



Annual circular CSSF

**Manual on the electronic transmission of reports on
Statistics on guaranteed deposits and instruments to
be provided to the CSSF by the members of the
Association pour la Garantie des Dépôts, Luxembourg**

Version 1.2

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1 Introduction

The Luxembourg Stock Exchange provides filing entities with a complete solution for the secure transmission of report to the Commission de Surveillance du Secteur Financier (CSSF) via its Sending Service tool and the www.e-file.lu portal.

The solution has two available modes of transmission:

- manual one by filing on the e-file.lu internet portal.
- automatic one via the Sending Service.

These tools integrate end-to-end security, as documents are encrypted by the filing entity and transmitted to the authorities.

The CSSF send out every year a new circular for the “Statistics on guaranteed deposits and instruments to be provided to the CSSF by the members of the Association pour la Garantie des Dépôts, Luxembourg”

These circulars applies to all member institution AGDL since 13 January 2011.

The circular is available at <http://www.cssf.lu/en/laws-and-regulations/circulars/news-cat/44/>

1.1 Documents naming rules

TYRDIR-ENNNN-YYYY-MM-TAB.ext

With :

- TYR : constant **ESP**
- DIR : '**REP**' for report to the CSSF and '**FBR**' for Feedback sent by CSSF to reporter.
- E : reporting entity, '**B**' means Bank, '**P**' means PSF, '**S**' management company.
- NNNN : digital number attributed by the CSSF to the entity
- YYYY-MM : year and month
- TAB : Table '**SGD**' for special enquiries.
- ext : extension of file : '**.xls**' (Excel 2003) or '**.xlsx**' (Excel 2007)

Example :

ESPREP-B0999-2010-12-SGD.xls

2 Manual transmission via www.e-file.lu

Manual transmission implies to use the www.e-file.lu website.

This document gives a quick overview of the means at your disposal to make a manual transmission via the site. However, to go more deeply into the use of e-file, we advise you to refer directly to the e-file user manual available online.

2.1 [Accessing e-file.lu ?](#)

Users must first of all have a personal login and password to connect to this service at www.e-file.lu.

Please contact your internal coordinator or our Client Relationship Management for more information.

Client Relationship Management
Tel.: (+352) 28 370 330
clientservice@fundsquare.net

If you already own a login, go directly to www.e-file.lu. Give your login and password and click 'Validate'.

2.2 [Creating a filing structure \(File, Procedure, Envelope\)](#)

Once you are connected to www.e-file.lu, the home page appears.

First of all, you must select the context from the list of choices located at the top right of the home page.

For example: Select 'Enquetes' to enter the context for transmission of procedures related to Circular.

Note : The list of choices only contains contexts to which you are personally authorised by your administrator.

At this point, the following rules should be fulfilled:

Rule 1: Select the proper file types, procedure and document depending upon the type of file to be transmitted,

Rule 2: Observe the file naming convention by referring to the instructions from the authorities,

Rule 3: Observe the format of the file and its extension,

Rule 4: Only attach reports to be transmitted clear, i.e. the file must not have been previously encrypted by another system.

The screenshot shows the e-file.lu dashboard for user Nicole Smith. The navigation menu includes 'Enquetes - Supervisor'. The 'Quick links' section has links for 'Procedure' (My current procedures, Current procedures of the group, See all non-assigned procedures...) and 'Envelope' (Envelopes to validate). The 'Alerts' section shows a filter for 'All events' and a table for 'List of latest alerts'. The 'Envelopes' section shows a table for 'List of unread envelopes'. The footer indicates 'Copyright © Luxembourg Stock Exchange / Finest All rights reserved'.

Click on “**New File**” (or search an existing file, depending on your needs).

The screenshot shows the 'New file' form in the e-file.lu system. The form includes fields for 'Filing Entity identifier', 'File name' (with an example 'Example for 11/500'), 'Owner entity' (Assets Associate Company (Lux)), and 'File type' (Regulatory reporting). A 'Create' button is at the bottom left, and a 'Back to search' button is at the bottom right. The footer indicates 'Copyright © Luxembourg Stock Exchange / Finest All rights reserved'.

