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Circular CSSF 08/371, 09/423 and 11/509

## **Manual on the electronic transmission of prospectuses and financial reports of UCIs and SIFs**

**Financial reports**  
**Prospectuses**  
**Constitutional documents**  
**CSSF Attestation**  
**Review report**

**Version 1.6**

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**Reference:** ManuUtil\_EFile\_Transmission\_Prospectus\_Rapport\_FIS-OPC\_EN.doc

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# 1 Introduction

The Luxembourg Stock Exchange provides filing entities with a complete solution for the secure transmission of UCI and SIF reports and prospectuses (Circular 08/371 and 09/423) to the Commission de Surveillance du Secteur Financier (CSSF) via its Sending Service tool and the [www.e-file.lu](http://www.e-file.lu) portal.

The solution has two available modes of transmission:

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

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

Circulars are available at

[http://www.cssf.lu/fileadmin/files/Lois\\_reglements/Circulaires/Hors\\_blanchiment\\_terrorisme/cssf08\\_371eng.pdf](http://www.cssf.lu/fileadmin/files/Lois_reglements/Circulaires/Hors_blanchiment_terrorisme/cssf08_371eng.pdf)

[http://www.cssf.lu/fileadmin/files/Lois\\_reglements/Circulaires/Hors\\_blanchiment\\_terrorisme/cssf09\\_423eng.pdf](http://www.cssf.lu/fileadmin/files/Lois_reglements/Circulaires/Hors_blanchiment_terrorisme/cssf09_423eng.pdf)

[http://www.cssf.lu/fileadmin/files/Lois\\_reglements/Circulaires/Hors\\_blanchiment\\_terrorisme/cssf11\\_509eng.pdf](http://www.cssf.lu/fileadmin/files/Lois_reglements/Circulaires/Hors_blanchiment_terrorisme/cssf11_509eng.pdf)

## 1.1 Upon circulars relating to UCI and SIF

This relates to all Luxembourg undertakings for collective investment (UCI) and those involved in the operation and supervision of those undertakings, and all specialised investment funds (SIF).

The documents expected by the CSSF are as follows:

	UCI	SIF	Mandatory Y/N	Circulaire réf.
Financial reports				
Annual report	X	X	Y	08/371
Semi-Annual Report	X		Y	08/371
Letter of explanation	X	X	N	
Other periodic UCI report	X	X	N	
Movements in the securities portfolio	X	X	N	IML 97/136
Prospectuses				
Simplified prospectus	X		Y	08/371
Full prospectus	X	X	Y	08/371
Letter of explanation	X	X	N	
Offering document		X	Y	08/371
Key Investor Information Document	X	cf. cssf	Y	11/509
Constitutional documents				
Management Regulations of UCITS (MR)	X	X	Y	11/509
Articles of Incorporation of UCITS (AI)	X	X		11/509
CSSF attestation				
Request for CSSF attestation	X	X	N	11/509
Review reports				
Long Form Report	X		Y	09/423
Management Letter	X		Y	09/423
Other review report	X		N	09/423

*Note: To prevent publication of SIF documents, please use the procedures “Submission of SIF annual reports” and “Submission of SIF prospectuses”*

### 1.1.1. The rules for naming documents to be transmitted

This table gives the new naming rules for documents as described in circular 11/509. The old nomenclature described in paragraph 2 of Circular CSSF 08/371 remains valid until June 30, 2012.

Type de document	Nom
Simplified prospectus	DOCREP-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-PS-LL-0000.pdf
Full prospectus	DOCREP-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-PC-LL-0000.pdf
Offering document	PDRREP-ONNNNNCCCC-YYYY-MM-DD-DE.pdf
Key Investor Information Document	DOCREP-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-KI-LL-0000.pdf
Annual report	DOCREP-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-AR-LL-0000.pdf
Semi-Annual Report	DOCREP-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-SR-LL-0000.pdf
Letter of explanation	PDRREP-ONNNNNCCCC-YYYY-MM-DD-LE.pdf
Other periodic UCI report	PDRREP-ONNNNNCCCC-YYYY-MM-DD-RO.pdf
Movements in the securities portfolio	PDRREP-ONNNNNCCCC-YYYY-MM-DD-MP.pdf
Management Regulations of UCITS (MR)	DOCREP-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-MR-LL-0000.pdf
Articles of Incorporation of UCITS (AI)	DOCREP-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-AI-LL-0000.pdf
Ask for CSSF attestation	<i>pas de pièce jointe à fournir</i>
Long Form Report	PDRREP-ONNNNNCCCC-YYYY-MM-DD-LF.pdf
Management Letter	PDRREP-ONNNNNCCCC-YYYY-MM-DD-ML.pdf
Other review report	PDRREP-ONNNNNCCCC-YYYY-MM-DD-AR.pdf

when

	means
NNNNNNNN	identification number for the UCITS attributed by the CSSF (to precede with 0 if the number is less than 8 digits long )
CCCCCCCC	compartment number attributed by the CSSF (to precede with 0 if the number is less than 8 digits long )
PPPP	Type of unit number (to precede with 0 if the number is less than 4 digits long)
YYYY*	year
MM*	month
DD*	day
LL	language of the document (Language Code ISO 639-1, alpha-2)

\* YYYY-MM-DD is the prospectus date, it is not the sending date.

Special cases :

In the case of UCITS without compartment CCCCCCCC=00000000

When a full prospectus is given for several compartments CCCCCCCC=00000000

When a full prospectus is given for several type of units PPPP=0000

In the case of a first sending, with an unknown CSSF code, NNNNNNNN=99999999

*Note: The CSSF does not accept documents in PDF text format (scanned documents refused).*

*Documents sent to the CSSF must correspond exactly to the documents you distribute to your clients (or publish).*

## 2 Manual transmission via [www.e-file.lu](http://www.e-file.lu)

Manual transmission is via the platform [www.e-file.lu](http://www.e-file.lu).

This part of the document thus gives a rapid 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. Finally, this part requires knowledge of the basic notions of e-file: file, procedure, envelope and document, also explained in the e-file manual.

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

First of all, users must have a personal login and password to connect to this service at [www.e-file.lu](http://www.e-file.lu).

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

11, avenue de la Porte-Neuve  
B.P. 165  
L-2011 Luxembourg  
Tél. (+352) 47 79 36-330  
Fax (+352) 26 26 51 69

If you already have a login, go directly to [www.e-file.lu](http://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](http://www.e-file.lu), the home page appears.

