

PDF Metadata for KIIDs v1.1

Revision history

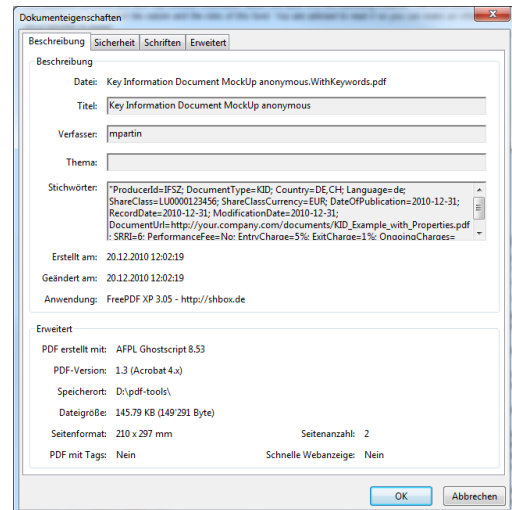
Rev.	Date	Author	Description
0.1		matthias.hueni@fundinfo.com	First draft
0.2		michael.partin@fundinfo.com	Review & clarifications
0.3		matthias.hueni@fundinfo.com	Separation of EBNF and description Added PDF metadata explanation
0.4	24.03.2011	matthias.hueni@fundinfo.com	Added more fields (SRRI, etc...) Property assignment operator changed from ":" to "="
0.5	25.03.2011	michael.partin@fundinfo.com	Review & corrections
0.6	25.03.2011	matthias.hueni@fundinfo.com	Added document submission & delivery
0.7	28.03.2011	matthias.hueni@fundinfo.com	Added revision history Reordering of chapters
0.8	07.04.2011	matthias.hueni@fundinfo.com	Input of several KIID producers (typo errors); RepShareClass and RepShareClassCurrency added; ShareClassCurrency removed
0.9	11.04.2011	matthias.hueni@fundinfo.com	Added alternative country-specific share class identifiers (Valor, WKN, Sedol)
1.0	03.05.2011	matthias.hueni@fundinfo.com	Version 1.0 fixed
1.1	25.08.2011	matthias.hueni@fundinfo.com / michael.partin@fundinfo.com / bastiaan.schrijvres@morningstar.com	Introduction of version attribute, deleted ProducerId, self-issuing of GeneratorContact, added FTP upload delivery suggestions, added pdf security settings suggestions, marked some fields as optional

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PDF metadata

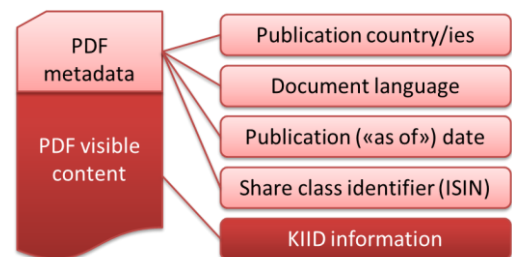
Portable Document Format (PDF) allows you to store visible (and printable) information as well as invisible information. Visible information represents the content you see when you open a PDF document on your computer; invisible information, also referred to as "metadata", is stored as key/value pairs within the invisible section of the PDF document. Some of these key/value pairs can be viewed via the "Properties..." method of the PDF viewer. Metadata includes the "Created" date and "Modified" date as well as the title and author of the document.



