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Regulatory reporting

## **User Manual - PSF Reporting Transmission**

**PSF reporting (CSSF)**

**Version 1.2**

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# 1 Introduction : PSF reporting transmission

The Luxembourg Stock Exchange makes available for your entity a complete and secure solution to transfer your PSF reporting to the CSSF via its website portal at [www.e-file.lu](http://www.e-file.lu).

The CSSF sends back structured responses to the entities (called feedback). The Luxembourg Stock Exchange makes also available these feedback files to the entities from the e-file.lu portal.

## 1.1 CSSF circulars

PSF reporting : Except support PSF<sup>(1)</sup> and Support PSF<sup>(2)</sup>

- CSSF Circular 08/369 (31.07.2008): Electronic transmission of “Statistical ad-hoc information” (tables II.1. - II.22.) to be submitted to the CSSF by the “other professionals of the financial sector” (PFS), Change of the ad-hoc statistics’ periodicity and adaptation of the transmission method of the PFS’ prudential reporting.

File transfer and data protection rules<sup>(3)</sup>:

- CSSF Circular 08/334 (04.01.2008): Encryption specifications for reporting firms.
- CSSF Circular 08/344 (12.03.2008): Provisions relating to the transmission of reporting files to the CSSF.

## 1.2 Focus on the naming convention

The PSF reporting files must follow this naming convention (extracted from the CSSF naming convention<sup>(4)</sup>) :

Format attendu :

TYRDIR-ENNNN-YYYY-MM-TAB-LL-C-D-S.ext

See the CSSF website :

<sup>(1)</sup> <http://www.cssf.lu/index.php?id=123&L=1>

<sup>(2)</sup> <http://www.cssf.lu/index.php?id=192&L=1>

<sup>(3)</sup> <http://www.cssf.lu/index.php?id=224&L=1>

<sup>(4)</sup>

[http://www.cssf.lu/fileadmin/files/Reporting\\_legal/transport\\_securisation\\_reporting/Convention\\_de\\_noms\\_310708.pdf](http://www.cssf.lu/fileadmin/files/Reporting_legal/transport_securisation_reporting/Convention_de_noms_310708.pdf)

## Description :

Code	Definition	Structure	Data
TYR	Type of the reporting	Char(3)	= 'PSF'
DIR	Direction	Char(3)	'REP' for report -- > file to CSSF 'FBR' for feedback --> file returned by CSSF
E	Filing entity	Char(1)	'P' (PSF) or 'I' (Support PSF)
NNNN	Code	Number(4)	0001...9999
MM	Month	Number(2)	01 ... 12
TAB	Table	Char(3)	Except support PSF: 'P11' for basic reporting, 'P21' for ad-hoc reporting Support PSF : 'I11' for basic reporting, 'I21' for ad-hoc reporting
LL	Layout	Char(2)	'L1' for P11, P21, I11 and I21
C	Version comptable	Char(1)	'L', 'N', 'S'
D	Version définitive	Char(1)	'D' ou 'N'
S	Sous-type	Char(1)	'-'
.ext	Extension	Char(5)	For 'REP' files: 'xls' (Excel 2003) or 'xlsx' (Excel 2007) For 'FBR' files : 'xml'

For example :

PSFREP-P9999-2008-03-P11-L1-L-N--.xls

PSFREP-I9999-2008-03-I21-L1-L-N--.xlsx

## 2 Manual transmission from [www.e-file.lu](http://www.e-file.lu)

Manual transfers can be done from the portal at [www.e-file.lu](http://www.e-file.lu).

This part of the manual provides an overview of these functionalities. However, if you require more details on the use of e-file.lu, you are advised to read the User Manual of e-file (available online).

The instructions in this part also imply an understanding of the base concepts of e-file.lu, such as files, procedures, envelopes and documents. These are explained in the e-file's User Manual <sup>(m)</sup>.

### 2.1 [Accessing e-file.lu](#)

Users should have a login/password to access to [www.e-file.lu](http://www.e-file.lu).

For more details, please contact our Client Relationship Management :

Client Relationship Management  
Tél : (+352) 28 370 330  
[clientservice@fundsquare.net](mailto:clientservice@fundsquare.net)

If you already have a login, please launch your navigator (Internet Explorer, Netscape, ...), go to [www.e-file.lu](http://www.e-file.lu). The login page will be displayed.

