

How to manage Documents on the Fundsquare platform OR “WHERE IS THE KIID ...?”

Setup requirements

Registration and distribution matrix

Document library

The registration and distribution matrix

The Regulator package

DHS and Document publication

Contents

Introduction	4
0.1 Purpose of the document.....	4
0.2 Acronyms and abbreviations.....	4
1 SETUP REQUIREMENTS	5
1.1 Setup information and requirements	5
1.2 The Fundsquare naming convention	5
1.3 KIID/document upload via SFTP transfer	6
2 REGISTRATION AND DISTRIBUTION MATRIX.....	8
2.2 General.....	8
2.3 The registration matrix	8
2.4 The distribution matrix.....	10
2.5 Reports available	12
3 DOCUMENT LIBRARY	13
3.1 General.....	13
3.2 Document search	13
3.3 Document details	14
3.4 Archiving of a document.....	15
3.5 Reports available in the document library.....	15
4 THE REGULATOR PACKAGE	17
4.1 General.....	17
4.2 Document selection and manual triggering of the filing package	17
4.3 The filing Country Language Matrix (“CLM”).....	17
4.4 The consolidated view and the filing automations	18
4.4.1 Filing conditions for KIID filing automations	19
4.5 Transmission follow up.....	20
5 DHS AND DOCUMENT PUBLICATION	21
5.1 General.....	21
5.2 Document publication.....	21
5.2.1 Manual publication	21
5.2.2 Publication after sftp upload.....	21
5.2.3 Publication automation linked to KIID filings	21
5.2.4 Publication automation linked to registration/distribution status (RD).....	22
5.3 DHS.....	22
5.4 Difference between the DHS and the Publication basket.....	23
5.5 The Publication CLM.....	23
5.6 Unpublication of documents.....	23

6	USEFUL TOOLS	24
6.2	Fund and shareclass universe	24
6.3	Dashboard 3_24 Follow up: Detailed view on KIID	24
6.4	Document properties.....	Error! Bookmark not defined.
6.5	Status of a share-class at FSQ and the CSSF	Error! Bookmark not defined.

Introduction

0.1 Purpose of the document

The most asked question from the users of the Fundsquare ("FSQ") platform when contacting FSQ is **"Where is my KIID?"**. This note deals with the availability of a Key Investor Information Document ("KIID")¹ on the various services and modules on the FSQ platform. Although it focuses on the handling of the KIIDs, most section can also be applied to any other type of document, under the condition this type of document (and the various underlying workflows) have been defined within the fundsquare platform.

The first chapter starts with the various step in order to setup a fund and its underlying workflows within the E-file universe. It deals as well with the transfer of documents into the e-file fund library.

The second chapter starts with the sending and the upload of the KIIDs into the Document library (Chapter 2) or **"How can I upload a document in the library?"**.

It explains the prerequisites of the Regulator filing (Chapter 3) (**"Why is this KIID not included in the package we received?"**), the publication on the Fundsquare webportal (Chapter 4) as well as the White Labelling (Chapter 5) (**"Why is this KIID not visible?"**) and finally in the documents sent with the Document Dissemination Service (Chapter 6) (**"Why has this KIID not been sent?"**).

0.2 Acronyms and abbreviations

Term	Description
CLM	Country Language Matrix
DDS	Document Dissemination Service
DHS	Document Hosting Service
FSQ	Fundsquare
Notification light	Registration of an additional shareclass in an already passported subfund
SFTP	Secure File Transfer Protocol
HTML	HyperText Markup Language used to create web pages
KIID	Key Investor Information Document
KIID Factory	Service provider that produces KIIDs
Package	Email including KIIDs, either for a KIID update filing or a light notification
XML	Extensible Markup Language

Disclaimer: This document is subject to change and chosen print screens showing fundnames are random and do under no circumstances express recommendations for investments or any preferences of FSQ.

¹ the underlying rules do also majorly apply to the other document types that are accepted on the FSQ platform

1 Setup Requirements

1.1 Setup information and requirements

In order to set up funds on e-file platform and grant the required access rights, Fundsquare need to receive a series of information:

- the FDF file with the static data to create the fund/subfund/shareclass in our database
- the E-file setup instruction template: It defines the various services that will be delivered to the documents, as well as a series of other constraints that have to be defined in order to be able to use e-file efficiently, inter alia
 - o the type of service (filing, dissemination, while labelling)
 - o type of access
 - o filing workflows
 - o country language settings (languages that will be used for filing and publication)
 - o type of document upload (SFTP or manual)
 - o email parameters (template text, email signature, recipients, ...)
 - o automations that have to be put in place (affecting various areas: registration/distribution matrix, filing, publication)
- Mandate of the client (where applicable, for direct filings)

Depending on the list of services, Fundsquare will create your access to the various tools (Registration and Distribution matrix, Dashboard, Document management...).

Important: Fundsquare might not give you a complete write access to all the countries in the Registration matrix as another service provider might have been mandated by the Management company of the fund(s) to do Regulator updates for these specific countries.

As soon as Fundsquare have granted these access rights, clients can log on to the various tools using their own e-file logon and password (passwords should not be shared).

Fundsquare will also create an SFTP logon and password for the delivery of the KIIDs or add a new client specific LIB subfolder on an existing SFTP server, should this be required.

1.2 The Fundsquare naming convention

All documents need to be correctly named so that they can automatically be uploaded/(indexed) into the database. For KIIDs, the naming convention is:

KIIDOC-2012-XX-XX-XX-00-2012-XX-XX-IE00B3S1J086.pdf.

Example: KIIDOC-2012-09-10-EN-00-2012-09-10-IE00B3S1J086.pdf

The **first date** in the name is the date referenced of/inside the document (the reference date).

The **second date** in the name is the publication date.

EN-00 are the ISO 2 language and ISO 2 country codes: This combination can be either generic (EN-00, DE-00, FR-00, ..) or specific to a country (EN-LU, EN-IE, DE-DE, FR-FR, FR-CH, ...).

Some countries (for the time being only Switzerland) require specific KIIDs and need a country specific code:

DE-CH etc. In this example, the German KIID is only applicable to Switzerland and shall not be used for distribution in Germany.

The language and country codes follow the ISO 2 rules (sometimes, language and country code are not the same e.g. SV (Swedish) and SE (Sweden)).

Important: For all translated KIIDs, the reference date must match the base language reference date.

Possible automation: Fundsquare can automate the indexation of the kiids without the fundsquare naming convention, either


- by using the metadata included in the name of the document or the document properties.
- by “reading” information in the KIID (reference date and language information needs always to be at the same place in the kiid)

Any kind of renaming has to be developed and might generate additional fees.

1.3 KIID/document upload via SFTP transfer

The SFTP entry can be created at any time during or after the client onboarding. The transfer of KIIDs to Fundsquare is done through the SFTP “Lib” folder. **KIIDs have to be sent in a Zip file.** There is NO particular Zip file naming convention (but we recommend using a time stamp).

