



Suitability as a Service

Powering Data-Driven Investment Decisions

Investor protection regulation mandates that financial service providers check whether a financial instrument meets the investment objectives of their clients. This applies to Advisory situations as well as for execution-only. The Suitability as a Service offering from SIX ensures that an investment decision to buy, sell or hold a global financial product is suitable for the investor.

Impact of Recent Trends on Wealth Management

Following new trends in the Wealth Management industry, such as the emergence of new technologies and sustainability concerns, Investment Advisors have been facing a series of challenges. From dealing with a growing competition, to a flattening or decreasing profitability, as well as the lack of differentiated products and the rise of the Digital & Robo Advisory, the role of financial service providers has evolved, and equally, so have their data needs. With the increase of information and regulations, advisors need a faster access to financial data, they require digital advice, a holistic view, while having to be innovative, to include ESG in their investment decisions and searching for untapped alpha.

Suitability Data from SIX – Available as a Service

Working with clients and software partners, SIX has designed this service as the answer to a need of the Wealth Management industry. With Suitability as a Service, Wealth Managers can easily assess whether an instrument is suitable for an investor from a particular country or if it has a harmful impact. All Checks are integrated into one overall suitability outcome which covers Cross-border, Client Suitability, Product Suitability and Tax Suitability, while an automated entanglement of client context, rules and data, leads to a clear eligibility answer. The service saves time and effort, so that advisors can focus on what matters most to them: their clients.

Key Benefits



Fast access to a wealth of information on regulatory and taxation aspects of a financial product



Satisfy your client with suitable investments: avoid investing in assets that have an unfavourable impact and find suitable alternatives



Easily automate Suitability Checks to concentrate on core Advisory activities



Adapt the suitability rule outcomes to your needs

Choose the Suitability Package That Fits Your Needs

Do you want to concentrate on Product Suitability, Tax Suitability or ESG Suitability, or all? We have dedicated packages for this!

→ Basic Module

Allows for product suitability checks based on reference data attributes such as CFI, instrument type and investment fund type.

→ Digital Assets/Crypto Underlying Checks

Allows to identify direct and indirect digital assets in investment.

→ Regulatory Checks

Allows product suitability checks related to MiFID II, HK Investor Protection.

→ Regulatory Document Checks

Allows for checking whether an instrument requires a regulatory document and whether the document is available.

→ Tax Checks

Allows product taxation checks (national tax legislation, US Tax).

→ Suitability Checks for Bonds

Product suitability checks based on Debt instrument classification and risk/regulatory criteria such as BRRD II, HQLA, Basel III/IV attributes.

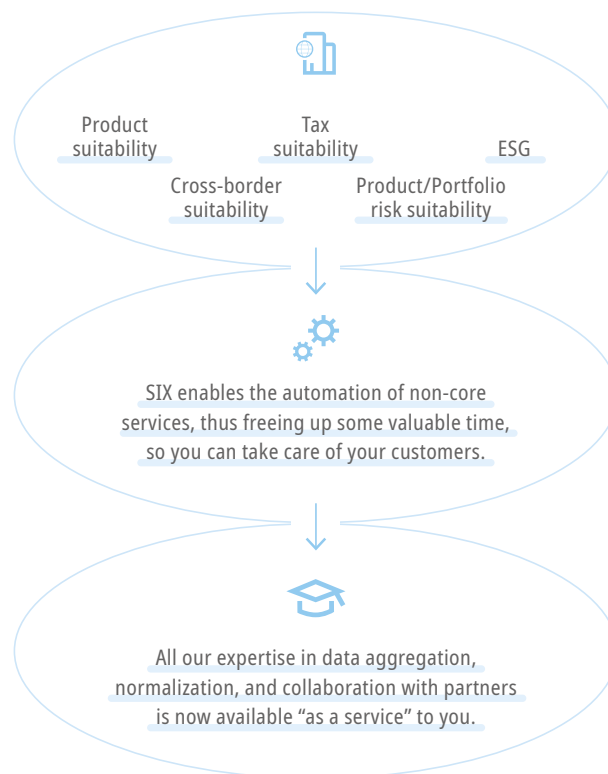
→ ESG Checks

Allows for product checks based on ESG regulatory data.

Delivery Options

Data for Suitability checks will be available via VDF, as well as SIX and Partner APIs.

Our Expertise at Your Service



Why You Can Rely on SIX

Our high-quality data, combined with our established regulatory expertise and service facilitator network, makes us your trusted partner for all your suitability checks.

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