Fill in the ‘bold’ zones and click « **Create** ».

As a file type, just select “**Regulatory reporting**”.

You then access the File record.

e-file.lu Legal Disclaimer

Navigation menu Welcome **Nicole Smith** Enquetes - Supervisor

File sheet

File : Example for 11/500 - **Filing Entity** : Assets Associate Company (Lux)

File information

Identifier	44952	Status	In progress
File identifier		Creation date	14/02/2011
Owner entity	Assets Associate Company (Lux)	Closing date	-
File type	Regulatory reporting		

Modify Delete Close file

Procedures

Sel.	Procedure	Initiator label	Initiator Agent (Entity)	Start date	Recipient Agent (Entity)	Procedure code	Status

New procedure New multiple procedures envelope

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Click the “*New procedure*” button.

e-file.lu Legal Disclaimer

Navigation menu Welcome **Nicole Smith** Enquetes - Supervisor

New procedure

File : Example for 11/500 - **Initiator** : Assets Associate Company (Lux)

Procedure info

Procedure	Specific Survey	See internal procedures	<input type="checkbox"/>
Recipient entity / Group	(Select a recipient entity)	(Select a group)	
Initiator description			
Initiator Agent	Smith Nicole		
Proprietary service	Enquetes		

Publication info

Launch date	
Desired publication date	

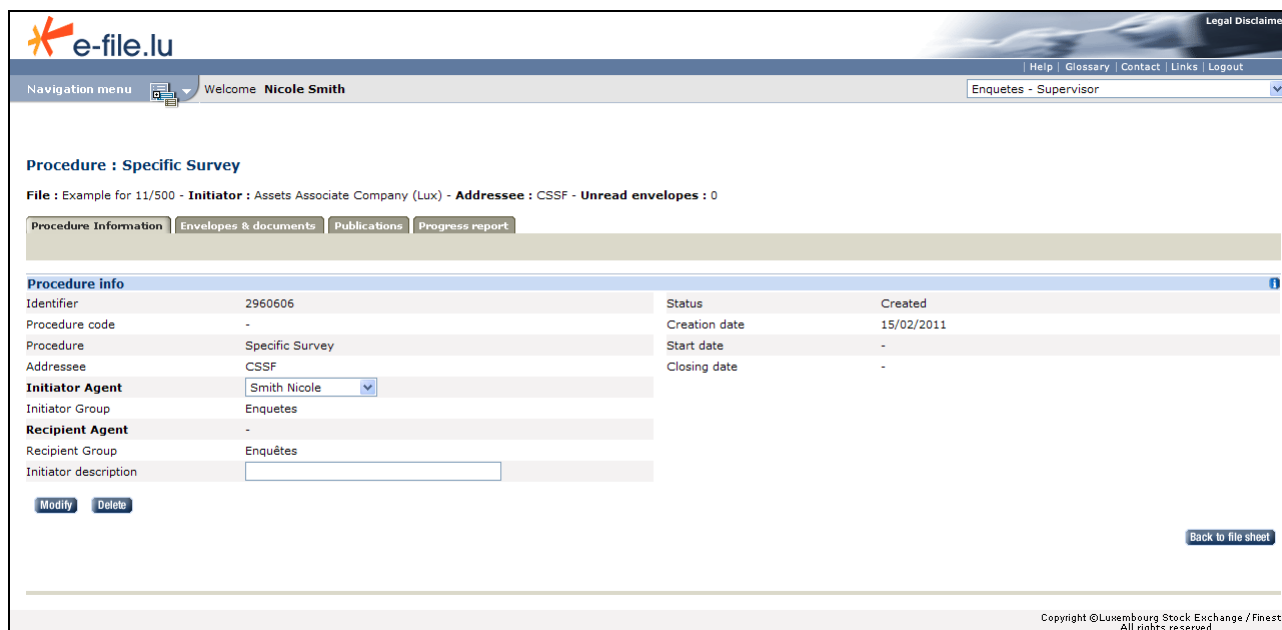
Create Previous page

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Fill in the ‘bold’ zones and click « *Create* ».

