



FUNDSQUARE

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**Regulatory filing**

## **TRANSMISSION MANUAL FOR FINANCIAL COMPANIES REPORTING**

**ACCORDING TO BCL 2014/17 AND BCL 2011/8**

**User guide**

**Version 1.1**



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# 1 Investment fund reporting

Please refer to our [previous manual](#) for reports **older than December 2014**.

## 1.1 General

Efile has been developed by Fundsquare (« FSQ ») and allows the secured transmission of investment fund reporting according to circulars BCL 2014/237 and CSSF 14/588 to the Luxembourg Central Bank respectively the CSSF. Two transmission methods are available:

- ◆ transmission with efile v2
- ◆ transmission with the FSQ Sending Service

Efile is an end to end solution that is compliant to the BCL and CSSF requirements.

## 1.2 Reporting templates

Investment funds are requested to provide the various reporting types according to the following schedule:

	Report	Periodicity
Financial Companies	S2.16 L1 Quarterly statistical balance sheet	Quarterly
	S2.17 L1 Transactions and write-offs/write-downs on securitised loans	Quarterly
	TPTIBS L1 (Security by security)	Monthly



### 1.3 Naming convention

The following table presents the required naming convention and summarizes the following documents:

- ◆ [“Manual of electronic transmission for report S2.16”<sup>1</sup>](#)
- ◆ [“Manual of electronic transmission for report S2.17”<sup>2</sup>](#)
- ◆ [“Manual of electronic transmission for report TPTIBS”<sup>3</sup>](#)

**TYPREP\_LL\_YYYYMM\_Rrrrrrrrr\_Dddddddddd\_yyyymmdd\_nnn.xml**

Code	Explanation	Structure	Authorized characters
TYPREP	Report type	Char(5) - Char(6) for SBS	'S0216' for report S2.16 'S0217' for report S2.17 'TPTIBS' for report SBS
L1	Layout	Char(2)	'L1' for all Financial Companies reports
YYYY	Year of reporting period	Number(4)	0001...9999
MM	Month of reporting period	Number(2)	01...12
R	Type of Reporting entity	Char(1)	B (credit institutions), P (PSF), S (Management companies), I (PSF – IT companies), DSE (Financial companies), 5 for all other entities
rrrrrrrrr	BCL code of reporting entity	Number(9)	Remaining figures (non BCL code) on the left have to be '0' (nil)
D	Type of Reported entity	Char(3)	'RSE'
ddddddddd	BCL code of reported entity	Number(7)	RCS number, (a letter followed by) 7 numbers maximum. Remaining figures on the left have to be '0'
yyymmdd	File creation date	Number(8)	Date of the creation of the file Year-Month-Day
nnn	Sequence number	Number(3)	Sequential file number
.xml	Extension	Char(3)	always '.xml'

1 [http://bcl.lu/en/reporting/issuing\\_companies/S216\\_en/S216\\_L1\\_SOC\\_EN.pdf](http://bcl.lu/en/reporting/issuing_companies/S216_en/S216_L1_SOC_EN.pdf)

2 [http://bcl.lu/en/reporting/issuing\\_companies/S217\\_en/S217\\_L1\\_SOC\\_EN.pdf](http://bcl.lu/en/reporting/issuing_companies/S217_en/S217_L1_SOC_EN.pdf)

3 [http://bcl.lu/en/reporting/Investment\\_funds/TPTOBS\\_EN/TPTOBS\\_L2\\_SOC\\_EN.pdf](http://bcl.lu/en/reporting/Investment_funds/TPTOBS_EN/TPTOBS_L2_SOC_EN.pdf)



**Example for S2.16 L1:**

S0216\_L1\_201406\_B000000789\_DSE0003524\_20140720\_001.xml

Corresponds to the first file created on 20 July 2014, submitted by the credit institution 789, where the data refers to the company with the identification number RCS B3524 for the period of June 2014.

**Example S2.17 L1:**

S0217\_L1\_201406\_B000000789\_DSE0003524\_20140720\_001.xml

Correspond to the first file created on 20 July 2014, submitted by the credit institution 789, where the data refers to financial company with the identification number RCS B3524 for the period of June 2014.