When KIIDs are transferred via sftp, an email with an acknowledgement file in .xls is generated which shows if the KIIDs have been indexed correctly:

Deposit acknowledgment												
												
Deposit identifier : Super KIID factory Reception Date : 30/11/2021 14:41 Envelope identifier : 103746720												
Fundsquare Document Identifier	Document Type	Reference Date	Publication Date	Publication Time	Document Status	Status Information	Language	ISIN	Fund Name	Sub-fund Name	Share Name	File Name
107935092	Key Investor Information (KII)	26-11-2021	29-11-2021	00:00:00	Indexed	Successful Indexation	DE	LU1660424026	DNB Fund	Renewable Energy	Retail B EUR Distribution	KIIDOC-2021-11-26-DE-AT-2021-11-29-LU1660424026
107935093	Key Investor Information (KII)	26-11-2021	29-11-2021	00:00:00	Indexed	Successful Indexation	DE	LU1706372759	DNB Fund	Renewable Energy	Retail B (N) EUR Distribution	KIIDOC-2021-11-26-DE-AT-2021-11-29-LU1706372759
107935094	Key Investor Information (KII)	26-11-2021	29-11-2021	00:00:00	Indexed	Successful Indexation	DE	LU1660424026	DNB Fund	Renewable Energy	Retail B EUR Distribution	KIIDOC-2021-11-26-DE-CH-2021-11-29-LU1660424026
107935095	Key Investor Information (KII)	26-11-2021	29-11-2021	00:00:00	Indexed	Successful Indexation	DE	LU1706372759	DNB Fund	Renewable Energy	Retail B (N) EUR Distribution	KIIDOC-2021-11-26-DE-CH-2021-11-29-LU1706372759
107935096	Key Investor Information (KII)	26-11-2021	29-11-2021	00:00:00	Indexed	Successful Indexation	DE	LU1660424026	DNB Fund	Renewable Energy	Retail B EUR Distribution	KIIDOC-2021-11-26-DE-DE-2021-11-29-LU1660424026
107935097	Key Investor Information (KII)	26-11-2021	29-11-2021	00:00:00	Indexed	Successful Indexation	DE	LU1706372759	DNB Fund	Renewable Energy	Retail B (N) EUR Distribution	KIIDOC-2021-11-26-DE-DE-2021-11-29-LU1706372759

The following errors can appear during the upload process:

- **Unrecognized instrument:** The system does not recognize the Isin code; either the code is wrong or it does not (yet) exist in our database.

Solution: Correct the Isin or have the shareclass created in our database: Please complete the FDF (with the static data information) and send it to ReferentialData@fundsquare.net. As soon as the shareclass has been created, the document will be indexed - no need to send it again.

- **Document type/country code/language code non recognized:** The system does not recognize the document type/country code/language code of the document.

Solution(s): Please review the document type name and correct it (according to the FSQ naming convention).

The language code has to comply with ISO 3166-1 alpha-2 (https://en.wikipedia.org/wiki/ISO_3166-1_alpha-2).

The the country code has to comply with ISO 639-1 (https://en.wikipedia.org/wiki/List_of_ISO_639-1_codes).

- **Duplicate document index:** a document with an identical name exists in our database, but the content of the document is different.

Solution: No action, as this is normally the case for updated/corrected documents

- **Duplicate:** An identical document is existing in our database (name and content).

Solution: The document is automatically archived, please use the original document.

- Out-of-date document: the document has a reference that is older than another document in the database.

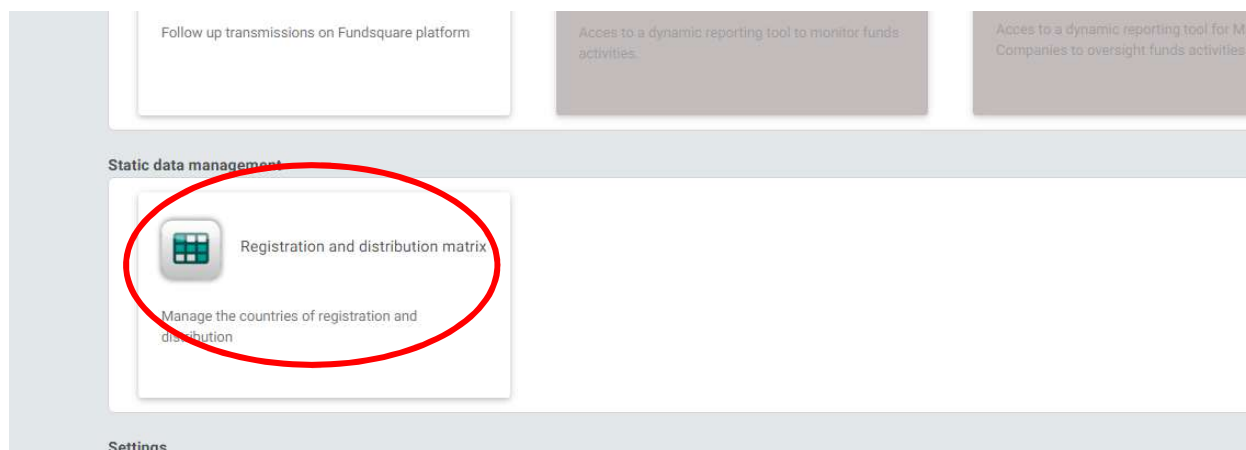
Solution: either the date is wrong or the previously uploaded document's date is wrong. Resend the document with the correct date or archive the previous document in the document library (which is considered the correct document by the system).

Feel free to consult our e-file Wiki and obtain further explanations on the different error messages and our proposal for resolution: http://www.e-file.lu/wiki/index.php/Error_messages_list#e-file_V2_-_Document_upload_by_FTP.

2 Registration and distribution matrix

2.2 General

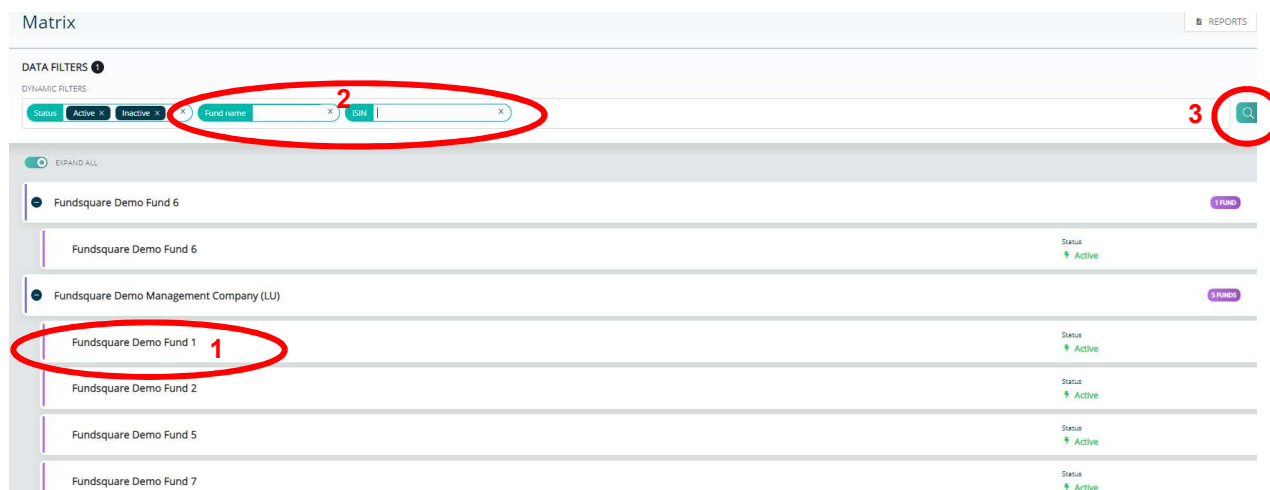
The registration and distribution matrix allows to manage the registration status of each shareclass in different countries. It can be accessed from the launchpad:



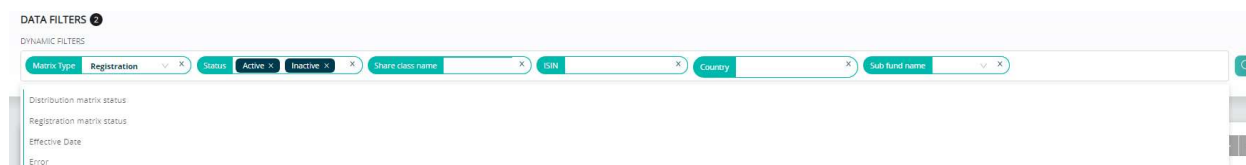
2.3 The registration matrix

The registration matrix allows the management of the registration status of the shareclasses within a fund.