The "Keywords" metadata container

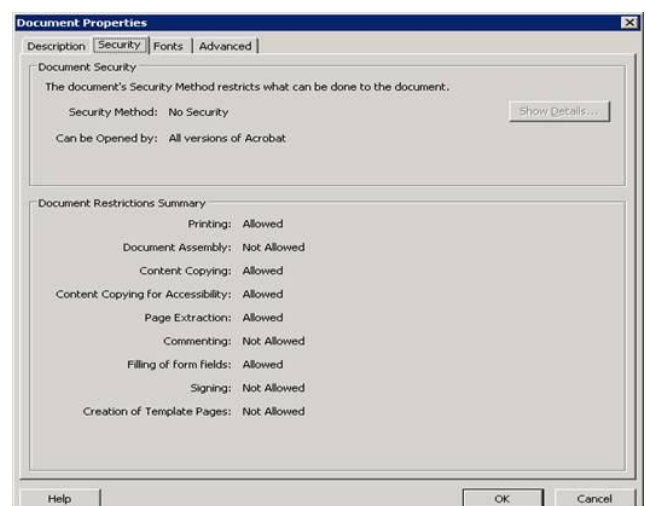
Another key which can be viewed in the "Properties..." section of the document is called "Keywords" and shows a multiline text box. This container can be used to store relevant information about the document in machine-readable form.

This will enable fundinfo and other document processors to extract all relevant information programmatically from a single point (the "Keywords" metadata).



PDF Document Security Settings

For accessibility and data processing the PDF documents need to allow copying of the content i.e. "Content Copying" and "Content Copying for Accessibility". It is recommended to allow printing as well. All other options can be "Not Allowed".



KIID metadata

Property	Description
Version <i>(added to v1.1)</i>	Metadata specification version that is being used (according to revision history on page 1)
ProducerId <i>(replaced by GeneratorContact in v1.1)</i>	A 4-character string identifying a unique KIID producer (infrastructure company or fund management company). Please contact info@fundinfo.com to obtain a unique ID for your company. This service is free of charge and is designed to avoid duplicate IDs.
GeneratorContact <i>(new in v1.1)</i>	A character string identifying a unique email address where the creator of the PDF (infrastructure company or fund management company) can be contacted. This email address can be chosen by the company that creates the PDF. Please make sure that the email address is valid.
DocumentType	Document type, represented by 2- or 3-character uppercase strings: <ul style="list-style-type: none"> • KID: Key investor information document <p>Other fundinfo document type codes:</p> <ul style="list-style-type: none"> • MR: Monthly report/factsheet • PR: Prospectus • SPR: Simplified prospectus • AR: Annual report • SAR: Semi-annual report
Country	One or more countries in which the document is being published
Language	Language of the document (can be a list of languages if the document covers multiple languages)
ShareClass <i>(new in v0.9: added alternative/country-specific share class identifiers)</i>	<u>One or more</u> identifiers of all share classes covered by the document. An identifier can be: <ul style="list-style-type: none"> • ISIN (11 alpha-numeric, 1 digit) without prefix • Valorennummer (numeric) with prefix "VALOR:" • Wertpapierkennnummer (numeric) with prefix "WKNDE:" or "WKNAT:" for German or Austrian WKNs • Sedol-Number (numeric) with prefix "SEDOL:" <p>We strongly recommend using ISIN codes (and only filling up with other identifiers if no ISIN is available)</p>
ShareClassCurrency <i>(replaced by RepShareClassCurrency in v0.8)</i>	If only one share class identifier has been provided, this property specifies the currency of the respective share class.
RepShareClass <i>(new in v0.8)</i>	<u>One single</u> share class identifier for the representative share class according to the specifications above (see "ShareClass"): <ul style="list-style-type: none"> • If there is only one: RepShareClass=ShareClass • If there are several, RepShareClass specifies the identifier of the representative share class.
RepShareClassCurrency <i>(new in v0.8)</i>	This property specifies the currency of the representative share class (RepShareClass).

DateOfPublication	KIID-specific attribute, according to CESR/09-949 (page 10): 11. Date of publication: A statement that the information contained within the KID is accurate as at [31 December 20xx]
RecordDate	"As at" date of the document, specifying the date to which the document content refers For KIIDs, this should match the DateOfPublication property
ModificationDate	Specifies the date on which the document was last modified (e.g. the date on which any mistakes in the document were corrected)
DocumentUrl (optional) <i>(changed to optional in v1.1)</i>	The original URL from which the document can be downloaded, if available (at time of production)
SRRI (optional) <i>(changed to optional in v1.1)</i>	Synthetic risk and reward indicator: a number between 1 and 7
PerformanceFee (optional) <i>(changed to optional in v1.1)</i>	Text field
EntryCharge (optional) <i>(changed to optional in v1.1)</i>	Percentage value
ExitCharge (optional) <i>(changed to optional in v1.1)</i>	Percentage value
OngoingCharges (optional) <i>(changed to optional in v1.1)</i>	Percentage value