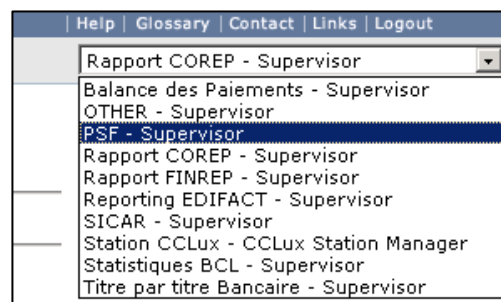
### 2.2 [Creating a sending structure \(File, Procedure, Envelope\)](#)

Once you are connected to [www.e-file.lu](http://www.e-file.lu) , the homepage appears.

First, you must *choose the correct context by selecting the appropriate item in the drop-down list located in the top-right of the homepage.*

For example: Choose “PSF- ...” if you want to send a PSF report.

Please note that the drop-down list contains your authorised contexts.



For manual transmission, follow these four rules:

See the e-file's user guide :

<sup>(m)</sup> [https://www.e-file.lu/docs/FR/Manuel\\_e-file\\_EN.pdf](https://www.e-file.lu/docs/FR/Manuel_e-file_EN.pdf)

**Rule 1: Choose the right type of file, procedure and**

**document** depending on the type of reporting you want to transfer.

**Rule 2: Respect the naming convention of the file by referring to the authorities' instructions.**

**Rule 3: Respect the file format and its extension.**

**Rule 4: Only upload unencrypted files, the encryption module will encrypt your file with the correct keys.**

**Rule 5: Attach only one document by envelope and only one envelope by procedure.**

The screenshot shows the e-file.lu dashboard. At the top, there is a navigation menu with 'Welcome' and 'PSF - Supervisor' dropdown. Below the menu are 'Quick links' and 'Advanced search' sections. The 'Quick links' section includes links for 'Procedure' (My current procedures, Current procedures of the group PSF, See all non-assigned procedures...) and 'Envelope' (Envelopes to validate 0). There is a 'New file' button. The 'Alerts' section has filters for 'Event' (All events) and 'File name' (All files), and a table titled 'List of latest alerts' which is currently empty. The 'Envelopes' section has a table titled 'List of unread envelopes' which is also empty.

Click on the “New file” button (or search for an existing file using the advanced search).

The 'New file' form is displayed. It includes a description: '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, ...)'. The form has the following fields:

- File information** (header)
- Filing Entity identifier**:
- File name**:
- Owner entity**: Assets Associate Company (Lux)
- File type**: Regulatory reporting (dropdown menu)

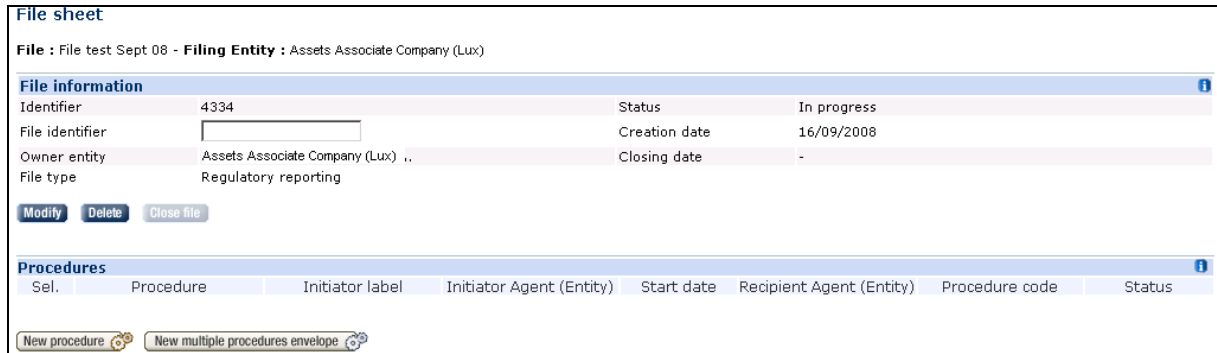
Buttons for 'Create' and 'Back to search' are visible. A note at the bottom states: 'Creating procedures will be the next step. With each procedure you will be able to exchange documents with the depositor concerned (using envelopes)'

Fill in the file name field and choose “Regulatory reporting” on the “File type” list (in bold) and click on the “Create” button.