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

For example: Select 'UCI and SIF doc (circ. CSSF) - ...' to enter the context for transmission of procedures relating to circulars 08/371 or 09/423.

NB: The selection list only contains contexts you are allowed to use personally by your administrator.

The following rules should be followed:

**Rule 1:** Select the proper types of file, 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.

**e-file.lu** HOMOLOGATION

Navigation menu | Welcome **Marc DURAND** | Help | Glossary | Contact | Links | Logout

Groupe principal - Supervisor

**Quick links**

**Procedure**

- My current procedures
- Current procedures of the group **Groupe principal**
- See all non-assigned procedures...

**Envelope**

- Envelopes to validate 0

**Advanced search**

- Use file and procedure search...

[Configure my workstation security...](#)

**Alerts**

Filter alerts by: Event | All events | File name | All files

**List of latest alerts**

Event	File name	Concerned entity	Procedure	Procedure identifier	Event date	Subject
Alert list is empty						

**Envelopes**

**List of unread envelopes**

Item Id	Date of receipt	File name	Procedure	Subject	Sender entity	Sender	Attached documents
Envelope list is empty							

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Click on **“New File”** (or search an existing file, as required).

**New file**

You're about to create a new file in which you'll be able to create one or more procedures (Grant of a UCI visa, Admission to trading, ...)

**File information**

Filing Entity identifier:

**File name**: 01531 - Virtual fund

Owner entity: BGL Société Anonyme

**File type**: Luxembourg open-end UCI

**Create** **Back to search**

Creating procedures will be the next step. With each procedure you will be able to exchange documents with the depositor concerned (using envelopes)

Complete at least the fields in bold and click on **“Create”**.

To assist you in entering the name of the file, we offer the following rule, which also applies to your automatic transfers.

The name is created in relation to the CSSF digital number: NNNNN - {free text }

where NNNNN: digital number attributed by the CSSF to the UCI or to the SIF

#### Example 1:

You can transmit all full and simplified prospectus and financial reports of the UCI 01531 in the file **01531 - Virtual Fund**.

#### Example 2:

You can transmit all your SIF reports from SIF 01234 in the file **01234 - Virtual SIF**.

The type of file is always Luxembourg open-ended UCI.

#### Notes:

If you do not yet know the CSSF UCI code, you can create the name of the UCI prospectus and financial report files with **99999**.

Once the CSSF provides you with a CSSF code, you can create a new file with the correct code.

NB: You are advised not to use the same file for several funds (UCI or SIF).

In addition, you must not in the same file 99999 - {free text} transmit financial reports (or prospectuses) of several UCI for which you do not know the code. **It is advised to create one file per UCI.**

#### “Multiple” report or prospectuses:

***This case is strongly discouraged.***

*This relates to PDF reports transmitted to the CSSF which contain several different UCI (or SIF) financial reports in the same document.*

*The name of the document must contain the CSSF code of the first instrument in the document.*

*In this case, it is advised to select a file name with the same CSSF code.*

*If the PDF contains annual and semi-annual reports, the file name must be **DOCREP-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-AR-LL-0000.pdf***

You then access the File record.

File sheet

File : 01531 - Virtual fund - Filing Entity : BGL Société Anonyme

File information

Identifier	8320	Status	In progress
File identifier		Creation date	16/04/2009
Owner entity	BGL Société Anonyme	Closing date	-
File type	Luxembourg open-end UCI		

Modify

Delete

Close file

Attached funds

This file has no attached fund.

You can request the attachment of one or more funds to the file. For each fund, provide its CSSF code and click on the button [Request for attachment]. Caution: fund information is accessible only when the Authority has validated the request for attachment.

Request for attachment

Procedures

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

New procedure

New multiple procedures envelope

To create a new procedure, click on **“New procedure”**.

**New procedure**

**File :** 01531 - Virtual fund - **Initiator :** BGL Société Anonyme

**Procedure info**

**Procedure** Submission of UCI prospectus pursuant See internal procedures ☐

**Recipient entity / Group** (Select a recipient entity) (Select a group)

Initiator description

Initiator Agent DURAND Marc

Proprietary service Groupe principal

**Publication info**

Launch date

Desired publication date

[Create](#) [Previous page](#)

Complete at least the fields in bold and click on **“Create”**.

You must select the appropriate procedure for the file you have created concerning a SIF or a UCI:

- Submission of UCI financial reports
- Submission of UCI prospectuses
- Submission of SIF annual reports
- Submission of SIF prospectuses
- Submission of management letters (circ 09/423)
- Submission of long form reports (circ 09/423)
- Submission of Key Investor Document
- Delivery of management regulations / articles
- Request for delivery of attestations

Note : Circular 09/423, « Other Review Report » sendings can be done within the 2 pre-mentioned procedures.

It is possible in the same file to create several procedures of the same type in the status **Created** or **Started**.

You then access the Procedure file. So in the main information you note that the procedure is in the status **Created**.

**Procedure : Submission of UCI prospectus**

**File :** 01531 - Virtual fund - **Initiator :** BGL Société Anonyme - **Addressee :** CSSF - **Unread envelopes :** 0

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

**Procedure info**

Identifier	1103014	Status	Created
Procedure code	-	Creation date	16/04/2009
Procedure	Submission of UCI prospectus	Start date	-
Addressee	CSSF	Closing date	-
<b>Initiator Agent</b>	<span>DURAND Marc</span>		
Initiator Group	Groupe principal		
<b>Recipient Agent</b>	-		
Recipient Group	Service S2		
Initiator description	<input type="text"/>		

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

Select **“Envelopes & Documents”**.

Procedure : Submission of UCI prospectus

File : 01531 - Virtual fund - Initiator : BGL Société Anonyme - Addressee : CSSF - Unread envelopes : 0

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
<a href="#">v</a> <a href="#">i</a>	<a href="#">v</a>		<a href="#">v</a> <a href="#">i</a>	<a href="#">v</a> <a href="#">i</a>

**Sent items**

Item Id	Sent	Subject	Sender	Attached documents
<a href="#">v</a> <a href="#">i</a>	<a href="#">v</a>		<a href="#">v</a> <a href="#">i</a>	<a href="#">v</a> <a href="#">i</a>

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

To transmit your documents, click on **“New envelope”**.