In order to access a funds' registration matrix, either (1) click on the available funds or search for a specific fund by (2) using the filters and (3) hitting the search button :



In the fund's registration matrix, various filters are available:



In order to change one (or multiple) status, (1) click on the status in the registration matrix and select (2) Change Status. The selection can be done on shareclass, subfund, fund or country level.

Europe

Fund structure	ISIN	AT	BE	CH	CY	DE	DK	ES	FR	GB	IT	LU	PT	SE	VA
Fundsquare Demo Fund 1															
FQ Demo Fund Bonds															
Série E Capitalisation	FSQ000000024	RX	RX	R	R	R	R	R	R	R	R	R	R	R	R
FQ Demo Fund Bonds 2															
Distr Test Distribution	FSQ000000025	R	R	R	R	R	R	R	R	R	R	R	R	R	R
FQ Demo Fund Money 2															
AAA Distribution	LUDTEST12369														

13 items selected

CANCEL REMOVE STATUS CHANGE STATUS

The following screen will allow you to (1) select a status, (2) set a registration date and (3) add a comment.

CHANGE STATUS

Number of Shareclass/Country combination selected: 13

REGISTRATION

1

NOT REGISTERED TO REGISTER REGISTRATION IN PROGRESS NOTIFIED REGISTERED NO MORE REGISTERED

AT NT RI

TRANSMITTED TO THE AUTHORITY TRANSMITTED TO THE HOST AUTHORITY INSTITUTIONAL

AR NR RP

REJECTED BY THE AUTHORITY REJECTED BY THE HOST AUTHORITY REJECTED BY THE PLACEMENT

NA

ACCEPTED BY THE HOST AUTHORITY

DISTRIBUTION

NOT DISTRIBUTED DISTRIBUTED NO MORE DISTRIBUTED

NEW STATUS

RX

REGISTRATION EFFECTIVE DATE

02/12/2021 2

DISTRIBUTION EFFECTIVE DATE

02/12/2021

COMMENT

Test 3

CHANGE STATUS CANCEL

The white statuses are not available as they are sourced from the notification tool (https://www.e-file.lu/wiki/index.php/UCITS_Cross-Border_Notifications).

An audit trail is available when clicking on the watch item next to a status:

EUROPE					
ISIN	AT	BE	CH	CY	DE
FSQ000000024	RX	RX	R	R	R
FSQ000000025		R	R	R	RX

and shows the status' history:

HISTORY

SUB-FUND
FSQ Demo Fund Bonds

SHARE CLASS
Série E Capitalisation

COUNTRY
CY - Cyprus

Série E Capitalisation - FSQ000000024

Status: ■ Next ■ Current ■ Previous

	Effective Date	Creation Date By	Deletion Date By	Comment
R REGISTERED	17/11/2018	17/11/2018 16:51:28 Fundsquare S.A.		

2.4 The distribution matrix

In order to access the distribution matrix of a fund, please select the distribution matrix filter:

DATA FILTERS 2

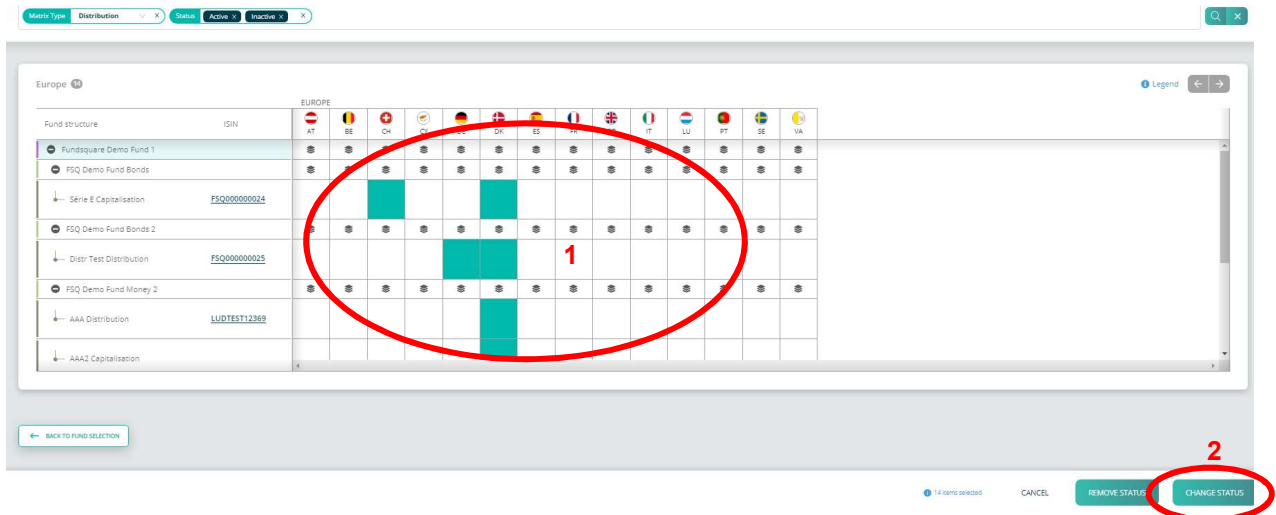
DYNAMIC FILTERS

Matrix Type: Distribution

Registration

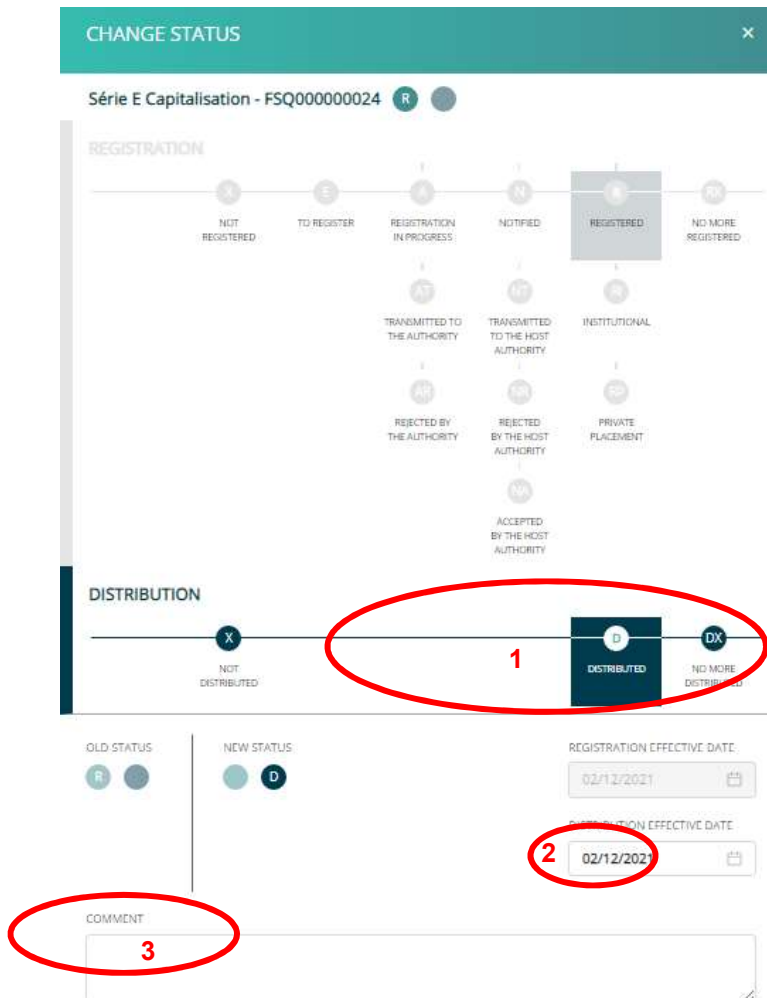
Distribution

In order to change one (or multiple) status, (1) click on the status in the distribution matrix and select (2) Change Status. The selection can be done on shareclass, subfund, fund or country level.