Select the “Specific survey” procedure.

You then access the Procedure page. The actual status of the procedure is ‘Created’, waiting for an envelope containing a document to be added.



Procedure : Specific Survey

File : Example for 11/500 - Initiator : Assets Associate Company (Lux) - Addressee : CSSF - Unread envelopes : 0

Navigation menu | Welcome **Nicole Smith** | Help | Glossary | Contact | Links | Logout | Enquetes - Supervisor

Procedure Information | **Envelopes & documents** | Publications | Progress report

Procedure info

Identifier	2960606	Status	Created
Procedure code	-	Creation date	15/02/2011
Procedure	Specific Survey	Start date	-
Addressee	CSSF	Closing date	-

Initiator Agent | Smith Nicole | Initiator Group | Enquetes

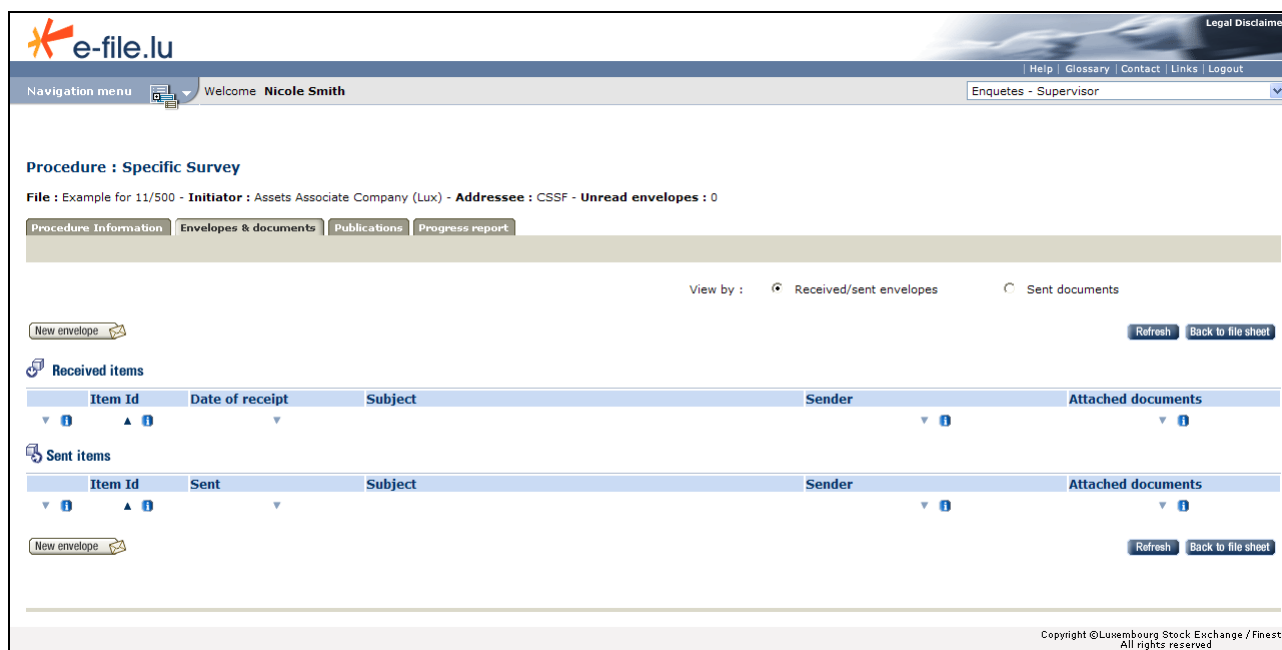
Recipient Agent | - | Recipient Group | Enquetes

Initiator description |

[Modify](#) [Delete](#) [Back to file sheet](#)

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Select the “*Envelopes & Documents*” tab.