Welcome **Marc DURAND**

**New envelope** [Print](#) [Close](#)

Procedure : Submission of UCI prospectus - File : 01531 - Virtual fund - Send by : BGL Société Anonyme - Unread envelopes : 0

**Envelope info** [i](#)

Status: Draft  
Sender: Marc DURAND

**Subject**

**Text**

[Save as draft](#) [Send for validation](#) [Send](#)

**Attached documents** [Attach document](#)

Name	Type	Date of document	Encrypted
<input checked="" type="checkbox"/> <input type="text"/> <a href="#">Browse...</a>	Prospectus (Select a document type) Explanation letter Prospectus Simplified prospectus	<input type="text"/> *	<input checked="" type="checkbox"/>

\* A date has to be specified

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Give the object and the text of your message and then click on **“Attach a document”**.

Search for your PDF file using the **“Browse...”** function, select the type of document corresponding to your file and enter the date of the document if an asterisks (\*) appears.

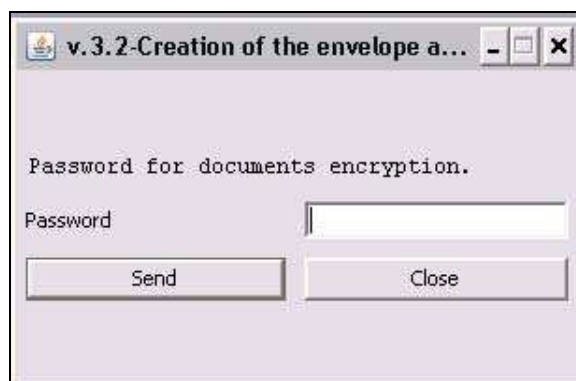
By default the “**Encrypted**” box is ticked.

Click on “Send” to commence transmission.

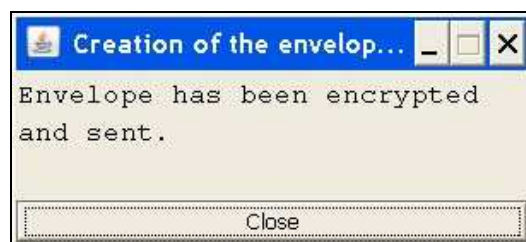


An error message will appear if the file name is incorrect.

If file names and their extensions are correct, the encrypting module will then be triggered. If one of the documents is to be encrypted then your keystore password is necessary.



Once the transmission has been completed this window will appear:



## 3 Automatic transmission via the Sending Service

### 3.1 Accessing and understanding the Sending Service tree structure

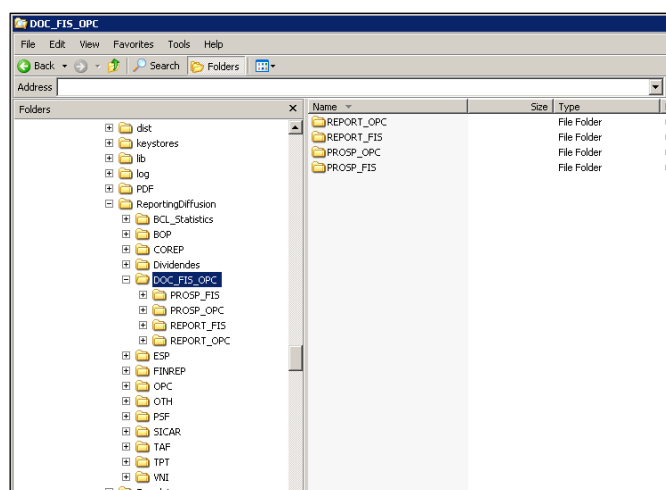
#### 3.1.1. How to access Sending Service

The sending service uses the login xxxSD used for e-File. To send the reports described here, your e-File local administrator must have added the group "DOC\_OPC\_FIS" to your account xxxSD.

A video explanation exists in the online support e-File (interactive video: Adding a group to a user).

The sending service consists of the tree described below.

#### 3.1.2. The Sending service structure



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

The standard tree structure (cf. the previous screen view) presents a folder DOC\_FIS\_OPC with 10 sub-folders for:

- Submission of UCI financial reports: **REPORT-OPC**
- Submission of UCI prospectuses: **PROSP-OPC**
- Submission of SIF annual reports: **REPORT-FIS**
- Submission of SIF prospectuses: **PROSP-FIS**
- Submission of long form : **LONG\_FORM**
- Submission of management letters : **MGMT\_LETTER**
- Submission of Key investor information document : **KID\_OPC**
- Submission of Articles of Incorporation of UCITS : **ART\_INCORP**

- Submission of Management Regulations of UCITS : **MGMT\_REGUL**
- UCITS IV notifications : **NOTIFICATIONS\_UCITSIV** (subject of another documentation)

## 3.2 Triggering transmissions

### 3.2.1. At a regular frequency

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. If the coordinator has given other instructions, frequencies may therefore vary.

The default value of the frequency of scanning each folder is **30 minutes**. This means therefore that each folder is scanned every 30 minutes from the last service start.

### 3.2.2. Your configuration

It is also possible to personalise frequencies, the hours fixed in relation to your company's requirements, folder by folder. Please contact your project coordinator to know the frequencies specific to your configuration.

## 3.3 Two possible methods of transmission

Automatic transmission may be by two methods:

- by using the standard Sending Service operation, namely by filing files directly in the folder concerned
- by filing a zip file (only a .zip extension) containing the documents to be transmitted. The use of a zip file enables you to be certain of transmitting the documents by envelopes without being interrupted by the regular scanning of the folder by example

## 3.4 Rule for grouping documents prior to transmission

In these two available methods of transmission, documents are grouped automatically by the Sending Service.

Principle: this rule identifies the documents to be transmitted in the same envelope. The envelope will thus contain the documents with names beginning with the same "DOCREP-ONNNNNNNN". It is therefore a grouping by UCI number.

Example: Scenario for transmitting several prospectuses for several UCIs:

1. The full or simplified prospectuses and letters of explanation are filed in the folder corresponding to the procedure for transmitting UCI Prospectus.

2. At the time of transmission, the documents are automatically grouped by UCI.
3. For each grouping, an envelope is created and sent in a new corresponding file procedure.

**Note on the size of files to be transmitted:**

For technical reasons, the Sending Service is configured to limit the size of transmissions to 60Mb (technical parameter of the Sending Service). So if you file several files (which will be grouped according to the above rule) exceeding 60Mb overall, they will not be transmitted.

### 3.5 Making transmissions

As explained above, the automatic transmission is made simply by filing your files directly in a folder or by filing a zip file containing your files.

