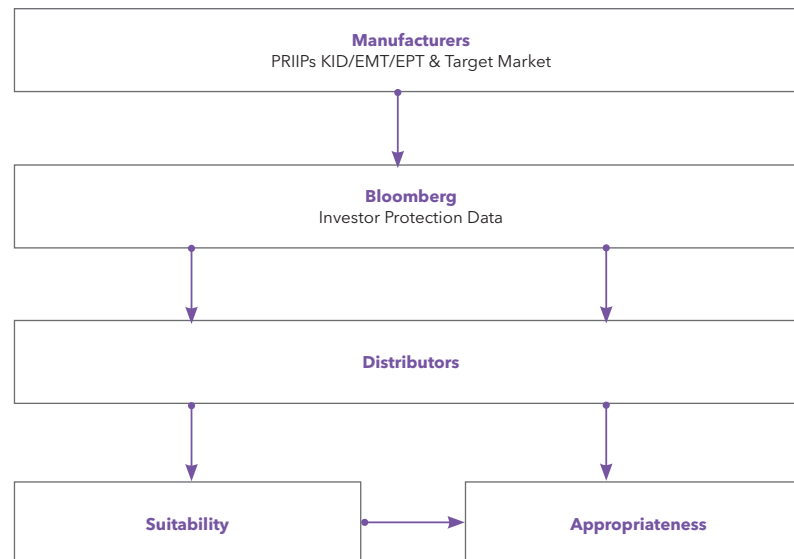
Clients' best interest

MiFID II and **PRIIPs** regulations have increased the transparency and awareness of instruments for retail investors.

PRIIPs Key Information Document (KID) and Complexity flag is now required for pre-investment suitability and appropriateness assessment.

Firms must meet all investment protection requirements before advising or executing for a client.

Investor Protection Compliance Workflow



- Understand features of instruments include risks and complexity
 - Ensure information is reliable
- Compare to:
- Knowledge of client
 - Financial situation of client
 - Investment objectives

- Non-complex instruments: no test for appropriateness required
- Warning notice if potentially inappropriate
- Assume appropriateness test is satisfied dealing with professional clients

Key benefits

The **Bloomberg Investor Protection 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 feeding into distributors **workflow delivering efficiencies**.

"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

Manufacturers and their distributors must ensure not selling investment products that are beyond the understanding or risk parameter of their retail investors.

Instruments must be assessed against all **regulation-specific criteria**.

Distributors require access to MiFID II and PRIIPs KID data in an efficient and structured way without reaching out to every individual manufacturer.

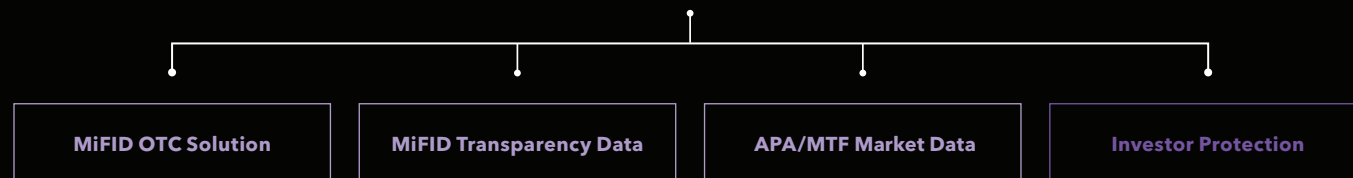
Firms require accurate reference data to run all investor protection checks.

More than just MiFID II compliance solutions.

Talk to us about **regulatory & risk solutions**
for the financial services industry.

bloomberg.com/MIFID

Bloomberg's Data Solutions for MiFID II



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