The screenshot shows the 'Distribution' tab in the Fundsquare interface. It displays a list of fund structures on the left, including 'Fundsquare Demo Fund 1', 'FSQ Demo Fund Bonds', 'Série E Capitalisation' (ISIN: FSQ000000024), 'FSQ Demo Fund Bonds 2', 'Disto Test Distribution' (ISIN: FSQ000000025), 'FSQ Demo Fund Money 2', 'AAA Distribution' (ISIN: LUDTEST12369), and 'AAA2 Capitalisation'. The main area shows a grid of distribution status for these funds across various European countries (AT, BE, CH, CY, DE, DK, ES, FR, GR, IE, IT, LU, NL, PT, SE, SI). A red circle highlights a specific cell in the grid, and a red circle with the number '1' highlights a specific cell. A red circle with the number '2' highlights the 'CHANGE STATUS' button at the bottom right.

The following screen will allow you to (1) select a status, (2) set a distribution date and (3) add a comment:



The 'CHANGE STATUS' dialog box is shown for 'Série E Capitalisation - FSQ000000024'. It features a flowchart for the registration process, including steps like 'NOT REGISTERED', 'TO REGISTER', 'REGISTRATION IN PROGRESS', 'NOTIFIED', 'REGISTERED', and 'NO MORE REGISTERED'. Below the flowchart, there are options for 'DISTRIBUTION'. A red circle with the number '1' highlights the 'DISTRIBUTED' status option. A red circle with the number '2' highlights the 'DISTRIBUTION EFFECTIVE DATE' field, which is set to '02/12/2021'. A red circle with the number '3' highlights the 'COMMENT' field.

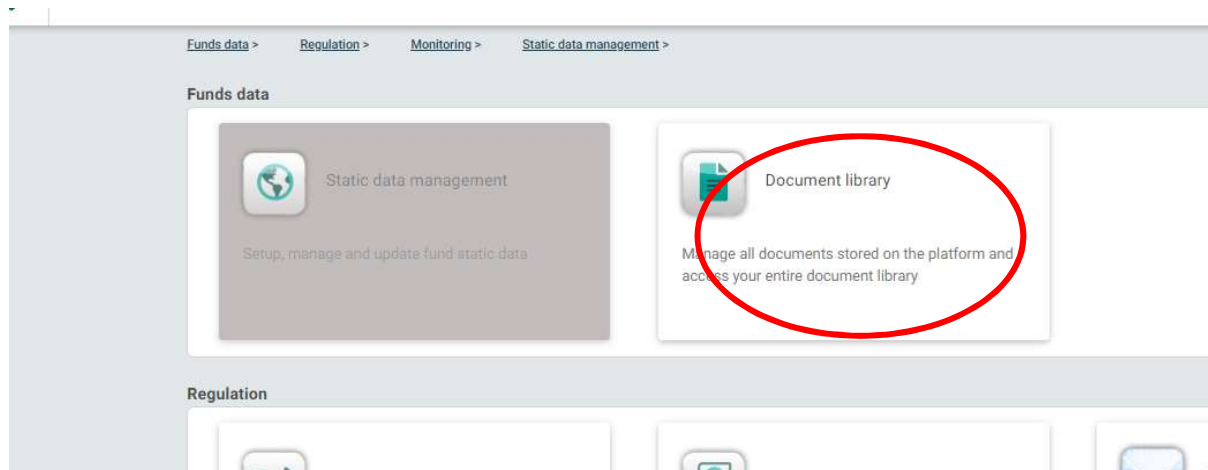
2.5 Reports available

Various registration and distribution matrix reports are available from the Reports button:



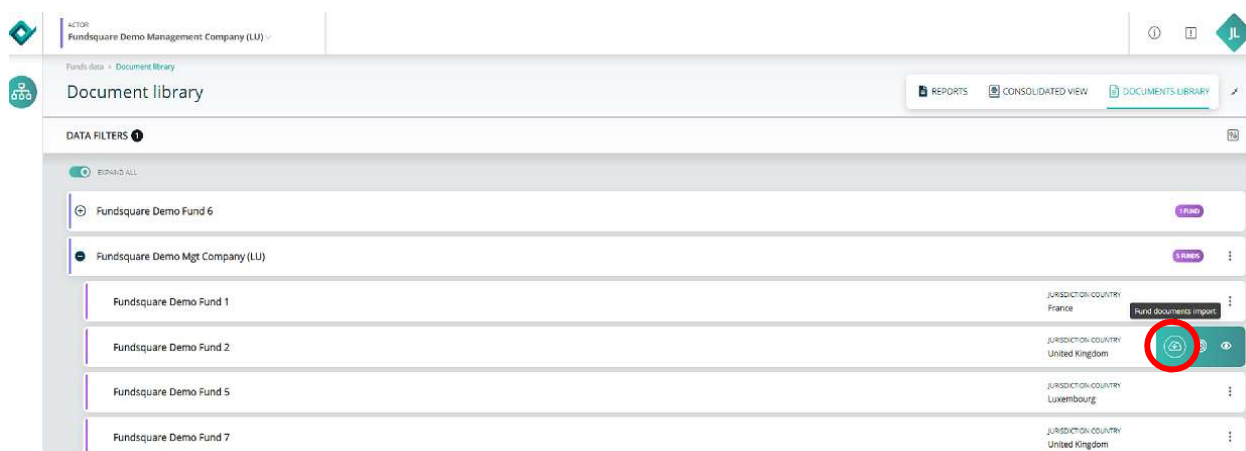
3 Document library

The document library is the central hub, by fund, of the fund's documents. It is accessible from the e-file launchpad:



3.1 General

Documents can be uploaded in the Document library via SFTP (cf 2.2) or manually within the document management tool. Either by using the upload button on the three dots:



or by using the import button within the fund's library:



Documents can be imported by dropping them in the the drag and drop area or by using the browse button. Multifile upload is possible. After the selection of the document(s), the parameters of the document(s) have to be defined.