The following four rules must be applied however:

- Rule 1: select the proper folder depending upon 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 format of the file and its extension,**
- Rule 4: file the files to be transmitted in clear in the folder selected, i.e. the file must not have been previously encrypted by another system.**

**Note concerning zip files:**

- The name of the zip file is free but must not contain special characters (such as accents, for instance).
- The Sending Service recovers the files contained in the zip file and processes them as if they were filed directly in the folder. This means that the files transmitted to e-file and therefore to the CSSF must always be validated PDF files.
- All the files in the same procedure must be contained in the same zip file, but a zip file may group together the files of several procedures. The Sending Service is then responsible for making the necessary groupings by following the rule given in the previous paragraph.

#### 3.5.1. Transmitting UCI financial reports

##### 3.5.1.1. Business description

The documents concerned are:

**Filing of UCI financial reports**

Annual report

DOCREP-ONNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD-AR-LL-0000.pdf

Semi-annual report	DOCREP-ONNNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-SR-LL-0000.pdf
Letter of explanation	PDRREP-ONNNNNCCCC-YYYY-MM-DD-LE.pdf
Other periodic UCI report	PDRREP-ONNNNNCCCC-YYYY-MM-DD-RO.pdf
Movements in the securities portfolio	PDRREP-ONNNNNCCCC-YYYY-MM-DD-MP.pdf

### 3.5.1.2. Folder of the Sending Service to be selected

.../ReportingDiffusion/DOC\_FIS\_OPC/REPORT\_OPC

### 3.5.1.3. Pre-transmission checks

The Sending Service makes the following checks:

- it checks file names: annual and semi-annual report
- it checks the file extension: it expects a file with a '.pdf' extension. The Sending Service ignores all other types of file without generating an error message.
- it does not check file formats

It is important to name all files correctly because the Sending Service identifies the type of document with the aid of the two last letters, grouping files associated with the same UCI and transmitting them by lot to the e-file portal. Files are grouped when the beginning of the name DOCREP-ONNNNNNNNN is identical.

Note : Other documents (especially the letter of explanation) which are old named unlike reports, will be sent separately.

The names of the annual and semi-annual reports of a group are checked and if one of the names is incorrect then all the documents of the group will not be transmitted:

**transmitted** for a group means all the documents of the group are transmitted,

**not transmitted** for a group means that all the documents of the group are not transmitted,

**partially transmitted** for a group means that the annual and semi-annual reports are transmitted but that certain associated documents are not transmitted.

Examples :

- annual report DOCREP-000001531-00000000-0000-2011-04-01-AR-EN-0000.pdf : **transmitted**
- letter of explanation Lettre 1531 - 2008-10-01.pdf: **not transmitted** as the name cannot begin with Lettre
- annual report DOCREP-01531-00000000-2011-04-01-AR-EN-0000.pdf : **not transmitted** as the UCI number must be 00001531 and not 1531
- Group 1: 00001531

- DOCREP-O00001531-00000000-0000-2011-10-01-AR-FR-0000.pdf
- DOCREP-O00001531-00000000-0000-2011-04-01-SR-FR-0000.pdf
- PDRREP-O015310000-2011-04-01-LE.pdf

**transmitted** : Both reports are sent together. The letter of explanation is old named and can't be grouped with reports, it will be sent in a second time.

▪ Group 2 : 00000018

- DOCREP-O00000018-00000000-0000-20110401-AR-FR-0000.pdf
- DOCREP-O00000018-00000000-0000-2011-04-01-SR-FR-0000.pdf

**not transmitted**, the date in the annual report name is incorrect. Reports are not transmitted even if semi-annual report name is correct.

▪ Group 3 : 01515

- PDRREP-O015150000-2008-11-01.pdf
- PDRREP-O015150000-2008-10-01.pdf

**not transmitted**, as the name of the documents does not enable them to be identified.

▪ Group 4 : 07140

- DOCREP-O00007140-00000000-0000-2011-10-01-AR-EN-0000.pdf
- DOCREP-O00007140-00000000-0000-2011-10-01-EN-0000.pdf

**partially transmitted** as the name does not enable the associated document to be identified.

### 3.5.2. Transmitting UCI prospectuses

#### 3.5.2.1. Business description

The documents concerned are:

#### Filing of UCI prospectuses

Simplified prospectus	DOCREP-ONNNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-PS-LL-0000.pdf
Full prospectus	DOCREP-ONNNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-PC-LL-0000.pdf
Letter of explanation	PDRREP-ONNNNNCCCC-YYYY-MM-DD-LE.pdf

#### 3.5.2.2. Folder of the Sending Service to be selected

.../ReportingDiffusion/DOC\_FIS\_OPC/PROSP\_OPC

#### 3.5.2.3. Pre-transmission checks

The Sending Service makes the following checks:

- it checks file names: simplified or full prospectus
- it checks the file extension: it expects a file with a '.pdf' extension. The Sending Service ignores all other types of file without generating an error message.
- it does not check file formats

It is important to name all files correctly because the Sending Service identifies the type of document with the aid of the two last letters, grouping files associated with the same UCI and transmitting them by lot to the e-file portal. Files are grouped when the beginning of the name DOCREP-ONNNNNNNNN is identical.

Note : The letter of explanation which is old named unlike reports, will be sent separately.

The names of the simplified and full prospectuses of a group are checked and if one of the names is incorrect then all the documents of the group will not be transmitted:

**transmitted** for a group means all the documents of the group are transmitted,

**not transmitted** for a group means that all the documents of the group are not transmitted,

**partially transmitted** for a group means that the simplified and full prospectuses are transmitted but that certain associated documents are not transmitted.

