



Circular CSSF 10/457

Manual on the electronic transmission of financial reports

**Long Form Report (Compte Rendu Analytique de Révision)
Management Letter (Lettre de Recommandations)**

Version 1.0

1	Introduction -----	3
1.1	Circular CSSF 10/457 dated 05/10/2010 -----	3
1.1.1.	The documents naming rules -----	4
2	Manual transmission via www.e-file.lu -----	5
2.1	Accessing e-file.lu ? -----	5
2.2	Creating a filing structure (File, Procedure, Envelope) -----	5
3	Automatic transmission via the Sending Service ---	10
3.1	Accessing and understanding the Sending Service tree structure -----	10
3.2	Triggering transmissions -----	10
3.2.1.	At a regular frequency -----	10
3.2.2.	Your configuration -----	10
3.3	Making transmissions -----	11
3.3.1.	Transmitting financial reports -----	11
3.3.1.1.	Business description -----	11
3.3.1.2.	Folder of the Sending Service to be selected -----	11
3.3.1.3.	Pre-transmission checks -----	11
3.4	Initial results and interpretation -----	12
4	Monitoring transmitted reports -----	14
4.1	Searching transmitted reports -----	14

1 Introduction

The Luxembourg Stock Exchange provides filing entities with a complete solution for the secure transmission of reports (Circular 10/457) 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 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.

1.1 Circular CSSF 10/457 dated 05/10/2010

The Circular is available at http://www.cssf.lu/uploads/media/cssf10_457.pdf and will be applicable from December 31st 2010.

As detailed in the circular, the reports to be sent in their definitive form to the CSSF via e-file are:

- Long Form (Rapport de révision sur l'Activité)
- Management Letter (Lettre de Recommandations)

1.1.1. The documents naming rules

Type de document	Nom
Long Form	DOCREP-BNNNNNNNN-00000000-0000-YYYY-MM-DD-LF-LL-III.ext
Management Letter	DOCREP-BNNNNNNNN-00000000-0000-YYYY-MM-DD-ML-LL-III.ext

Where :

- NNNNNNNN : digital number attributed by the CSSF to the entity
- YYYY-MM-DD : document's date (year, month and day), use 01 if the day is not clearly defined
- LL : Document language code (code ISO 639-1 alpha2) example :
 - FR = french,
 - EN = english,
 - LB = luxembourgish,
 - DE = german,
 - ...
- IIII : Annex number, 0000 for main document, nnnn to number the annexes
- ext : file type :
 - pdf,
 - doc (Word 2003),
 - xls (Excel 2003),
 - ppt (Powerpoint 2003),
 - docx (Word 2007),
 - xlsx (Excel 2007),
 - pptx (Powerpoint 2007)

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

Manual transmission is via the platform 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. On the e-file homepage you also will find a link to our help section with interactive videos showing the main features of e-file.

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](http://www.e-file.lu) ?

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

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

11, avenue de la Porte-Neuve
B.P. 165
L-2015 Luxembourg
Tel.: (+352) 47 79 36 330
Fax: (+352) 47 79 36 275
info@bourse.lu

If you already have 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 '**Reporting des établissements de crédit - ...**' to enter the context of transmission of procedures relating to Circular 10/457.

NB: The list of choices only contains contexts to which you are personally authorised 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 ENCHAÎNEMENT

Welcome **E001RESP utilisateur**

Navigation menu

Quick links

- Procedure**
 - My current procedures
 - Current procedures of the group **Groupe principal**
 - See all non-assigned procedures...
- Envelope**
 - Envelopes to validate 0

New file

Advanced search

- Use file and procedure search...

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	Attache document
Envelope list is empty							

Copyright ©Luxembourg Stock Exchange
All rights reserved

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

Owner entity

File type **Regulatory reporting**

Create **Back to**

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

Copyright ©Luxembourg Stock Exchange
All rights reserved

For file type, select **“Regulatory Reporting”**

You then access the File record.

File sheet

File : Long Form - **Filing Entity :** Entite E001

File information			
Identifier	40744	Status	In progress
File identifier	<input type="text"/>	Creation date	01/09/2010
Owner entity	Entite E001	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							

Copyright ©Luxembourg Stock Exchange
All rights reserved

Click on “**New procedure**” button.

