Artemis Fund Managers

Quick-guide to MiFID II and PRIIPs data templates

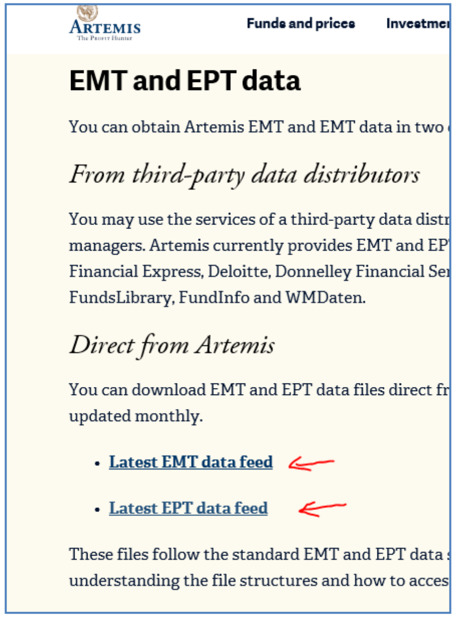
Prepared December 2017

Artemis provides MiFID II and PRIIPs data following the European standard 'EMT' and 'EPT' standard template formats. The EMT and EPT templates emerged from the collaborative efforts of the Europewide fund management industry to establish an agreed interpretation and develop a common format in which to produce the data required by MiFID II legislation.

Download and convert CSV files to Excel (if required)

All files are provided in comma-separated-value (CSV) format, using the 'pipe' **|** character to distinguish each field. If you wish to open and view a file in Excel, here is a quick guide:

a. Download the required file/s from the Artemis website; save to your desktop or other location on your computer



b. As noted above, the files are in CSV format, using the ‘pipe’ | character to delimit each field. However, if you open the files directly in Excel, Excel may automatically (and incorrectly) convert some of the contents into individual columns where there are commas in the file contents. To prevent this, the simplest way is:

I. Open the CSV file in Notepad

II. Copy the entire contents to your Clipboard

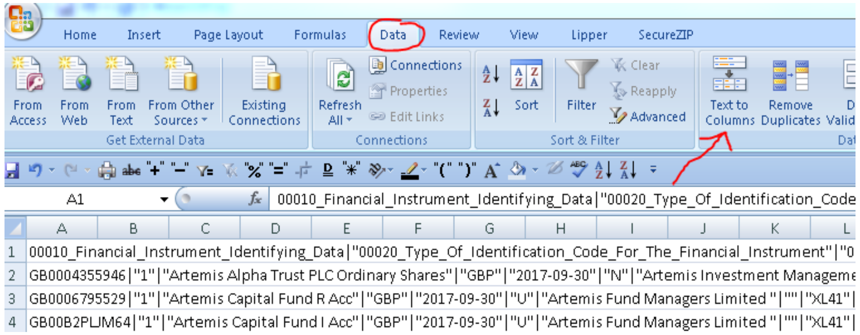
III. Open Excel

IV. Paste the entire contents into Excel

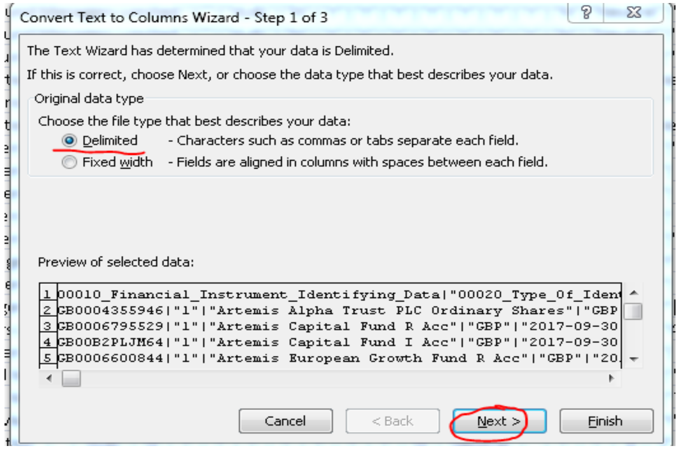
All of the file contents should then appear in one column in Excel

