



Commission de Surveillance
du Secteur Financier

Guidelines on the U1.1 reporting

User Guide

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Update information

Date	Version	Changes
12/02/2025	6.1	Addition of the mention of the removal of external channels from the transmission methods
11/02/2025	6.0	Update following publication of Circular CSSF 24/866, applicable from December 2025. The list of additional controls will be published in due course.
18/11/2024	5.1	Addition of information concerning XML format (cf. chapter 2.2)
15/11/2024	5.0	Addition of eDesk and API transmission channels

Table of CONTENTS

1. Specifications of the U1.1 reporting files.....	4
1.1. U1.1 reporting format.....	4
1.2. The content of the U1.1 reporting file	4
1.2.1. Authorisation date of a UCI.....	4
1.2.2. Authorisation date of a sub-fund	4
1.2.3. Section 1: General information on the report and the sender	4
1.2.4. Section 2: General information on the UCI	9
1.2.5. Section 3: Financial information of the UCI in the base currency of the UCI	15
1.2.6. Section 4: General information on the unit/share class (to be filled in separately for each unit/share class).....	16
1.2.7. Section 5: Financial information on the unit/share class for the reference month (to be filled in separately for each unit/share class)	20
1.2.8. Section 6: Information on the investment income and expenses for the reference month in the base currency of the UCI	26
2. Transmission of the U1.1 reporting files to the CSSF	34
2.1. Transmission channels pursuant to Circular CSSF 23/833	34
2.1.1. Application Programming Interface (API).....	34
2.1.2. eDesk	34
2.1.3. External channels	35
2.2. Sending of U1.1 reporting files	35
2.3. CSSF feedback files.....	36
2.4. Statements generated by the CSSF.....	38
2.5. Response to a CSSF statement	39
3. Contact information	41
Annex 1: List of controls concerning U1.1 reporting file.....	42

1. Specifications of the U1.1 reporting files

1.1. U1.1 reporting format

The U1.1 reporting must be transmitted in the XML format.

The technical description (XSD) of the files to be transmitted in the context of the U1.1 reporting can be downloaded on the CSSF website (<https://www.cssf.lu/en/Document/schemas-xml-u-1-1/>).

1.2. The content of the U1.1 reporting file

This paragraph contains definitions, explanations and examples in relation to the items referred to in the Annex of [Circular CSSF 15/627](#).

1.2.1. Authorisation date of a UCI

Each Undertaking for collective investment) (UCI) authorised by the CSSF and entered on the official list is notified by the CSSF and the respective authorisation date is communicated to the UCI. This **authorisation date** is, in principle, the date of incorporation of the investment company or the date of the management regulations of the common fund.

1.2.2. Authorisation date of a sub-fund

When a new umbrella UCI is authorised, all the sub-funds included in the very first offering document have the same **authorisation date** as the UCI.

In the case of a new sub-fund of an existing umbrella UCI, the **authorisation date** of the sub-fund is notified by the CSSF to the UCI.

In the remainder of this document, the term "UCI" is used for both a non-umbrella fund and a sub-fund. Where necessary, a distinction will be made between a UCI and a sub-fund.

1.2.3. Section 1: General information on the report and the sender

1.2.3.1. 1010 - Reference month

All UCIs are requested to submit to the CSSF monthly information on, among other things, their financial situation at the end of a month (e.g. total net asset value) or for the whole month (e.g. proceeds from all units/shares issued).

The year and month to which the requested information relates, must be indicated in the field "reference month" in the format "YYYYMM", where "YYYY" stands for the year and "MM" for the month.

Example:

If a UCI submits its U1.1 reporting for December 2025, the field "reference month" must be filled in with the value "202512".

The field "reference month" is mandatory.

1.2.3.2. 1020 - Reporting status

A UCI must provide the most accurate and up-to-date information for any given reference month.

U1.1 reporting can only have three statuses:

- 1) "null report";
- 2) "final report" or;
- 3) "provisional report".

- 1) Any UCI that has been authorised by the CSSF but that has not yet been launched, must submit a "**null report**" as from the reference month during which it was authorised. In this case, the UCI must only report static data, i.e. items 1010 to 2030. Items 2040 to 2110 are optional. For the sake of clarity, it should be noted that the fact of accepting only capital commitments does not impact the transmission of a "null report"¹.

Example 1:

Sub-fund 1 of the UCI A receives its authorisation on 15 December 2025. The UCI does not receive any subscription since its authorisation and for the next 18 months (according to [Circular CSSF 12/540](#), the fund has 18 months to receive the first subscriptions).

Reference month	Reporting status	Deadline for submission	Comment on the content of the reporting file
202512 to 202705	null report	10 calendar days at the latest after the last day of the reference month	Only items 1010 to 2030 to be filled in
202706	null report	10 July 2018 at the latest	Only items 1010 to 2030 to be filled in and the "closing date" (item 2080) to be filled in with "reason for closing" (item 2090) being "The UCI is definitely closed"

¹ In other words, commitments are not considered as subscriptions. Consequently, neither a "provisional" nor a "final" report is requested.

- 2) A UCI must submit a U1.1 reporting with the status "**final report**" when the financial information included in the reporting file is based on data relating to the reference month. This does not exclude the possibility for a UCI to submit an update or a correction of this U1.1 reporting with the same status after the deadline, if necessary.

If the UCI's net asset value calculation is less frequent than monthly (e.g. quarterly, semi-annually or annually), the UCI must submit a U1.1 reporting including estimated financial information based on the accounting records (i.e. unofficial net asset value based on the last available information/valuation prices) with the status "final report" for the reference months other than the reference months for which an official net asset value is calculated in accordance with the net asset value calculation frequency laid down in the offering document. For the reference months for which an official net asset value is calculated, UCIs must provide a "**final report**" based on the financial information underlying the official net asset value.

Example 2:

UCI B receives its authorisation on 15 December 2025. The first capital commitments are received on 28 January 2026. The first subscriptions (e.g. capital call cash flow) are received on 5 February 2026. The fund calculates its net asset value on a quarterly basis, i.e. 31 March, 30 June, 30 September and 31 December. Financial figures for these reference months are available before the deadline for the U1.1 reporting.

Reference month	Reporting status	Deadline for submission	Comment on the content of the reporting file
202512	null report	10 January 2026 at the latest	Only items 1010 to 2030 to be filled in
202601	null report	10 February 2026 at the latest	Only items 1010 to 2030 to be filled in
202602	final report	10 March 2026 at the latest	The UCI must provide estimated data based on the accounting records (i.e. unofficial net asset value based on last available information/ valuation prices)
202603	final report	10 April at the latest	Official figures calculated on 31 March 2026
202604	final report	10 May at the latest	The UCI must provide estimated data based on the accounting records (i.e. unofficial net asset value based on last available information/valuation prices)

Example 3:

UCI C calculates its net asset value on a daily basis. On 20 April 2026, after the deadline for submitting the monthly report for March 2026 on 10 April 2026, the UCI must adjust financial data for this reference month.

On 10 April 2026 at the latest, the UCI must transmit a "final report" for March 2026. On 20 April 2026, the UCI must submit a revised "final report" for March 2026.

Example 4:

UCI D calculates its net asset value on a weekly basis, e.g. every Friday. For the reference month May 2026, the UCI calculates its NAV dated 5 May 2026, 12 May 2026, 19 May 2026, 26 May 2026 and 2 June 2026.

On 10 June 2026 at the latest, the UCI must transmit a “final report” for May 2026 based on the financial information underlying the official net asset value as of 26 May 2026.

- 3) A UCI must submit a U1.1 reporting with the status “**provisional report**” if the financial information included in the reporting file is not based on data relating to the reference month. This status must typically be used for UCIs with a reporting less frequent than weekly when final valuation prices are not available within the deadline for a reference month where an official net asset value must be calculated.

Example 5:

UCI E calculates its net asset value on an annual basis. The process to get the valuation of all assets takes two months.

Reference month	Reporting status	Deadline for submission	Comment on the content of the reporting file
202512	provisional report	10 January 2026 at the latest	The UCI must provide estimated data based on the accounting records (i.e. unofficial net asset value based on last available information/valuation prices)
202601	provisional report	10 February 2026 at the latest	The UCI must provide estimated data based on the accounting records (i.e. unofficial net asset value based on last available information/valuation prices)
Final figures for 2016 available at the end of February 2026			
202512	final report	As soon as final figures for 2025 are available	Official figures for 2025
202601	final report	As soon as final figures for 2025 are available	The UCI must provide estimated data based on the accounting records (i.e. unofficial net asset value based on last available information/valuation prices) thereby using at least the official figures for the end of 2025
202602	final report	10 March 2026 at the latest	The UCI must provide estimated data based on the accounting records (i.e. unofficial net asset value based on last available information/valuation prices) thereby using at least the official figures for the end of 2025

The field “reporting status” is mandatory.

1.2.3.3. 1030 - CSSF code of the sender

This item refers to the CSSF code of the sender of the U1.1 reporting. The CSSF code consists of one letter or number (depending on the CSSF status of the sender) and 8 digits for the entity number.

Example:

If the "Bank XYZ" submits the U1.1 reporting, its CSSF code is derived from its status as a bank (i.e. the letter "B") and its number (e.g. "1" which must be filled in with 7 digits of "0" before the number "1"). In other words, "Bank XYZ" must enter "B00000001" in the field "CSSF code of the sender".

The field "CSSF code of the sender" is mandatory.

1.2.3.4. 1031 – Intentionally left blank

This item is not used for the U1.1 report but is displayed to mirror the BCL report S 2.20 schema.

1.2.3.5. 1032 – Intentionally left blank

This item is not used for the U1.1 report but is displayed to mirror the BCL report S 2.20 schema.

