WEBINAR

# E-FILE ONBOARDING

With Guillaume Peisieu and Philip Reimer

December 2023

# WELCOME

**Guillaume Peisieu**
Lead Client Support & Operations Desk

# SPEAKERS

**Guillaume Peisieu**

Lead Client Support & Operations Desk

FE fundinfo

**Philip Reimer**

Client Support & Operations Office

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# AGENDA

1 **I** Why is onboarding required for e-file?

2 **I** For which reports is onboarding required?

3 **I** How to onboard

4 **I** Q&A

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# WHY IS ONBOARDING REQUIRED TO E-FILE?

# WHY IS ONBOARDING REQUIRED?

- To respect the controls put in place by the authorities
  - Which service provider/sender they expect for a given declaring entity
- To avoid rejection of a report after submission
- ... plus the advantage of having drop-down menus of the online forms prepopulated with the correct names/codification (once for all)

# FOR WHICH REPORTS IS ONBOARDING REQUIRED?

# CSSF (COMMISSION DE SURVEILLANCE DU SECTEUR FINANCIER)

- Reporting requiring certificate declaration
  - Management Company (G2.1)
  - SICAR historical filing (K3.1)
  - Professionals of the Financial Sector (PSFREP)
  - Investment Firms and Credit Institutions (MiFIR, B2.4/5 (FINREP), CSDR, COREP)
  - Institutions for Occupational Retirement Provision (SUFREP)
  - Money Market Funds (MMF)
  - Electronic Money Institutions (EMEREP)
  - Payment Institutions (EDPREP)

- Regulated AIFs (AIFMD – Annex IV)

- Other structured documents (Regulated UCI and SICAR)
  - U1.1, O4, O1

- Non-structured electronic documents
  - DOCREP (O, K, S, A, P), ESPREP, OTHREP….

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# BCL (BANQUE CENTRALE DU LUXEMBOURG)

- Non-regulated UCI and SICAR (TPTOBS, S2.13, S1.6)

- Credit Institutions (Anacredit, BCL Stats, S1.12, Security by Security, BOP)

- Payment Institutions/Electronic Money Institutions

   (Data payment collection – CDP)

# ACD (ADMINISTRATION DES CONTRIBUTIONS DIRECTES)

- FATCA
- CRS

# HOW TO ONBOARD

Forms to be completed and returned to our attention

- For reporting requiring certificate declaration (CSSF)
- For non-structured electronic documents (CSSF)
- For credit institution reporting (BCL)

→ **Contact Form**

# HOW TO FILL IN THE CONTACT FORM

**Depositor Details**

- related to you, the company having a contract with Fundsquare and who is logging on to e-file to submit the reports.

Please fill in the form and send it back to **cso.desk@fundsquare.net**

## Depositor Details
(**Depositor** = Entity that submits the declarer's reportings/documents and that is the contracting party to Fundsquare)

### General information

| | |
|---|---|
| Full legal company name (appears in contract) | Fundsquare SA |
| Street | 35A Boulevard Joseph II |
| Postal code | L-1840 |
| City | Luxembourg |
| Country | Luxembourg |
| Register of Commerce number (Registre de Commerce (RCS)) | B177901 |
| VAT number | 100231108 |
| Identification numbers attributed to Depositors by Regulators* | |

\* Example:
(–) S00000111 (Société de gestion – Management company)
(–) P00000222 (Professionals of the financial sector)
(–) B00000333 (Banks)
(–) W1234 (Electronic money institutions)
(–) I00000999 (Legal person not supervised by the CSSF)
(–) 123400ABCDE2AAA22T70 (LEI)

(–) A00000666 (Alternative investment fund managers)
(–) I00000888 (Support PFS)
(–) K5555 (SICAR)
(–) Z7777 (Payment institutions)
(–) LUB0099 (RIAD)
(–) ASS000123456 (BCL Insurance companies)