Example

```
Version=1.0
GeneratorContact=Kiid.client_A@InfrastructureCo.com;
DocumentType=KID;
Country=DE,CH;
Language=de;
ShareClass=LU1234567890,VALOR:1234567890,WKNDE:123456,WKNAT:123456,SEDOL:1234567;
RepShareClass=LU1234567890;
RepShareClassCurrency=EUR;
DateOfPublication=2010-12-31;
RecordDate=2010-12-31;
ModificationDate=2010-12-31;
DocumentUrl=http://your.company.com/documents/KID_Example_with_Properties.pdf;
SRRI=6;
PerformanceFee=No;
EntryCharge=5%;
ExitCharge=1%;
OngoingCharges=2.62%;
```

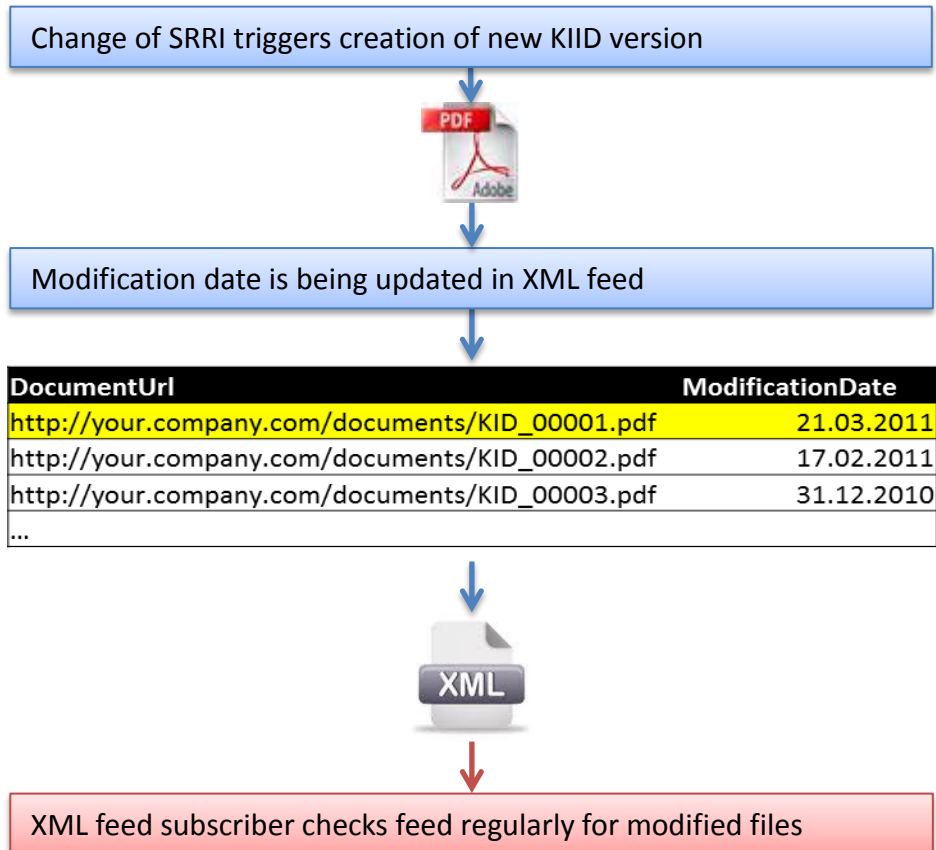
Document submission / delivery

After a KIID has been produced it also has to be published. To enable potential KIID subscribers to keep track of document changes we suggest two possibilities:

- A) Publishing links to all KIIDs through a XML feed or
- B) pushing documents to a FTP account or Email address.