Procedure : Specific Survey

File : Example for 11/500 - Initiator : Assets Associate Company (Lux) - Addressee : CSSF - Unread envelopes : 0

Navigation menu | Welcome **Nicole Smith** | Help | Glossary | Contact | Links | Logout | Enquetes - Supervisor

Procedure Information | **Envelopes & documents** | Publications | Progress report

View by : ☒ Received/sent envelopes ☐ Sent documents

[New envelope](#) [Refresh](#) [Back to file sheet](#)

Received items

Item Id	Date of receipt	Subject	Sender	Attached documents
▼ ▲	▼		▼	▼

Sent items

Item Id	Sent	Subject	Sender	Attached documents
▼ ▲	▼		▼	▼

[New envelope](#) [Refresh](#) [Back to file sheet](#)

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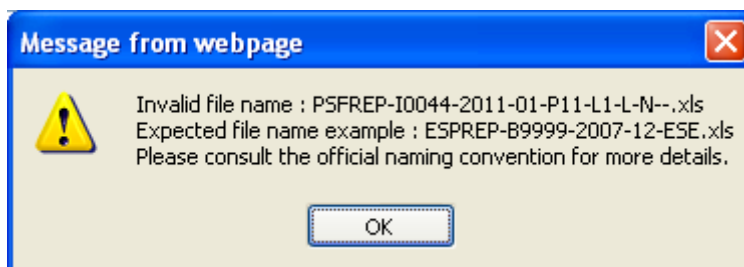
Click on **“New envelope”**.

Fill in your message object and text and click the **“Attach a document”** button.

Search for your PDF file using the **“Browse...”** function. Select the document type corresponding to your file and enter the document date should an asterisks (*) appear.

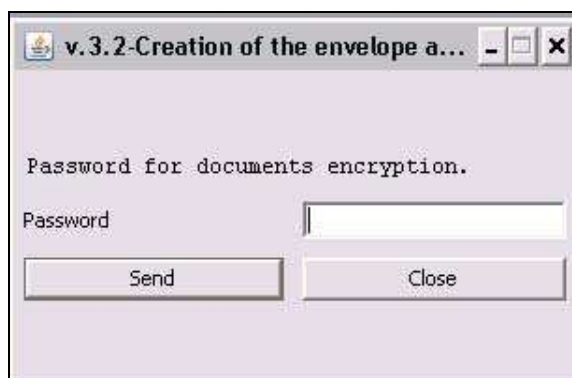
By default the **“Encrypted”** box is ticked.

Click on **“Send”** to start transmission.



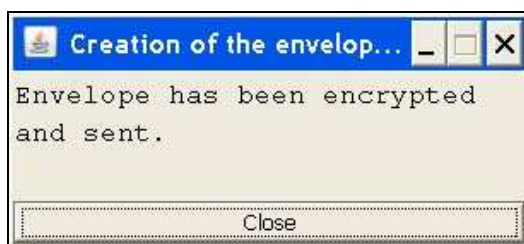
An error message will appear should the file name be incorrect

If file names and their extensions are correct, the encrypting module is launched and invites you to enter your encryption password.