**Example TPTIBS L1:**

TPTIBS\_L1\_201406\_B000000789\_DSE0003524\_20140720\_001.xml

Corresponds to the first file created on 20 July 2014, submitted by the credit institution 789, where the data refers to the financial company with the identification number RCS B3524 for the period of June 2014.

## 2 Report Generation

### 2.1 General

The Report Generator allows to generate the S2.16 L1, S2.17 L1 and TPTIBS L1 reports according to the requirements of the BCL in e-file v2.

### 2.2 Access to e-file v2

E-file v2 has to be accessed with the personal logon and password. Please contact your internal e-file administrator or FSQ for further guidance:

**HelpDesk**

Phone: (+352) 28 370 211

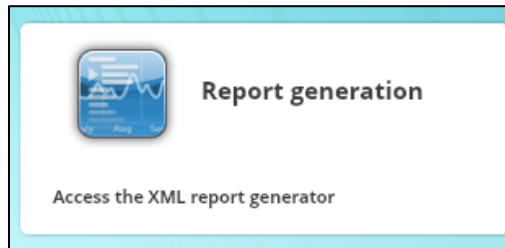
helpdesk@fundsquare.net

Access <https://www.e-file.lu/e-file/> and enter your logon and password.



## 2.3 Report type Selection

After connection via [www.e-file.lu/e-file](http://www.e-file.lu/e-file), select **Report generation** on the launchpad



And select the type of report:

**HINT:** The only reports accessible are those made available to you by your e-file administrator.

In order to make available reports **S2.16 L1**, **S2.17 L1** and **TPTIBS L1**, the latter has to add your logon to the «**Sociétés émettrices**» group with a «**Supervisor**» profile.

## 2.4 Report completion

The Report Generator is organized in three sections:

- ◆ **Header:** Generic information used to generate the report's filename
- ◆ **Assets:** Assets included on the balance sheet
- ◆ **Liabilities:** Liabilities included on the balance sheet

Various checks are performed in each section in order to reduce input errors. Alarms are triggered by incorrectly completed cells, errors are explained in red.



**Header** Assets Liabilities

Header

End month date 2014-12-01

Closing Date 2014-12-09

Currency EUR: EURO

Reporter type 23: Bank

Reporter code 123456789

Declarant type 26: UCI

Declarant code

*The end month date must be the last day of a month.  
The end month date must be greater than the closing date  
The sending of this version is not allowed for the chosen period*

*The end month date must be greater than the closing date*

*This field is required*

In the «**Assets**» and in the «**Liabilities**» section, additional functionalities are available:

- ◆ rows can be added by selecting the subgroup and using the **Add a reported line** button
- ◆ rows can be edited by double clicking on the row

Contexte **Actif** Passif

Actif

Lignes de bilan

Pays LU: Luxembourg

Zone géographique du bénéficiaire ultime XX: Non ventilé

Devise EUR: EURO

Secteur 32100: Etablissements de crédit

Code échéance 1000-01A: Inférieure ou égale à 1 an

Montant reporté 1000

Valider Annuler

- ◆ rows can be deleted with the  button on the right side of each the row

Contexte

Actif

Passif

Actif

Lignes de bilan

Exporter au format XML

✖ Exporter au format XLS

Sélectionner un rapport existant


Export draft


Transmission

1-LA2001 Prêts à des actionnaires	Pays	Zone géographique du bénéficiaire ultime	Devise	Secteur	Code échéance	Montant reporté	Statut	
1-LA2002 Prêts à des sociétés détenues à au - 10% du capital ou des droits de vote	LU	XX	EUR	32100	1000-01A	1000	✓	<div></div>
1-LA2003 Prêts à des sociétés sœurs								




## 2.5 Work in progress, export and import of reports

Work in progress on a report has to be **saved** with the  button. The exported .xml file will be called DRAFT\_filename.xml and **cannot** be uploaded for BCL and CSSF filing. It can be imported for later use.

The **final** reported can be saved via the  button. This button will only be available if the  icon appears in every section and the report has been completed. The file will be saved in xml format with the required naming convention. It will be saved on your hard drive and is available for sending to the Regulator.

A uncompleted or finalized report can also be exported into an .xls file with the  button. Please note that this file cannot be uploaded for further use into the tool.