Examples :

- full prospectus DOCREP-000001531-00000000-0000-2008-10-01-PC-FR-0000.pdf : **transmitted**
- letter of explanation Lettre 1531 - 2008-10-01.pdf: **not transmitted** as the name cannot begin with Lettre
- full prospectus DOCREP-01531-00000000-0000-2008-10-01-PC-FR-0000.pdf : **not transmitted** as the UCI number must be 00001531 and not 1531
- Group 1: 00001531
  - DOCREP-000001531-00000000-0000-2011-04-01-PC-FR-0000.pdf
  - DOCREP-000001531-00000001-0000-2011-04-01-PS-FR-0000.pdf
  - DOCREP-000001531-00000002-0000-2011-04-01-PS-FR-0000.pdf
  - DOCREP-000001531-00000003-0000-2011-04-01-PS-FR-0000.pdf
  - PDRREP-0015310000-2011-04-01-LE.pdf

**transmitted** : Both reports are sent together. The letter of explanation is old named and can't be grouped with prospectuses, it will be sent in a second time.
- Groupe 2 : 00000018
  - DOCREP-000000018-00000000-0000-20110401-PC-FR-0000.pdf
  - DOCREP-000000018-00000001-0000-2011-04-01-PS-FR-0000.pdf

**not transmitted**, the date in the prospectus name is incorrect. Documents are not transmitted even if the simplified prospectus name is correct.
- Groupe 3 : 01515

- PDRREP-0015150000-2008-11-01.pdf

- PDRREP-0015150000-2008-10-01.pdf

**not transmitted**, as the name of the documents does not enable them to be identified.

- Groupe 4 : 00007140

- DOCREP-000007140-00000000-0000-2011-04-01-PC-FR-0000.pdf

- PDRREP-0071400000-2008-10-01.pdf

**partially transmitted** as the name does not enable the associated document to be identified.

### 3.5.3. Transmitting SIF financial reports

#### 3.5.3.1. Business description

The documents concerned are:

#### Filing of SIF financial reports

Annual report SIF	DOCREP-ONNNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-AR-LL-0000.pdf
Semi-annual report SIF	DOCREP-ONNNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-SR-LL-0000.pdf
Letter of explanation	PDRREP-ONNNNNCCCC-YYYY-MM-DD-LE.pdf
SIF report, other frequency	PDRREP-ONNNNNCCCC-YYYY-MM-DD-RO.pdf
Movements in the securities portfolio	PDRREP-ONNNNNCCCC-YYYY-MM-DD-MP.pdf

#### 3.5.3.2. Folder of the Sending Service to be selected

- .../ReportingDiffusion/DOC\_FIS\_OPC/REPORT\_FIS

#### 3.5.3.3. Pre-transmission checks

The Sending Service makes the following checks:

- it checks file names: annual and semi-annual report
- it checks the file extension: it expects a file with a '.pdf' extension. The Sending Service ignores all other types of file without generating an error message.
- it does not check file formats

It is important to name all files correctly because the Sending Service identifies the type of document with the aid of the two last letters, grouping files associated with the same UCI and transmitting them by lot to the e-file portal. Files are grouped when the beginning of the name DOCREP-ONNNNNNNNN is identical.

Note : Other documents (especially the letter of explanation) which are old named unlike reports, will be sent separately.

The names of the annual and semi-annual reports of a group are checked and if one of the names is incorrect then all the documents of the group will not be transmitted:

**transmitted** for a group means all the documents of the group are transmitted,

**not transmitted** for a group means that all the documents of the group are not transmitted,

**partially transmitted** for a group means that the annual and semi-annual reports are transmitted but that certain associated documents are not transmitted.

Examples :

- annual report DOCREP-O00001531-00000000-0000-2011-04-01-AR-FR-0000.pdf : **transmitted**
- letter of explanation Lettre 1531 - 2008-10-01.pdf: **not transmitted** as the name cannot begin with Lettre
- annual report DOCREP-O1531-00000000-0000-2011-04-01-AR-FR-0000.pdf : **not transmitted** as the UCI number must be 00001531 and not 1531
- Group 1: 00001531
  - DOCREP-O00001531-00000000-0000-2011-04-01-AR-FR-0000.pdf
  - DOCREP-O00001531-00000000-0000-2011-04-01-SR-FR-0000.pdf
  - PDRREP-O015310000-2008-10-01-LE.pdf

**transmitted** : Both reports are sent together. The letter of explanation is old named and can't be grouped with reports, it will be sent in a second time.
- Groupe 2 : 00000018
  - DOCREP-O00000018-00000000-0000-2000000011-04-01-AR-PT-0000.pdf
  - DOCREP-O00000018-00000000-0000-2011-04-01-RS-PT-0000.pdf

**not transmitted**, the date in the annual report name is incorrect. Reports are not transmitted even if semi-annual report name is correct.
- Groupe 3 : 01515
  - PDRREP-O015150000-2008-11-01.pdf
  - PDRREP-O015150000-2008-10-01.pdf

**not transmitted**, as the name of the documents does not enable them to be identified.
- Groupe 4 : 00007140
  - DOCREP-O00007140-00000000-0000-2011-04-01-AR-IT-0000.pdf
  - PDRREP-O071400000-2008-10-01.pdf

**partially transmitted** as the name does not enable the associated document to be identified.

### 3.5.4. Transmission of SIF prospectuses

#### 3.5.4.1. Business description

The documents concerned are:

#### Filing of SIF prospectuses

Full prospectus	DOCREP-ONNNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-PC-LL-0000.pdf
Offering document	PDRREP-ONNNNNCCCC-YYYY-MM-DD-DE.pdf
Letter of explanation	PDRREP-ONNNNNCCCC-YYYY-MM-DD-LE.pdf

#### 3.5.4.2. Folder of the Sending Service to be selected

.../ReportingDiffusion/DOC\_FIS\_OPC/PROSP\_FIS

#### 3.5.4.3. Pre-transmission checks

The Sending Service makes the following checks:

- it checks file names: full prospectus and offering document
- it checks the file extension: it expects a file with a '.pdf' extension. The Sending Service ignores all other types of file without generating an error message.
- it does not check file formats

It is important to name all files correctly because the Sending Service identifies the type of document with the aid of the two last letters, grouping files associated with the same UCI and transmitting them by lot to the e-file portal. Files are grouped when the beginning of the name DOCREP-ONNNNNNNNN is identical.

Note : The letter of explanation and the offering document which are old named unlike reports, will be sent separately.

Examples :

- full prospectus DOCREP-000001531-00000000-0000-2011-04-01-PC-EN-0000.pdf : **transmitted**
- letter of explanation Lettre 1531 - 2008-10-01.pdf: **not transmitted** as the name cannot begin with Lettre
- full prospectus DOCREP-O1531-00000000-0000-2011-04-01-PC-EN-0000.pdf : **not transmitted** as the UCI number must be 00001531 and not 1531
- Groupe 1 : 00001531
  - DOCREP-000001531-00000000-0000-2011-04-01-PC-DE-0000.pdf
  - PDRREP-0015310003-2011-04-01-DE.pdf

- PDRREP-0015310000-2011-10-01-LE.pdf

**transmis :** The prospectus is sent alone. The letter of explanation and the offering document are old named and can't be grouped with the prospectus, they will be sent in a second time.