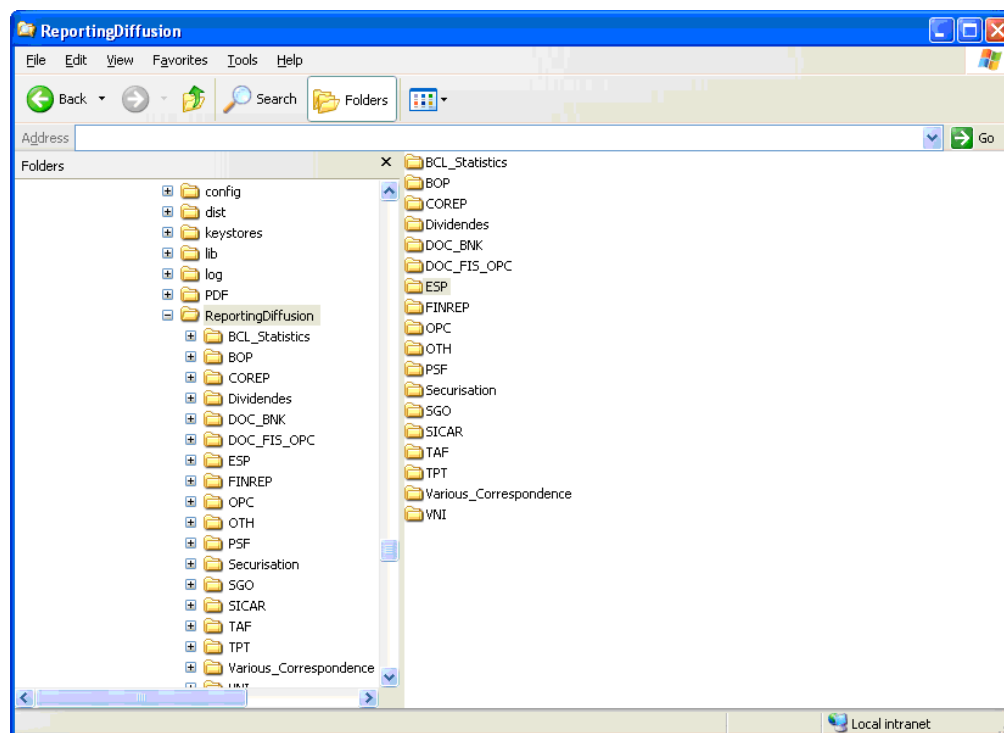


Once the transmission succeeds, this window appears:



3 Automatic transmission via the Sending Service

3.1 Accessing and understanding the Sending Service tree structure



Physically, the Sending Service is represented as a traditional tree structure.

Reports are to be stored in the “ESP” folder (see above screen shot).

3.2 Triggering transmissions

Each folder is scanned by the Sending Service at a regular frequency. That frequency is specific to each folder and is defined when the solution is implemented with your company's project coordinator (Sending Service configuration file).

In order to facilitate configuration, the Luxembourg Stock Exchange has set a standard default frequency (30 minutes). If the coordinator has given other instructions, frequencies may therefore vary.

3.3 Making transmissions

As explained above, the automatic transmission is made simply by filing your files directly in a folder. The following four rules must be applied however:

- Rule 1:** select the proper folder depending on the document(s) to be transmitted,
- Rule 2:** Observe the naming convention of files to be transmitted by referring to the instructions in the Circular,
- Rule 3:** Observe the file format and its extension,
- Rule 4:** The file must not have been previously encrypted by another system before being transmitted.

Note : The Sending Service performs the following checks:

- file names: long form or management letter report
- file extension: 'xls' or 'xlsx' extensions are expected. The Sending Service ignores all other types of file without generating an error message.
- internal file formats are not verified.

3.4 Initial results and interpretation

Once the Sending Service has taken into account the reports placed in the different folder, it returns some result files in the original folder.

Three types of result files are possible:

Extension '.TRT': indicates that the Sending Service has scanned the folder and started the process of transmission to e-file.

Extension '.ACQ': indicates that the transmission to e-file is effective.

Extension '.ERR': indicates that the transmission has not been possible: In that situation, just check that all 4 rules indicated previously have been applied first.

Notes concerning files with the extension '.TRT'

The result file with extension '.trt' is the "original" file which has only been renamed. It is thus possible to find your original file easily if necessary, by renaming it with its original extension.

If the original file is *OriginalFileName.xls*

where *OriginalFileName* = the name of the original file to be transmitted

Then, the result .trt file will be *OriginalFileName.xls_Timestamp.trt*

with *Timestamp* = a digital counter providing a time stamp.

Note concerning files with the extension '.ERR'

Result files with the extension '.err' are "error" files.

They contain technical messages which assist you in diagnosing the problem.

File naming errors are stored in this file.

An empty file (size 0 KB) means that the transmission has been made without error.

It is possible to change the configuration to generate no error file if the transmission is correct.

4 Monitoring transmitted reports

Fillings and responses from the CSSF can be monitored via the platform www.e-file.lu.