The  button allows you to upload an existing report in **.xml** from your network or harddrive into the report generator.





## 3 Report Transmission

### 3.1 General

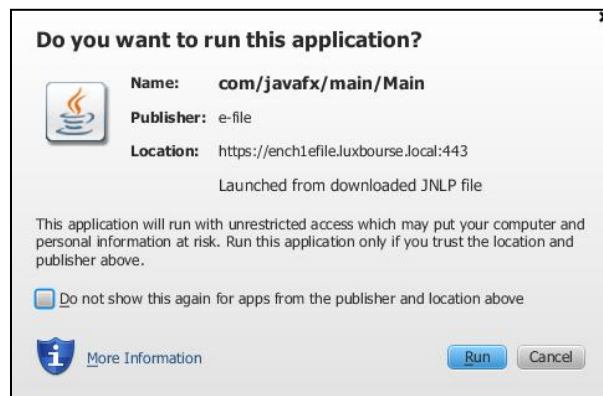
Completed reports can be transmitted from within the Report Generator or with the FSQ Sending Service.

### 3.2 Transmission with the Report Generator

#### 3.2.1 Setup of the e-file v2 encryption module v2

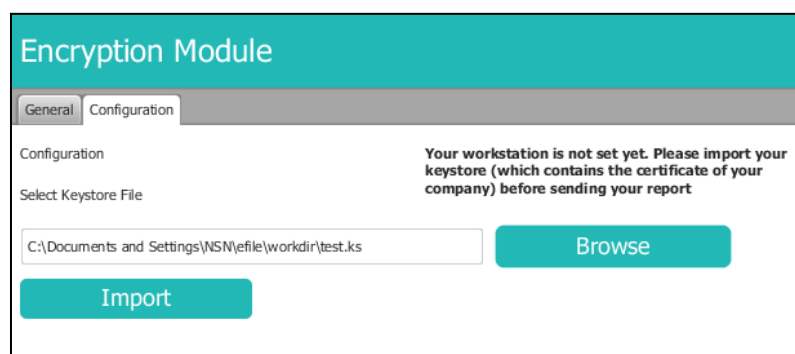
A completed report can be send with the **Transmission** button. **Java version 1.7.51** is a prerequisite for the installation of the e-file v2 encryption module.

When the **Transmission** button is used for the first time, a Java application will be downloaded (.jnlp) in order to install the encryption module locally on your desktop. Please hit **Run** when the following window appears on your screen in order to launch the encryption module :



**HINT** : It is possible that the pop up blocker prevents that the **.jnlp** file is downloaded. Please check with your IT to allow pop ups from <https://www.e-file.lu/> .

The encryption module has to be configured when it is used for the first time (or after each Java update). The path to the keystore has to be selected with the **Browse** button and the key (locally or on a server) will have to be imported with the **Import** button:





After the import of the key, the access to the keystore is saved and does not have to be reconfigured in the future. You will be redirected to the sending screen and reports can now be sent with e-file v2.

In order to be more user friendly and to speed up the sending process, the encryption module runs as a back ground process on your desktop. In order to end the process, right click on the icon in the taskbar and select **Close encryption module** :



### 3.2.2 Sending of the report

After the installation of the encryption module on your desktop, reports can be sent from the Report Generator with the **Transmission** button. In the following window, the file name is automatically generated and compliant to the BCL naming convention:

After entering a name for the sending (this name will also be used for search queries) and entering the keystore password, the report can be sent with the **Send** button. A popup window will confirm the transmission:





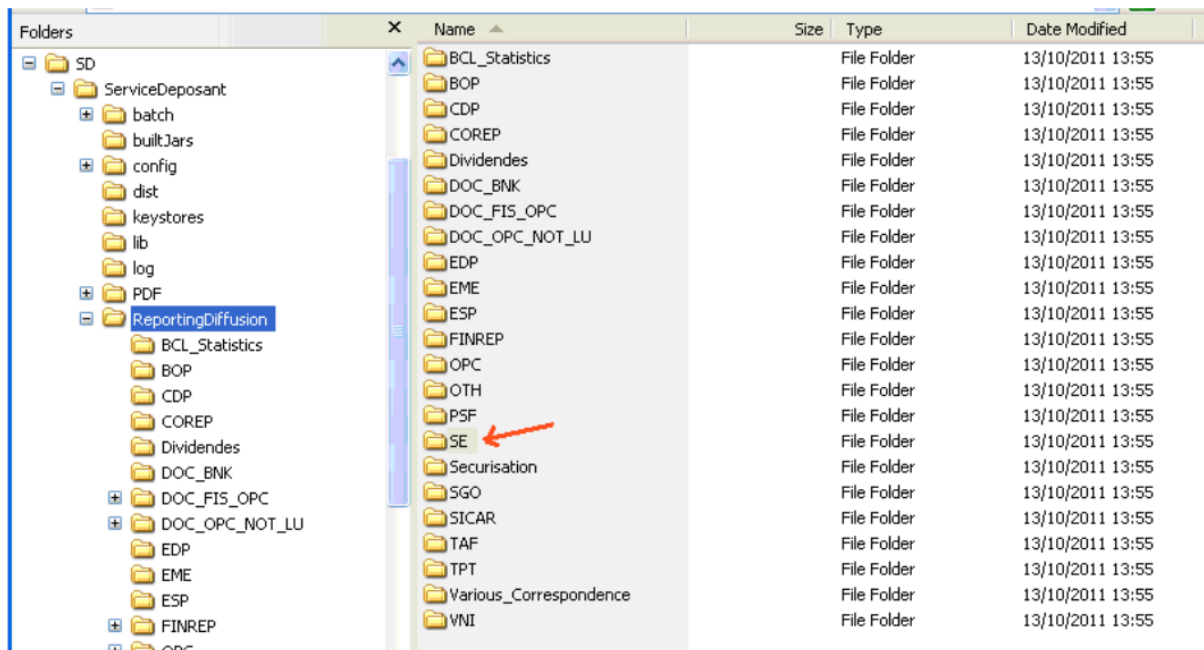
### 3.3 Automatic sending with the Sending Service

In order to send reports with the Sending Service, the following components have to be installed on your desktop:

- ◆ Java version 1.6.0.14 or higher
- ◆ Sending service version dated 2014/11/26 or higher

#### 3.3.1 Access to the Sending Service

The Sending Service is accessible with the file explorer and visible as a folder including subfolders :



The standard file structure includes an «OPC» subfolder (by default, a subfolder for each type of reporting company is included, but inactive).

#### 3.3.2 Sending frequency

During the setup of the sending service, the sending frequency can be individually for each subfolder by your e-file administrator within the setup file. The default sending frequency is every 30 minutes but it can be tailored according to your needs.

#### 3.3.3 Report transmission

In order to send a report with the Sending Service, the exported .xml report has to be copied into the .../ServiceDeposant/ReportingDiffusion/SE subfolder.

Should the S2.16 L1, S2.17 L1 and TPTIBS L1 reports **not** have been generated with the FSQ Report Generator, the file has to respect the requirements in terms of naming convention, file type and file extension.

The Listener of a properties file has to be set to : **reportingSE.state=up**



### 3.3.4 Files created by the Sending Service

During and at the end of the sending, the Sending Service generates various files in the subfolder that has been used for the sending. Three type of files are generated:

- ◆ **.trt file:** indicates the start of the transmission

In order to be able to send the original file, the Sending Service transforms the latter into a .trt file and adds a timestamp. Eg «OriginalName.xml» is transformed into OriginalName.xml.timestamp.trt:

S0216\_L1\_201406\_B000000789\_DSE0003524\_20140720\_001.xml becomes

S0216\_L1\_201406\_B000000789\_DSE0003524\_20140720\_001.xml\_20141202141233974.trt

- ◆ **.acq file:** the transmission has been successfully completed

Example of a successful transmission:

Before the transmission:

Name	Size	Type	Date Modified
S0216_L1_201406_B000000789_DSE0003524_20140720_001.xml	5 KB	XML File	16/12/2014 16:22

After the transmission:

Name	Size	Type	Date Modified
S0216_L1_201406_B000000789_DSE0003524_20140720_001.xml_20141202141233974.trt	5 KB	TRT File	16/12/2014 16:22
S0216_L1_201406_B000000789_DSE0003524_20140720_001.xml_20141202141289568.acq	1 KB	ACQ File	16/12/2014 16:24

- ◆ **.err file:** indicates that an error has occurred during the sending

The error file contains technical messages designed to help find the root cause of the error, eg naming errors. If required (for technical reasons), an empty error message can be generated after each transmission.