c. Next, highlight column A

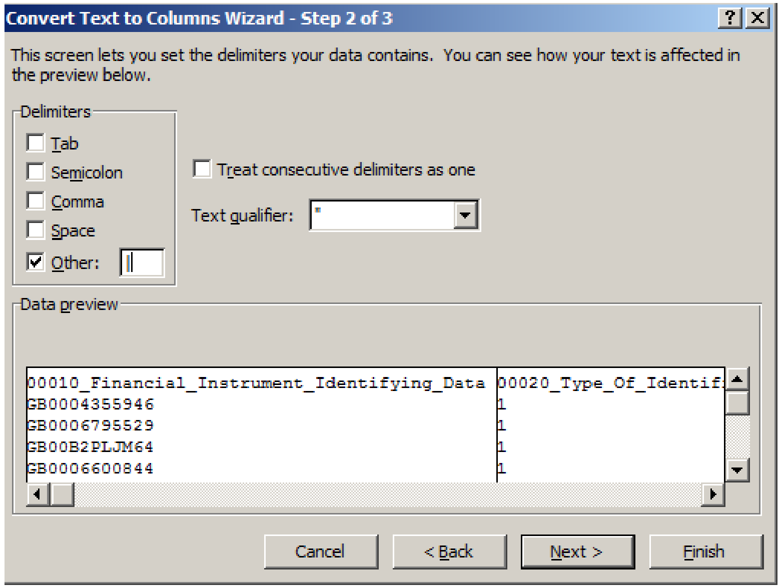
d. Go to the Data tab – choose 'Text to columns'



e. Choose 'Delimited'



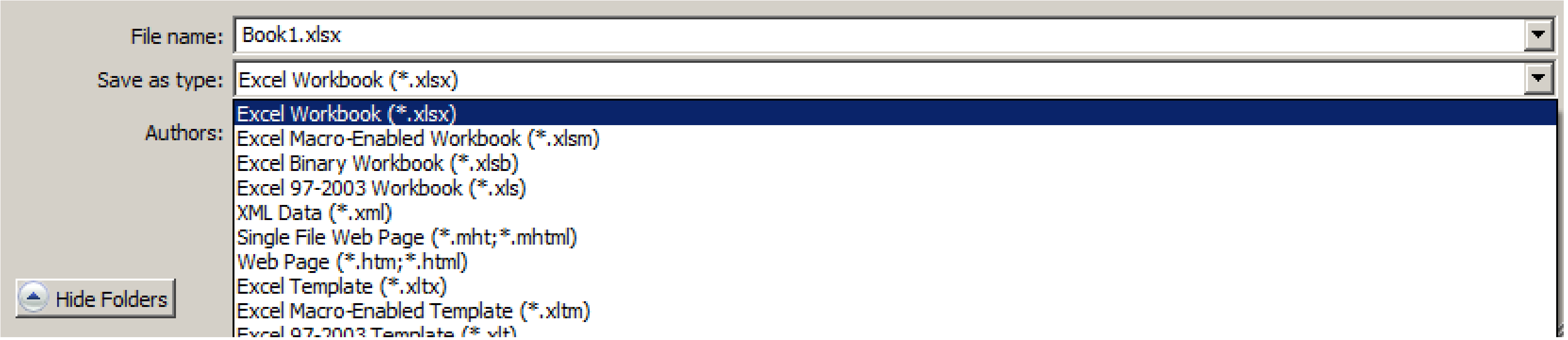
f. Tick ‘Other’ and type ‘|’ in the field, then click FINISH



g. All of the data should now appear in individual columns

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	
1	00010_Fin	00020_Typ	00030_Fin	00040_Fin	00050_Re	00060_Fin	00070_Fin	00080_Fin	00090_Prc	00100_Lev	01010_Inv	01020_Inv	01030_Inv	02010_Bas	02020_Inf	02030_Ad	02040_Exp	03010_No	0302
2	GB000435!	1	Artemis A	GBP	#########	N	Artemis Investment		GB41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
3	GB000679!	1	Artemis C	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
4	GB00B2PL	1	Artemis C	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
5	GB000660(	1	Artemis E	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
6	GB00B2PL	1	Artemis E	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
7	GB00B6WI	1	Artemis E	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
8	GB00B6WI	1	Artemis E	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
9	GB00B6WI	1	Artemis E	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
10	GB00B6WI	1	Artemis E	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
11	GB00B6WI	1	Artemis E	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
12	GB00B6WI	1	Artemis E	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
13	GB00B564	1	Artemis G	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu
14	GB00B56F	1	Artemis G	GBP	#########	U	Artemis Fund Manag		XL41	N	Y	Y	Y	Y	Y	Y	Y	N	Neu

h. **If you are saving the file for re-use, make sure you save the file in Excel format to retain this formatting:**