Select the “Submission of long form & mgmt letter” procedure.

In the same file, it is possible 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 long form & mgmt letter

File : Long Form - **Initiator :** Entite E001 - **Addressee :** CSSF - **Unread envelopes :** 0

[Procedure Information](#)
[Envelopes & documents](#)
[Publications](#)
[Progress report](#)

Procedure info			
Identifier	2779569	Status	Created
Procedure code	-	Creation date	01/09/2010
Procedure	Submission of long form & mgmt letter	Start date	-
Addressee	CSSF	Closing date	-
Initiator Agent	<input type="text" value="utilisateur E001RESP"/>		
Initiator Group	Rapport des établissements de credits		
Recipient Agent	-		
Recipient Group	Long form & mgmt letter banques		
Initiator description	<input type="text"/>		

[Modify](#)
[Delete](#)

[Back to file](#)

Copyright ©Luxembourg Stock Exchange
All rights reserved

Select the **“Envelopes & Documents”** folder.

Procedure : Submission of long form & mgmt letter

File : Long Form - Initiator : Entite E001 - 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

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

Copyright ©Luxembourg Stock Exchange
All rights reserved

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

Welcome **E001RESP utilisateur**

New envelope

Procedure : Submission of long form & mgmt letter - File : Long Form - Send by : Entite E001 - Unread envelopes : 0

Envelope info ?

Status Draft

Sender E001RESP utilisateur

Subject Message object

Text Your text here

Save as draft Send for validation Send

Attached documents Attach document

Name	Type	Date of document	Encrypted
<input checked="" type="checkbox"/> <input type="text"/> Browse...	Long form report (Select a document type) Long form report Management letter	<input type="text"/>	<input checked="" type="checkbox"/>

* A date has to be specified

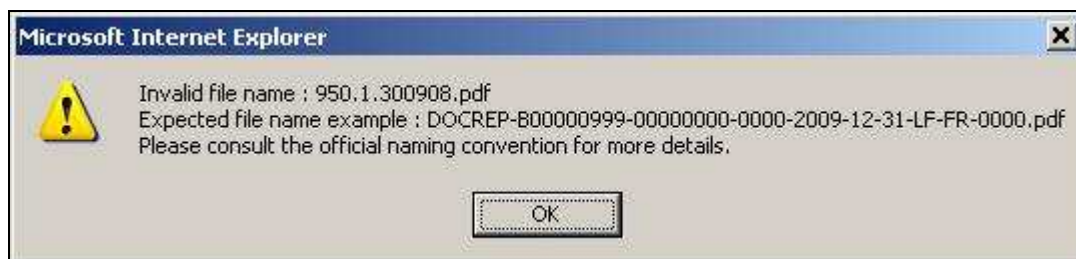
Copyright ©Luxembourg Stock Exchange / Finesti
All rights reserved

Type 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.

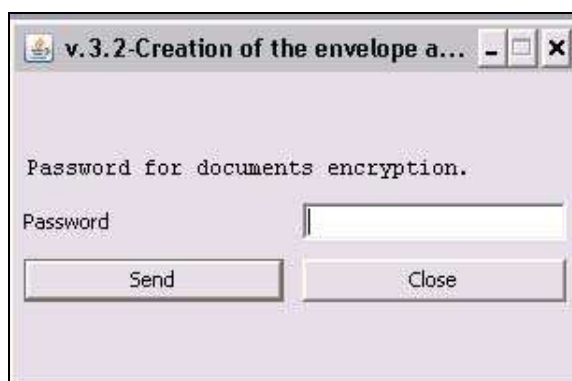
By default the **“Encrypted”** box is ticked.

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

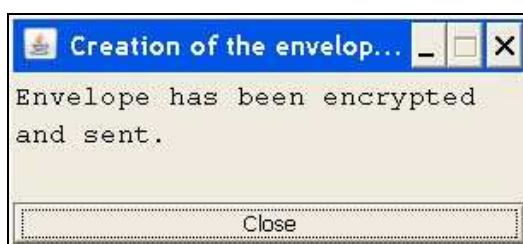


An error message will appear if the file name is incorrect

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.