1.2.3.6. 1040 - Name of the employee and phone number

This item refers to the name and the telephone number of the person responsible for the transmission of the U1.1 reporting to the CSSF and who can answer CSSF queries related to the reporting.

1.2.3.7. 1050 - Email address

This item refers to the email address of the person(s) responsible for the transmission of the U1.1 reporting to the CSSF.

Items 1040 and 1050 are linked. It is mandatory to indicate at least one contact person. Of course, each sender can fill in data for more than one contact person.

The fields "Name of the employee and phone number" and "Email address" are both mandatory for at least one contact person.

1.2.4. Section 2: General information on the UCI

1.2.4.1. 2010 - CSSF code of the UCI (CSSF code of the entity and CSSF code of the sub-fund)

This item refers to the UCI identifier attributed by the CSSF using the format FMMMMMMM_CCCCCC, where:

- "F" is to be replaced by either the constant value "O" (for UCIs subject to the [Law of 17 December 2010 on undertakings for collective investment](#) or the [Law of 13 February 2007 on specialised investment funds](#)) or "K" (for SICARs subject to the [Law of 15 June 2004](#));
- "MMMMMMM" is the identification number of the UCI (preceded by zeros when the number has less than 8 digits);
- followed by « _ » (underscore); and where
- "CCCCC" is the identification number of the sub-fund (preceded by zeros when the number has less than 8 digits, or "0000000" if the UCI is not an umbrella UCI).

The CSSF codes of all UCIs are available on the CSSF website under the link:

[Identifiers of UCI/SIF/SICAR – CSSF](#)

Examples:

- 1) *In the case of transmission of the U1.1 reporting for the UCI "ABC", which is an umbrella UCI (e.g. CSSF code "1" which must be filled in with 7 digits of "0" before the number "1"), sub-fund "A" (e.g. CSSF code "1" which must be filled in with 7 digits of "0" before the number "1"), the field "CSSF code of the UCI" must be filled in with the following unique identifier code: "00000001_0000001".*
- 2) *In the case of transmission of the U1.1 reporting for the UCI "DEF", which is not an umbrella UCI (e.g. CSSF code "2" which must be filled in with 7 digits of "0" before the number "2"), the field "CSSF code of the UCI" must be filled in with the following unique identifier code: "00000002_0000000".*

The field "CSSF code of the UCI" is mandatory.

1.2.4.2. 2011 – Intentionally left blank

This item is not used for the U1.1 report but is displayed to mirror the BCL report S 2.20 schema.

1.2.4.3. 2012 – Intentionally left blank

This item is not used for the U1.1 report but is displayed to mirror the BCL report S 2.20 schema.

1.2.4.4. 2020 - Name of the UCI (name of the entity and name of the sub-fund)

This item refers to the name of the UCI as mentioned in the offering document and any subsequent changes authorised by the CSSF, which is composed of the name of the entity and the sub-fund in the case of an umbrella UCI and only of the name of the entity in the case of a non-umbrella UCI.

The names of the UCIs are available on the CSSF website under the link:

[Identifiers of UCI/SIF/SICAR – CSSF](#)

Examples:

- 1) *In the case of transmission of the U1.1 reporting for the UCI "ABC" (which is an umbrella UCI), sub-fund "A" the "Name of the UCI" -field must be filled in with the following content: "ABC – A".*
- 2) *In the case of transmission of the U1.1 reporting for the UCI "DEF", (which is not an umbrella UCI), the field "Name of the UCI" must be filled in with the following content: "DEF".*

The field "Name of the UCI" is mandatory.

1.2.4.5. 2030 - Base currency of the UCI

This item refers to the base currency of the UCI in which the total net asset value is expressed as at the valuation date of the reference month as laid down in the articles of incorporation/management regulations/offering document and any subsequent changes of the UCI. The base currency of the UCI must be reported by using the ISO 4217 codes.

The field "Base currency of the UCI" is mandatory.

1.2.4.6. 2040 - Legal Entity Identifier (LEI)

This item refers to the Legal Entity Identifier of the UCI. For umbrella funds, the LEI must be filled in for each specific sub-fund.

The field "Legal Entity Identifier (LEI)" is mandatory if the UCI has been allocated a LEI.

1.2.4.7. 2050 - Valuation date

Since UCIs must transmit each month the most accurate and up-to-date financial information, the information underlying the U1.1 reporting must be based on the valuation date that is the closest to the end of the reference month. Consequently, the **valuation date** is, in principle, the last business day of the reference month.

For UCIs which calculate their net asset value at least on a weekly basis, the valuation date, is in principle, the last day of the reference month for which the net asset value is calculated.

For UCIs which calculate their net asset value at least on a monthly basis, the valuation date should refer to the date which is the closest to the last day of a reference month for which the net asset value is calculated. In this case, the valuation date can also refer to a day within the following month if the UCI calculates its net asset value after the month's end, but before the 10th calendar day of the following month.

For UCIs which calculate their net asset value less than monthly, the valuation date should refer to the day for which the estimated data based on the accounting records has been calculated (i.e. unofficial net asset value based on last available information/valuation prices) or to the day for which the net asset value has been calculated (for the official net asset values). In the case of estimated data, at least the last (official) net asset value determined in accordance with the net asset value calculation frequency as laid down in the offering document and any subsequent changes must be used.

Examples:

- 1) *A UCI calculates its NAV on a weekly basis every Friday. Therefore, the UCI calculates its NAV dated 8 May 2026, 15 May 2026, 22 May 2026, 29 May 2026 and 5 June 2026.*

The valuation date for the reference month of May 2026 is 29 May 2026.

- 2) *A UCI calculates its NAV on a monthly basis, namely on the third business day of each month. Therefore, the UCI calculates its NAV dated 6 May 2026 and 3 June 2026. For submitting the monthly report for May 2026, the UCI could use the financial data for this reference month calculated on 3 June 2026.*

The valuation date in this case is 3 June 2026 for the reference month May 2026.

- 3) *A UCI calculates its NAV on a quarterly basis (March, June...) as well as for each subscription or redemption. During the second quarter, the UCI receives new subscriptions on 12 May 2026. As a result, the UCI must calculate its NAV dated 31 March 2026, 12 May 2026 and 30 June 2026.*

The valuation date for the reference month of March 2026 is the 31 March 2026.

The valuation date for the reference month of April 2026 is the date of the estimated data as based on the accounting records (i.e. unofficial net asset value based on last available information/valuation prices) as at 30 April 2026, thereby using at least the official net asset value as at 31 March 2026.

The valuation date for the reference month of May 2026 is the date of the estimated data as based on the accounting records (i.e. unofficial net asset value based on last available information/valuation prices) as at 31 May 2026, thereby using at least the official net asset value as at 12 May 2026.

The valuation date for the reference month of June 2026 is 30 June 2026.

The field "Valuation date" is mandatory.

1.2.4.8. 2060 – Net asset value calculation frequency

This item refers to the net asset value calculation frequency, the following frequencies being available:

Option number	NAV calculation frequency
1	Daily
2	Daily and month-end
3	Semi-weekly
4	Semi-weekly and month-end
5	Weekly
6	Weekly and month-end
7	Weekly and first day of the month
8	Weekly and for each subscription or redemption
9	Semi-monthly
10	Semi-monthly and month-end
11	Semi-monthly and quarter-end
12	Semi-monthly and for each subscription or redemption
13	Monthly
14	Monthly and for each subscription or redemption
15	Quarterly
16	Quarterly and for each subscription or redemption
17	Semi-annually
18	Semi-annually and for each subscription or redemption
19	Annually
20	Annually and for each subscription or redemption

Examples:

- 1) A UCI that calculates its net asset value on the third Friday of each month is considered as having a "monthly" net asset value calculation frequency (option 13).
- 2) A UCI that calculates its net asset value on a weekly and end-of-month basis is considered as having a "weekly and end-of-the-month" net asset value calculation frequency (option 6).

The UCI can add a comment in the free text box providing further details on its frequency.

The field "Net asset value calculation frequency" is mandatory.

1.2.4.9. 2070 - Launch date

The launch date is the date on which the UCI receives its first subscription(s). The UCI can only submit, in terms of reporting status, a "final report" or a "provisional report" for the reference month in which the first subscription was received. If the UCI is temporarily closed (see option 4 of item number 2090), the subsequent launch date is the date on which the UCI receives its new subscription(s).

The field “Launch date” is mandatory.

1.2.4.10. 2080 - Closing date

The closing date is the date in the reference month for which the UCI transmits its last final U1.1 reporting. If the UCI is temporarily closed, it will submit a “null report” for each subsequent reference month (see option 4 of item number 2090).

The field “Closing date” is optional.

1.2.4.11. 2090 - Reason for closing

Option number	Reason for closing	Consequences/comments
1	Put into liquidation	No further U1.1 reporting files are requested after the reference month that relates to the closing date.
2	Merger into another UCI (wherever it is domiciled)	No further U1.1 reporting files are requested after the reference month that relates to the closing date. For reporting purposes, it should be noted that, in the case of a merger, the absorbing (sub-)fund, if domiciled in Luxembourg, should treat the shares issued to the unitholders of the absorbed (sub-)fund (in exchange for the transfer of all the assets/liabilities by the absorbed ((sub-)fund), as new subscriptions and should include this amount in its subscriptions for the reference month (see item number 3030 below).
3	The UCI status has been abandoned and the UCI has adopted a different legal status from the UCI	No further U1.1 reporting files are requested after the reference month that relates to the closing date.
4	The UCI is temporarily closed (see Circular CSSF 12/540)	As long as there are no new proceeds from subscriptions for a reference month, the UCI must submit U1.1 reporting files with the “reporting status” of “null report”. Based on Circular CSSF 12/540 the UCI can be reactivated within 18 months.
5	The UCI is definitively closed (see Circular CSSF 12/540)	The sub-fund of the UCI has not received any new proceeds for 18 months and has been consequently closed. No further U1.1 reporting files are requested after the reference month that relates to the closing date.