# HOW TO FILL IN THE CONTACT FORM

## Declarer Details

- related to the entity impacted by the reporting (the company submitting the report, its clients, its branches..)

| Declarer Details | | | |
|---|---|---|---|
| **(Declarer = Supervised Legal entity subject to Regulatory reporting obligation)** | | | |
| Declarer | Name | Address | Id number attributed to Declarer by Regulators ** |
| Declarer 1 | FE fundinfo (UK) Limited | C/O Tmf Group 13th Floor, One Angel Court, London, UK, EC2R 7HJ | 100004906 |
| Declarer 2 | | | |
| Declarer 3 | | | |
| Declarer 4 | | | |
| Declarer 5 | | | |
| Declarer 6 | | | |
| Declarer 7 | | | |
| Declarer 8 | | | |
| Declarer 9 | | | |
| Declarer 10 | | | |

**
Example:
(–) S00000111 (Société de gestion – Management company)
(–) P00000222 (Professionals of the financial sector)
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# HOW TO FILL IN THE CONTACT FORM

## Reporting types

| Product Ref. | Auth. | Reporting types | Onboarding form type | Indicate (yes/no) which reporting type you will have to submit |
|---|---|---|---|---|
| 1.1 // 2.1.16 | CSSF | CSSF 15/633 financial information by management companies | CSSF - Circular 10/467 and 15/633 | no |
| 1.1 | CSSF | CSSF 08/376 SICAR financial information | CSSF - Circular 08/376 | no |
| 1.5 | CSSF | CSSF 19/708 Transmission Luxembourg funds document to CSSF | CSSF - Circular 19/708 | no |
| 1.6 | CSSF | CSSF 20/734, CSSF 20/735 and CSSF 20/736 Money Market Fund reporting | CSSF for Money Market Fund | no |
| 2.1.3 | CSSF | FINREP (B2.4; B2.5) | CSSF requirements for credit institutions | no |
| 2.1.3 | CSSF | Edifact (B4.4) | CSSF requirements for credit institutions | no |
| 2.1.4 | CSSF | COREP | CSSF requirements for credit institutions | no |
| 2.1.5 | BCL | BCL Statistics (S-reporting) | BCL - Circular 2014/235 | no |
| 2.1.6 | BCL | BCL Statistics (Security by security) | BCL - Circular 2014/235 | no |
| 2.1.7 | BCL | BCL Statistics (Balance of payments) | BCL - Circular 2007/216 | no |
| 2.1.8 | CSSF | PFS (professionals of the financial sector) | CSSF - PFS | no |
| 2.1.10 | CSSF | Payment institutions (EDP) | CSSF - Circular 11/511 | no |
| 2.1.11 | CSSF | Electronic money institutions - CSSF 11/522 (EME) | CSSF - Circular 11/522 | no |
| 2.1.13 | BCL | Payments Data Collection (BCL 2015/20) | BCL - Regulation 2011/9 | no |
| 2.1.14 | SPJ | Secured Electronic Reporting with the Luxembourg office of investigating judge - Circular 13/566 | CSSF - Circular 13/566 | no |
| 2.1.17 | CSSF | CSSF 15/624 (Credit institutions: AR, CO etc.) and CSSF 10/457 (Credit institutions and investment firms: LF and ML) | Circular CSSF 19/731 and 10/457 | no |
| 2.1.18 | CSSF | Special enquiries - ESP (CSSF 15/604) | CSSF - Ad hoc reports | no |
| 2.1.20 | CAA | CAA Reporting – Secured Electronic Reporting with the Commissariat Aux Assurances (CAA) - Circular 15/10 | CAA - Circular 15/10 | no |
| 2.1.21 | BCL | Statistical data collection for insurance corporations (BCL 2015/239) | Circular - 2015/239 | no |
| 2.1.23 | CSSF | MiFIR - Transactions in Financial Instruments ( European Economic Area - Article 26 of Regulation No 600/2014) | Circular CSSF 17/674 | no |
| 2.1.24 | BCL | AnaCredit - collection of granular credit and credit risk data (ECB/2016/13) -  BCL circular 2017/240 | Circular BCL 2017240 | no |
| 2.1.25 | BCL | Report S 1.12-L - Indirect withdrawal and remittance of banknotes denominated in EUR through an intermediary | BCL - Circular 2014/235 | no |
| 2.1.26 | CSSF | circular 19/709 - quarterly internalised settlmnt reporting requirmnt pursuant to Article 9(1) of EU Regul No 909/2014 (CSDR) | CSSF - Circular 19/709 | no |
| - | BCL | BCL SHS group | Regulation (EU) No 1011/2012 ECB | no |
| - | CSSF | Other reportings - CSSF (OTHREP) | Naming convention for CSSF reportings | no |
| - | BCL | Various correspondence - BCL (OTXREP) | - | no |

