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**.

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**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.

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**Investor Protection Compliance Workflow**

- Manufacturers
  - PRIIPs KID/EMT/EPT & Target Market
- Bloomberg Investor Protection Data
- Distributors
- Suitability
- Appropriateness

- **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**

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**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.”

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**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.

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The broadest range of MiFID II & PRIIPs investor protection instrument coverage
More than just MiFID II compliance solutions.

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

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Take the next step.
Learn more about how Bloomberg can help your enterprise today. Visit bloomberg.com/enterprise or reach us at enterprise@bloomberg.net

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