The field "Reason for closing" is optional.

1.2.4.12. 2100 – Redemption frequency

This item refers to the redemption frequency. The following frequencies are available:

Option number	Redemption frequency
1	Daily
2	Weekly
3	Semi-monthly
4	Monthly
5	Quarterly
6	Biannual
7	Annual
8	Only at the end of maturity
9	Other/Irregular

The field "Redemption frequency" is mandatory.

1.2.4.13. 2110 – Open- / Closed-end

This item refers to the type of investment funds in relation to the issuance of shares.

Open-end investment funds are investment funds whose units/shares are, at the request of the holders, repurchased or redeemed directly or indirectly out of the undertaking's assets.

Closed-end investment funds are investment funds with a fixed number of units/shares issued, whose shareholders have to buy or sell existing units/shares to enter or leave the fund.

In addition, investment funds whose units/shares can be repurchased or redeemed after an initial period of at least 5 years during which redemption rights are not exercisable shall also be considered to be closed-end investment funds.

Option number	Open- / Closed-end
1	Open-end investment funds
2	Closed-end investment funds

The field "Open- / Closed-end" is mandatory.

1.2.5. Section 3: Financial information of the UCI in the base currency of the UCI

1.2.5.1. 3010 - Total net asset value of the previous reference month

This item refers to the total net asset value of the previous reference month of the UCI. The amount shown must be identical to the one stated in the last submitted version of the “final report” or “provisional report” of the previous month under “Total net asset value of the reference month” (cf. item 3020).

If the UCI submits a “final report” or “provisional report” for the very first time, i.e. it has received its first subscription(s) during the reference month, field 3010 must state “0”.

If the UCI submits a revised version of a U1.1 reporting in which the field “Total net asset value of the reference month” changes, the field “Total net asset value of the preceding reference month” in the U1.1 reporting file for the subsequent reference month must be revised as well and the amended U1.1 reporting file must be submitted to the CSSF.

The field “Total net asset value of the preceding reference month” is mandatory.

1.2.5.2. 3020 - Total net asset value of the reference month

This item refers to the total net asset value of the reference month calculated on the valuation date.

The field “Total net asset value of the reference month” is mandatory.

1.2.5.3. 3030 - Proceeds from all units/shares issued during the reference month

This item refers to the net proceeds (after deduction of all fees/costs) received by the UCI from all units/shares issued for the different units/share classes during the reference month. In case of subscriptions in kind, the corresponding net proceeds are to be reported under this item.

The field “Proceeds from all units/shares issued during the reference month” is mandatory.

1.2.5.4. 3040 - Payments made for all units/shares redeemed during the reference month

This item refers to the payments made by the UCI in settlement of redemptions of all units or shares redeemed for the different units/share classes during the reference month. In case of redemptions in kind, the corresponding payments are to be reported under this item.

The field "Payments made for all units/shares redeemed during the reference month" is mandatory.

1.2.5.5. 3050 - Total distributions made during the reference month

This item refers to the total distributions (including interim dividends) made by the UCI for all units/share classes with distribution rights, whose ex-dividend date falls within the reference month, regardless of whether the distributions are cash dividends or dividends in the form of bonus units/shares.

It should be noted that distributions made in the form of bonus units/shares must be reflected in the field "Proceeds from all units/shares issued during the reference month" (see item 3030) and in the field "Proceeds from units/shares issued in the base currency of the UCI" (see item 5050).

The field "Total distributions made during the reference month" is mandatory.

1.2.6. Section 4: General information on the unit/share class (to be filled in separately for each unit/share class)

Each unit/share class of the UCI to be issued must be authorised by the CSSF.

For each unit/share class launched, the submission of the information, as requested in Section 4, is mandatory until the unit/share class is closed.

1.2.6.1. 4010 - CSSF code of the unit/share class

This item refers to the sequential number, composed of four digits, given by the CSSF to the unit/share class.

Example:

In the case of the transmission of the U1.1 reporting for the UCI "ABC", sub-fund "A", share class "CAP" (e.g. CSSF code "1"), the field "CSSF code of the unit/share class" must be filled in with the following unique identifier code: "0001".

The CSSF code of the unit/share class is available on the CSSF website under the link:

[Identifiers of UCI/SIF/SICAR – CSSF](#)

The field "CSSF code of the unit/share class" is mandatory.

1.2.6.2. 4020 - Name of the unit/share class

This item refers to the name of the unit/share class as laid down in the latest offering document and any subsequent changes authorised by the CSSF.

Example:

In the case of the transmission of the U1.1 reporting for the UCI "ABC", sub-fund "A", share class "CAP", the field "CSSF Name of the unit/share class" must be filled in with the share class name: "CAP".

The names of the of the units/share classes are available on the CSSF website at:

[Identifiers of UCI/SIF/SICAR – CSSF](#)

The field "Name of the unit/share class" is mandatory.

1.2.6.3. 4030 - Base currency of the unit/share class

This item refers to the base currency of the unit/share class.

The field "Base currency of the unit/share class" is mandatory.

1.2.6.4. 4040 - ISIN code of the unit/share class

This item refers to the International Securities Identification Number ("ISIN") of the unit/share class. Although this field is optional, if the unit/share class has an ISIN code, it must be indicated in the U1.1 reporting.

The field "ISIN code of the unit/share class" is mandatory if the unit/share class has been assigned an ISIN code.

1.2.6.5. 4050 - Launch date of the unit/share class

This item refers to the date on which the UCI receives its first subscription(s) for the specific unit/share class. If the unit/share class is temporarily closed, (see option 4 of item number 4070), the subsequent launch date is the date on which the UCI receives its new subscription(s).

The field "Launch date of the unit/share class" is mandatory.

1.2.6.6. 4060 - Closing date of the unit/share class

This item refers to the date on which the last investor(s) exit(s) from the specific unit/share class by redeeming all the units/shares issued/in circulation. The UCI transmits the information requested under sections 4 and 5 for the specific unit/share class for the last time for this reference month.

The field “Closing date of the unit/share class” is optional.

1.2.6.7. 4070 - Reason for closing of the unit/share class

There are only four reasons for closing a unit/share class:

Option number	Reason for closing	Consequences/comments
1	Put into liquidation	The whole UCI or a unit/share class is liquidated. No further U1.1 reporting files are requested for this specific unit/share class after the reference month that relates to the closing date.
2	Merger into another unit/share class (wherever it is domiciled)	The unit/share class is merged into another UCI or another unit/share class of the UCI. No further U1.1 reporting files are requested for this specific unit/share class after the reference month that relates to the closing date.
3	The UCI status is relinquished and the UCI has adopted a legal status other than that of a UCI	The whole UCI ceases to be a UCI. No further U1.1 reporting files are requested for this specific unit/share class after the reference month that relates to the closing date.
4	The unit/share class is temporarily closed	As long as there are no new proceeds from subscriptions for a reference month, the UCI does not have to submit information for this specific unit/share class after the reference month in which the last investor(s) was/were redeemed.

The field “Reason for closing of the unit/share class” is optional.

1.2.6.8. 4080 - Unit/share class with specific instruments – FX

This item refers to the existence (“true/false”) of specific financial instruments related to foreign exchange “FX” (e.g. currency forward transactions) at the level of the unit/share class. No distinction should be made between FX transactions for hedging purposes and FX transactions for investment purposes.

Example:

A UCI A may create a unit/share class (with base currency US dollar (USD)) whose intention is to hedge the value of the net assets of that unit/share class (expressed in USD) in the base currency of the UCI (for example, Euro (EUR)) by using USD/EUR currency forward contracts, whereby the costs and expenses arising from the currency forward transactions will only be borne by that unit/share class. For that specific unit/share class the field “Unit/share class with specific assets – FX” must be flagged as “true”.

The field "Unit/share class with specific instruments – FX" is mandatory.

1.2.6.9. 4090 - Unit/share class with specific instruments – Interest Rate

This item refers to the existence ("true/false") of specific financial instruments related to interest rates (e.g. bond future transactions) at the level of the unit/share class. No distinction is to be made between interest rate transactions for hedging purposes and interest rate transactions for investment purposes.

Example:

A UCI A may create a unit/share class whose intention is to reduce/limit the impact of interest rate movements (e.g. target duration of 6 months) on its net asset value by using bond future contracts, whereby the costs and expenses arising from the bond future transactions will only be borne by that unit/share class. For that specific unit/share class the field "Unit/share class with specific assets – Interest Rate" must be flagged as "true".

The field "Unit/share class with specific instruments – Interest rate" is mandatory.

1.2.6.10. 4100 - Unit/share class with specific instruments – Other

This item refers to the existence ("true/false") of specific financial instruments related to other factors other than FX or interest rates (e.g. equity index future for hedging the equity risk) at the level of the unit/share class. No distinction should be made between transactions for hedging purposes and transactions for investment purposes.

The field "Unit/share class with specific instruments – Other" is mandatory.

1.2.6.11. 4110 - Investor base

This item refers to the type of shareholders.

The investor base is determined on the basis of the predominant (more than 50 %) type of investors , in terms of their value (number of units/shares outstanding * net asset value per unit/share in the base currency of the fund).

Please refer to Annex II of Directive 2014/65/EU for a detailed definition of the different categories.

Option number	Investor base
1	Professional investor
2	Well-informed investor
3	Retail investor
4	Mixed

If no predominant type can be determined on a best effort basis, the investor base is considered as “mixed”.

The field “Investor base” is mandatory.