# HOW TO ONBOARD

Forms to be completed and returned to our attention

- For AIFMD reporting (CSSF)
- For regulated UCIs and SICARS (BCL,CSSF)
- For non-regulated AIFs (BCL)

→ **Fundamental Data Form**

# HOW TO ACCESS THE FDF

## Via the Static Data Management module
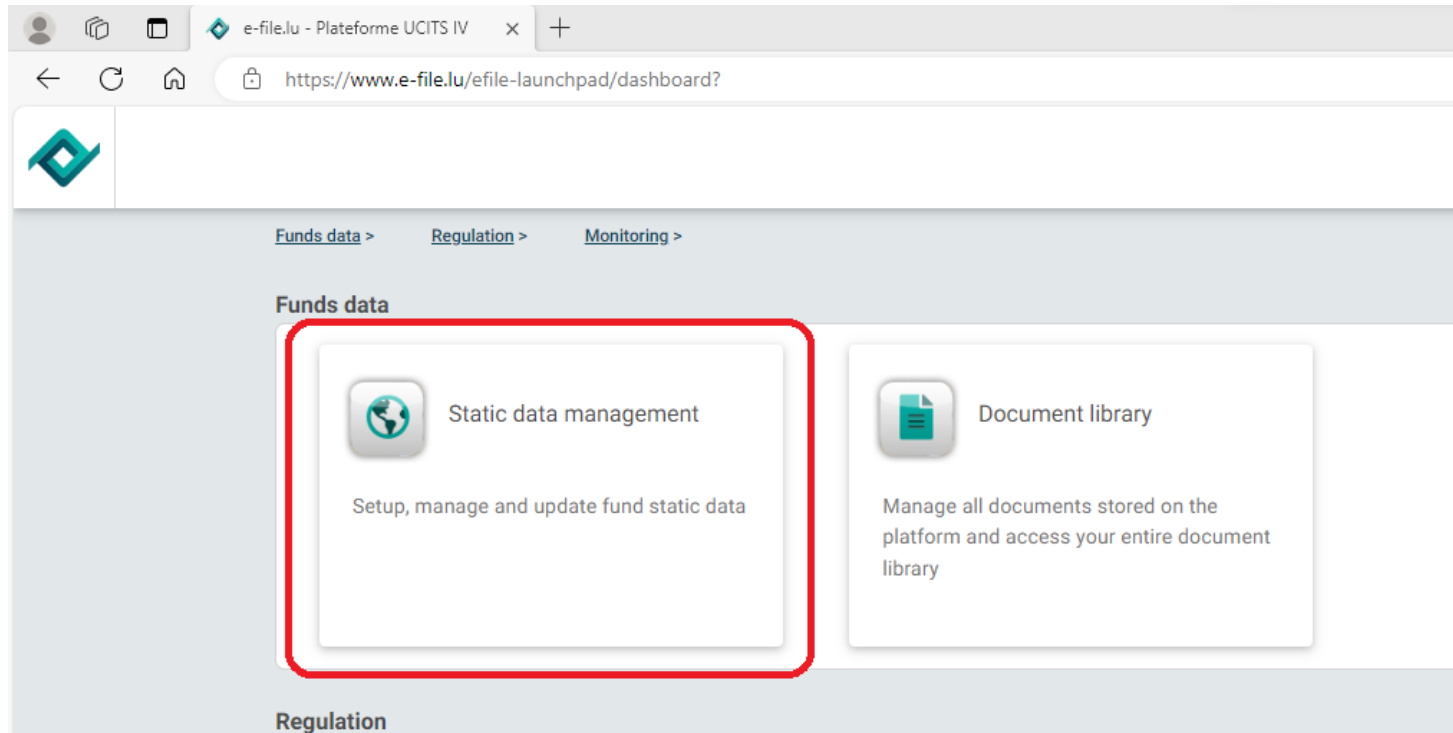


## Or can be requested by mail

# HOW TO FILL IN THE FDF

## Mandatory fields in yellow

| | A | B | C | D | E | F | G | H |
|---|---|---|---|---|---|---|---|---|
| 1 | | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
| | | | | | | | | |
| **Third-Party Information** | | | | | | | | |
| | String char (100) | String char (100) | String char (100) | String char (100) | String char (100) | String char (100) | String char (20) | String char (2 |
| | Promoter | Management Company | Investment Company | Fund Administration | Transfer Agent | Fund Name | Fund National Competent Authority Code | Fund Administrati |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

Mandatory
Conditional cf Definition

# HOW TO FILL IN THE FDF

## Conditional fields in pink

- Used for former Order Routing Services: C, E...

## Special case

- For legal reporting (U1.1, TPT) reporting, authority code, columns  G, S, AD

| B | C | D | E | F | G | S | AD |
|---|---|---|---|---|---|---|---|
| 2 | 3 | 4 | 5 | 6 | 7 | 19 | 30 |
| Third-Party Information | | | | Fund Information | | Sub-Fund Information | Share Class Information |
| String char (100) | String char (100) | String char (100) | String char (100) | String char (100) | String char (20) | String char (20) | String char (20) |
| Management Company | Investment Company | Fund Administration | Transfer Agent | Fund Name | Fund National Competent Authority Code | Sub-Fund National Competent Authority Code | Share Class National Competent Authority Code |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

# HOW TO ONBOARD

Forms to be completed and returned to our attention

- For FATCA/CRS (ACD)

