



# Schedule of conditions 01.2

## Schedule of conditions O1.2

Date	Version	Description
3.1.2012	1.00	Initial version
2.3.2012	1.01	Correction : header / report / layout to be filled with '0' and not with 'LO'
13.3.2012	1.02	Precision of the value required for tag <version> that had not been specified before
4.4.2012	1.03	Precision on the <cssfreport> tag (see new chapter « Tag <cssfreport> »)
12.4.2012	1.04	Reminder : in chapters <ul style="list-style-type: none"> <li>+ Subtables (tag &lt;subtab&gt;)</li> <li>+ Lines (tag &lt;item&gt;)</li> <li>+ Columns (tag &lt;column&gt;)</li> <li>+ Indexes (tags &lt;index1&gt; ... &lt;index4&gt;)</li> </ul> all codes have to be used « as is », i.e. <b>including potential leading zeros</b>
21.10.2021	1.05	Transposition of the document into the applicable graphical charta of the CSSF

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The present document describes the technical information needed for sending reports of type O1.2 L0 to the CSSF.

## 1. Report transmission

The reports shall be created in XML format and transmitted through the **system of transmission channels** accepted by CSSF based on circular 08/334. A description of the system of transmission channels as well as the **XML schema cssfreport** to be used to create the report can be found at

<http://www.cssf.lu/en/legal-reporting/transport-protection/>

The structure of the XML schema cssfreport is described more in detail in Annex 1. If the schema allows the use of larger data items (longer strings, more precise numeric items, ...) than described below, then the information in the present document shall prevail and be applicable.

In accordance with circular CSSF 08/344, this report shall be transmitted to the CSSF as well as to the BCL.

The following file naming convention is applicable :

Code	Meaning	Structure	Values
TYR	Reporting type	Char(3)	'OPC' for fund reporting
DIR	Direction	Char(3)	'REP' for Report → file sent to CSSF  'FBR' for Feedback → feedback file by CSSF confirming reception
-	Separator	Char(1)	Constant '-'
E	Entity type of <b>submitter</b>	Char(1)	Usual CSSF entity types : « B » (bank) « P » (PSF), « I » (IT PSF), « S » (Management company), « K » (Sicar), « 1 » (entity not supervised by CSSF), ...
IIIIIIII	Id of <b>submitter</b>	Number(8)	00000001...99999999
-	Separator	Char(1)	Constant '-'
T	Entity type of <b>fund</b>	Char(1)	Constant 'O'
JJJJJJJ J	Fund id	Number(8)	00000001...99999999
-	Separator	Char(1)	Constant '-'
SSSSSS SS	Compartment	Number(8)	00000001...99999999, '00000000' if non compartment structure
-	Separator	Char(1)	Constant '-'
YYYY	Year	Number(4)	End period - year
-	Separator	Char(1)	Constant '-'
MM	Month	Number(2)	End period - month
-	Separator	Char(1)	Constant '-'
DD	Day	Number(2)	Constant '01'
-	Separator	Char(1)	Constant '-'
D	Audit status	Char(1)	'N' for non-audited figures
-	Separator	Char(1)	Constant '-'

C	Accounting status	Char(1)	'L' for situation applicable in Luxembourg
-	Separator	Char(1)	Constant '-'
O	Constant	Char(1)	Constant 'O'
-	Separator	Char(1)	Constant '-'
RRRRRR	Tableau	Char(6)	'O1.2__'
-	Separator	Char(1)	Constant '-'
LL	Layout	Char(2)	'O_' for 'O1.2__'
.ext	Extension	Char(5)	Pour fichiers 'REP' : '.xml' ou '.XML'  Pour fichiers 'FBR' : '.xml'

Example :

OPCREP-B00000111-O11111111-00000000-2012-03-01-N-L-O-O1.2\_\_-O\_.ext

## 2. Table characteristics and mapping

The present chapter describes the technical aspects of the data to be delivered

### 2.1 Tag <cssfreport>

The <cssfreport> tag needs to contain a schemaLocation that points to the schema « cssfreport.xsd » in the local directory. A correct <cssfreport> tag should thus look like :

```
<cssfreport xmlns="http://www.cssf.lu/2009/cssfreport"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:schemaLocation="http://www.cssf.lu/2009/cssfreport cssfreport.xsd">
```