1.2.7. Section 5: Financial information on the unit/share class for the reference month (to be filled in separately for each unit/share class)

For each unit/share class launched, the submission of the information as requested in Section 5 is mandatory until the unit/share class is closed.

1.2.7.1. 5010 - Number of units/shares outstanding

This item refers to the number of units/shares in circulation at the end of the reference month (or at the valuation date if it does not match with the last day of the reference month) for a given unit/share class.

The field “Number of units/shares outstanding per unit/share class” is mandatory.

1.2.7.2. 5020 - Net asset value per unit/share in the base currency of the UCI

This item refers to the net asset value per unit/share in the base currency of the UCI at the valuation date of the reference month.

Example:

A UCI, with EUR as base currency, has issued two share classes: type A expressed in EUR and type B expressed in USD.

*The net asset value of the UCI (see item 3020) is the sum of the product [number of units/shares * net asset value per unit/share in the base currency of the UCI] of each unit/share class.*

	Number of units/shares outstanding	NAV per unit/share in the base currency of the unit/share class	Exchange rate (e.g., USD/EUR= 0.8695)	NAV per unit/share in the base currency of the UCI
Class A	1,000	100 (EUR)	1	100 (EUR)
Class B	500	115 (USD)	0.8695	100 (EUR)

The net asset value of the UCI (see item 3020) is $[1,000 * 100] + [500 * 100] = \text{EUR } 150,000$.

The **net asset value per unit/share in the base currency of the UCI** for Class A is **100 (EUR)**.

The **net asset value per unit/share in the base currency of the UCI** for Class **B** is **100** (EUR).

The field “**Net asset value per unit/share in the base currency of the UCI**” is mandatory.

1.2.7.3. 5030 - Net asset value per unit/share in the base currency of the unit/share class

This item refers to the net asset value per unit/share in the base currency of the unit/share class (see item 4030) at the valuation date of the reference month.

Example:

A UCI, with EUR as its base currency, has issued two share classes: type A denominated in EUR and type B denominated in USD.

The net asset value of the UCI (see item 3020) is the sum of the product [number of units/shares * net asset value per unit/share in the base currency of the unit/share class * exchange rate] of each unit/share class.

	Number of units/shares outstanding	NAV per unit/share in the base currency of the unit/share class	Exchange rate (e.g. USD/EUR= 0.8695)	NAV per unit/share in the base currency of the UCI
Class A	1,000	100 (EUR)	1	100 (EUR)
Class B	500	115 (USD)	0.8695	100 (EUR)

The net asset value of the UCI (see item 3020) is $[1,000 * 100 * 1] + [500 * 115 * 0.8695] = \text{EUR } 150,000$.

The **net asset value per unit/share in the base currency of the unit/share class** for Class **A** is **100** (EUR) [see item 5020].

The **net asset value per unit/share in the base currency of the unit/share class** for Class **B** is **115** (USD).

The field “**Net asset value per unit/share in the base currency of the unit/share class**” is mandatory.

1.2.7.4. 5040 - Net return per unit/share in the base currency of the unit/share class

This item refers to the monthly performance (in percentage, positive or negative) of the unit/share class as derived from the net asset value per unit/share (in the base currency of the unit/share class) of the unit/share class of the reference month and the previous reference month. The calculation should be made on the basis that any distributable income at the level of the unit/share class has been reinvested.

The monthly investment return should not be rescaled to an annual basis.

Examples:

- 1) A UCI has issued three share classes: A is a non-distributing share class, B is a monthly distributing share class (end of the month) and C is a monthly distributing share class (beginning of the month). The net return on investments for the month is 1.5%.

Share class	Net asset value per unit/share in the base currency of the unit/share class		Distributions	Net returns (in percent)
	Previous month	Reference month		
A	100.00	101.50	None	$(101.50 - 100.00)/100.00 = 1.5\%$
B	100.00	99.50	2	$((99.50+2) - 100.00)/100.00 = 1.5\%$
C	100.00	99.47	2	$((99.47+2.03) - 100.00)/100.00 = 1.5\%^2$

The net return per unit/share in the base currency of the unit/share class for classes A, B and C is **1.5 %**.

- 2) A UCI calculates its net asset value on a weekly basis and has issued two share classes: A is a non-distributing share class and B is weekly distributing share class. The net returns on investments during the month are 0.50% for week 1, -1.00% for week 2, 0.75% for week 3 and 1.25% for week 4.

Share class	Net asset value per unit/share in the base currency of the unit/share class			Distributions	Weekly returns (in percent)
	Preceding month		Reference month		
A	100.00				
	week 1	100.50		None	$(100.50-100.00)/100.00 = 0.50\%$
	week 2	99.495		None	$(99.495-100.50)/100.50 = -1.00\%$
	week 3	100.241		None	$(100.241-99.495)/99.495 = 0.75\%$
week 4			101.494	None	$(101.494-100.241)/100.241 = 1.25\%$
					$(1.005 * 0.990 * 1.0075 * 1.0125) = 1.494\%$
					$(101.494 - 100.00)/100.00 = 1.494\%$
B	100.00				
	week 1	100.00		0.5	$((100.00+0.5)-100.00)/100.00 = 0.50\%$
	week 2	99.00		0	$((99.00+0)-100.00)/100.00 = -1.00\%$
	week 3	99.243		0.5	$((99.243+0.5)-99.00)/99.00 = 0.75\%$
week 4			99.483	1	$((99.483+1)-99.243)/99.243 = 1.25\%$
					$(1.005 * 0.990 * 1.0075 * 1.0125) = 1.494\%$

² The dividend is considered as being reinvested at the same rate as the investments ($2*1.015=2.03$)

The *net return per unit/share in the base currency of the unit/share class* for classes A and B is **1.494 %**.

The field "Net return per unit/share in the base currency of the unit/share class" is mandatory.

1.2.7.5. 5050 - Proceeds from units/shares issued in the base currency of the UCI

This item refers to the net proceeds (after deduction of all fees/costs) received by the UCI from units/shares issued during the reference month for the unit/share class. In the case of subscriptions in kind the corresponding net proceeds are to be reported under this item. This also includes the proceeds of units/shares issued (in exchange for the transfer of assets/liabilities by the absorbed UCI) in the context of the merger of another UCI (domestic or foreign) into the relevant UCI.

The field "Proceeds from units/shares issued in the base currency of the UCI" is mandatory.

1.2.7.6. 5060 - Payments made for units/shares redeemed in the base currency of the UCI

This item refers to the payments made by the UCI in settlement of redemptions of units/shares redeemed during the reference month for the unit/share class. In the case of redemptions in kind the corresponding payments should be reported under this item.

The field "Payments made for units/shares redeemed in the base currency of the UCI" is mandatory.

1.2.7.7. 5070 - Total distributions made in the base currency of the UCI

This item refers to the total distributions (including interim dividends) in the base currency of the UCI made by the UCI for the unit/share class with distribution rights, whose ex-dividend date falls within the reference month, whether in the form of cash dividends or dividends in the form of bonus units/shares.

It should be noted that distributions made in the form of bonus units/shares must be reflected in the "Proceeds from units/shares issued in the base currency of the UCI" (see item 5050) and in the "Proceeds from all units/shares issued during the reference month" (see item 3030).

Example:

A UCI, with EUR as its base currency, has issued two distribution share classes: type A denominated in EUR and type B denominated in USD.

The **total distributions** (including interim dividends) made by each unit/share class in the base currency of the UCI is equal to the product [number of units/shares for the unit/share class with distribution rights * dividend per unit/share in the base currency of the unit/share class* exchange rate] of each unit/share class.

	Number of units/shares for unit/share class with distribution rights	Dividend per unit/share in the base currency of the unit/share class	Exchange rate (e.g. USD/EUR= 0.8695)	Dividend per unit/share in the base currency of the UCI	The total distributions made in the base currency of the UCI
Class A (EUR)	1,000	0.5 (EUR)	1	0.5 (EUR)	500 (EUR)
Class B (USD)	500	0.575 (USD)	0.8695	0.5 (EUR)	250 (EUR)

The total distributions in the base currency of the UCI made by Class **A** are [1,000 * 0.5 * 1] = EUR **500**

The total distributions in the base currency of the UCI made by Class **B** are [500 * 0.575 * 0.8695] = EUR **250**

The field "Total distributions made in the base currency of the UCI" is mandatory.

1.2.7.8. 5080 - Amount of distributions made per unit/share in the base currency of the UCI

This item refers to the distributions (including interim dividends) in the base currency of the UCI made by the UCI per unit/share for the unit/share class with distribution rights, whose ex-dividend date falls within the reference month, whether in the form of cash dividends or dividends in the form of bonus units/shares.

Example:

A UCI, with EUR as its base currency, has issued two distribution share classes: type A denominated in EUR and type B denominated in USD.

The dividend per unit/share in the base currency of the UCI is the product of [dividend per unit/share in the base currency of the unit/share class* exchange rate].

	Number of units/shares for unit/share class with distribution rights	Dividend per unit/share in the base currency of the unit/share class	Exchange rate (e.g. USD/EUR= 0.8695)	Dividend per unit/share in the base currency of the UCI
Class A (EUR)	1,000	0.5 (EUR)	1	0.5 (EUR)
Class B (USD)	500	0.575 (USD)	0.8695	0.5 (EUR)

The **dividend per unit/share in the base currency of the UCI (EUR)** is **0.5** for Class A.

The **dividend per unit/share in the base currency of the UCI (EUR)** is **0.5** for Class B.

The field “Amount of distributions made per unit/share in the base currency of the UCI” is mandatory.

1.2.7.9. 5090 - Amount of distributions made per unit/share in the base currency of the unit/share class

This item refers to the distributions (including interim dividends) in the base currency of the unit/share class made by the UCI per unit/share for the unit/share class with distribution rights, whose ex-dividend date falls during the reference month, whether in the form of cash dividends or dividends in the form of bonus units/shares.