→**FATCACRS_Onboarding Form**

# HOW TO ACCESS THE FATCA/CRS ONBOARDING FORM

## Via the Transmission follow-up module
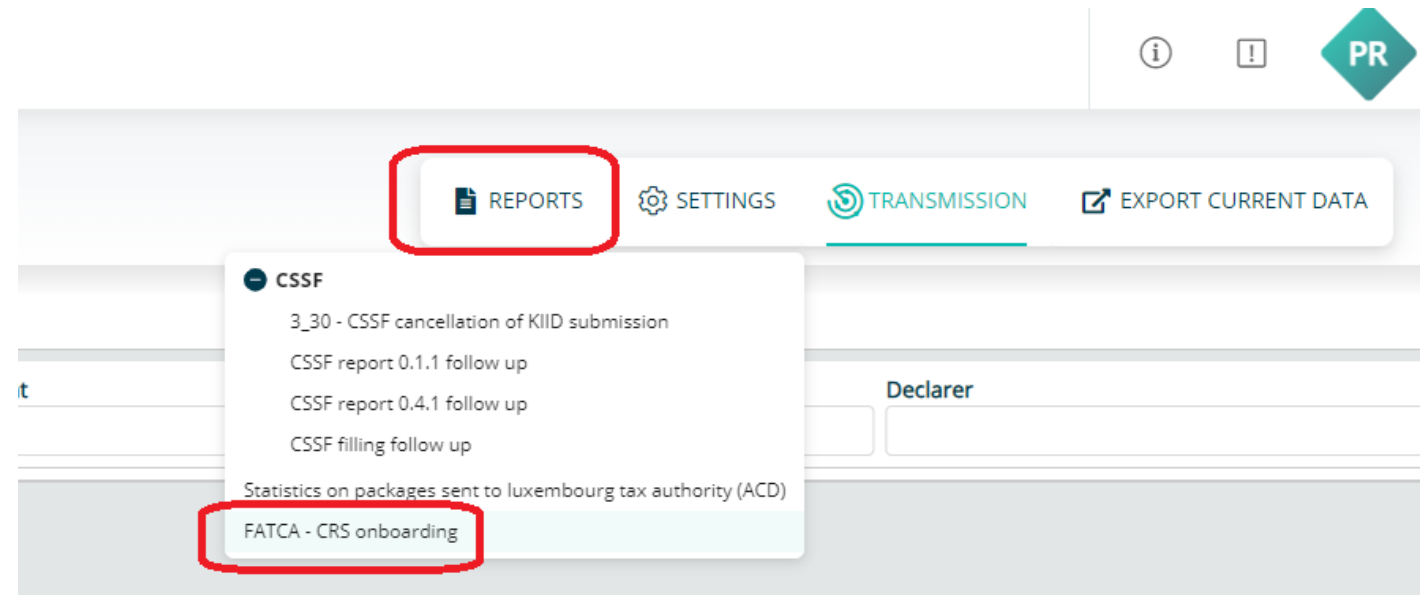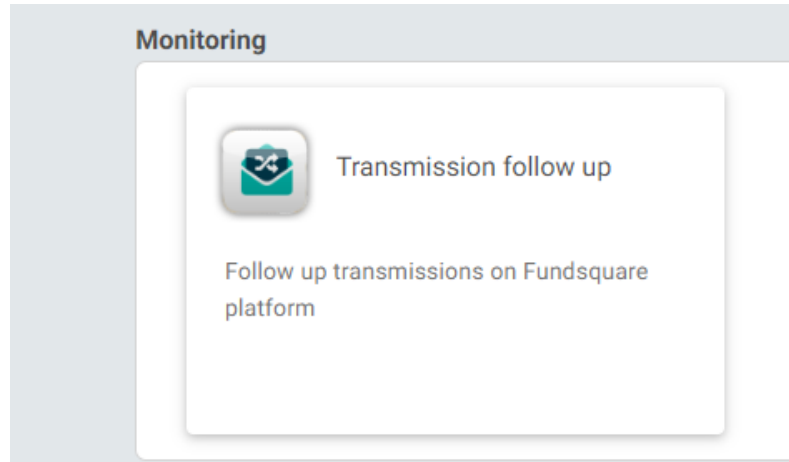
# HOW TO FILL IN THE FATCA/CRS ONBOARDING FORM

**Depositors details pre-filled**

| | | | Depositor Details | | | | |
|---|---|---|---|---|---|---|---|
| | | | | | | | |

* mandatory

| Full legal company name | RCS Codification | CCSS_Code | Adress | Postal_Code | City | Country | Internal_Id |
|---|---|---|---|---|---|---|---|
| * | * | * | * | * | * | * | * |
| Fundsquare S.A. | B177901 | 20132210218 | 35A, Boulevard Joseph II | L-1840 | LUXEMBOURG | Luxembourg | 5612 |

Explanation | **Depositor Details** | RFI Details - FATCA | RFI Details - CRS | +