The creation is successful, click the “Previous page” button to see the File sheet.

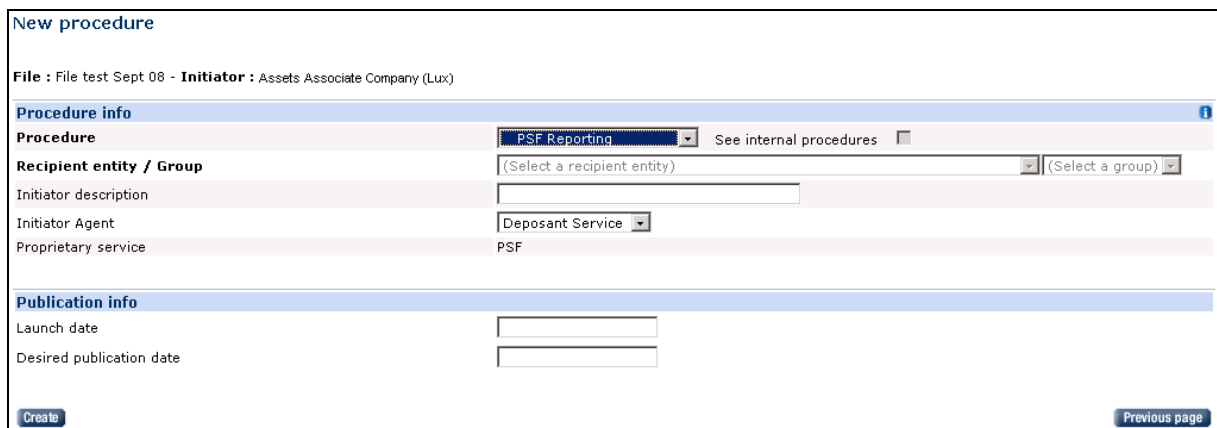


To create a new procedure from the File sheet, click on the **“New procedure”** button.



Select **“PSF Reporting”** in the list of type of procedures, click on the **“Create”** button.

You can also fill in the other fields but they are not mandatory.



The creation is successful, click the **“Previous page”** button to see the Procedure sheet.



You then have access to the Procedure sheet. Note that the new procedure's status is "Created".

Procedure : PSF Reporting

File : File test Sept 08 - Initiator : Assets Associate Company (Lux) - Addressee : CSSF - Unread envelopes : 0

Procedure Information Envelopes & documents Publications Progress report

**Procedure info**

Identifier	430491	Status	Created
Procedure code	-	Creation date	16/09/2008
Procedure	PSF Reporting	Start date	-
Addressee	CSSF	Closing date	-
<b>Initiator Agent</b>	Deposant Service		
Initiator Group	PSF		
<b>Recipient Agent</b>	-		
Recipient Group	Reporting PSF (CSSF)		
Initiator description			

Modify Delete

Back to file sheet

Select the tab called "Envelopes & Documents".

Procedure : PSF Reporting

File : File test Sept 08 - Initiator : Assets Associate Company (Lux) - 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 sheet

**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 sheet

To send reports, click on the "New envelope" button.



Welcome...

**New envelope**

Procedure : PSF Reporting - File : File test Sept 08 - Send by : Asset Associate Company (Lux) - Unread envelopes : 0

**Envelope info**

Status: Draft

Sender: [text]

Subject: [text]

Text: [text area]

Save as draft Send for validation Send

**Attached documents**

Name	Type	Date of document	Encrypted
<input checked="" type="checkbox"/> [text] Browse...	(Select a document type) PSF Document	[text]	<input checked="" type="checkbox"/>

\* A date has to be specified

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Fill in the subject and the text of the message (required fields) and click on the “*Attach document*” button.

Use the “*Browse*” functionality to find your report and select the corresponding type of report. The date of the report is optional.

**Be careful:**

- The file that you want to send must be well named, following the CSSF naming convention.
- For PSF reporting transmission, you must keep the “*Encrypted*” option checked.

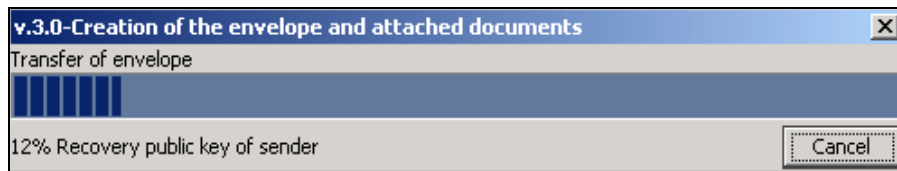
Click on the “*Send*” button to launch the transmission. The encryption module is automatically launched.

v.3.0-Creation of the envelope and att...