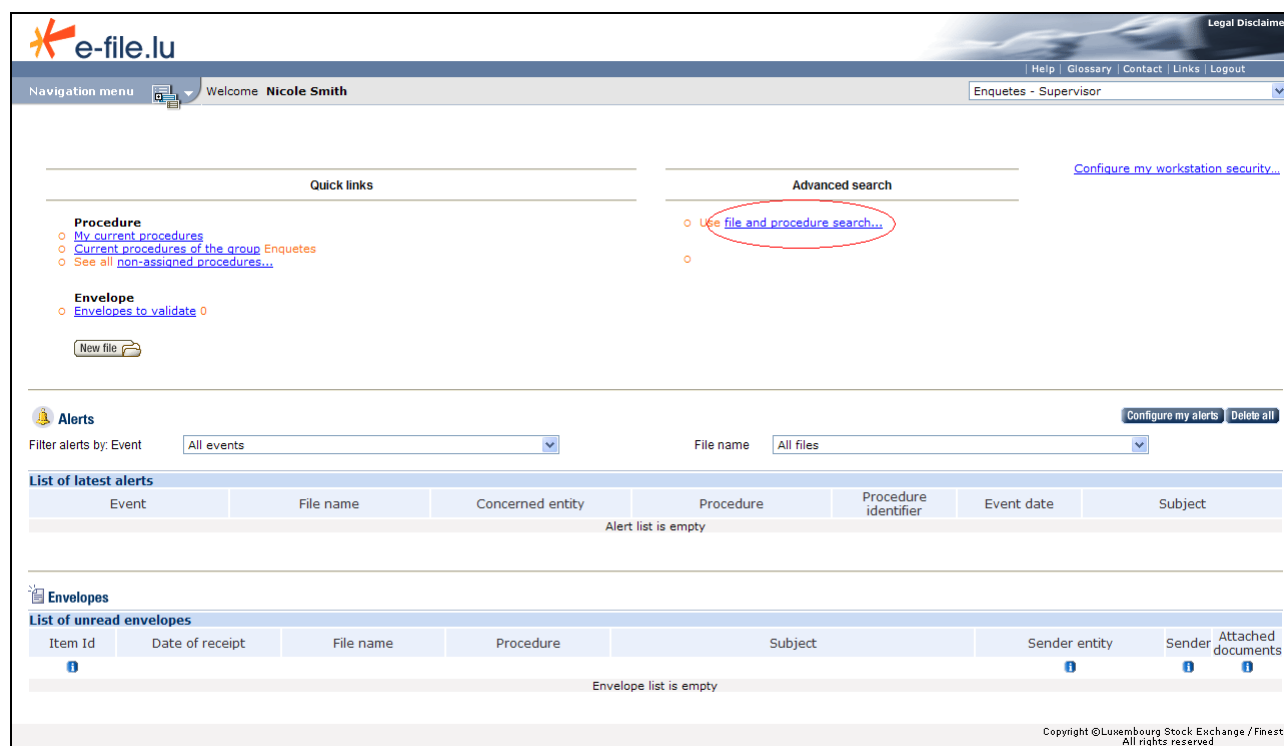
This document section gives a quick overview of the means at your disposal to monitor your fillings and to access the various responses from the authorities. However, to go more deeply into the use of e-file, we advise you to refer directly to the e-file user manual available online.

Moreover, should you use the Sending service, it is possible to access the authorities responses directly from the latter if well configured.

4.1 Searching transmitted reports

Once you are connected to www.e-file.lu, the home page will appear.

Click the ‘Search files and procedures ...’ link under ‘Advanced search’ section.



The screenshot displays the e-file.lu web application interface. At the top, there is a navigation bar with the e-file.lu logo, a welcome message for Nicole Smith, and a dropdown menu for 'Enquetes - Supervisor'. Below the navigation bar, the main content area is divided into several sections. The 'Advanced search' section is highlighted, and a red circle is drawn around the link 'Use file and procedure search...'. Other sections include 'Quick links', 'Procedure', 'Envelope', 'Alerts', and 'Envelopes'. The 'Alerts' section shows a table with columns for Event, File name, Concerned entity, Procedure, Procedure identifier, Event date, and Subject. The 'Envelopes' section shows a table with columns for Item Id, Date of receipt, File name, Procedure, Subject, Sender entity, Sender, and Attached documents. The footer of the page contains the copyright information: 'Copyright ©Luxembourg Stock Exchange / Finest All rights reserved'.