HINT: Please make sure to upload the documents at the correct level (Fund vs. subfund vs. shareclass)

3.2 Document search

Various filters can be used to narrow down the search criteria in the document library:

DATA FILTERS 

DYNAMIC FILTERS

Instrument status: Active Inactive Document status: Submitted Document language: FR: French EN: English DE: German Date Reference Last documents

Instruments **Documents** **Advanced**

ISIN
Instrument status
Sub-fund
Share class

Document status
Document type
Document language
Specific country

Date
Submitted by
ID envelope

After selecting the filters, hit the Search button to start the search:


DATA FILTERS 

DYNAMIC FILTERS


Document status: Submitted Document language: FR: French EN: English DE: German Date Reference Last documents Document type: KIIDOC: Key Investor Information (KII) 

Documents meeting the search criteria will appear in the document section below the filter:







Document library IMPORT REPORTS CONSOLIDATED VIEW DOCUMENTS LIBRARY

DATA FILTERS 

DYNAMIC FILTERS

Document status: Submitted Document language: FR: French EN: English DE: German Date Reference Last documents Document type: KIIDOC: Key Investor Information (KII) 




37 document(s) found for Fundsquare Demo Fund 1

<input type="checkbox"/>	Instrument	ISIN	Type	Language	Specific country	Reference date	Reception date Submitted by	Actions
<input type="checkbox"/>	«FSQ Demo Fund Bonds 2017» Test Dis	FSQ0000000025	KIIDOC	EN	GB	06/02/2017	22/11/2017 Fundsquare S.A.	
<input type="checkbox"/>	«FSQ Demo Fund Bonds 2017» Test Dis	FSQ0000000025	KIIDOC	FR	RE	17/11/2018	17/11/2018 Fundsquare Demo Management Company (S.U.)	
<input type="checkbox"/>	«FSQ Demo Fund Bonds 2017» Test Dis	FSQ0000000025	KIIDOC	EN	LU	18/11/2021	18/11/2021 Fundsquare S.A.	
<input type="checkbox"/>	«FSQ Demo Fund Bonds 2017» Test Dis	FSQ0000000025	KIIDOC	DE		09/09/2017	27/09/2017 Fundsquare S.A.	
<input type="checkbox"/>	«FSQ Demo Fund Bonds 2017» Test Dis	FSQ0000000025	KIIDOC	DE	CH	15/01/2019	15/01/2019 Fundsquare S.A.	
<input type="checkbox"/>	«FSQ Demo Fund Bonds 2017» Test Dis	FSQ0000000025	KIIDOC	DE	DE	20/09/2018	20/09/2018 Fundsquare S.A.	

3.3 Document details

The document details available in the three dot menu of each document

37 document(s) found for Fundsquare Demo Fund 1

<input type="checkbox"/>	Instrument	ISIN	Type	Language	Specific country	Reference date	Reception date Submitted by	Actions
<input type="checkbox"/>	«FSQ Demo Fund Bonds 2017» Test Dis	FSQ0000000025	KIIDOC	EN	GB	06/02/2017	22/11/2017 Fundsquare S.A.	
<input type="checkbox"/>	«FSQ Demo Fund Bonds 2017» Test Dis	FSQ0000000025	KIIDOC	FR	RE	17/11/2018	17/11/2018 Fundsquare Demo Management Company (S.U.)	
<input type="checkbox"/>	«FSQ Demo Fund Bonds 2017» Test Dis	FSQ0000000025	KIIDOC	EN	LU	18/11/2021	18/11/2021 Fundsquare S.A.	

show (1) the document parameters and (2) the audit trail of the actions that have been performed with this document:

DOCUMENT DETAILS

Document parameters 1

NAME KIIDOC-2017-02-06-EN-GB-2017-11-22-FSQ000000025	INSTRUMENT Fundsquare Demo Fund 1/FSQ Demo Fund Bonds 2/tr Test Dis	ISIN FSQ0000000025	CSSF 333333/3/-	TYPE Key Investor Information (KII)
DEPOSITOR Fundsquare S.A.	LANGUAGE English	SPECIFIC COUNTRY GB	FORMAT pdf	REFERENCE DATE 06/02/2017
RECEPTION DATE 22/11/2017 10:40:49	INDEXATION DATE 22/11/2017 10:40:49	ID ENVELOPE 39107125	ID DOCUMENT 46554716	

History list 2

☒ Current documents ☐ Documents with same indexation

Status: ☒ Current ☐ Previous

3 document(s)

Status	Reference date	Reception date	Publication date	Basket	Country	Transmission type	Submission date
PU PUBLISHED	06/02/2017	22/11/2017 10:40:49	01/12/2021 08:00:14	Publication workflow			01/12/2021 08:00:14
PU PUBLISHED	06/02/2017	22/11/2017 10:40:49	01/12/2021 08:00:14	DHS	IT	KIID update	29/03/2018 15:45:29
SU SUBMITTED	06/02/2017	22/11/2017 10:40:49	01/12/2021 08:00:14	Library			22/11/2017 10:40:49

3.4 Archiving of a document

First select the document and use the Archive documents button from the actions menu:

Document ID	ISIN	Instrument	Country	Language	Reception date	Publication date	Actions
FSQ0000000025	KIIDOC	DE	DE	19/09/2018	19/09/2018	19/09/2018	Unpublish documents from FSQ Portal
FSQ0000000025	KIIDOC	DE	CH	19/01/2019	19/01/2019	19/01/2019	Unpublish documents from DHS
FSQ0000000025	KIIDOC	EN	CH	18/11/2021	18/11/2021	18/11/2021	Archive documents
FSQ0000000025	KIIDOC	FR	CH	17/11/2021	17/11/2021	17/11/2021	Change documents indexation
FSQ0000000025	KIIDOC	EN	CH	17/11/2021	17/11/2021	17/11/2021	Transmit documents to...

1 item selected CANCEL SELECTION Choose an action...

An archived document is also removed from the publication and the DHS and will not be available any longer on fundsquare.net.

3.5 Reports available in the document library

Various reports are available in the document library:

REPORTS **CONSOLIDATED VIEW**

- 3_13 - Follow up : KIID to unpublish
- 3_21 - Follow up : KIIDs loaded in library
- 3_22 - Follow up : KIID received from CSSF without registration status
- 3_23 - Follow up : Detailed view of KIIDs at CSSF
- 3_24 - Follow up : Detailed view on KIID
- 3_28 - Follow up : Yearly update of KIIDs
- 3_29 - Follow up : Indexation errors in library during the last 30 days
- 0_1 - Country/Language matrix
- 0_2 - Fund universe
- 1_1 - Fund comparison between Fundsquare and CSSF
- 3_11 - Suggestion : Documents to be sent to CSSF
- 3_27 - Suggestion : KIID to publish

Some of these reports (e.g. 3_11, 3_12, 3_23, 3_24, ...) give a general overview, by fund, of the documents in the document library as well as their filing state.

Report 0.1 shows the country language settings for the various services

Report 1_1 compares the shareclasses between the CSSF and the FSQ database

For a more in depth explanation or training re. the reports, we suggest to contact RS.ClientSupportOperations@fundsquare.net.

HINT: Feel free to run these reports, **no** action is triggered by doing this.