A.) XML-Feed

This feed should at least contain the URL of the document as well as the ModificationDate.



B.) FTP upload or Email submission

If there are already existing document delivery channels by FTP or Email there would be no need to implement a separate XML feed, since the "ModificationDate" trigger would be the file date on the FTP server or the Email reception date. The FTP service hosting may be realized by the producer, but we recommend using a FTP site on the recipient's side. This enables the recipient to relocate or delete files that have been processed.

EBNF specification

```
InfoKey = "Keywords"

InfoValue =
    "Version="           Version           ";" NewlineOrSpace
    "GeneratorContact=" GeneratorContact  ";" NewlineOrSpace
    "DocumentType="      DocumentTypeList ";" NewlineOrSpace
    "Country="           CountryList      ";" NewlineOrSpace
    "Language="          LanguageList     ";" NewlineOrSpace
    "ShareClass="        ShareClassList    ";" NewlineOrSpace
    "RepShareClass="     ShareClassIdentifier ";" NewlineOrSpace
    "RepShareClassCurrency=" ShareClassCurrency ";" NewlineOrSpace
    "DateOfPublication=" Date             ";" NewlineOrSpace
    "RecordDate="        Date             ";" NewlineOrSpace
    "ModificationDate="  Date             ";" NewlineOrSpace
    "DocumentUrl="       URL              ";" NewlineOrSpace
    "SRRIV="            SRRIVValue       ";" NewlineOrSpace
    "PerformanceFee="    Text              ";" NewlineOrSpace
    "EntryCharge="       PercentageValue ";" NewlineOrSpace
    "ExitCharge="        PercentageValue ";" NewlineOrSpace
    "OngoingCharges="   PercentageValue ";"

NewlineOrSpace = ? a new line or space character ?;

Version = ? PDF metadata specification version used (format: #.#) ?

GeneratorContact = ? unique email address ?
    (* a unique char string identifying a valid email address of the company that
    creates the pdfs *)

DocumentTypeList = DocumentType { "," DocumentTypeList }
    (* a list of fundinfo document type identifiers *);
DocumentType = "KID" | "MR" | "PR" | "SPR" | "AR" | "SAR"
    (* fundinfo document type identifiers *);

CountryList = Country { "," CountryList }
    (* a list of country values separated by a comma "," *);
Country = "CH" | "DE" | "AT" | "IT" | "LI" | "ES" | "SG" | "HK" | "UK"
    (* ISO_3166 plus exceptionally reserved "UK" *);

LanguageList = Language { "," LanguageList }
    (* a list of Language values separated by a comma "," *);
Language = "de" | "en" | "fr" | "it" | "es" | "zh"
    (* ISO_639 *);

ShareClassList = ShareClassIdentifier { "," ShareClassList }
    (* a list of ShareClassIdentifier values separated by a comma "," *);
ShareClassIdentifier = ID_ISIN | ID_VALOR | ID_WKNDE | ID_WKNAT | ID_SEDOL;

ID_ISIN = ? ISIN code according ISO_6166, no prefix ?;           (* recommended *)
ID_VALOR = "VALOR:" ? Swiss Valoren number ?;                   (* alternative *)
ID_WKNDE = "WKNDE:" ? German Wertpapierkennnummer (WKN) ?;      (* alternative *)
ID_WKNAT = "WKNAT:" ? Austrian Wertpapierkennnummer (WKN) ?;    (* alternative *)
ID_SEDOL = "SEDOL:" ? UK SEDOL number ? ;                       (* alternative *)

ShareClassCurrency = "USD" | "EUR" | "CHF" | "JPY" | "SGD" | "HKD"
    (*ISO_4217 *)

Date = ? YYYY-MM-DD ?;URL = ? RFC 1738 Uniform Resource Locator ?;
SRRIVValue = "1" | "2" | "3" | "4" | "5" | "6" | "7";
Text = ? any text ?;
PercentageValue = ? decimal value followed by the percent sign (%) ?;
```