The advanced search page will be displayed:

File and procedure search

You can use several *cumulative search criteria* to access your data:
By identifier, name, procedure, description, file status or dates of the file.

by identifier		by date comparison	
Portal identifier of the file	<input type="text"/>	File creation date	min <input type="text"/> max <input type="text"/>
File identifier	<input type="text"/>	File close date	min <input type="text"/> max <input type="text"/>
Portal identifier of the procedure	<input type="text"/>	Procedure start date	min <input type="text"/> max <input type="text"/>
Procedure identifier	<input type="text"/>	Procedure end date	min <input type="text"/> max <input type="text"/>

by file information		by security description	
Owner entity	<input type="text" value="All owner entities"/>	CSSF code	<input type="text"/>
File name	<input type="text"/>	ISIN code	<input type="text"/>
File status	<input type="text" value="In progress"/>	Security name	<input type="text"/>
File type	<input type="text" value="All file types"/>		

by procedure information	
Procedure	<input type="text" value="All procedure types"/>
Initiator Agent	<input type="text" value="All agents"/>
Recipient Agent	<input type="text" value="All agents"/>
Procedure status	<input type="text" value="All statuses"/>

Specify **at least one** of the above criteria and click "Validate" button to obtain the result.
Generic characters % and ? can be used. Case specifications are maintained.

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Enter your criteria and click 'Validate' to begin your search.

Criteria for searching financial reports:

- File name
- Procédure type : **Financial informations of a management company**
- Procedure status:

Created: the procedure has been created but the envelope has not yet been transmitted.

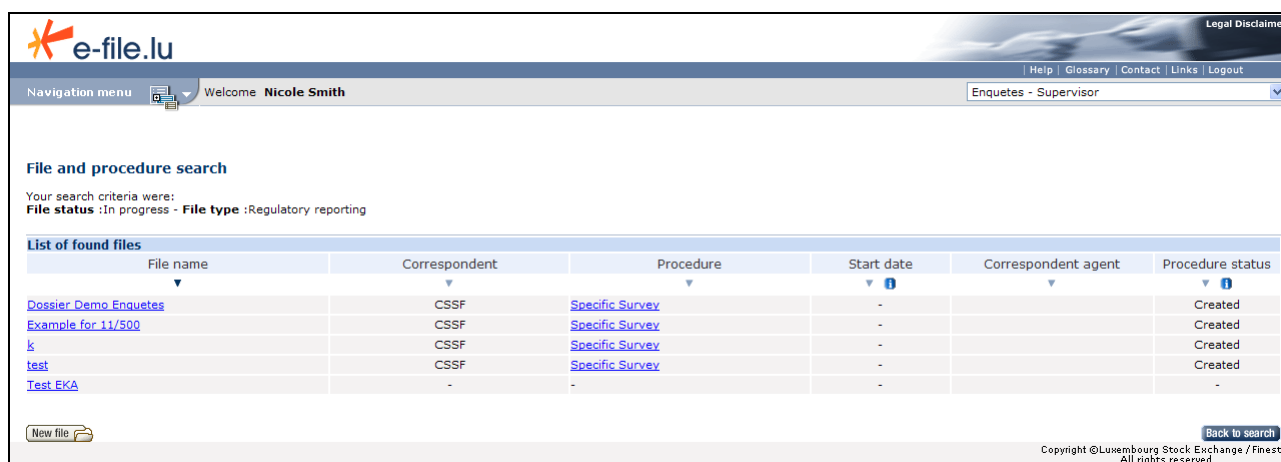
Started: an envelope has been transmitted

Closed:

the approved prospectuses are returned by the CSSF in the same procedure
the prospectuses (or financial reports) of the procedure are published

- File creation date
- Procedure start date : date of envelope transmission

The list of results is displayed with the files and procedures relating to the entered criteria's.