4 The Regulator Package

4.1 General

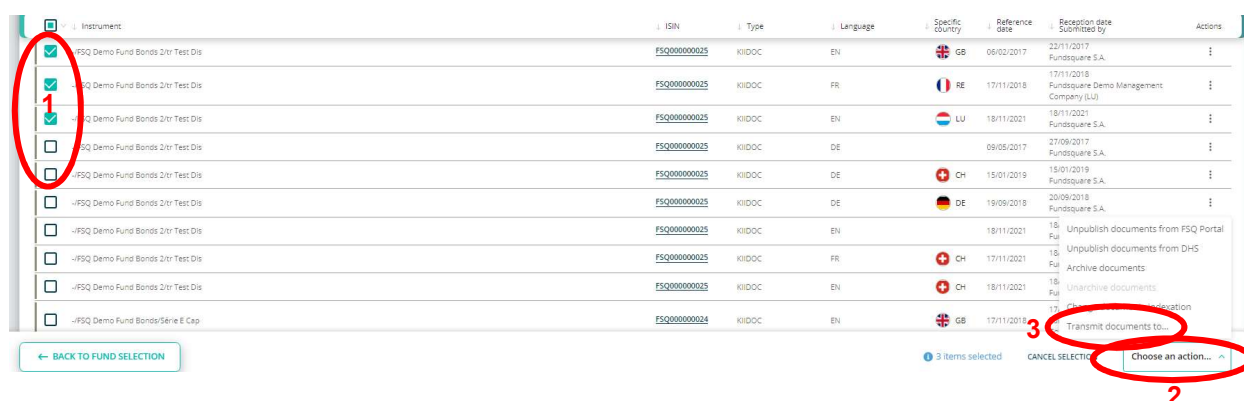
The regulator or filing package is a selection of documents that have to be sent to a home or host regulator. The filing package can either be triggered manually, through the consolidated view or by a filing automation. In order to be able to use this functionality, the necessary filing workflows (KIID update, notification light, annual report, ...) have to be defined by the Regulatory Services Team (RS.ClientSupportOperations@fundsquare.net) upon client request. Each (new) fund (or umbrella) requires a filing setup.

4.2 Document selection and manual triggering of the filing package

The manual regulator package has to be compiled from within the fund's document library.



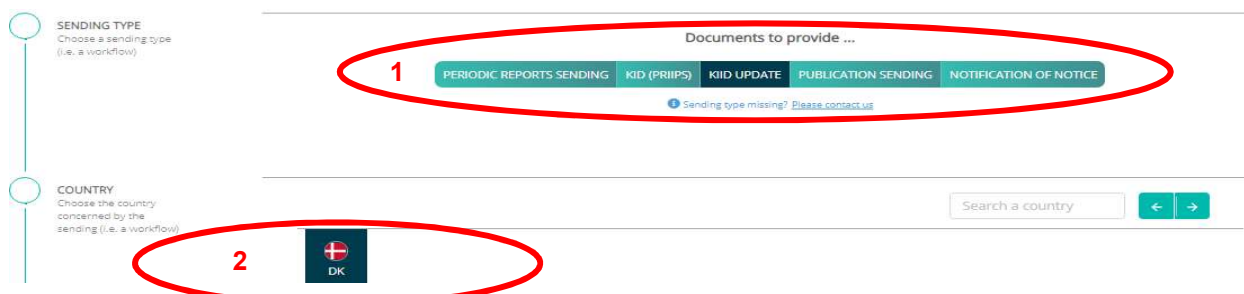
(1) Tick the documents that have to be filed and (2) from the Choose an action button (3) select Transmit documents to:



In the next screen, choose Authorities transmission



and select (1) the filing workflow and (2) the destination country



Should a required workflow not be available, please contact RS.ClientSupportOperations@fundsquare.net.

4.3 The filing Country Language Matrix ("CLM")

The filing CLM defines the KIID languages for each filing destination/country and is a mandatory setting for the consolidated view and the filing automations. The CLM has to be provided during or after the initial

setup. It links each destination country to a KIID language, either generic or specific. A filing CLM can be either specific or generic:

GENERIC	SPECIFIC
EN-00 for LU, IE, GB	EN-LU for LU, EN-IE for IE, EN-GB for GB
DE-00 for DE and AT	DE-DE for DE, DE-AT for AT
FR-00 for FR, LU, BE	FR-FR for FR, FR-LU for LU, FR-BE for BE

In a country specific CLM, each language KIID can only be used for the specified country.

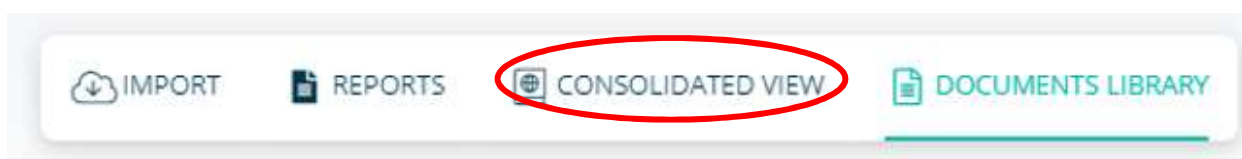
4.4 The consolidated view and the filing automations

The consolidated view allows the triggering of a filing without selecting the documents manually. The following workflows can be triggered in the consolidated view:

- KIID update and Light notifications
- Periodic reports

Automations are only available for KIID filings and run on the back of a scheduler.

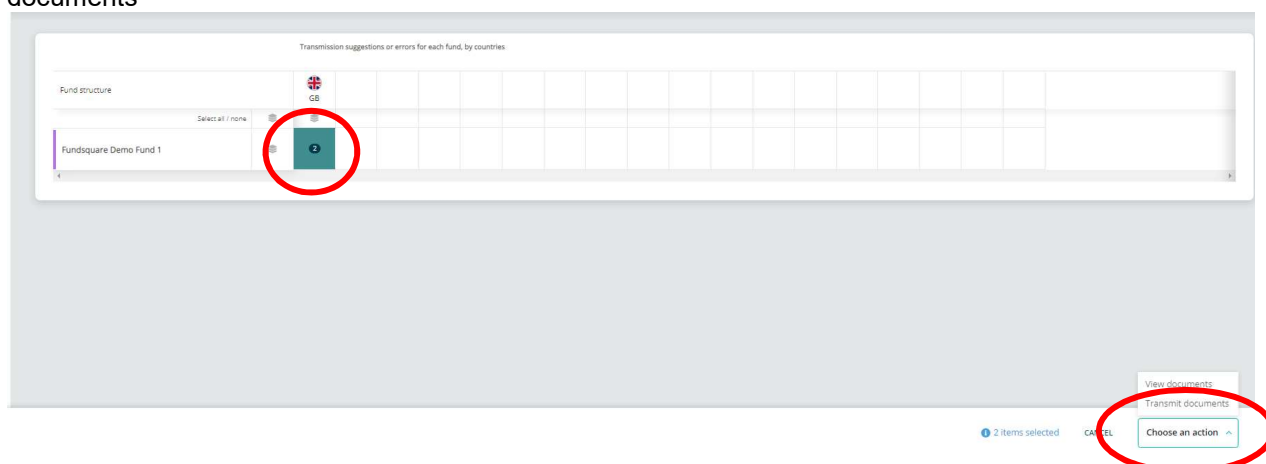
The consolidated view can be access through the document library via the menu on the top right side of the screen:



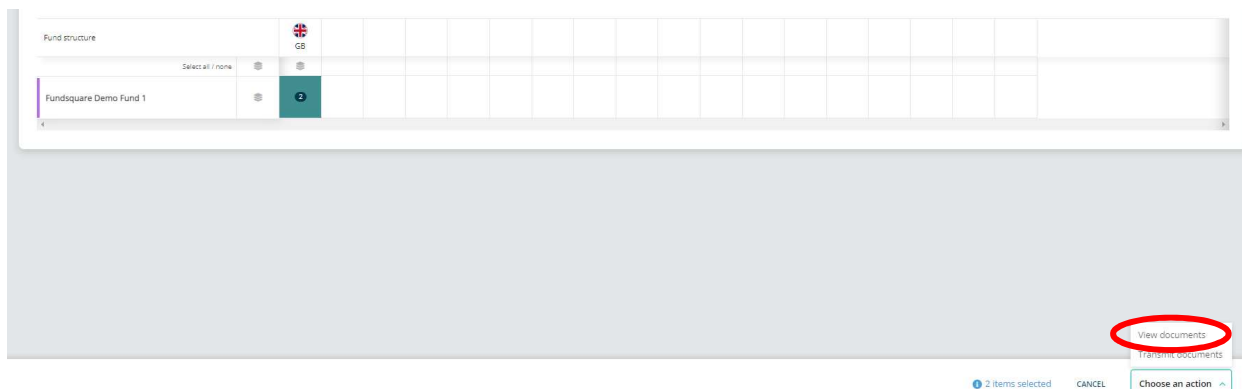
Select the type of workflow, fund(s) and country (ies) and hit the search:



The filing can be triggered by selecting one or multiple countries and funds and then hitting Transmit documents



Documents included in the filing can be viewed with View documents.