File structure

In terms of file structure, the code numbers of the fields in each file correspond to the template fields (below) – for example:

A	B	C	D	E	F	G	H	I	J	K	L	M
00010_Financial_Instrument_Identifying_Data	00020_Type_Of_Identification_Code_For_The_Financial_Instrument	00030_Financial_Instrument_Name	00040_Financial_Instrument_Currency	00050_Reporting_Date	00060_Financial_Instrument_Legal_Structure	00070_Financial_Instrument_Issuer_Name	00080_Financial_Instrument_Guarantor_Name	00090_Product_Category_or_Nature	00100_Leveraged_Financial_Instrument_or_Contingent_Liability_Instrument	01010_Investor_Type_Retail	01020_Investor_Type_Professional	01030_Investor_Type_Eligible_Counterparty
GB0004355946	1	Artemis Alpha Trust PLC Ordinary Shares	GBP	30/09/2017	N	Artemis Investment Management		GB41	N	Y	Y	Y
GB0006795529	1	Artemis Capital Fund R Acc	GBP	30/09/2017	U	Artemis Fund Managers Limited		XL41	N	Y	Y	Y

CSV file format

<table>
<tr><th>Topic</th><th>Description</th></tr>
<tr><td>Column separation</td><td>|« pipe » character</td></tr>
<tr><td>Encoding</td><td>The encoding used is UTF-8.</td></tr>
<tr><td>Escape character</td><td>The used escape character is “\”.</td></tr>
<tr><td>Multiple value separator</td><td>Never use “|” pipe.</td></tr>
<tr><td>Column separator</td><td>| « pipe » character</td></tr>
<tr><td>Decimal seperator</td><td>decimal point</td></tr>
<tr><td>Thousand separator</td><td>no thousands separator</td></tr>
<tr><td>Negative numbers</td><td>leading minus -</td></tr>
<tr><td>Date format</td><td>YYYY-MM-DD ISO 8601</td></tr>
<tr><td>Null values</td><td>leave field empty</td></tr>
<tr><td>Narratives format</td><td>Narratives should be prepared to remove special characters:
- Line returns should be replaced by

- “Pipe” characters “|” should be replaced by “/” or another standard character
- Bullets replaced by “–“ character</td></tr>
</table>

European MiFID Template

Disclaimer:
The use of this template is not compulsory. It is free of use, intellectual property and copyright. It has been designed by the European Working Group which includes European asset managers, banks, insurers and distributors. As of 3rd August 2017 it is endorsed by EFAMA
The target market specifications of this template apply for stand-alone proposals of products and do not need to be taken into consideration in case of providing investment advice adopting a portfolio approach and/or portfolio management for diversification and/or hedging purpose. In this latter case, the criteria to be considered should be at least "Investor type" & 'knowledge & experience'.
The template transports accurate information of the target market and the costs by the manufacturers. Agreements between manufacturers and distributors remain unaffected. National regulatory requirements must be taken into account.

EUROPEAN WORKING GROUP MIFID TEMPLATE V1.0 - EMT V1.0

NUM	DATA (consistent with TPT & EPT for common data point)	Artemis data	DEFINITION	Mandatory / Optional / Conditional / Indicative
General Financial Instrument information				
1	00010_Financial_Instrument_Identifying_Data		Identification of the financial instrument	M
2	00020_Type_Of_Identification_Code_For_The_Financial_Instrument		Codification chosen to identify the financial instrument	M
3	00030_Financial_Instrument_Name		Name of the financial instrument	M
4	00040_Financial_Instrument_Currency		Denomination currency of the financial instrument	M
5	00050_Reporting_Date		Date to which the data refer	M
6	00060_Financial_Instrument_Legal_Structure		Structured Securities or Structured Funds or UCITS or Non UCITS	M
7	00070_Financial_Instrument_Issuer_Name		Name of Issuer of the financial instrument. The one who is responsible for the financial instrument management/issuance	M
8	00080_Financial_Instrument_Guarantor_Name		Name of Guarantor of the financial instrument.	O
9	00090_Product_Category_or_Nature		Designation of the respective product category or nature	O
10	00100_Leveraged_Financial_Instrument_or_Contingent_Liability_Instrument		Yes or No	O
Target markets - Investor Type				
11	01010_Investor_Type_Retail		Yes or No or Neutral	M
12	01020_Investor_Type_Professional		Yes or No or Neutral or Professional Per Se or Elective Professional or Both	M
13	01030_Investor_Type_Eligible_Counterparty		Yes or No or Neutral	M
Target markets - Knowledge and/Or Experience				
14	02010_Basic_Investor		Yes or No or Neutral	M
15	02020_Informed_Investor		Yes or No or Neutral	M
16	02030_Advanced_Investor		Yes or No or Neutral	M
17	02040_Expert_Investor_Germany		Yes or No or Neutral	O
Target markets - Ability To Bear Losses				