Example:

A UCI, with EUR as its base currency, has issued two distribution share classes: type A denominated in EUR and type B denominated in USD.

	Number of units/shares with distribution rights	Dividend per unit/share in the base currency of the unit/share class	Exchange rate (e.g. USD/EUR= 0.8695)	Dividend per unit/share in the base currency of the UCI
Class A (EUR)	1,000	0.5 (EUR)	1	0.5 (EUR)
Class B (USD)	500	0.575 (USD)	0.8695	0.5 (EUR)

The **dividend per unit/share in the base currency of the unit/share class** is **0.5** for Class A (EUR).

The **dividend per unit/share in the base currency of the unit/share class** is **0.575** for Class B (USD).

The field “Amount of distributions made per unit/share in the base currency of the unit/share class” is mandatory.

1.2.7.10. 5100 – Income in the base currency of the UCI

This item refers to the part of the income of the UCI allocated to the unit/share class during the reference month. All realised and unrealised income should be reported under this item.

The field “Income in the base currency of the UCI” is mandatory.

1.2.7.11. 5110 – Expenses in the base currency of the UCI

This item refers to the part of expenses incurred by the UCI allocated to the unit/share class during the reference month. All realised and unrealised expenses should be reported under this item.

The field “Expenses in the base currency of the UCI” is mandatory.

1.2.8. Section 6: Information on the investment income and expenses for the reference month in the base currency of the UCI

Items 6010 to 6100 all refer to information **relating to the reference month**. No cumulative amounts, i.e. including income/expenses in respect of preceding months of the financial year, are to be reported under the below items. Moreover, amounts should be shown net of taxes.

1.2.8.1. 6010 - Dividends on shares

This item refers to the total amount of dividends received by the UCI in respect of shares and other participating securities, other than UCIs, at their ex-dividend date.

The field “Dividends on shares” is mandatory.

1.2.8.1.1. 6011 - Dividends on shares - of which from Luxembourg

This item refers to the amount of dividends received by the UCI in respect of shares and other participating securities, except UCIs, at their ex-dividend date from Luxembourg domiciled companies.

The field “Dividends on shares - of which from Luxembourg” is mandatory.

1.2.8.2. 6020 - Dividends on UCI units/shares

This item refers to the total amount of dividends received by the UCI in respect of UCIs at their ex-dividend date.

The field “Dividends on UCI units/shares” is mandatory.

1.2.8.2.1. 6021 - Dividends on UCI units/shares - of which from Luxembourg

This item refers to the amount of dividends received by the UCI in respect of UCIs at their ex-dividend date from Luxembourg domiciled UCIs.

The field “Dividends on UCI units/shares - of which from Luxembourg” is mandatory.

1.2.8.3. 6030 - Interest on bonds and other debt securities

This item refers to the total amount of interest income received by the UCI in respect of bonds and other debt securities, such as money market instruments, whatever their maturity may be. This amount consists of interest due in respect of the month and interest accrued during the reference month.

The field “Interest on bonds and other debt securities” is mandatory.

1.2.8.3.1. 6031 - Interest on bonds and other debt securities - of which from Luxembourg

This item refers to the amount of interest income received by the UCI in respect of bonds and other debt securities, such as money market instruments, whatever their maturity may be, from Luxembourg domiciled issuers. This amount consists of interest due in respect of the month and interest accrued during the reference month.

The field “Interest on bonds and other debt securities - of which from Luxembourg” is mandatory.

1.2.8.4. 6040 - Interest on loans, bank and other interest-bearing accounts

This item refers to the amount of interest income received by the UCI in respect of loans, term deposits and other interest-bearing accounts. This amount consists of interest due in respect of the reference month and interest accrued during the reference month. This item corresponds to the sum of items 6041 and 6043.

The field “Interest on loans, bank and other interest-bearing accounts” is mandatory.

1.2.8.4.1. 6041 – Bank interest

This item refers to the amount of interest income received by the UCI in respect of term deposits and other interest-bearing accounts from banks and other deposit-taking institutions.

The field “Bank interest” is mandatory.

1.2.8.4.2. 6042 – Bank interest - of which from Luxembourg

This item refers to the amount of interest income received by the UCI in respect of term deposits and other interest-bearing accounts from banks and other deposit-taking institutions domiciled in Luxembourg.

The field “Bank interest - of which from Luxembourg” is mandatory.

1.2.8.4.3. 6043 – Other interest

This item refers to the amount of interest income received by the UCI in respect of loans, term deposits and other interest-bearing accounts from counterparties other than banks and other deposit-taking institutions.

The field “Other interest” is mandatory.

1.2.8.4.4. 6044 – Other interest - of which from Luxembourg

This item refers to the amount of interest income received by the UCI in respect of loans, term deposits and other interest-bearing accounts from counterparties other than banks and other deposit-taking institutions domiciled in Luxembourg.

The field “Other interest - of which from Luxembourg” is mandatory.

1.2.8.5. 6050 - Other income

This item refers to all income other than that shown under items 6010, 6020, 6030 and 6040, such as rental income, commission income and other income. This amount consists of income earned in respect of the month and income accrued during the reference month. This item corresponds to the sum of items 6051 to 6053.

The field “Other income” is mandatory.

1.2.8.5.1. 6051 – Rental income

This item refers to the amount of rental income received by the UCI from leased properties and plants.

The field "Rental income" is mandatory.

1.2.8.5.2. 6052 – Commission income

This item refers to the amount of commission income received by the UCI (e.g. retrocession fees, swing pricing fees, redemption and/or conversion fees).

The field "Commission income" is mandatory.

1.2.8.5.3. 6053 – Other

This item refers to all income other than that shown under items 6010 to 6052 (e.g. reversal of expenses).

The field "Other" is mandatory.

1.2.8.6. 6060 - Charges

This item refers to the charges deducted from the UCI (i.e. deducted from the assets of the UCI) during the reference month and represents all costs - borne by the UCI whether they represent expenses necessarily incurred in its operation, or the remuneration of any party connected with it or providing services to it - for running the UCI. Examples of costs to be included are the management fee, the advisory fee, the custodian fee, the UCI administration fee, the distribution fee, audit fees, other administrative expenses and taxes. This item corresponds to the sum of items 6061 to 6068.

Performance fees and portfolio transaction costs should not be included under this item.

The field "Charges" is mandatory.

1.2.8.6.1. 6061 – Advisory and/or management commissions and/or fees

This item refers to commissions and/or fees paid and accrued in respect of advisory and/or management services deducted from the UCI.

The field "Advisory and/or management commissions and/or fees" is mandatory.

1.2.8.6.2. 6062 – Depository commissions and/or fees

This item refers to commissions and/or fees paid and accrued in respect of depository services (from custodian or sub-custodian banks or safekeeping companies) deducted from the UCI.

The field “Depository commissions and/or fees” is mandatory.

1.2.8.6.3. 6063 – UCI administration fees

This item refers to expenses paid and accrued in respect of UCI administration services deducted from the UCI.

The field “UCI administration fees” is mandatory.

1.2.8.6.4. 6064 – Audit and inspection fees

This item refers to expenses paid and accrued in respect of audit and inspection fees deducted from the UCI.

The field “Audit and inspection fees” is mandatory.

1.2.8.6.5. 6065 – Distribution fees

This item refers to distribution fees paid and accrued in respect of the marketing and sale of UCI units/shares deducted from the UCI. These fees may cover advertising costs, compensating brokers and others selling fund units/shares, payments for printing and mailing of prospectuses to new investors, and provision of sales literature to prospective investors (e.g. distribution fees related to a master-feeder structure).

The field “Distribution fees” is mandatory.

1.2.8.6.6. 6066 – Other administrative expenses

This item refers to all administrative expenses paid and accrued other than that shown under items 6061 to 6065 deducted from the UCI.

The field “Other administrative expenses” is mandatory.

1.2.8.6.7. 6067 – Subscription tax

This item refers to the subscription tax (“taxe d’abonnement”) paid and accrued and deducted from the UCI.

The field “Subscription tax” is mandatory.

1.2.8.6.8. 6068 – Other tax

This item refers to the tax other than the subscription tax (“taxe d’abonnement”) paid and accrued and deducted from the UCI.

The field “Other tax” is mandatory.

1.2.8.7. 6070 - Performance fees

This item refers to the performance-related fees (positive or negative) deducted from the UCI.

The field “Performance fees” is mandatory.

1.2.8.8. 6080 - Other expenses

This item refers to all expenses deducted other than those shown under items 6060 and 6070, such as interest paid, bank charges, personnel expenses, rents, amortisation deducted from the UCI. This item corresponds to the sum of items 6081 to 6085.

Portfolio transaction costs that are directly attributable to the acquisition, issue or disposal of securities are not be included under this item but are added to or deducted from the portfolio positions at the settlement date.

The field “Other expenses” is mandatory.

1.2.8.8.1. 6081 – Interest paid

This item refers to the total amount of interest paid and accrued on bank overdrafts, loans and debt securities issued.

The field “Interest paid” is mandatory.

1.2.8.8.2. 6082 – Personnel expenses

This item refers to the total amount of personnel expenses paid and accrued by the UCI for its salaried employees. Personnel expenses include wages and rewards, pension expenses and other employer contributions.

The field “Personnel expenses” is mandatory.

1.2.8.8.3. 6083 – Rental expenses

This item refers to the total amount of rental expenses paid and accrued by the UCI for its own use of the building. Rental expenses include charges for ancillary services (water, electricity, heating, etc.).

The field “Rental expenses” is mandatory.