# HOW TO FILL IN THE FATCA/CRS ONBOARDING FORM

## A dedicated tab is available to populate RFI details (for both Fatca and CRS section)

| | A | B | C | D | E | F | G | H | I | J | K | L | M | N | O |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | RFI Details FATCA process details | | | |
| | Declarer level | | | Third party level details | | | | | Fund level details | | Sub-fund level details | | | FATCA process details | |
| | Level (0=third party 1=fund 2=sub-fund) | Name of RFI/declarer | RCS Codification | Matricule of the RFI | Adress | Postal Code | City | Country | Fund Name | CSSF Fund codification | SubFund Name | CSSF subfund codification | GIIN Code (related to the declarer level) | In charge of FATCA reporting from date | In charge of FATCA reporting end date |
| | * | * | * | * | * | * | * | * | | * | * | * | * | Format: DD/MM/YYYY(*) | Format: DD/MM/YYYY(*) |
| | 0 | X Company | B96744 | 20032223878M00000000 | 19, rue nom | L-1273 | LUXEMBOURG | Luxembourg | | | | | | | |
| | 1 | X Company | B96744 | 20204502464M00000000 | 19, rue nom | L-1273 | LUXEMBOURG | Luxembourg | X SICAV | V9999 | | | | | |
| | 2 | X Company | B96744 | 20204502464F00000002 | 19, rue nom | L-1273 | LUXEMBOURG | Luxembourg | X SICAV | V9999 | X Sub-fund | 2 | AXJR19.99999.SL.442 | 19/05/2021 | 20/11/2023 |

# EXCEPTION: WHEN NO ONBOARDING IS REQUIRED

- Securitisation Vehicles (TPTTBS, S2.14, S2.15)

- Financial Companies (TPTIBS, S2.16, S2.17)

- Transfer of fund from one sender to another

# Q&A

**Guillaume Peisieu, Philip Reimer**

# WHERE CAN I FIND ASSISTANCE?

https://www.e-file.lu/wiki/Onboarding

Page | Discussion

Read | View source | View history | Search E-fileWiki

## Onboarding

### Introduction

The aim of this page is to described the different onboarding and when should it be used

**Note:** The onboarding is only required for new declarant/funds (i.e. recently created in the CSSF database).

In case of a transfer (from a former reporter/declarer) we only need :

- The Transfer date
- The name of the former sender

### Onboarding listing

Please find below the description of the reporting type related onboarding

| Type of Entity and Reports | Onboarding required | Onboarding type |
|---|---|---|
| **Regulated UCIs and SICARs**<br>Reports required are **TPTOBS** (monthly), **S 2.13** balance sheet quarterly and **S 1.6** (monthly if applicable), as per Circular BCL 2014/237 and CSSF 14/588 and **U1.1** as per CSSF 15/627.<br><br>**Note:** In case of a transfer please provide us only with the **CSSF code** of the fund, the **transfer date** and the **name of the former sender** | YES | FDF form via Static Data Management |
| **Non-regulated AIFs** (NAFs) Reports required to be filed with BCL but not with CSSF<br>BCL Reports for NAFs: **TPTOBS** (monthly), **S 1.6** if applicable, **S 2.13** balance sheet quarterly. These are required as per Circular BCL 2018/241.<br><br>**Note:** In case of a transfer please provide us only with the **NAF code** of the fund, the **transfer date** and the **name of the former sender** | YES | FDF form via Static Data Management |
| **Securitisation Vehicles** (reports required to be filed with BCL but not with CSSF)<br>BCL Reports for securitisation vehicles: **TPTTBS** (monthly), **S 2.14** balance sheet quarterly and **S 2.15** quarterly on transactions and write-offs/write-downs on securitised loans. These are required as per Circular BCL 2014/236. | NO | N/A |
| **Financial Companies** (reports required to be filed with BCL but not with CSSF)<br>BCL Reports for financial companies: **TPTIBS** (monthly), **S 2.16** balance sheet quarterly and **S 2.17** quarterly information on transactions of financial companies. These are required as per BCL 2014/No 17 and BCL 2011/No8. | NO | N/A |
| **Financial Institutions** - Foreign Account Tax Compliance Act **(FATCA)**<br>Foreign Account Tax Compliance Act Reporting to be filed with ACD - ECHA 3 ciruclar | YES | Fatca-CRS onboarding form |

# CONTACT US

Your expert team

**Guillaume Peisieu**
Lead Client Support and
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FE fundinfo

**Philip Reimer**
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**Veronique Koch**
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**> For any questions, please contact**: cso.desk@fundsquare.net

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