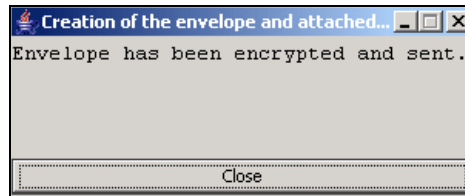
Password for documents encryption.

Password: [text input]

Send Close



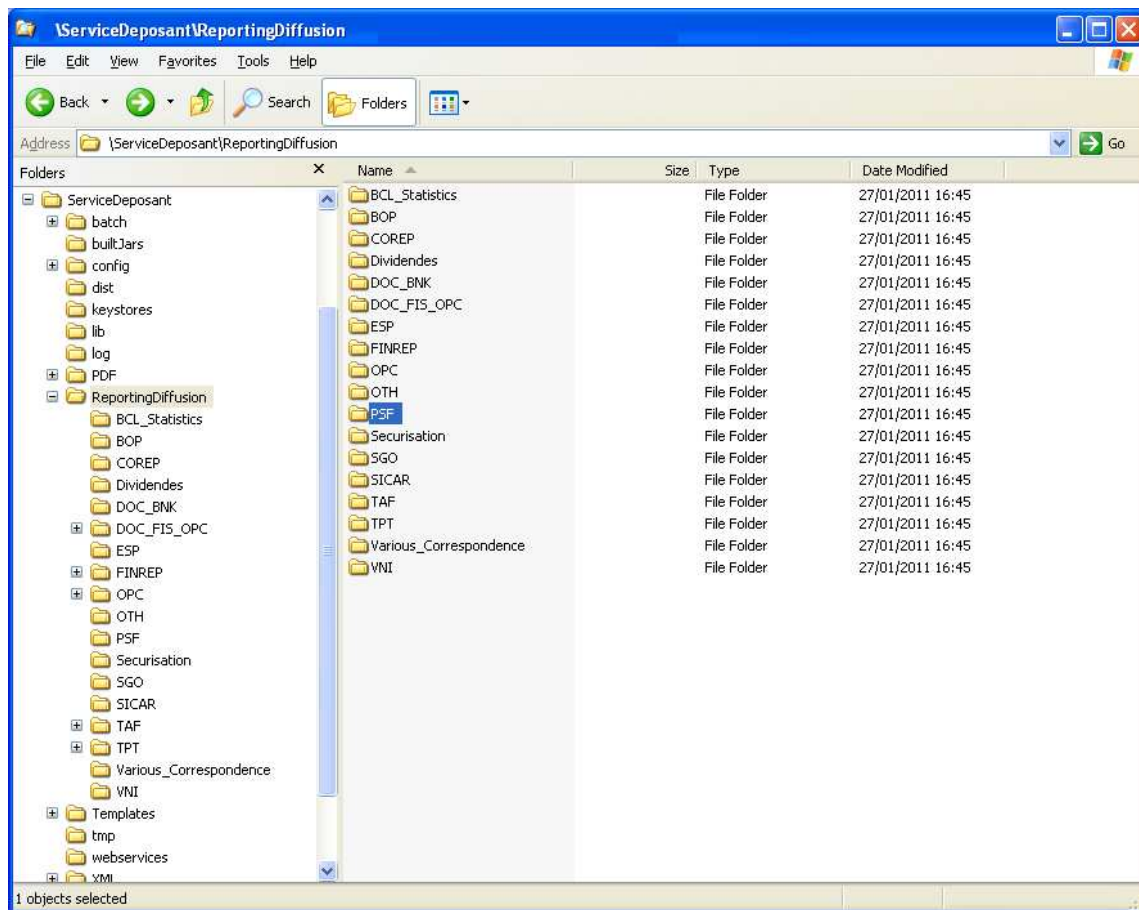
Once the transfer is finished, this box appears:



## 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.



The standard tree (see screenshot above) provides a directory PSF, which is our concern.

By default, all folders are present even if your entity is not subject to any of the reports.

In the case where a directory that does not serve you, it is present but inactive, that is to say there is no scanning done.