European PRIIPs Template

Post 2016 07 19 and 2016 08 04 Risk Assessment meeting s, post 2016 07 20 and 2016 08 04 Costs meetings, post 2016 07 21 Performance Meeting, post 2016 07 26 Narratives Meeting, post 2016 08 04 Risk Assessment session II, post 2016 08 04 Costs session II, post 2016 08 26 Narratives session II. post Narratives, Comfort and Capital Guarantee August sessions. Post 2016 08 30 global session. Post 29 09 2016 global Session. Post 2017 25 01 global session. POst 2017 03 10 session. Post 2017 03 27.Post2017 04 21. Post 2017 05 04 post 2017 05 15, post 2017 05 19

DRAFT 20170519 EUROPEAN WORKING GROUP PRIIPS TEMPLATE 1.1

DATA Fields numbering/taxonomy to allow easy IT implementation: 5 digits
Digits 1 & 2 = section number (00 = general portfolio information |01 = risk data|02 = performance data| 03 = cost data | 04 = narratives)
Digits 3, 4 & 5 = field number within section Note: numbers within sections start with 10 and increase by 10 for each additional field for the V1.0, to allow additions of new fields in the potential future versions, which shall then use the 5th number of the number circle

M = man dato ry ->

NUM	DATA (consistent with TPT for common data point)	Artemis data	DEFINITION (to be completed)	PRIIPS KID / 14.1 Option Mandatory / Optional / Conditional	UCITS KID / 14.2 Option Mandatory / Optional / Conditional
Ge					
1	00010_Portfolio_Issuer_Name		Name of Issuer of Fund or Share Class. or segregated account manager or financial instrument.	C	C
2	00020_Portfolio_Guarantor_Name		Name of Guarantor of the financial instrument or fund... i.e. the entity to which the end investor has counterparty risk	O	O
3	00030_Portfolio_Identifying_Data		Identification of the fund or share class or segregated account	M	M
4	00040_Type_Of_Identification_Code_For_The_Fund_Share_Or_Portfolio		Codification chosen to identify the share of the CIS	M	M
5	00050_Portfolio_Name		Name of the Portfolio or name of the CIS	M	M
6	00060_Share_Class_Currency		Valuation currency of the portfolio or the share class	M	M
7	00070_Reference_Date		Date of reference.	M	M
8	00080_Portfolio_PRIIPS_Category		PRIIPS Category of the Portfolio	M	O
9	00090_Fund_CIC_code		CIC code - Fund (4 digits)	O	O
10	00100_EOS_portfolio		Indicator whether the portfolio targets specific environmental or social objectives.	O	O
Ri					
11	01010_Valuation_Frequency		Number of valuation days per year for the portfolio or fund or share class.	M	
12	01020_Portfolio_VEV_Reference		VEV of the Portfolio/Share Class	C	
13	01030_IS_Flexible		Indicator to alert if the portfolio is flexible. If the annex 2 section 14 of the regulation applies	M	
14	01040_Flex_VEV_Historical		VaR Equivalent Volatility of the portfolio	C	
15	01050_Flex_VEV_Ref_Asset_Allocation		VaR Equivalent volatility of the reference asset allocation of the portfolio	C	
16	01060_IS_Risk_Limit_Relevant		Indicator to alert if there is a relevant risk limit fro flexible funds	C	
17	01070_Flex_VEV_Risk_Limit		VaR Equivalent volatility of the risk limit of the portfolio	C	
18	01080_Existing_Credit_Risk		Indicator to alert if there is a credit risk	M	M
19	01090_SRI		Summary Indicator Risk of the fund or the portfolio	O	