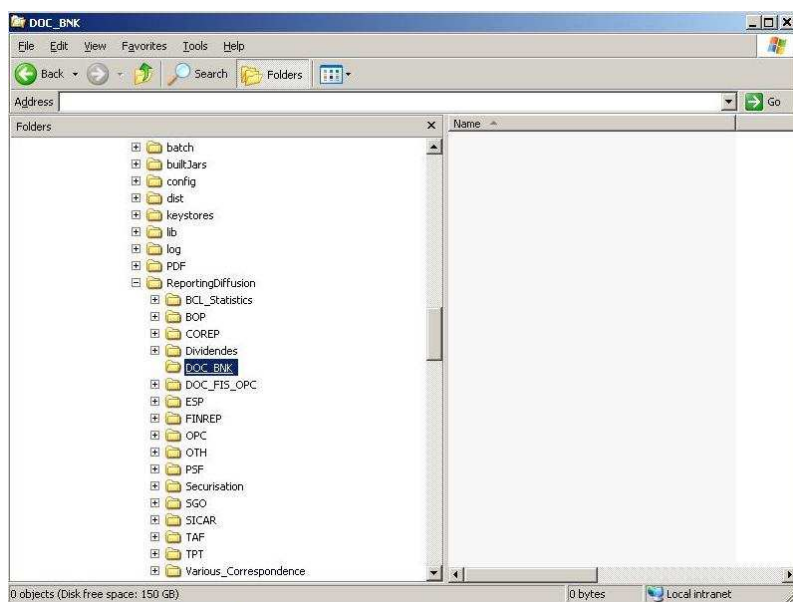


Once the transmission has been completed this window will appear:



3 Automatic transmission via the Sending Service

3.1 Accessing and understanding the Sending Service tree structure



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

Reports of CSSF 10/457 circular are to be stored in the “DOC_BNK” folder (see screen shot).

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 scanning frequency is set to **30 minutes**. This means therefore that each folder is scanned every 30 minutes from the 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 if you need to know your specific configuration.

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 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.

3.3.1. Transmitting financial reports

3.3.1.1. Business description

The documents concerned are:

Filing of financial reports (Circular 10/457)

Long Form	DOCREP-BNNNNNNNN-00000000-0000-YYYY-MM-DD-LF-LL-III.ext
Management Letter	DOCREP-BNNNNNNNN-00000000-0000-YYYY-MM-DD-ML-LL-III.ext

3.3.1.2. Folder of the Sending Service to be selected

.../ReportingDiffusion/DOC_BNK/

3.3.1.3. Pre-transmission checks

The Sending Service performs the following checks:

- file names: long form or management letter report
- file extension: '.pdf', '.doc', 'docx', 'xls', 'xlsx', 'ppt' or 'pptx' 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 account of the reports filed 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: 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 filled directly in a folder):






If the original file is named : **OriginalName.pdf**

Then the result file .trt will be : **OriginalName.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
 PDRREP-O005120000-2009-03-01-LE	2,434 KB	Adobe Acrobat Doc...	3/12/2008 16:1
 PDRREP-O005120000-2009-03-01-PC	2,434 KB	Adobe Acrobat Doc...	3/12/2008 16:1
 PDRREP-O005120001-2009-03-01-P5	2,434 KB	Adobe Acrobat Doc...	3/12/2008 16:1
 PDRREP-O005120002-2009-03-01-P5	2,434 KB	Adobe Acrobat Doc...	3/12/2008 16:1
 PDRREP-O005120003-2009-03-01-P5	2,434 KB	Adobe Acrobat Doc...	3/12/2008 16:1

After processing:

Name ▲
 PDRREP-O005120000-2009-03-01-LE.pdf_20090317140718636.trt
 PDRREP-O005120000-2009-03-01-PC.pdf_20090317140719058.trt
 PDRREP-O005120001-2009-03-01-P5.pdf_20090317140720792.trt
 PDRREP-O005120002-2009-03-01-P5.pdf_20090317140723151.trt
 PDRREP-O005120003-2009-03-01-P5.pdf_20090317140724980.trt
 PDRREP-O005120001-2009-03-01-P5.pdf_20090317140806745.acq
 PDRREP-O005120002-2009-03-01-P5.pdf_20090317140805370.acq
 PDRREP-O005120003-2009-03-01-P5.pdf_20090317140803980.acq
 PDRREP-O005120000-2009-03-01-LE.pdf_20090317140809526.acq
 PDRREP-O005120000-2009-03-01-PC.pdf_20090317140808167.acq

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 that no empty error file is generated 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 part of the document gives a rapid 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. Finally, this part requires knowledge of the basic notions of e-file: file, procedure, envelop and document, also explained in the e-file manual.