### 3.2 Triggering transmissions

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 (30 minutes). If the coordinator has given other instructions, frequencies may therefore vary.

### **3.2.1. Starting Sending Service**

Your IT manager can start and stop the sending service for your entity.

### **3.2.2. Default frequency**

By default that each directory is scanned every 30 minutes from the last start of the service.

### **3.2.3. Your configuration**

It is also possible to customize the frequency depending on the needs of your organization, directory by directory. Thank you to contact your project manager to determine the frequencies for your 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 on 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 file format and its extension,
- Rule 4:** The file must not have been previously encrypted by another system before being transmitted.

Relevant documents are :

#### support PFS

Basis reporting	<b>PSFREP-Ixxxx-YYYY-MM-I11-L1-C-N--.xls</b>
Ad-hoc reporting	<b>PSFREP-Ixxxx-YYYY-MM-I21-L1-C-N--.xls</b>
Annual informations	<b>PSFREP-Ixxxx-YYYY-MM-TAB-LL-C-D--.xls</b>

#### except support PFS

Basis reporting	<b>PSFREP-Pxxxx-YYYY-MM-I11-L1-C-N--.xls</b>
Ad-hoc reporting	<b>PSFREP-Pxxxx-YYYY-MM-I21-L1-C-N--.xls</b>
Annual informations	<b>PSFREP-Pxxxx-YYYY-MM-TAB-LL-C-D--.xls</b>

By default, choose the .../ReportingDiffusion/PSF directory.

### 3.4 Initial results and interpretation

Once the Sending Service has taken into account the reports placed 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: In that situation, just check that all 4 rules indicated previously have been applied first.

**Note concerning files with the extension ‘.TRT’**

The result file with extension ‘.trt’ is the “original” file which has only been renamed. It is thus possible to find your original file easily if necessary, by renaming it with its original extension.

If the original file is *OriginalFileName.xls*

where *OriginalFileName* = the name of the original file to be transmitted


Then, the result .trt file will be *OriginalFileName.xls\_Timestamp.trt*

with *Timestamp* = a digital counter providing a time stamp.



**Example :**

If the original file is PSFREP-P0000-2011-04-P11-L1-L-N--.xls, .trt file is PSFREP-P0000-2011-04-P11-L1-L-N--.xls\_20110421110355986.trt

Initial directory :

Name ▲	Size	Type	Date Modified
 PSFREP-P0000-2011-04-P11-L1-L-N--.xls	2 146 KB	Microsoft Excel Wor...	26/08/2010 09:36

become this :

Name ▲	Size	Type	Date Modified
 PSFREP-P0000-2011-04-P11-L1-L-N--.xls_20110421110355986.acq	2 146 KB	ACQ File	26/08/2010 09:36
 PSFREP-P0000-2011-04-P11-L1-L-N--.xls_20110421110355986.trt	2 146 KB	TRT File	26/08/2010 09:36

**Notes concerning files with the extension ‘.ERR’**

Result files with the extension ‘.err’ are “error” files.

They contain technical messages which assist you 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 to generate no error file if the transmission is correct.

## 4 Follow-up and authorities' answers

Follow-up of transfers and feedback of the authorities can be done from [www.e-file.lu](http://www.e-file.lu) portal.

This part of the manual provides an overview of these functionalities. However, if you require more details on the use of e-file.lu, you are advised to read the User Manual of e-file (available online).

The instructions in this part also imply an understanding of the base concepts of e-file.lu, such as files, procedures, envelopes and documents. These are explained in the e-file's User Manual <sup>(m)</sup>.

### 4.1 Accessing e-file.lu

Users should have a login/password to access to [www.e-file.lu](http://www.e-file.lu).

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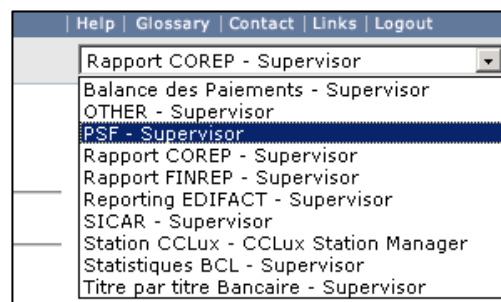
### 4.2 Follow-up and search of transmitted reports

Once you are connected to [www.e-file.lu](http://www.e-file.lu) , the homepage appears.