4.4.1 Filing conditions for KIID filing automations

There are various conditions that need to be met so that the KIIDs appear in the consolidated view (“CV”). Most of these conditions are also shared with the filing automations (“FA”):

4.4.1.1 LU Funds: KIIDs to be sent to the CSSF

- A, E or R (resp. Ri) in the registration matrix (CV+FA);
- new (unfiled) KIID in the document library with matching language code (according to country language matrix)(CV+FA);
- the shareclass is either inactive (Constitution date but no launch date) or active (constitution date and launchdate) in the Fundsquare database. Closed or shareclasses without a constitution date will not trigger a filing (CV+FA);
- the shareclass is mapped to a CSSF code (CV);
- the shareclass is not closed in the CSSF database (CV+FA) and that it has a valid activation date (CV);
- there is not a KIID with a more recent reference date that has been previously filed with the CSSF (CV+FA).
- the filing automation is up and running (Transmission monitoring/Reports/Automations (active/inactive)(FA)

4.4.1.2 Non LU funds: KIIDs to be sent to home/host country regulators

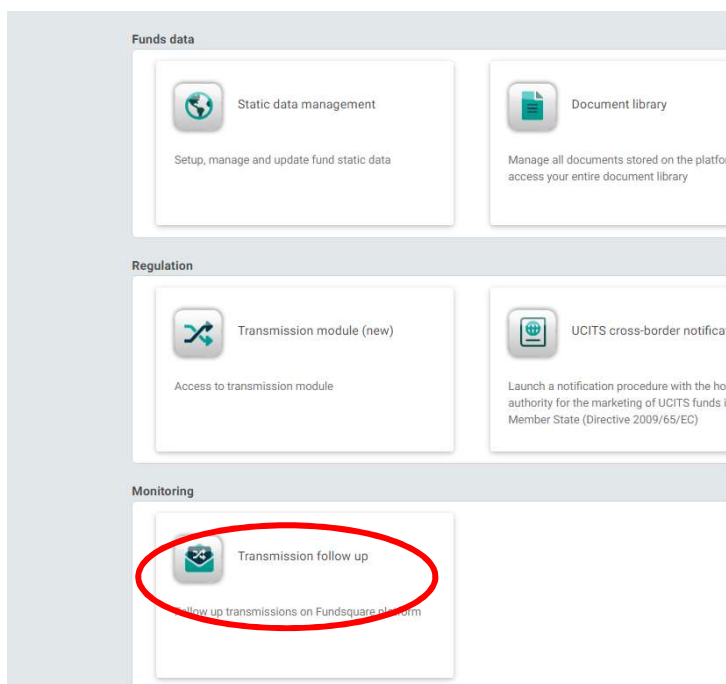
The following conditions need to be met for KIIDs to be included in a package to the Non LU Regulators (and to the CSSF for Non Lu funds):

- A, E (notification light) or R (resp. Ri) status (KIID update) in the registration matrix (CV+FA);
- new (unfiled) KIID in the document library with matching language code (according to country language matrix)(CV+FA);
- the shareclass is either inactive (Constitution date but no launch date) or active (constitution date and launchdate) in the Fundsquare database. Closed or shareclasses without a constitution date will not trigger a filing (CV+FA);
- for LU funds: the shareclass is mapped to a CSSF code (CV);
- for LU funds: the shareclass is not closed in the CSSF database (CV+FA) and that it has a valid activation date (FA); should you wish to bypass this condition via an automation, please contact us;
- for LU Funds: Make sure that there is at least on R in the registration matrix – other wise the system will expect a full notification to be done (CV +FA);

- for Belgium, share-classes with a registration status set to Ri or Rp are excluded per definition of the Belgian Regulator (CV+FA)
- the filing automation is up and running (Transmission monitoring/Reports/Automations (active/inactive)(FA).

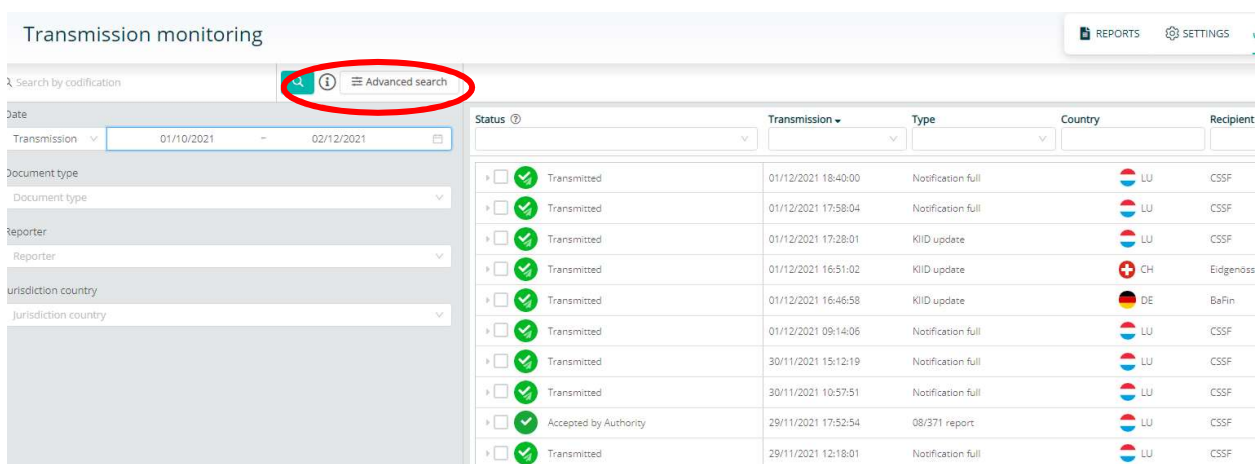
4.5 Transmission follow up

The transmission follow up allows to check the status of your document filings. It is available from the Launchpad:



If the status has switched to « transmitted » you should have received the copy of the filing packages sent to the authority.

A more advanced search of your filings is available on the left side:



This view also includes the filing type, the country as well as the transmission type and the fund for which the filing has been performed.

5 DHS and Document publication

5.1 General

A document is made available on fundsquare.net either by DHS or by document publication. DHS is only available for KIIDs.

5.2 Document publication

Documents may be manually or automatically published on fundsquare.net. Publication automations are only available for KIIDs. These automation may depend of various conditions, e.g. the status in the registration and distribution matrix or/and the filing of the KIID.

5.2.1 Manual publication

Documents can be manually published via the Publication basket. The document has to be selected in the document library. From the (2) actions menu, chose (3) Transmit documents to



In the next screen, select Publication on Fundsquare Portal and hit submit:



5.2.2 Publication after sftp upload

This is rather a setting within the sftp rather than an automation. As soon as documents are uploaded via sftp, they are published in the FSQ database and accessible on fundsquare.net.

This type of publication is unconditional.

5.2.3 Publication automation linked to KIID filings

These automations are only available for KIIDs.

