FUNDSQUARE

AIFMD Form

User Guide
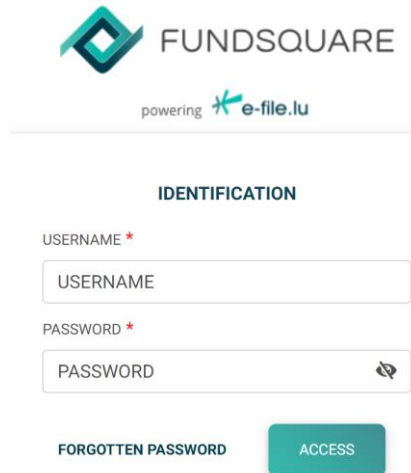
October 2022

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1.Access to the Form

The access to AIFMD form is done via E-File platform.

- <u>Step 1</u>: Connect to e-file with your Username and Password.

- <u>Step 2</u>: Select Report Generation module and then AIFMD Form.
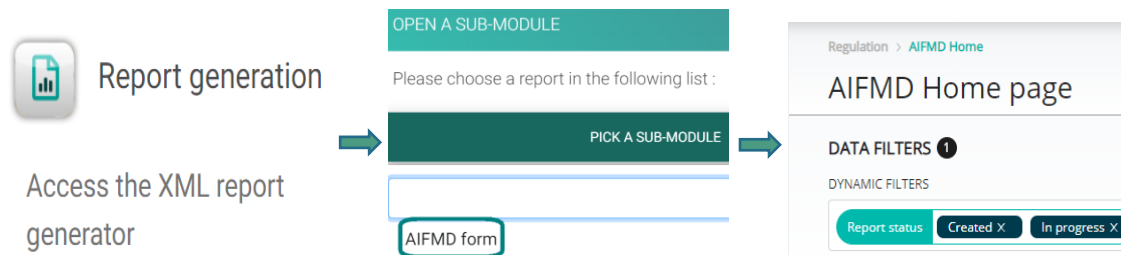
<u>Warning</u>: Please note that your e-file administrator should give you access to AIF groups. Click here if you need more information.

2. Homepage

The homepage displays, by default, the list of AIFM and AIF that the user is authorized to report as well as all existing reports with status *Created, In Progress* and *Ready to transmit* – please see the screenshot below[1].
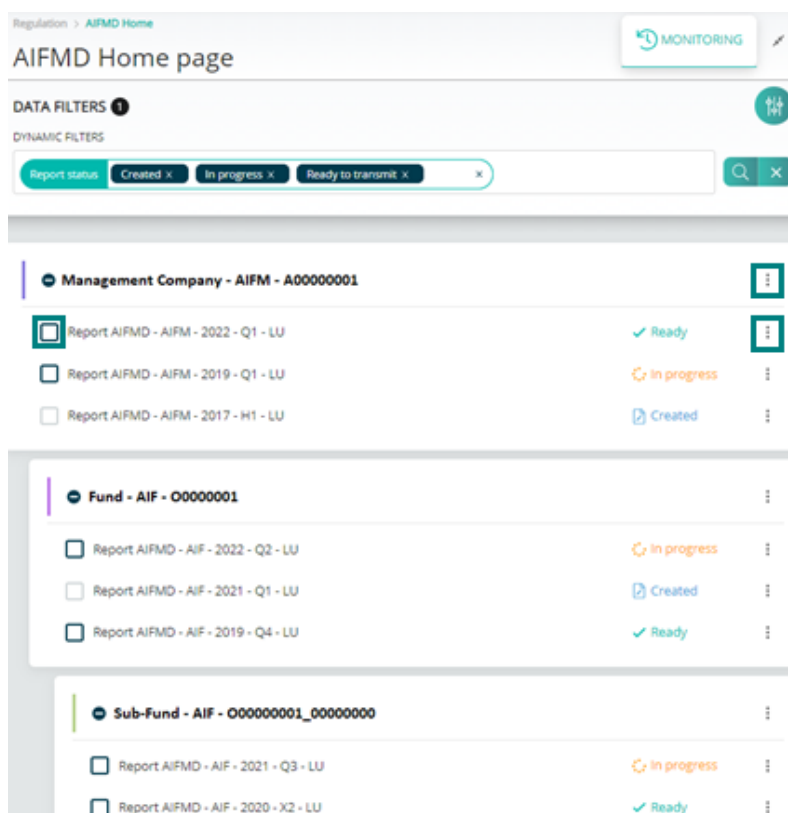
Figure 1 – AIFMD Home page

2.1 – Buttons and functionalities

2.1.1 - Select Buttons

On the left side of each report a select button – highlighted in figure 1 – is displayed. By clicking on it two functionalities will be available[2]:

- Export: Download an XML file with the report current data (available for status[3] *In Progress*, *Ready to transmit*, *Transmitted*, *Cancellation ready to transmit* and *Cancelled)*.
- Transmit: Transmit a report to the authority (available for status *Ready to transmit, Cancellation ready to transmit)*.