File and procedure search

Your search criteria were:
File status : In progress - **File type** : Regulatory reporting

List of found files

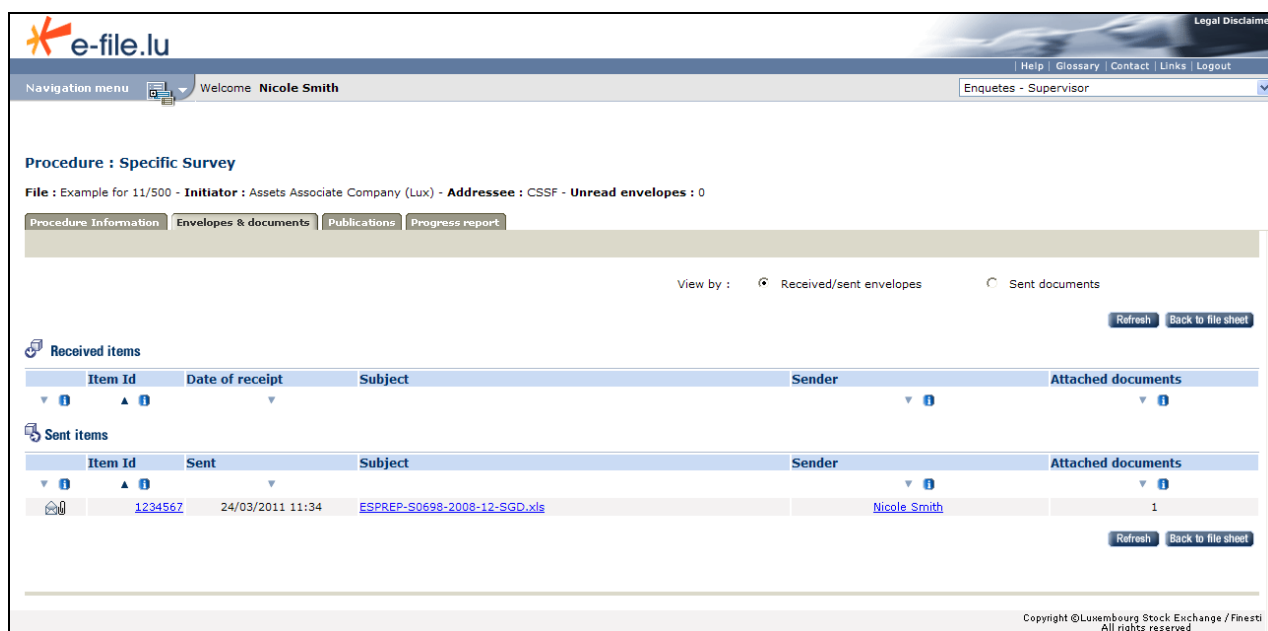
File name	Correspondent	Procedure	Start date	Correspondent agent	Procedure status
Dossier Demo Enquetes	CSSF	Specific Survey	-		Created
Example for 11/500	CSSF	Specific Survey	-		Created
k	CSSF	Specific Survey	-		Created
test	CSSF	Specific Survey	-		Created
Test EKA	-	-	-		-

[New file](#) [Back to search](#)

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Clicking links in the list of procedures, the procedure record is displayed.

From the procedure record, you can display the documents transmitted by selecting 'Envelopes & Documents'.



Procedure : Specific Survey

File : Example for 11/500 - Initiator : Assets Associate Company (Lux) - Addressee : CSSF - Unread envelopes : 0

Procedure Information | **Envelopes & documents** | Publications | Progress report

View by : ☒ Received/sent envelopes ☐ Sent documents [Refresh](#) [Back to file sheet](#)

Received items

Item Id	Date of receipt	Subject	Sender	Attached documents

Sent items

Item Id	Sent	Subject	Sender	Attached documents
1234567	24/03/2011 11:34	ESPREP-S0698-2008-12-SGD.xls	Nicole Smith	1

[Refresh](#) [Back to file sheet](#)

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Two lists are then available: *transmissions completed* and *envelopes received*, i.e. documents transmitted and responses from the CSSF.

Please note that envelopes received can be viewed directly from the main page until they have been read by someone in your company. Once they have been read, it is still possible to find them using the advanced search tool.