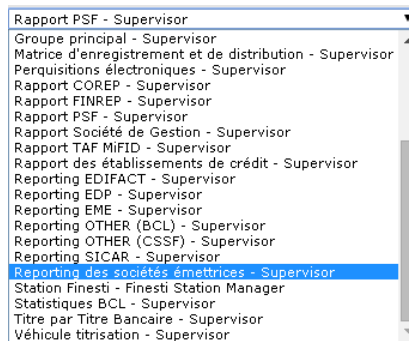
Example of a unsuccessful transmission:

Name	Size	Type	Date Modified
S0216_L1_201406_B000000789_DSE0003524_20140720_001.xml_20141202141233974.trt	5 KB	TRT File	16/12/2014 16:22
S0216_L1_201406_B000000789_DSE0003524_20140720_001.xml_20141202141289568.err	1 KB	ERR File	16/12/2014 16:24



## 4 Transmission follow up

E-file allows to follow up the reports that have been sent. After accessing [www.e-file.lu](http://www.e-file.lu), please select **Station Finesti - Finesti Station Manager** within the subgroups available on the top on the right side of the screen (your e-file administrator defines the subgroups that are available to you):



Select ☐ Use [envelopes search...](#)



Enter your search criteria in the search window:



**e-file.lu** HOMOLOGATION

Navigation menu Welcome **Nicole Smith** Help Glossa Station Finest - Finest Sta

### Envelopes search

You can use several cumulative search criteria to access your data:  
By identifier, name, documents, folders and procedure

**by identifier**  
Envelope ID  
Document ID

**by document information**  
Name of the document  
Document type  
Date of the document  
Date of publication  
min  
max  
min  
max  
(dd/mm/yyyy)  
(dd/mm/yyyy)  
(dd/mm/yyyy)  
(dd/mm/yyyy)

**by envelope information**  
Envelope subject  
Sent date  
min  
max  
(dd/mm/yyyy)  
(dd/mm/yyyy)  
Envelope status  
Sender  
Validator  
Sent/Received  
All statuses  
All users  
All users  
Sent / Received

**by file information**  
File name

**by procedure information**  
Name of procedure type  
Procedure status  
All procedure types  
All statuses

Clear Validate

Generic character % can be used. Case specifications are maintained.

In order to reduce the search results, at least «Document type» has to be specified. Push the **Validate** button to start the search. The search results will appear in the following screen:

Envelopes search

Envelope ID	Sent date	Envelope subject	Sender	Sent/Received	Procedure status	Attached docu
5686168	23/10/2014	- Envoi automatique le 23/10/2014 à 16:53:58	déposant service	Sent	Started	1
5686173	24/10/2014	- Envoi automatique le 24/10/2014 à 10:38:44	déposant service	Sent	Started	1
5686280	27/11/2014	Code Csef: 6233/9 - Envoi automatique le 27/11/2014 à 16:19:32	déposant service	Sent	Started	1
5686440	02/12/2014	Code Csef: 01234/1 - Envoi automatique le 02/12/2014 à 14:12:51	déposant service	Sent	Started	1
5686467	08/12/2014	Reporting S1.3 - 12/2014	Nicole Smith	Sent	Closed	1
5686924	10/12/2014	Reporting S1.3 - 12/2014	Jean Forgeron	Sent	Closed	1

The procedure status column will show the following status:

- ◆ Started: The transmission of the report has started but is not finished
- ◆ Closed: The report has been transmitted

The document that has been transmitted can be accessed by clicking on the envelop ID. In order to retrieve the report, encryption module of e-file v1 has to be installed. An installation guide for the latter can be found by clicking on the following link:

[https://www.e-file.lu/docs/EN/ManuUtil\\_E-file\\_New\\_Workstation\\_EN\\_3.9.pdf](https://www.e-file.lu/docs/EN/ManuUtil_E-file_New_Workstation_EN_3.9.pdf)