4.1 Searching transmitted reports

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

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

e-file.lu ENCHAÎNEMENT

Welcome **E001RESP utilisateur**

Reporting des établissements de crédit - Supervisor

Quick links

- Procedure**
 - My current procedures
 - Current procedures of the group [Reporting des établissements de crédit](#)
 - See all non-assigned procedures...
- Envelope**
 - Envelopes to validate 0

[New file](#)

Advanced search

[Use file and procedure search...](#)

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

Alerts [Configure my alerts](#) [Delete all](#)

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
2825163	10/09/2010 10:23	Remise de long form & mamt letter - 09.2010	Submission of long form & mamt letter	Réponse technique à l'envoi du reporting: ReportingDOCML	Entité E001	DocML CSSF API	1

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	All owner entities <input type="text"/>	CSSF code	<input type="text"/>
File name	<input type="text"/>	ISIN code	<input type="text"/>
File status	In progress <input type="text"/>	Security name	<input type="text"/>
File type	All file types <input type="text"/>		

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

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.

Copyright ©Luxembourg Stock Exchange / Finest
All rights reserved

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

Criteria for searching financial reports:

- File name
- Procédure type : **Submission of long form & mgmt letter**
- Procedure status:

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

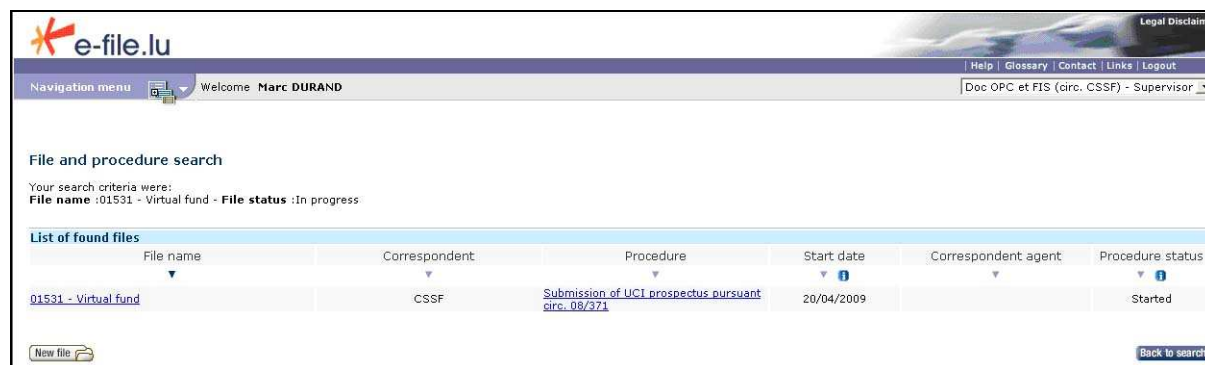
Started: an envelope has been transmitted

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.



The screenshot shows the 'e-file.lu' interface. At the top, there's a navigation menu and a welcome message for 'Marc DURAND'. Below, the 'File and procedure search' section displays search criteria: 'File name : 01531 - Virtual fund' and '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	Submission of UCI prospectus pursuant circ. 08/371	20/04/2009		Started

Buttons for 'New file' and 'Back to search' are at the bottom.

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'.



The screenshot shows the 'Procédure : Remise de prospectus OPC conf. circulaire 08/371' page. It includes a dossier summary: 'Dossier : 01531 - Fond virtuel - Initiateur : Banque générale du Luxembourg - Destinaire : CSSF - Enveloppes non ouvertes : 0'. The 'Enveloppes & documents' tab is active. Below, there are two tables: 'Eléments reçus' and 'Eléments envoyés'.

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

Buttons for 'Nouvelle enveloppe', 'Rafraichir', and 'Retour à la fiche dossier' are present.

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.