▪ Groupe 2 : 00000018

- DOCREP-000000018-00000000-0000-20110401-PC-ES-0000.pdf
- PDRREP-0000180000-2011-10-01-DE.pdf

**not transmitted**, the date in the prospectus name is incorrect. The prospectus won't be sent. **NOTE : Offering document will be sent alone.**

▪ Groupe 3 : 01515

- PDRREP-0015150000-2008-11-01.pdf
- PDRREP-0015150000-2008-10-01.pdf

**not transmitted**, as the name of the documents does not enable them to be identified.

▪ Groupe 4 : 07140

- DOCREP-000007140-00000000-0000-2011-04-01-PC-ES-0000.pdf
- PDRREP-0071400000-2011-04-01.pdf

**partially transmitted** as the name does not enable the associated document to be identified.

### 3.5.5. Transmitting UCI financial reports - circ 09/423

#### 3.5.5.1. Business description

The documents concerned are:

#### Submission of Long Form et Management Letter

Long Form Report	PDRREP-ONNNNNCCCC-YYYY-MM-DD-LF.pdf
Management Letter	PDRREP-ONNNNNCCCC-YYYY-MM-DD-ML.pdf

#### 3.5.5.2. Folder of the Sending Service to be selected

.../ReportingDiffusion/DOC\_FIS\_OPC/LONG\_FORM for long form report.

.../ReportingDiffusion/DOC\_FIS\_OPC/MGMT\_LETTER for management letter report.

#### 3.5.5.3. Pre-transmission checks

The Sending Service makes the following checks:

- it checks file names.

- it checks the file extension: it expects a file with a '.pdf' extension. The Sending Service ignores all other types of file without generating an error message.
- it does not check file formats.

### 3.5.6. Transmitting KII - Key investor information documents

#### 3.5.6.1. Business description

The documents concerned are :

#### Submission of KII

Key investor information (KII)	<b>DOCREP-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-KI-LL-0000.pdf</b>
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#### 3.5.6.2. Folder of the Sending Service to be selected

.../ReportingDiffusion/DOC\_FIS\_OPC/KID\_OPC

#### 3.5.6.3. Pre-transmission checks

The Sending Service makes the following checks:

- it checks file names.
- it checks the file extension: it expects a file with a '.pdf' extension. The Sending Service ignores all other types of file without generating an error message.
- it does not check file formats.

### 3.5.7. Transmitting constitutional documents

#### 3.5.7.1. Business description

The documents concerned are :

#### Submission of constitutional documents

Management Regulations of UCITS	<b>DOCREP-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-MR-LL-0000.pdf</b>
Articles of Incorporation of UCITS	<b>DOCREP-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-AI-LL-0000.pdf</b>

#### 3.5.7.2. Folder of the Sending Service to be selected

.../ReportingDiffusion/DOC\_FIS\_OPC/MGMT\_REGUL for Management Regulations of UCITS

.../ReportingDiffusion/DOC\_FIS\_OPC/ART\_INCORP for Articles of Incorporation of UCITS

### 3.5.7.3. Pre-transmission checks

The Sending Service makes the following checks:

- it checks file names.
- it checks the file extension: it expects a file with a '.pdf' extension. The Sending Service ignores all other types of file without generating an error message.
- it does not check file formats.

## 3.6 Initial results and interpretation

Once the Sending Service has taken account of the reports filed in the different folder, it returns the 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: firstly a check should be made that the four 4 rules indicated previously have been applied.

### Note concerning files with the extension '.TRT'

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

Here is the rule for naming the result file .trt.

In standard operation (original files are filed directly in a folder):

If the original file is *nomDuFichierOrigine.pdf*

where *nomDuFichierOrigine*: the name of the original file to be transmitted

When the result file .trt will be *nomDuFichierOrigine.pdf\_Traitement.trt*

with **Traitement**: a digital counter providing a time stamp.

### Example:

The folder .../ReportingDiffusion/DOC\_FIS\_OPC/PROSP\_OPC contains:

Name	Size	Type	Date Modified
DOCREP-000001531-00000000-0000-2011-04-01-PC-FR-0000.pdf	2 146 KB	Adobe Acrobat Doc...	26/08/2010 09:36
DOCREP-000001531-00000001-0000-2011-04-01-P5-FR-0000.pdf	2 146 KB	Adobe Acrobat Doc...	26/08/2010 09:36
DOCREP-000001531-00000002-0000-2011-04-01-P5-FR-0000.pdf	2 146 KB	Adobe Acrobat Doc...	26/08/2010 09:36
DOCREP-000001531-00000003-0000-2011-04-01-P5-FR-0000.pdf	2 146 KB	Adobe Acrobat Doc...	26/08/2010 09:36
PDRREP-0015310000-2011-04-11-LE.pdf	2 146 KB	Adobe Acrobat Doc...	26/08/2010 09:36

After processing:

Name
DOCREP-000001531-00000000-0000-2011-04-01-PC-FR-0000.pdf_20100826094036744.acq
DOCREP-000001531-00000001-0000-2011-04-01-P5-FR-0000.pdf_20100826094065781.acq
DOCREP-000001531-00000002-0000-2011-04-01-P5-FR-0000.pdf_20100826094012565.acq
DOCREP-000001531-00000003-0000-2011-04-01-P5-FR-0000.pdf_20100826094078995.acq
PDRREP-0015310000-2011-04-11-LE.pdf_20100826094045678.acq
DOCREP-000001531-00000000-0000-2011-04-01-PC-FR-0000.pdf_20100826093945896.trt
DOCREP-000001531-00000001-0000-2011-04-01-P5-FR-0000.pdf_20100826093915489.trt
DOCREP-000001531-00000002-0000-2011-04-01-P5-FR-0000.pdf_20100826093912345.trt
DOCREP-000001531-00000003-0000-2011-04-01-P5-FR-0000.pdf_20100826093947895.trt
PDRREP-0015310000-2011-04-11-LE.pdf_20100826093965421.trt

#### Transmission via a zip file

If the original file is **nomDuFichierZipOrigine.zip**

where **nomDuFichierZipOrigine**: the name of the original zip file containing the original files to be transmitted.

When the result file .trt will be **nomDuFichierZipOrigine.zip\_Traitement.trt**

with **Traitement**: a digital counter providing a time stamp.

In addition, the original files inside will also be renamed following the rule applied to PDF (previous case).

**NB**: if the files in a zip file are not all processed then the zip file will be renamed as follows: **nomDuFichierZipOrigine\_Traitement.zip**

The contained PDF which will have been processed will be renamed according to the rule defined previously.