1.2.8.8.4. 6084 – Amortisation

This item refers to the total amount of amortisation of establishment costs, intangible and tangible assets. Establishment costs include the charges that incurred at the launch of the investment funds (typically legal and notary services), and do not relate to the portfolio acquisition and the financing structure. Intangible assets include the goodwill. Tangible assets include the building owned by the UCI for its own use.

The field “Amortisation” is mandatory.

1.2.8.8.5. 6085 – Other

This item refers to all expenses deducted other than those shown under items 6081 to 6084.

The field “Other” is mandatory.

1.2.8.9. 6090 - Net realised profit or loss on investments and foreign exchange positions

This item refers to the amount of net gains/losses (positive or negative) realised during the reference month. This amount must be calculated by offsetting the realised gains and losses on the disposal of investments (securities, derivatives, etc.), including realised foreign exchange related gains/losses.

For reporting purposes, portfolio transaction costs on sale of securities are to be included in the net realised profit or loss on investments and foreign exchange positions.

The field “Net realised profit or loss on investments and foreign exchange positions” is mandatory.

1.2.8.10. 6100 - Net unrealised profit or loss on investments and foreign exchange positions

This item refers to the increase or decrease over the reference month of net unrealised gains or losses originating from the valuation of investments (securities, derivatives, etc.), including foreign exchange related to unrealised gains/losses.

For reporting purposes, portfolio transaction costs on the purchase of securities are to be included in the acquisition or issue of the securities and are therefore recognised within net unrealised profit or loss on investments and foreign exchange positions.

The field “Net unrealised profit or loss on investments and foreign exchange positions” is mandatory.

2. Transmission of the U1.1 reporting files to the CSSF

2.1. Transmission channels pursuant to Circular CSSF 23/833

The channels to be used are those operating in accordance with the provisions of [Circular CSSF 23/833](#). Three means of transmission are available for this reporting:

- Application Programming Interface (API);
- eDesk;
- External channels, **until 28 February 2025**.

2.1.1. Application Programming Interface (API)

The method of transmitting reports via Application Programming Interface can be found on our website at the following link: <https://www.cssf.lu/en/Document/methods-of-transmitting-reports-via-s3-application-programming-interface-technical-guidance/>

On the eDesk IT management console, the "IT Expert" must create a bucket "**U1.1 reporting**".

For this type of reporting, the "**U1.1 reporting**" bucket must be created by the entity identified as sender to the CSSF.

The API channel allows:

- the submission of reports;
- the reception of corresponding feedback.

Reports submitted via the API channel follow the naming convention described in chapter 2.2.

2.1.2. eDesk

Method of transmitting reports via eDesk is available at the following link: <https://edesk.apps.cssf.lu/reportingu/edesk-reportingu>.

The eDesk channel allows:

- the submission of reports;
- the consultation of reports submitted by eDesk or API channels and corresponding feedback;
- the consultation of statements generated by the CSSF concerning erroneous and missing reports and corresponding explanations;
- the submission of explanations in response to CSSF statements.

Reports and explanations submitted via the eDesk channel follow the naming convention described in chapters 2.2 and 2.5.

2.1.3. External channels

The method of transmitting reports via external channels can be found on our website at the following link: <https://www.cssf.lu/en/file-transport-and-data-protection/>.

Reports and explanations submitted via external channels follow the naming convention described in chapters 2.2 and 2.5.

We would like to remind you that starting from 28 February 2025, the transmission of U1.1 reporting through external transmission channels will no longer be possible.

2.2. Sending of U1.1 reporting files

All files must be created in XML format (encoded in UTF-8), based on the .XSD model defined in chapter 1.1.

The XML initial declaration (<?xml version="1.0" encoding="UTF-8"?>) must be present at the beginning of the report in case of transmission through eDesk or API channels.

The files must comply with the following naming convention:

TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext

where

Code	Meaning	Structure	Authorised values
TYR	Reporting type	Char(3)	'U11' for UCI reporting U11
DIR	Direction	Char(3)	'REP' for Report → file sent to the CSSF
-	Separator	Char(1)	Constant '-'
E	Entity type of the sender	Char(1)	Usual entity types, e.g. « B » For banks, « P » for PFS, « I » for support PFS, « S » for management companies, « K » for Sicar, « 1 » for other companies not supervised by the CSSF, ...
IIIIIII	Identification number of the sender	Number(8)	0000001...99999999
-	Separator	Char(1)	Constant '-'
F	Type of UCI	Char(1)	'O' or 'K'
MMMMMMM	Number allocated by the CSSF to the entity	Number(8)	0000001...99999999
-	Separator	Char(1)	Constant '-'
CCCCCCC	Number allocated by the CSSF to the sub-fund	Number(8)	0000001...99999999, '0000000' if no sub-fund

Code	Meaning	Structure	Authorised values
-	Separator	Char(1)	Constant '-'
YYYYMM	Period	Number(6)	Reporting period
-	Separator	Char(1)	Constant '-'
TYP	Type of document	Char(3)	'RAP' for report
-	Separator	Char(1)	Constant '-'
TTTTTTTTTTTTTT	Timestamp	Number(13)	Timestamp in millisecond
.ext	Extension	Char(5)	'.xml'

Example:

U11REP-P12345678-O12345678-000000000-202411-RAP-1234567891234.xml

The standardised CSSF identifiers can be found at the link [Identifiers of UCI/SIF/SICAR](#).

A file with a duplicate name will be rejected. In case of correction of a previously sent file, the timestamp must be different.

The data defined into the XML report must be consistent with the information contained in the file name.

A detailed description of each field of the reporting is given in chapter 1.2. Additional information can be found in the [dedicated FAQ](#).

2.3. CSSF feedback files

The data contained in the report files are subject to a list of controls (cf. Annex 1).

These controls are performed automatically when a report file is submitted but can also be performed a posteriori to a specific file:

- automatically when a corrective file concerning a previous period is submitted;
- manually, if the CSSF considers that some changes in its database impact the status of the reporting file.

It is the responsibility of the sender to monitor transmission correctness.

In case of submission via API or external channels, a feedback file is automatically transmitted for each validation of the reporting file.

This feedback file complies with the following naming convention:

TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-tttttttttt-TTTTTTTTTTTT.ext

where

Code	Meaning	Structure	Authorised values
TYR	Reporting type	Char(3)	'U11' for UCI reporting U11
DIR	Direction	Char(3)	'FDB' for feedback → file sent by the CSSF

Code	Meaning	Structure	Authorised values
-	Separator	Char(1)	Constant '-'
E	Entity type of the sender	Char(1)	Usual entity types, e.g. « B » For banks, « P » for PFS, « I » for support PFS, « S » for management companies, « K » for Sicar, « 1 » for other companies not supervised by the CSSF, ...
IIIIIIII	Identification number of the sender	Number(8)	00000001...99999999
-	Separator	Char(1)	Constant '-'
F	Type of UCI	Char(1)	'O' or 'K'
MMMMMMMM	Number allocated by the CSSF to the entity	Number(8)	00000001...99999999
-	Separator	Char(1)	Constant '-'
CCCCCCCC	Number allocated by the CSSF to the sub-fund	Number(8)	00000001...99999999, '00000000' if no sub-fund
-	Separator	Char(1)	Constant '-'
YYYYMM	Period	Number(6)	Reporting period
-	Separator	Char(1)	Constant '-'
TYP	Type of document	Char(3)	'RAP' for report
-	Separator	Char(1)	Constant '-'
ttttttttttt	Timestamp	Number(13)	Timestamp in millisecond of the generation of the feedback file
-	Separator	Char(1)	Constant '-'
TTTTTTTTTTTTT	Timestamp	Number(13)	Timestamp in millisecond of the reporting file concerned by the feedback
.ext	Extension	Char(5)	' .xml'

Example:

U11FDB-P12345678-O12345678-000000000-202411-RAP-9876543219876-1234567891234.xml

There is an exception if there is an issue with the name of a report file submitted via the API channel. In this case, the feedback complies with the following naming convention:

OriginalFileName-FEEDBACK-U11XXXXXXXXXXXXXXXXXXXXXXXXXXXXX.ext

where

Code	Meaning	Structure	Authorised values
OriginalFileName	Name of the original reporting file	Varchar	Name of the original reporting file
-	Separator	Char(1)	Constant '-'
FEEDBACK	Direction	Char(8)	Constant 'FEEDBACK'
-	Separator	Char(1)	Constant '-'
U11XXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Identifier	Varchar	U11 + unique identifier
.ext	Extension	Char(5)	' .xml'

The feedback file generated contains two pieces of information:

- the identifier of the report; the global status of the controls.

The report files transmitted via eDesk or API channels can be monitored on eDesk. The monitoring dashboard includes:

- the global status of the last validation of a report;
- the detail of the errors/warnings raised following the last validation of a report.

2.4. Statements generated by the CSSF

The CSSF generates a statement that contains the following information concerning a specific sender:

- list of missing reports;
- list of missing final reports (following the reception of a pending report for a period);
- list of erroneous reports with the detail of the errors/warnings raised following the last validation of a report;
- list of technically rejected reports with the detail of the errors raised.

