# Submission of a concrete project

## Personal details

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| --- | --- |
| Title: | Click or tap here to enter text. |
| Name: | Click or tap here to enter text. |
| Telephone: | Click or tap here to enter text. |
| Email address:  | Click or tap here to enter text. |
| Name of the Company: | Click or tap here to enter text. |
| Company website: | Click or tap here to enter text. |
| Year of incorporation: | Click or tap here to enter text. |
| Country of incorporation: | Click or tap here to enter text. |
| I act in the capacity of: | Click or tap here to enter text. |
| I am member of the following innovation hubs: | Click or tap here to enter text. |
| I have already been in contact with the following entities: | Click or tap here to enter text. |
| I am in contact with a legal advisor: | Click or tap here to enter text. |
| In the context of the present project, I have already been in contact with someone from the CSSF before. Please detail the context and the name of said person: | Click or tap here to enter text. |

## Details of my project

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| My project allows addressing the following problems: | Click or tap here to enter text. |
| Description of the project/business model concerned: | Click or tap here to enter text. |
| General information on funding, shareholding and market size: | Click or tap here to enter text. |
| Main competitors (if any): | Click or tap here to enter text. |
| Types of services offered: | Click or tap here to enter text. |
| Types of clients/investors targeted: | Click or tap here to enter text. |
| Will you perform “offers to the public” as defined in the Prospectus Regulation? | Click or tap here to enter text. |
| The entity holds client funds: | Click or tap here to enter text. |
| Description of the type of assets/investment products offered and preliminary assessment (eventually supported by legal opinion) of their qualification (or not) as Financial instruments according to MiFID II (including security tokens). | Click or tap here to enter text. |
| In case of security tokens issued under Luxembourg Law, indication of the form of the tokens to be issued (e.g. dematerialized, registered, bearer). | Click or tap here to enter text. |
| Will the assets/investment products be exchanged on regulated markets or only via private placements? | Click or tap here to enter text. |
| Will the service involve securitization activities? | Click or tap here to enter text. |
| My project uses the following innovative technologies: | [ ]  DLT[ ]  Artificial Intelligence[ ]  Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| My project is at the following stage of development: | Click or tap here to enter text. |

## Technology aspects

In case AI technology is used, please provide the following additional information:

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| Type of AI technology used: | [ ]  Machine Learning (ML) [ ]  Natural Language Processing (NLP) [ ]  Robotic Process Automation (RPA)[ ]  Chatbots[ ]  Computer Vision / Image Recognition[ ]  Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Size of your AI “data science” team: | Click or tap here to enter text. |
| AI development tools, programming languages, algorithms and API (open source) used: | Click or tap here to enter text. |
| Internal/external data sources used: | Click or tap here to enter text. |
| High level description of how trustworthiness aspects such as ethics, fairness, bias, explainability, human oversight (“human in the loop”) are addressed in your solution: | Click or tap here to enter text. |

In case DLT technology is used, please provide the following additional information:

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| --- | --- |
| Value added for using a DLT in comparison to using a more traditional technology: | Click or tap here to enter text. |
| Type of DLT: | [ ]  Public blockchain [ ]  Private blockchain [ ]  Permissionless blockchain[ ]  Permissioned blockchain |
| Rationale for the type of DLT (for what kind of services the DLT will be used): | Click or tap here to enter text. |
| Type of data to be stored in the DLT: | Click or tap here to enter text. |
| Roles and responsibilities regarding the functioning of the DLT and/or the platform/services that will run using the DLT: | Click or tap here to enter text. |
| High-level assessment of risks related to at least the governance aspects, smart contracts (if used), data privacy, wallet/keys management and DLT infrastructure: | Click or tap here to enter text. |

## Purpose of the contact

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| I would like to present my innovative business model to the Innovation Hub of the CSSF, notably to obtain feedback on regulatory requirements or in view of a potential submission of an authorisation file. |[ ]
| I would like to present my innovative business model to the Innovation Hub of the CSSF, for information purposes only. |[ ]

I have provided the following documents in the annex:

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| PowerPoint presentation |[ ]
| Business plan |[ ]
| Other: (please detail) |[ ]

## General guidance for interacting with the CSSF

1. When requesting a meeting for a presentation with the Innovation Hub of the CSSF, the CSSF considers that you have a concrete and stable project in development that is more than a simple idea.
2. In order to allow a productive exchange with the CSSF, it is recommended to familiarise yourself with some basic legal notions where there is a possibility that your business model falls under an existing legislation of the financial sector.
3. In order to allow the Innovation Hub to optimally prepare for the meeting and, if necessary, contact the relevant specialists of the different departments of the CSSF, the entity should provide to CSSF this form duly filled in and the presentation to be used as support of the meeting at least 1 week before the meeting.
4. The presentation should be in PowerPoint format and should include at least the following information: high level description of the project and related business model, intended activities and services offered (eventually supported by legal opinion regarding the qualification of those activities/services), high level IT architecture (including indication of IT services outsourced), main actors and 3rd parties involved, and main information flows.
5. When the entity requests a preliminary assessment of whether its project may fall under an existing legislation/regulatory framework of the financial sector, this assessment is made on a case-by-case basis and based on the information provided by the entity. Such request should be accompanied by a legal analysis and supporting documentation that is as complete as possible. If deemed necessary, the CSSF may ask the entity to seek further clarification from a legal advisor/lawyer.

## Disclaimer

Although the Innovation Hub is competent for providing you with its assistance and guidance for regulatory questions, it should be noted that it cannot provide you with any legal advice or of any other kind, nor put you in contact with or provide you with the name of any counsel, legal or other.

Also, the CSSF will not provide you with any advice on which software, ICT tools, development tools and languages, or ICT service providers to choose to set up your innovative service offering. Your choices can only be made on the basis of your own due diligence and risk analysis, and in compliance with relevant regulations.

Presentations made at the Innovation Hub cannot have a commercial purpose in order to sell any product to the CSSF.

Please note that the information provided during the presentations will be shared with any relevant department within the CSSF.