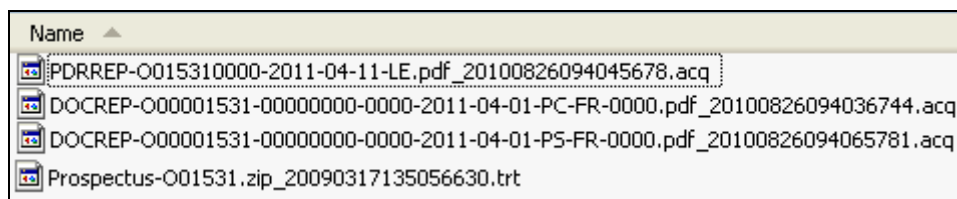
On the next processing by the Sending Service, the zip file will again be processed but it will no longer be renamed with an additional time stamp.

#### Example:

The folder .../ReportingDiffusion/DOC\_FIS\_OPC/PROSP\_OPC contains a zip file itself containing 3 PDF documents (DOCREP-000001531-00000000-0000-2011-04-01-PC-FR-0000.pdf, DOCREP-000001531-00000000-0000-2011-04-01-P5-FR-0000.pdf, PDRREP-0015310000-2011-04-11-LE.pdf):

Prospectus-001531	7.301 KB	IZArc ZIP Archive	17/0
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After processing:



#### Note concerning files with the extension '.ERR'

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

They contain technical messages which assist 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 so as not to generate the error file if the transmission is correct.

### 3.7 Reception of approved prospectuses

Approved versions of the full and simplified prospectuses are transmitted electronically via e-file and filed in the adapted Sending Service folder (provided the latter has correctly set parameters).

Please refer to the user manual "Return of responses from the authorities to the Sending Service".

#### **3.7.1. VISA for UCI Prospectuses**

The documents concerned are:

##### **Filing of UCI prospectuses**

Approved simplified prospectus	DOCFDB-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-PS-LL-0000.pdf
Approved full prospectus	DOCFDB-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-PC-LL-0000.pdf

The approved documents are PDF files of which the name contains the same CSSF UCI and subfund codes, and the same date as the original file.

Example:

DOCFDB-000001531-00000000-0000-2011-04-01-PC-FR-0000.pdf is the approved version of the full prospectus: DOCREP-000001531-00000000-0000-2011-04-01-PC-FR-0000.pdf

DOCFDB-000001531-00000001-0000-2011-04-01-PS-FR-0000.pdf is the approved version of the simplified prospectus DOCREP-000001531-00000001-0000-2011-04-01-PS-FR-0000.pdf

### 3.7.2. VISA for SIF Prospectuses

The document concerned is:

#### Filing of SIF prospectuses

Approved full prospectus      DOCFDB-ONNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-PC-LL-0000.pdf

The approved documents are PDF files of which the name contains the same CSSF UCI and subfund codes, and the same date as the original file.

Example:

DOCFDB-000001531-00000000-0000-2011-04-01-PC-FR-0000.pdf is the approved version of the full prospectus: DOCREP-000001531-00000000-0000-2011-04-01-PC-FR-0000.pdf

## 3.8 VISA refusal

If the VISA is not attributed by the CSSF, an explanatory text is returned in a file ENVINF-NNNNNNNNNN-YYYY-MM-DD-HHMMSS.txt

The file will contain:

- explanatory text from the CSSF manager regarding the VISA refusal
- CSSF contact person
- Names of the files transmitted, approved versions and files not approved

where      NNNNNNNNNN: internal e-file identifier of the envelope  
               YYYY-MM-DD-HHMMSS: date of transmission of the envelope

## 3.9 Specific cases

### 3.9.1. “Multiple” prospectus

Concerns PDF prospectuses transmitted to the CSSF which contain several different UCI (or SIF) prospectuses in the same document.

The name of the document must contain the CSSF code of one of the instruments in the document.

Example: a multiple prospectus which holds the simplified prospectus of 00001531/0001, 00001531/0002 and 00000512/0001 may have the name:

- DOCREP-000001531-00000001-0000-2011-04-01-PS-FR-0000.pdf
- or DOCREP-000001531-00000002-0000-2011-04-01-PS-FR-0000.pdf
- or DOCREP-000000512-00000001-0000-2011-04-01-PS-FR-0000.pdf

The CSSF will return a single approved document for the “multiple” prospectus:

- DOCFDB-000001531-00000001-0000-2011-04-01-PS-FR-0000.pdf
- or DOCFDB-000001531-00000002-0000-2011-04-01-PS-FR-0000.pdf
- or DOCFDB-000000512-00000001-0000-2011-04-01-PS-FR-0000.pdf

### 3.9.2. “Partial” prospectus

Concerns PDF prospectuses transmitted to the CSSF associated with types of units.

The name of the document must contain a technical index “-NN” at the end so as not to clash with another prospectus in the same subfund.

Example: a simplified prospectus of 00001531/0001 and of 00001531/0001/01 must have a different name:

- DOCREP-000001531-00000001-0000-2011-04-01-PS-FR-0000.pdf
- and DOCREP-000001531-00000001-0001-2011-04-01-PS-FR-0000.pdf

The CSSF will return the corresponding approved documents:

- DOCFDB-000001531-00000001-0000-2011-04-01-PS-FR-0000.pdf
- and DOCFDB-000001531-00000001-0001-2011-04-01-PS-FR-0000.pdf

## 4 Monitoring transmitted reports and prospectuses and approved prospectuses returned by the CSSF

Filings and responses from the CSSF can be monitored via the platform [www.e-file.lu](http://www.e-file.lu).

This part of the document thus gives a rapid overview of the means at your disposal to monitor your filings 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. Finally, this part requires knowledge of the basic notions of e-file: file, procedure, envelop and document, also explained in the e-file manual.

Furthermore, if you transmit from the Sending Service, it is possible to access the responses from the CSSF from the Sending Service tree structure if the latter is correctly configured, cf. §3.7 Reception of approved prospectuses.

### 4.1 Searching transmitted reports and prospectuses

Once you are connected to [www.e-file.lu](http://www.e-file.lu), the home page will appear.

Click on ‘Search files and procedures ...’ under ‘Advanced search’.

The screenshot displays the e-file.lu interface. At the top, there's a navigation menu and a welcome message for Marc DURAND. The 'HOMOLOGATION' status is prominently displayed. Under the 'Advanced search' section, the link 'U> file and procedure search...' is circled in red. Below this, there are sections for 'Alerts' and 'Envelopes', both showing empty lists. The footer contains copyright information for Luxembourg Stock Exchange / Finest.