The statement is generated in two formats (xml and xlsx) and complies with the following naming convention:

TYRDIR-EIIIIIII-YYYYMMDD-TYP-tttttttttt.ext

where

Code	Meaning	Structure	Authorised values
TYR	Reporting type	Char(3)	'U11' for UCI reporting U11
DIR	Direction	Char(3)	'FDB' for feedback → file sent by the CSSF
-	Separator	Char(1)	Constant '-'

Code	Meaning	Structure	Authorised values
E	Entity type of the sender	Char(1)	Usual entity types, e.g. « B » For banks, « P » for PFS, « I » for support PFS, « S » for management companies, « K » for Sicar, « 1 » for other companies not supervised by the CSSF, ...
IIIIIIII	Identification number of the sender	Number(8)	00000001...99999999
-	Separator	Char(1)	Constant '-'
YYYYMMDD	Date	Date	Generation date
-	Separator	Char(1)	Constant '-'
TYP	Type of document	Char(3)	'COM' for statement
-	Separator	Char(1)	Constant '-'
ttttttttttt	Timestamp	Number(13)	Timestamp in millisecond of the generation of the statement
.ext	Extension	Char(5)	' .xml' or ' .xlsx'

Example:

U11FDB-P12345678-20241115-COM-1234567891234.xlsx

The xml version complies with the 'U11_feedback.xsd' schema that can be downloaded from the CSSF website (<https://www.cssf.lu/en/Document/schemas-xml-u-1-1/>).

The statements are made available:

- systematically on a dedicated eDesk dashboard;
- via an external channel only if the last transmission of a report file has been done by this mean by the sender.

2.5. Response to a CSSF statement

A sender can answer to a CSSF statement to give explanations directly in the received files (xml or xlsx).

The response file can only be transmitted via eDesk and external channels and must comply with the following naming convention:

TYRDIR-EIIIIIIII-YYYYMMDD-yyyyymmdd-TYP-tttttttttt.ext

where

Code	Meaning	Structure	Authorised values
TYR	Reporting type	Char(3)	'U11' for UCI reporting U11

Code	Meaning	Structure	Authorised values
DIR	Direction	Char(3)	'REP' for Report → file sent to the CSSF
-	Separator	Char(1)	Constant '-'
E	Entity type of the sender	Char(1)	Usual entity types, e.g. « B » For banks, « P » for PFS, « I » for support PFS, « S » for management companies, « K » for Sicar, « 1 » for other companies not supervised by the CSSF, ...
IIIIIIII	Identification number of the sender	Number(8)	00000001...99999999
-	Separator	Char(1)	Constant '-'
YYYYMMDD	Date	Date	Generation date of the statement
-	Separator	Char(1)	Constant '-'
yyyymmdd	Date	Date	Generation date of the explanations
-	Separator	Char(1)	Constant '-'
TYP	Type of document	Char(3)	'EXP' for explanations
-	Separator	Char(1)	Constant '-'
ttttttttttt	Timestamp	Number(13)	Timestamp in millisecond of the generation of the explanations
.ext	Extension	Char(5)	' .xml' or ' .xlsx'

Example:

U11REP-P12345678-20241115-20241115-EXP-1234567891234.xlsx

The xml version must comply the 'U11_feedback.xsd' schema that can be downloaded from the CSSF website (<https://www.cssf.lu/en/Document/schemas-xml-u-1-1/>).

On eDesk, the response file concerning a specific CSSF statement must be transmitted in the details screen corresponding to this statement.

3. Contact information

If you have any questions, please contact edesk@cssf.lu.

Annex 1: List of controls concerning U1.1 reporting file

Error code	Severity	Error message	Error description
RNOM00	REJECTED	The filename doesn't respect the expected naming convention	The filename must respect the naming convention "TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-RAP-TTTTTTTTTTTT.ext".
RNOM01	REJECTED	The file naming convention is incorrect: Reporting type "TYR" must contain the value "U11".	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-RAP-TTTTTTTTTTTT.ext"), the file name must contain "U11" for the variable "TYR".
RNOM02	REJECTED	The file naming convention is incorrect: Direction must contain the value "REP".	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the file name must contain "REP" for the variable "DIR".
RNOM03	REJECTED	The file naming convention is incorrect: Separator at position 7 must be "-".	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the separator between the first and the second part of the name must be "-".
RNOM04	REJECTED	The file naming convention is incorrect: Sender type "E" must be "1" or a capital letter.	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the type of the sender's entity ("E") must be "1" or a capital letter.
RNOM05	REJECTED	The file naming convention is incorrect: Sender code "IIIIIII" must contain exactly 8 digits with a leading 0.	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the sender's code ("IIIIIII") must contain exactly 8 digits with a leading 0.
RNOM06	REJECTED	The file naming convention is incorrect: Separator at position 17 must be "-".	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the separator between the second and the third part of the name must be "-".

Error code	Severity	Error message	Error description
RNOM07	REJECTED	The file naming convention is incorrect: UCI entity type "F" must be "O" or "K".	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the UCI type must be "O" (UCI or SIF) or "K" (SICAR).
RNOM08	REJECTED	The file naming convention is incorrect: UCI entity code must contain exactly 8 digits with a leading 0.	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the UCI code must contain exactly 8 digits with a leading 0.
RNOM09	REJECTED	The file naming convention is incorrect: Separator at position 27 must be "-".	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the separator between the third and the fourth part of the name must be "-".
RNOM10	REJECTED	The file naming convention is incorrect: UCI sub-fund code must contain exactly 8 digits with a leading 0.	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the UCI sub-fund code must contain exactly 8 digits with a leading 0.
RNOM11	REJECTED	The file naming convention is incorrect: Separator at position 36 must be "-".	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the separator between the fourth and the fifth part of the name must be "-".
RNOM12	REJECTED	The file naming convention is incorrect: Period "YYYYMM" must contain exactly 6 digits.	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the period must contain 6 digits (4 digits for year and 2 for month).
RNOM13	REJECTED	The file naming convention is incorrect: Separator at position 43 must be "-".	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the separator between the fifth and the sixth part of the name must be "-".
RNOM14	REJECTED	The file naming convention is incorrect: Timestamp must contain exactly 13 digits.	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTT.ext"), the timestamp must contain 13 digits.

Error code	Severity	Error message	Error description
RNOM15	REJECTED	The file naming convention is incorrect: Extension must contain the value ".xml" or ".XML".	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTTTT.ext"), the extension of the file must be ".xml" or ".XML".
RNOM16	REJECTED	The CSSF UCI code does not match the file naming convention.	The entity code (field 2010) in the file must correspond to the UCI type and code in the file name.
RNOM17	REJECTED	The CSSF UCI sub-fund code does not match the file naming convention.	The UCI sub-fund code (field 2010) in the file must correspond to the UCI sub-fund code in the file name.
RNOM18	REJECTED	The file naming convention is incorrect: Separator at position 47 must be "-".	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTTTT.ext"), the separator between the sixth and the seventh part of the name must be "-".
RNOM19	REJECTED	The file naming convention is incorrect: Document type must contain the value "RAP".	According to the file naming convention ("TYRDIR-EIIIIIII-FMMMMMMM-CCCCCCC-YYYYMM-TYP-TTTTTTTTTTTTTT.ext"), the file name must contain "RAP" for the variable "TYR".
RNOM20	REJECTED	The CSSF sender code does not match the file naming convention.	The sender type (field 1030) in the file must correspond to the sender type in the file name.
RNOM21	REJECTED	The CSSF sender code does not match the file naming convention.	The sender code (field 1030) in the file must correspond to the sender code in the file name.
RNOM22	REJECTED	The Reference Month does not match the file naming convention.	The reference month (field 1010) in the file must correspond to the period in the file name.
RNOM23	REJECTED	The CSSF sender code in the file name must correspond to the CSSF entity code associated to the S3 bucket used for the transmission.	The CSSF sender code in the file name must correspond to the CSSF entity code associated to the S3 bucket used for the transmission.
RINVAL01	REJECTED	The report is invalid.	The report is rejected for security policy reasons.
RXSD	REJECTED	Technical error: Invalid XML format from report U11.	This is a technical error message. The XML format of the report is invalid.
R1030A	REJECTED	The sender code does not exist.	The sender code (field 1030) must exist in the CSSF database.
R1030B	ERROR	The UCI has no principal link to the sender.	At the last day of the reference period, the sender must be defined in our database.

Error code	Severity	Error message	Error description
R2010A	REJECTED	The UCI code does not exist.	This UCI code must exist in the CSSF database.
R2010B	REJECTED	The UCI code does not exist.	This UCI code must exist in the CSSF database.
R2030A	REJECTED	The ISO3 capital currency code does not exist.	The currency code must exist in the CSSF database.
R2030B	ERROR	The ISO3 capital currency code does not match the historic code referenced for the UCI inside the CSSF database.	The currency must correspond to the currency in the CSSF database on the last day of the reference month.
R2050B	WARNING	The valuation date is invalid: it must be less than or equal to the maturity date.	The valuation date is invalid, it must be a date before the maturity date.
R4010A	WARNING	The UCI unit/share class type code does not exist.	This UCI unit/share class type must exist in the CSSF database.
R4030A	WARNING	The ISO3 capital currency code of the unit/share class does not exist.	This currency code of the UCI unit/share class must exist in the CSSF database.
RSGN06	WARNING	According to the data in our database, a closing date is expected for this sub-fund.	A closing date is expected for this sub-fund.
R1050A	WARNING	The email address does not have a valid format.	The email address must have a valid format.
R2040A	WARNING	The LEI code does not have a valid format.	The LEI code does not have a valid format. It must contain 20 digits and be a valid code according to the LEI code rules.
R4040A	WARNING	The ISIN code does not follow the expected format for an ISIN code.	The ISIN code does not have a valid format. It must contain 12 digits and be a valid code according to the ISO 6166 rules.
R2070B	WARNING	The launch date is invalid: it must be greater than the previous report closing date.	The launch date in the file is not valid. For a UCI which is no longer temporarily closed, the launch date must be greater than the closing date in the previous report.
R2070C	WARNING	The launch date is invalid: it must be equal to the previous report launch date.	The launch data in the file is invalid. For a UCI which has not been temporarily closed in the previous period, the launch date must be equal to the launch date in the previous report.
R2080B	WARNING	The closing date is invalid: it must be equal to or greater than the closing date defined in the preceding report.	The closing date is invalid. In the preceding report a closing date was defined therefore no final/provisional report is expected.
R3010A	ERROR	The total NAV of preceding reference month is invalid.	The total NAV of the preceding reference month (field 3010) is invalid. In the case of a "Null Report", for the preceding reference

