

**Compliance
infrastructure.
Complete.
Connected.
End to end.**

**Design & Distribution
Obligations solution**

(Distributors)

iress.com/ddo



Tell me how it will help me

Tell me what it actually does



Stringent new legislative requirements under Design and Distribution Obligations (DDO) bring about significant change in how financial services organisations distribute and market products. These obligations (set out in Regulatory Guide 274) apply to a very broad cross-section of the industry, including the issuers and distributors of most consumer financial products. Not only are they broad, but they are also multi-dimensional, placing obligations on multiple parts of the value chain to be aware of, and in alignment with, each other constantly.

This solution assists product issuers and distributors in meeting their DDO obligations easily and efficiently. It brings together financial product publishing and reporting capabilities across the advice industry.

For product issuers and distributors alike, DDO legislation requires a sharing of information; and that all participants monitor product dealings against the target market determination (TMD) provided by the product issuer.

The breadth and interrelation of this regulation requires a cost-effective and scalable way to create connections right across the industry. This DDO solution assists product issuers and distributors in meeting their DDO obligations.

The advantage of an industry-wide technology-based solution is that it will materially reduce the complexity and cost of building and managing DDO obligations for the industry.

Gain access to the latest available TMDs free of charge via native integrations to Xplan, enabling you to simply and efficiently guide your clients towards the most suitable financial product. Iress' DDO messaging service also enables you to lodge complaints and report significant dealings to issuers.

Can you break it down for me?



Direct access to TMDs

Quickly and easily access the latest issuer TMDs available and receive a notification when changes to these TMDs are made.

Complaints & significant dealings (FSC standards)

Enables you to notify the issuer of a complaint or significant dealing in a product that appears inconsistent with the product's TMD.

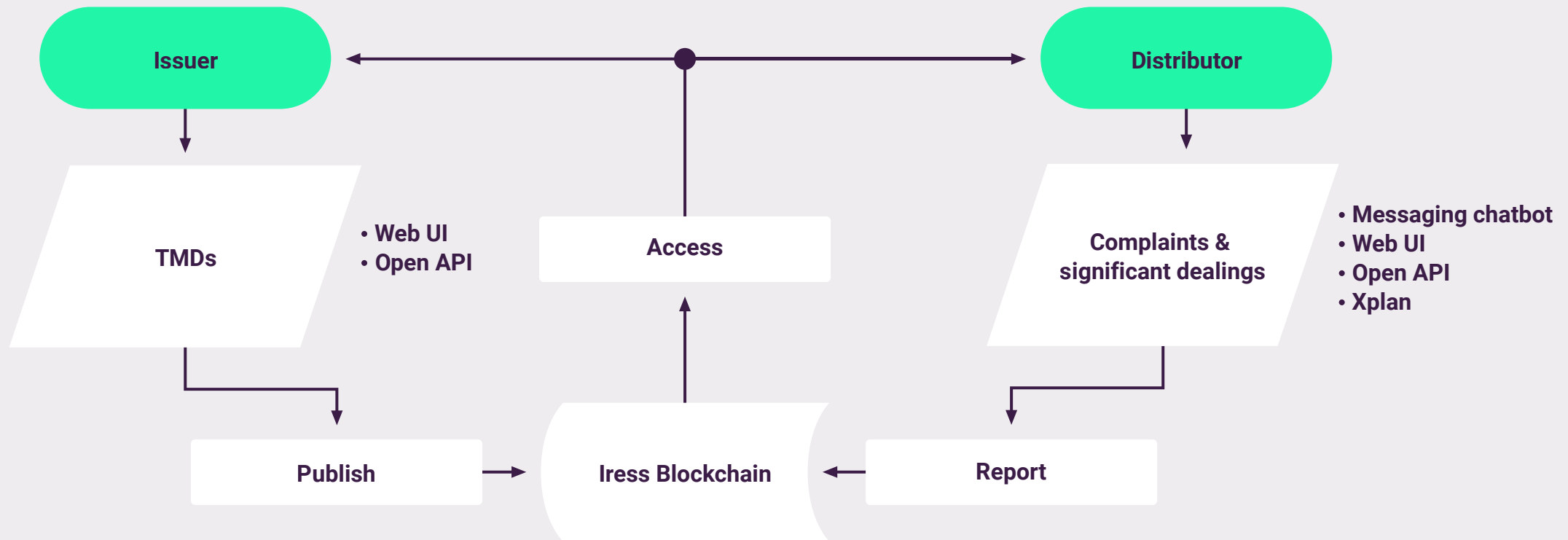
Native integration with Xplan

Via Xplan WealthSolver and Risk Researcher, advisers and licensees have complete visibility of all issuer TMDs—with minimal interruption to the existing advice journey.

Messaging

With messaging connectivity between parties—including chatbot and Outlook add-ons—you save time and money, and lower your risk (when compared to traditional communication methods). Aggregated real-time reporting means you can have confidence that the permanent record is evidence that compliance has been met. And, there are no delays in meeting time-critical reporting requirements.

Can you draw a picture for me?



Give me six reasons why I should use it

1

Simple

User-friendly for both issuers and distributors—providing an aggregate view of significant dealings and complaints.

2

Complete

End-to-end industry infrastructure that stores everything in one place.

3

Integrated

Integrates with Iress software such as Xplan and Client Portal.

4

Secure & compliant

Automated solution powered by blockchain technology—compliant by design.

5

Connected

Private and secure messaging provides connectivity across the industry.

6

Cost-effective

No additional cost to access TMDs.

Is there any other important information?

Iress Blockchain technology

Iress Blockchain is an end-to-end communications solution that enables the financial industry to exchange information in a secure and streamlined way. It records and stores information in a digital ledger that can be accessed by any system.

Iress Blockchain provides a:

- shared source of truth for the global financial services community
- secure exchange of data and documents through complex distribution networks
- single point of reconciliation to secure the integrity of datasets at all times.

Iress Blockchain & DDO

The premise of blockchain technology means no single party can modify, remove or lose a data point—making it ideal for both TMD publishing and downloading. It's this immutability that facilitates ongoing, permanent verification of all records necessary to demonstrate compliance with DDO, and consent for the renewal of annual advice fees.



What about service and support?

We understand providing great service and support goes hand-in-hand with delivering great software.

We pride ourselves on our thorough and timely implementations, reliable and scalable hosting services, robust back-up and recovery procedures, and ISO/IEC certified information security management.

Our expert-led support team, training programs and online user community all help our users get the most out of our software.

How does Iress stack up as a technology partner?

Every day, more than 9,000 financial services businesses use our software to make better decisions and deliver better results. We know they don't just expect software that works, they also want a technology partner that works with them.

Leveraging our industry knowledge and global experience working with clients just like you, we design, develop and deliver creative, reliable software that does what you need it to.

At Iress, we believe technology should help people perform better every day.

Contact us
ddo@iress.com



iress.com

Australia - Asia - Canada - New Zealand - South Africa - United Kingdom