5.2.3.1 Publication after transmission (TRANS)

The KIID is published as soon as it has been used in a regulator package. However, the transmitted KIID will not be published if a more recent KIID is available in the library.

It is possible to add a delay between filing and publication.

Conditions: Active shareclass, KIID filing, R&D in the registration and distribution matrix.

5.2.3.2 Publication without transmission (NTRANS / NTRANS2)

A KIID can be published without being used in a regulator package if another language version with the same reference date has been transmitted. e.g. for Luxembourg, the EN and DE KIID can be published after that only the FR KIID has been filed.

Condition: Active shareclass, filing of the KIID according to filing (NTRANS) or publication (NTRANS2) CLM, R and D in the registration and distribution matrix.

5.2.4 Publication automation linked to registration/distribution status (RD)

This automations is only available for KIIDs.

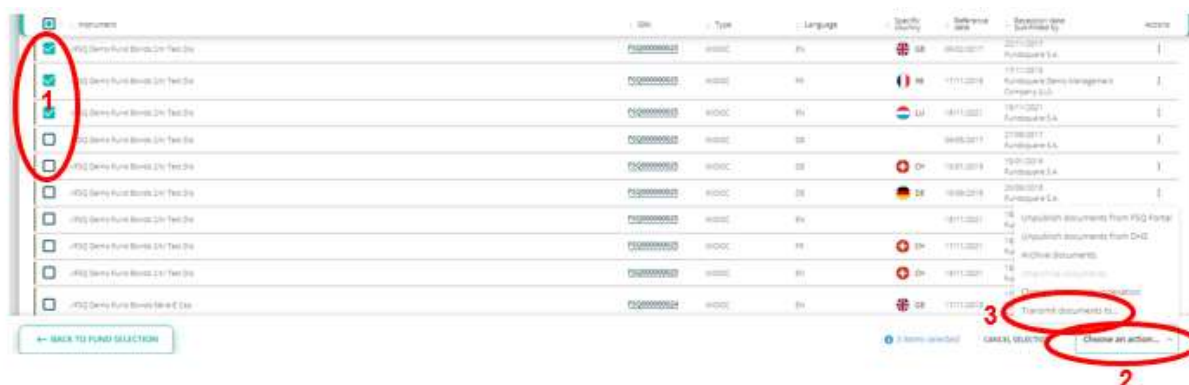
Publication if the registration status is R and the distribution status is D. The shareclass has to be active in the FSQ database.

5.3 DHS

Any KIID that has been filed via the e-file document library module will automatically be added to the DHS basket (if this has been defined in the filing setup) and be available on the FSQ webpage. A document that has been made available via DHS will not be available for the document dissemination and the XML white labelling.

A KIID can also be manually added to this basket:

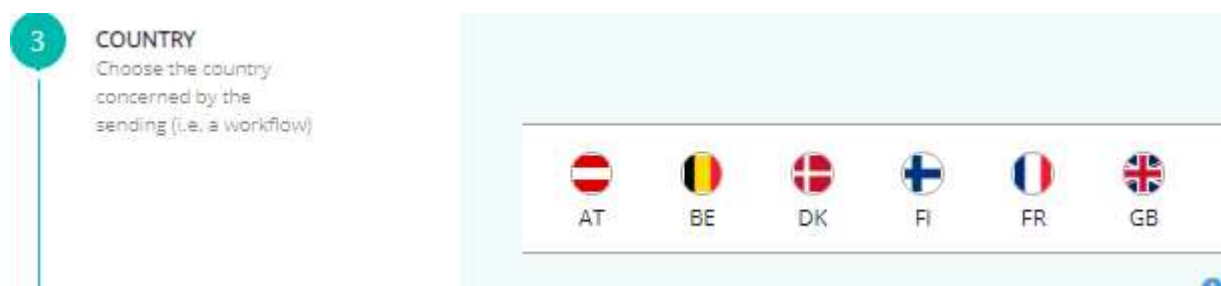
- (1) Tick the documents that have to be filed and (2) from the Choose an action button (3) select Transmit documents



In the next screen, choose DHS basket:



And select the country



and hit Submit.

This will make the document available on fundsquare.net for the selected country.

5.4 Difference between the DHS and the Publication basket

In terms of availability on the FSQ webpage, there is no difference between the document publication and the DHS. The difference affects the availability for other services, i.e. XML White Labelling and Document Dissemination. The document publication is indeed a prerequisite for these two services. KIIDs made available only by DHS are not available for XML white labelling and document dissemination.

5.5 The Publication CLM

The KIID can be made available on the FSQ webportal according to a client specific CLM. The latter is a set of rules that defines the languages that are used in each country, by document type. Without a client specific publication CLM, the default publication CML is applied.

5.6 Unpublication of documents

In order to unpublish a document, select the document and from the actions menu chose either Unpublish document from FSQ Portal or Unpublish document from DHS:

<input type="checkbox"/>	-FSQ Demo Fund Bonds 21tr-Test Dis	FSQ0000000025	KIIDOC	DE		DE	19/09/2018	23/09/2018	1	Unpublish documents from FSQ Portal
<input type="checkbox"/>	-FSQ Demo Fund Bonds 21tr-Test Dis	FSQ0000000025	KIIDOC	DE		CH	15/01/20	15/01/20	15	Unpublish documents from DHS
<input type="checkbox"/>	-FSQ Demo Fund Bonds 21tr-Test Dis	FSQ0000000025	KIIDOC	EN			18/11/2021	18/11/2021	18	Archive documents
<input type="checkbox"/>	-FSQ Demo Fund Bonds 21tr-Test Dis	FSQ0000000025	KIIDOC	FR		CH	17/11/2021	17/11/2021	18	Unarchive documents
<input type="checkbox"/>	-FSQ Demo Fund Bonds 21tr-Test Dis	FSQ0000000025	KIIDOC	FR					06	Change documents indexation
<input type="checkbox"/>	-FSQ Demo Fund Bonds 21tr-Test Dis	FSQ0000000025	KIIDOC	FR					06	Transmit documents to...

← BACK TO FUND SELECTION 1 item selected CANCEL SELECTION Choose an action...

6 Useful tools

6.1 Fund and shareclass universe

In order to find out if the shareclasses are correctly set up in the Fundsquare database (and correctly marked as active/inactive), please access the Dashboard and run 1_1.Static Data : Fund comparison between Finesti and CSSF or 1_2. Static Data: Fundsquare Database (see chapter 3 Dashboard for more details).

For missing shareclasses or for the update of erroneous information (active or inactive status, ISIN codes ...), please provide Fundsquare with the Static Data (FDF template .xls file) or update the information in the static data file.

The file has to be sent to FDF@Fundsquare.com. Alternatively, the fund's central administrator could update/create the information through their own "Fundsquare station".

Where available, the client will provide Fundsquare with the initial Registration matrix in .xls or .csv to initialize the Registration matrix. The maintenance of the fund universe is an ongoing process.

Make sure to communicate any change of name/ISIN/status of launch date etc. in a mail to FDF@Fundsquare.com. In case of a completely new fund, it must be added to the fund universe (so that it appears in the matrixes).

6.2 Dashboard 3_24 Follow up: Detailed view on KIID

In order to check the various conditions, we suggest to use the dashboard 3_24 *Follow up: Detailed view on KIID*. This dashboard centralizes both the status in the FSQ and the CSSF database and allows you to check the registration status of each KIID for each Regulator.

Document properties by
Filing country

DASHBOARD KIID DOCUMENTS [1530]																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																													
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