First, you must *choose the correct context by selecting the appropriate item in the drop-down list located in the top-right of the homepage.*

For example: Choose "PSF- ..." if you want to send a PSF report.

Please note that the drop-down list contains your authorised contexts.



*Then, click on the "Use file and procedure search..." link under 'Advanced search'.*

See the e-file's user guide :

<sup>(m)</sup> [https://www.e-file.lu/docs/FR/Manuel\\_e-file\\_EN.pdf](https://www.e-file.lu/docs/FR/Manuel_e-file_EN.pdf)

The screenshot shows the e-file.lu dashboard. At the top, there is a navigation menu with 'Welcome' and a dropdown menu for 'PSF - Supervisor'. Below this, there are sections for 'Quick links' and 'Advanced search'. The 'Quick links' section includes links for 'Procedure' (My current procedures, Current procedures of the group PSF, See all non-assigned procedures...) and 'Envelope' (Envelopes to validate 0). There is a 'New file' button. The 'Alerts' section has a filter for 'Event' (All events) and 'File name' (All files), with buttons for 'Configure my alerts' and 'Delete all'. Below this is a table for 'List of latest alerts' with columns: Event, File name, Concerned entity, Procedure, Procedure identifier, Event date, and Subject. The table is empty. The 'Envelopes' section has a table for 'List of unread envelopes' with columns: Item Id, Date of receipt, File name, Procedure, Subject, Sender entity, Sender, and Attached documents. This table is also empty.

The search screen appears:

The 'File and procedure search' form is divided into several sections:

- by identifier:** Portal identifier of the file, File identifier, Portal identifier of the procedure, Procedure identifier.
- by date comparison:** File creation date (min, max), File close date (min, max), Procedure start date (min, max), Procedure end date (min, max).
- by file information:** Owner entity (All owner entities), File name, File status (In progress), File type (All file types).
- by security description:** CSSF code, ISIN code, Security name.
- by procedure information:** Procedure (All procedure types), Initiator Agent (All agents), Recipient Agent (All agents), Procedure status (All statuses).

Buttons: Clear, Validate, New file.

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.

Fill in your criteria and click on “Validate” to launch the request.

**Note concerning ‘File status’:** the default value of this field is “In progress”. If you are looking for an ‘old’ transfer, change this criterion to ‘all statuses’.

The search result is a list of files and procedures corresponding to your previous criteria. You can then open a procedure by clicking on the links.

### Procedure status:

A procedure always has a status as described below: created, started, closed or cancelled.

- ❑ **“Created” status:** The procedure is created but no envelope has yet been sent.



- ❑ **“Started” status:** At least one envelope was sent by the filing entity or by the authority. The sending date of the first envelope becomes the starting date of the procedure. The transfer to the authority is not confirmed.
- ❑ **“Closed” status:** The procedure was closed by the authority. This is the normal end of a procedure. Please refer to paragraphs **3.3 Answers from the CSSF**.

#### **“Envelopes & Documents” tab:**

From the Procedure sheet, you can find the transmitted files by selecting the “Envelopes & Documents” tab.

Two lists are available: the **Sent Items** and the **Received Items**, which are the sent reports and the answers of the authorities.

Note that the received items are also available on the homepage until a user reads them. Once it is read, you can always find it from the procedure sheet.

### **4.3 Answers from the CSSF**

All CSSF answers are sent to [www.e-file.lu](http://www.e-file.lu).

#### **How long do you have to wait before getting an answer?**

The average duration between sending and the answer from the CSSF is less than 45 minutes. This duration depends on two main facts:

- the CSSF receipt scanning process is run every 15 minutes,
- the registration of the CSSF answers into the e-file database is made every 30 minutes.

#### **“Acknowledgements of receipt”**

The CSSF answers to all received reports. This feedback is a technical acknowledgement of receipt (called **FBR type**).

All FBR files are in XML format. They are instances of the same “FileAcknowledge-v1.0” XSD schema. This schema is available from the CSSF website ([www.cssf.lu](http://www.cssf.lu)).

This FBR file generated by the CSSF systems provides a structured answer.

On e-file.lu, from the list of received items or from the homepage, open the envelope detail and click on the attached file: the encryption module is automatically launched and proposes two options for downloading.



Enter the decryption password, choose the downloading mode and click on the “Download” button.