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[1] At first connection no AIFMD report will be displayed.

[2] Please note that for reports with status *Created* and *Archived* the select button is greyed out.

[3] You can find more information about all report status on section 2.3

2.1.2 - Action buttons

2.1.2.1 – AIFM and AIF: Create new report[4]

On the right side of each AIFM and AIF a 3 dots button – highlighted in figure 1 – is displayed.

- By putting the mouse over the 3 dots button, the "New Report" button will be available.

Figure 2 - AIFM/AIF action button

2.1.2.2 – AIFMD Reports

On the right side of each report a 3 dots button – highlighted in figure 1 – is displayed.

- By putting the mouse over the button, the below functionalities will be available.
  - o <u>Edit Report</u>: The user is re-directed to the form and can edit the report - available for reports with status *Created*, *In Process* and *Ready to transmit*.
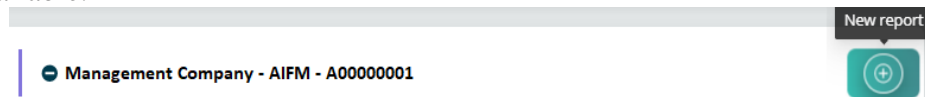 - o <u>Archive Report</u>: The report will be archived - available for reports with status *Created*, *In Process*, *Ready to transmit*, *Transmitted*, *Cancellation ready to transmit* and *Cancelled*.
  - o <u>Correct Report</u>: The user is re-directed to the form and can correct the report - available for reports with status *Transmitted*.
  - o <u>Cancel Report</u>: The user cancels (by the AIFM or the CA) a transmitted report - available for reports with status *Transmitted*.
  - o <u>View Report</u>: The user is re-directed to the form but cannot edit the report - available for reports with status *Archived*.
  - o <u>Unarchive Report</u>: The user unarchives an archived report - available for reports with status *Archived*.

Figure 3 - Report AIFMD action buttons - Example

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[4] The full process is explained on section 3.

2.2 Filters

To facilitate the search for a specific AIFM, AIF or report, dynamic filters are available on the filters bar:

- <u>Report Status</u>: Displays all AIFM and AIF reports with the selected status.
  - o Possible values: *Created*, *In Progress*, *Ready to Transmit*, *Transmitted*, *Cancellation ready to transmit*, *Cancelled* and *Archived*.

- <u>AIFM</u>: Displays the selected Management Company and its related reports and funds.

- <u>AIF</u>: Displays all reports for the selected Fund but also the ones for related Management Company and Sub-funds.

- <u>Period</u>: Displays all reports in the selected period.

- <u>Country</u>: Displays only the reports for the selected country.
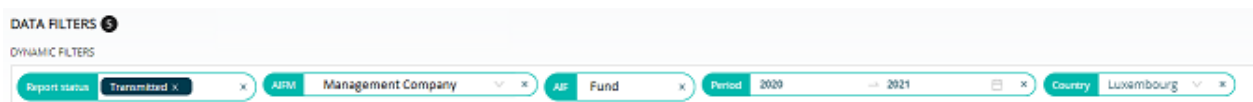

Figure 4 - Available Filters

2.3 Report Status

During the AIFM/AIF reporting process the reports can have the below status:

- <u>Created</u>: The user adds/starts a new report and hasn't made any changes to the initiated report yet.
- <u>In Progress</u>: The user saves the report, but it is not completed or there are errors remaining.
- <u>Ready to Transmit</u>: The report is fully completed, without errors, but still not transmitted.
- <u>Transmitted</u>: The report has been transmitted to the authority.
- <u>Cancellation ready to transmit</u>: The report was cancelled but cancelation information not transmitted yet, a confirmation for transmission is required.
- <u>Cancelled</u>: Report cancelation transmitted.
- <u>Archived</u>: The report is archived.

Figure 5 - AIFMD report status - Example

3.AIFM or AIF report

3.1. Create a new report

- <u>Step 1</u>: Click on "New Report button" – section 2.1.2.1

Figure 6 - New report button

- <u>Step 2</u>: Select the intended *Year* and *Period* – the *Country*[5] cannot be changed – and click on "Create New Report".
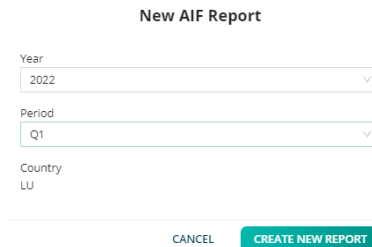

Figure 7 - New AIFM/AIF report- Year and Period selection pop-up

- After these two steps a new AIFM or AIF form will be displayed.