Error code	Severity	Error message	Error description
			month the NAV must be 0. In all other cases, the NAV of the current report must be the same as the NAV of the preceding report (field 3020 in the preceding report).
R4050C	WARNING	The launch date of the unit/share class is invalid: it must be greater than the closing date in the preceding report.	The launch date of the unit/share class is invalid. If the unit/share class existed and was not closed in the preceding report, the launch date must be the same as the launch date in the preceding report. If the unit/share class existed and was closed or "dormant" in the preceding report and is now reactivated, the launch date must be later than the launch date in the preceding report.
R4080A	WARNING	The unit/share class with specific instruments - FX is invalid: it must be the same as in the preceding report.	The field "Unit/share" with specific instruments -FX" is invalid. The field must contain the same value as in the preceding report.
R4090A	WARNING	The unit/share class with specific instruments - Interest Rate is invalid: it must be the same as in the preceding report.	The field "Unit/share" with specific instruments -Interest Rate" is invalid. The field must contain the same value as in the preceding report.
R4100A	WARNING	The unit/share class with specific instruments - Other is invalid: it must be the same as in the preceding report.	The field "Unit/share" with specific instruments -other" is invalid. The field must contain the same value as in the preceding report.
R1010B	REJECTED	The reference month [YYYYMM] is invalid.	The reference month (field 1010) is invalid. The field must contain a value greater than or equal to "201606".
R2050A	ERROR	The valuation date is invalid: it must be before or equal to the reference month plus 10 days.	The valuation date (field 2050) is invalid. The field must contain a date before or on the 10th day after the end of the reference period (e.g. for the reference period 201606, the validation date must be before or equal to 10.07.2016).
R2070A	REJECTED	The launch date is invalid: it must be before or equal to the valuation date.	The launch date (field 2070) is invalid. The launch date must be before or equal to the valuation date.
R2080A	WARNING	The closing date is invalid: it must be before or equal to the valuation date.	The closing date (field 2080) is invalid. If the closing date field is filled, this date must be before or equal to the valuation date.
R2080C	WARNING	The closing date is invalid: it must be later than or equal to the launch date.	The closing date (field 2080) is invalid. If the closing date field is filled, this date must be later than or equal to the launch date.

Error code	Severity	Error message	Error description
R3020A	ERROR	The total NAV of the reference month is invalid.	<p>The total NAV (field 3020) of the reference month is invalid. The total NAV must be equal to total NAV of the preceding month (field 3010)</p> <ul style="list-style-type: none"> + proceeds from all unit/shares issued during the reference month (field 3030) - payments made for all units/shares redeemed during the reference month (field 3040) - total distribution made during the reference month (field 3050) + Sum of <ul style="list-style-type: none"> dividends on all shares (field 6010) + dividends on all UCI units/shares (field 6020) + all the interests on bonds and other debt securities (field 6030) + all Bank interests (field 6040) + other income (field 6050) - charges (field 6060) - performance fees (field 6070) - other expenses (field 6080) + net realised profit or loss on investments and foreign exchange positions (field 6090) + net unrealised profit or loss on investments and foreign exchange positions (field 6100)
R3020B	WARNING	The total NAV of the reference month is invalid.	<p>The total NAV (field 3020) of the reference month is invalid. The total NAV must be equal to the sum of all number of outstanding units/shares multiplied by the NAV per unit/share in the UCI base currency (sum of all (field 5010 * field 5020)).</p>
R3030A	WARNING	The proceeds from all units/shares issued during the reference month are invalid.	<p>The proceeds from all units/shares issued during the reference month are invalid. This figure must be equal to the sum of proceeds of all from units/shares issued for the unit/share class in the UCI base currency (sum of all fields 5050).</p>

Error code	Severity	Error message	Error description
R3040A	WARNING	The payments made for all units/shares redeemed during the reference month are invalid.	The payments made for all units/shares redeemed during the reference month are invalid. This figure must be equal to the sum of all payments made for the units/shares redeemed for the unit/share class in the UCI base currency (sum of all fields 5060).
R3050A	WARNING	The total distributions made during the reference month are invalid.	The total distributions made during the reference month are invalid. This figure must be equal to the sum of all the total distributions made for the unit/share class in the UCI base currency (sum of all fields 5070).
R4050A	WARNING	The launch date of the unit/share class is invalid: it must be before or equal to the valuation date.	The launch date of the unit/share class (field 4050) is invalid. The launch date of the unit/share class must be before or equal to the UCI valuation date (field 2050).
R4050B	WARNING	The launch date of the unit/share class is invalid: it must be later than or equal to the launch date.	The launch date of the unit/share class (field 4050) is invalid. The launch date must be later than or equal to the UCI launch date (field 2070).
R4060A	WARNING	The closing date of the unit/share class is invalid: it must be before or equal to the valuation date.	The closing date of the unit/share class (field 4060) is invalid. The closing date of the unit/share class must be empty or contain a date before or equal to the valuation date.
R4060B	WARNING	The closing date of the unit/share class is invalid: it must be later than or equal to the launch date of the unit/share class.	The closing date of the unit/share class (field 4060) is invalid. The closing date of the unit/share class must be empty or contain a date later than or equal to the launch date.
R5080A	WARNING	The amount of distributions made per unit/share in the UCI base currency is invalid.	The amount of distributions made per unit/share in the UCI base currency (field 5080) is invalid. If the total distribution made in the UCI base currency (field 5070) is a positive figure, this field must also contain a positive figure.
R5090A	WARNING	The amount of distributions made per unit/share in the base currency of the unit/share class is invalid.	The amount of distributions made per unit/share in the base currency of the unit/share class (field 5090) is invalid. If the base currency of the unit/share class is different from the UCI base currency, and the total distribution made in the UCI base currency

Error code	Severity	Error message	Error description
			(field 5070) is a positive figure, this field must also contain a positive figure.
R6011A	WARNING	The dividends on units/shares of which from Luxembourg are invalid: the field must be less than or equal to the dividends on units/shares.	The dividends on units/shares of which from Luxembourg (field 6011) are invalid. This field must contain a figure which is less than or equal to the dividends on units/shares (field 6010).
R6021A	WARNING	The dividends on UCI units/shares of which from Luxembourg are invalid: the field must be less than or equal to the dividends on UCI units/shares.	The dividends on UCI units/shares of which from Luxembourg (field 6021) are invalid. This field must contain a figure which is less than or equal to the dividends on UCI units/shares (field 6020).
R6031A	WARNING	The interest on bonds and other debt securities of which from Luxembourg is invalid: it must be less than or equal to the interest on bonds and other debt securities.	The interest on bonds and other debt securities of which from Luxembourg (field 6031) is invalid. This field must contain a figure which is less than or equal to the interest on bonds and other debt securities (field 6030).
R6041A	WARNING	The bank interest of which from Luxembourg is invalid: it must be less than or equal to the bank interest.	The bank interest of which from Luxembourg (field 6041) is invalid. This field must contain a figure which is less than or equal to the bank interest (field 6040).
RNA01	ERROR	The report was not expected for the reporting period.	No report was expected for this UCI for this reference period. No report is expected for a UCI which is closed, liquidated or merged.
RSTAT02	WARNING	The calculated net return in the base currency of the share class should be equal to the net return displayed in line 5040. A margin of 10% is permitted.	The calculated net return in the base currency of the share class should be equal to the net return displayed in line 5040. A margin of 10% is permitted.
R1020A	REJECTED	A Null report was expected for this reporting period.	This error occurs in the case a "null report" is/was expected. A report containing a closing date and the reason for closing "The UCI is closed temporarily" has been sent, but there were "Final Reports" for a period after the reference period of this "Null Report" which have been sent before to the CSSF. For example: A corrected "Final Report" for the reference period 201609 with showing a closing date of 30.09.2016 and a reason for closing "4" is sent in December 2016, but the CSSF had already received "Final Reports" for the

Error code	Severity	Error message	Error description
			reference period 201610 and 201611. These reports must be corrected as well ("Null Reports").
RINT03	REJECTED	The report was rejected since an amended report was received for a previous reporting period: the UCI was closed but the closing date in the report and in our database are different.	The report was rejected since an amended report was received for a previous reporting period: the UCI was closed but the closing date in the report and in the CSSF database are different.
R1020C	REJECTED	Financial information on the UCI and on the unit/share class, general information on the unit/share class and information on investment income and expenses must be empty for "null report".	Financial information on the UCI and on the unit/share class, general information on the unit/share class and information on investment income and expenses must be empty for "null report".
R1020D	REJECTED	Financial information on the UCI and on the unit/share class, general information on the unit/share class and information on investment income and expenses must be filled for "final report" or "provisional report".	Financial information on the UCI and on the unit/share class, general information on the unit/share class and information on investment income and expenses must be filled for "final report" or "provisional report".
RNA02	ERROR	The report for this sub-fund was not expected for the reporting period.	The report for this sub-fund was not expected for the reporting period.
RFMAN01	WARNING	The status of this report has been manually modified. Please refer to the CSSF comment for further details.	The status of this report has been manually modified. Please refer to the CSSF comment for further details.
RFMAN02	ERROR	The status of this report has been manually modified. Please refer to the CSSF comment for further details.	The status of this report has been manually modified. Please refer to the CSSF comment for further details.
RFMAN03	REJECTED	The status of this report has been manually modified. Please refer to the CSSF comment for further details.	The status of this report has been manually modified. Please refer to the CSSF comment for further details.