The advanced search page is 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 on 'Validate' to begin your search.

#### Criteria for searching UCI prospectuses and financial reports:

- File name: enter the UCI CSSF code  
Example: for UCI 00001531, enter 00001531 or 1531 ...
- Type of procedure:
  - Submission of UCI financial reports
  - or Submission of UCI prospectuses
  - Submission of management letters
  - or Submission of long form reports
- Procedure status:
  - Created** : the procedure has been created but the envelope has not yet been transmitted.
  - Started** : an envelope has been transmitted
  - Closed** :  
(circ. 08/371)  
the approved prospectuses are returned by the CSSF in the same procedure  
the prospectuses (or financial reports) of the procedure are published

(circ. 09/423)

the report has been received by CSSF

#### Cancelled :

as a general rule, the CSSF will not cancel the procedure, but will send requests for additional information. The only cases where the CSSF will cancel a procedure correspond to a poor association of procedures and documents.

Example: a pdf SIF report typed UCI report in a procedure for Submission of UCI report

- Date of creation of the file
- Date of start of the procedure: date of transmission of the envelope
- CSSF code: of the UCI attached to the procedure file and attributed by the CSSF on publication
- Security name: of the UCI attached to the procedure file and attributed by the CSSF on publication

#### Criteria for searching SIF prospectuses and financial reports:

- File name: enter the CSSF SIF code  
Example: for the SIF 00001234, enter 00001234 or 1234 ...
- Type of procedure:  
Submission of SIF financial reports  
or Submission of SIF prospectuses
- Date of start of the procedure: date of transmission of the envelope

The list of results is displayed listing the files and procedures relating to the criteria entered.

The screenshot shows the e-file.lu interface. At the top, there's a navigation menu with 'Welcome Marc DURAND' and a dropdown for 'Doc OPC et FIS (circ. CSSF) - Supervisor'. Below this, a section titled 'File and procedure search' displays the search criteria: 'File name : 01531 - Virtual fund - File status : In progress'. A table titled 'List of found files' contains one entry:

File name	Correspondent	Procedure	Start date	Correspondent agent	Procedure status
01531 - Virtual fund	CSSF	<a href="#">Submission of UCI prospectus</a>	20/04/2009		Started

At the bottom left of the table area is a 'New file' button, and at the bottom right is a 'Back to search' button.

By clicking on the 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'.

Procédure : Remise de prospectus OPC

Dossier : 01531 - Fond virtuel - **Initiateur** : Banque générale du Luxembourg - **Destinataire** : CSSF - **Enveloppes non ouvertes** : 0

Informations procédure Enveloppes & documents Publications Etat d'avancement

Vue selon : ☒ Enveloppes reçues/envoyées ☐ Documents déposés

Nouvelle enveloppe [Rafraichir](#) [Retour à la fiche dossier](#)

**Eléments reçus**

Id élément	Date de réception	Objet	Expéditeur	Documents joints
627769	23/10/2008 16:09	prospectus visés 1531	. Responsable cssf 1	3

**Eléments envoyés**

Id élément	Date d'envoi	Objet	Expéditeur	Documents joints
627768	23/10/2008 14:20	prospectus 1531	Mr DURAND	2

Nouvelle enveloppe [Rafraichir](#) [Retour à la fiche dossier](#)

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

It should be noted that the envelopes received can be viewed directly in the in-box until they have been read by someone in your company. Once they have been read, it is still possible to find them by advanced search.

## 4.2 Recovering approved prospectuses

Approved prospectuses are returned by the CSSF in the initial procedure.

Use search to go to 'Enveloppes & documents' in the procedure record.

Procédure : Remise de prospectus OPC

Dossier : 01531 - Fond virtuel - **Initiateur** : Banque générale du Luxembourg - **Destinataire** : CSSF - **Enveloppes non ouvertes** : 0

Informations procédure Enveloppes & documents Publications Etat d'avancement

Vue selon : ☒ Enveloppes reçues/envoyées ☐ Documents déposés

Nouvelle enveloppe [Rafraichir](#) [Retour à la fiche dossier](#)

**Eléments reçus**

Id élément	Date de réception	Objet	Expéditeur	Documents joints
627769	23/10/2008 16:09	prospectus visés 1531	. Responsable cssf 1	3



**Eléments envoyés**

Id élément	Date d'envoi	Objet	Expéditeur	Documents joints
627768	23/10/2008 14:20	prospectus 1531	Mr DURAND	2

Nouvelle enveloppe [Rafraichir](#) [Retour à la fiche dossier](#)


Click on the 'Object' of the envelope received.

Bienvenue **Mr DURAND**

**Fiche enveloppe**  

**Procédure :** Remise de prospectus OPC  
Luxembourg - **Enveloppes non ouvertes :** 0

- **Dossier :** 01531 - Fond virtuel - **Déposé par :** Banque générale du

**Informations enveloppe** 

Expéditeur	. Responsable cssf 1
Date d'envoi	23/10/2008 16:09
Date de lecture	23/10/2008 16:14
Etat	Validé
Valideur	. Responsable cssf 1
Objet	prospectus visés 1531
Texte	

**Documents joints**

Nom	Type	Date du document	Crypté ?	OPC attaché
<a href="#">AttestationCESR-1531.TXT</a>	Attestation CESR		Oui	(aucun OPC choisi)
<a href="#">REPFDDB-0015310000-2008-10-10-PC.pdf</a>	Prospectus Visé		Oui	(aucun OPC choisi)
<a href="#">REPFDDB-0015310001-2008-10-10-PS.pdf</a>	Prospectus Visé		Oui	(aucun OPC choisi)

**Répondre**

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## 4.3 VISA refusal

### 4.3.1. All the prospectuses of the procedure are refused

A CSSF envelope explains the reasons for refusal and is sent in the initial procedure. The procedure remains active.

You transmit the updated documents in the same procedure.

The CSSF gives a VISA to the documents, sends them to you and closes the procedure.

### 4.3.2. Some prospectuses are refused and others accepted

An envelope with the approved documents is transmitted in the initial procedure.

In the same envelope or in another, the reasons for refusal are explained.

If the procedure remains active then you transmit the updated documents in the same procedure.

If the procedure is closed then you transmit the updated documents in a new procedure.

The CSSF gives a VISA to the documents, sends them to you in a new envelope and closes the procedure.