3.2. AIFM Form

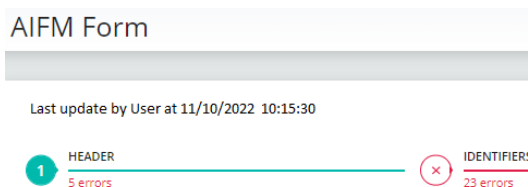The AIFM form is divided in two sections: Header and Identifiers

Figure 8 - AIFM Form

3.3. AIF Form

The AIF form is divided in five sections: Header, Identifiers of the AIF, Risk profile of the AIF, Principal exposures and most important concentration and Instruments traded and individual exposures.
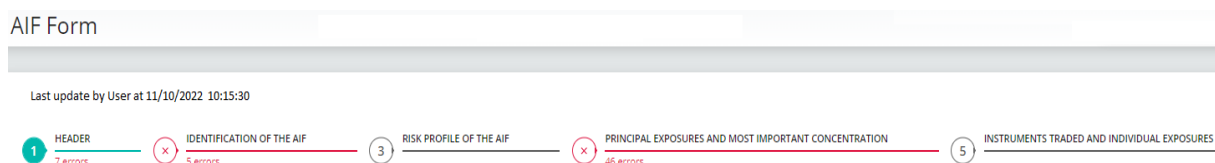

Figure 9 - AIF Form

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[5] The destination country is, by default, the jurisdiction country of the management company.

3.4. AIFM and AIF form buttons

At the bottom of the AIFM and AIF form page five buttons will be available:

- <u>Refresh Report</u>: The last saved information input in the web form will replace the current data.
  <u>Note</u>: If two people work on the same form, use the refresh button to retrieve data input by the other user.
- <u>Select Existing Report</u>: Import an existing report from your computer in XML format.
- <u>Export Report</u>: Download the report in XML format with current data[6].
- <u>Save Report Data</u>: Save the current report data[7] to retrieve it later when accessing the report.
- <u>Transmit</u>: Transmit the report[8].

| REFRESH REPORT | SELECT EXISTING REPORT | EXPORT REPORT | SAVE REPORT DATA | TRANSMIT |

Figure 10 - AIFM and AIF form buttons

4. Transmission

4.1. Transmit an AIFM or AIF report

To transmit the report the user has two options:

- <u>Step 1</u>:

  ➢ <u>In the homepage</u>: Select a report with the status *Ready* and click on "TRANSMIT".
  ➢ <u>In the form</u>: When the report is fully completed, click on "TRANSMIT".

- <u>Step 2</u>: Enter the keystore password (only applicable for CSSF's transmissions) – please see section 4.3.2. for more details.
- <u>Step 3</u>: Click on "TRANSMIT".

4.2. Transmit an AIFM or AIF cancellation report

To transmit a cancellation report the user should:

- <u>Step 1</u>: Cancel a transmitted report (more information on section 2.1.2.2)
- <u>Step 2</u>: Select a report with the status *Cancellation ready to transmit.*
- <u>Step 3</u>: Click on "TRANSMIT".
- <u>Step 4</u>: Enter the keystore password (only applicable for CSSF's transmissions).
- <u>Step 5</u>: Click on "TRANSMIT".

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[6] This button only be available for saved reports.
[7] Please note that save a report will trigger an invoice for the declared and reporting period.
[8] This button only be available for fully completed reports.

4.3. Transmission settings

4.3.1. Transmission

- <u>Title of the sending</u>: Filled in by default with AIFM/AIF code, type of report, year, period and country. These field can be edited.

- <u>Keystore password</u>: Each user must enter your own password.
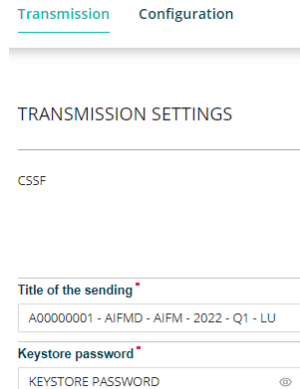

Figure 11 - Transmission Settings

4.3.2. Configuration

To be able to transmit an AIFM or AIF report to CSSF you must configure your keystore location.

- <u>Step 1</u>: Select the "Configuration" tab.

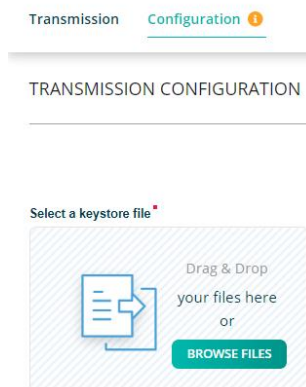- <u>Step 2</u>: Drag & Drop or browse the keystore file.

Figure 12 – Configuration Settings

4.4. Transmission Follow Up

The monitoring of AIFM and AIF transmissions and regulator feedbacks can be done in the *Transmission follow up* module – if you need more information, please click here.