### 2.2 Header and filename correlation

The present chapter explains the header structure as well as potential appearances of some header items in the filename. **Any item not mentioned in the table below can be omitted, or, if the schema does not allow omission, can contain an adequate schema-compliant value or 'n/a' value if not applicable.**

XML	Example	Format	Item	Filename equivalence
attribute version	1.0	Hardcoded '1.0'	-- version	n/a
attribute creationDateTime	2012-04- 01T09:30:47	XML datetime	Date of creation of the file	n/a
n/a	OPC	Hardcoded 'OPC'	Report type	TYR
n/a	REP	Hardcoded 'REP'	Report direction	DIR
header / declarant / entity_type	O	Hardcoded 'O'	Type of reporting entity	T
header / declarant / entity_id	12345678	Numeric(8)	ID of reporting entity	JJJJJJJ
header / declarant / subfund	12345678	Numeric(8)	ID of reporting entity subfund	SSSSSSSS
header / reporter / entity_type	S	Char(1)	Type of submitting entity	E
header / reporter / entity_id	12345678	Numeric(8)	ID of submitting entity	IIIIIIII
header / period / year	2012	Numeric(4)	Year of report	YYYY
header / period / month	12	01 ... 12	Month of report	MM
header / report / type	O	Hardcoded 'O'	Report type	O

header / report / table	<b>O1.2</b>	Hardcoded 'O1.2' resp. 'O1.2__'	Tableau	RRRRRR = 'O1.2__'
header / report / layout	<b>O</b>	Hardcoded 'O' resp. 'O_'	Layout	LL = 'O_'
header / reportingcontext / accountingversion	L	Hardcoded 'L'	« Version comptable »	C
header / reportingcontext / definitiveversion	N	Hardcoded 'N'	« Version définitive »	D
header / capitalcurrency / currency	EUR	ISO 4217	Compartment capital currency	n/a
header / maincontact / name		See XML schema	Contact name	n/a
header / maincontact / phone		See XML schema	Contact telephone	n/a
header / maincontact / email		See XML schema	Contact e-mail	n/a
header / substitute / name		See XML schema	Substitute for main contact - name	n/a
header / maincontact / phone		See XML schema	Substitute for main contact - telephone	n/a
header / maincontact / email		See XML schema	Substitute for main contact - e-mail	n/a
header / softwareused / reportingsoft	Software to create report	See XML schema	Software to transmit report	n/a

header / softwareused / transfersoft	Software to transmit report	See XML schema	Software to transmit report	n/a
header / version	01.00.00	Hardcoded '01.00.00'	Version of the cssfreport schema to use	n/a
header / remark	AOB	See XML schema	Remark	n/a

### 2.3 Subtables (tag <subtab>)

The table has one subtable :

Subtable	Description
1	List of guaranties for shares

Remark : all codes have to be used « as is », i.e. **including potential leading zeros**

### 2.4 Lines (tag <item>)

The table has only one item :

Subtable	Line code	Description
1	0010	Guaranty

Remark : all codes have to be used « as is », i.e. **including potential leading zeros**



## 2.5 Columns (tag <column>)

All monetary data items shall be reported in units of the capital currency of the **share**.

The table has the following columns :

Subtable	Column Code	Format	Maximal length (before decimal point)	Maximum decimals	Description
1	010	stringvalue	3	0	Capital currency of the share (ISO 4217)
1	020	numericvalue	15	4	Net Asset Value (VNI) per share at the end of the reference month
1	030	numericvalue	15	4	Net Asset Value (VNI) per share guaranteed
1	040	numericvalue	15	4	Number of shares emitted
1	050	stringvalue	10	0	Starting date of the guaranty YYYY-MM-DD
1	060	stringvalue	10	0	Ending date of the guaranty YYYY-MM-DD
1	070	stringvalue	512	0	Denomination of the guarantor
1	080	numericvalue	15	4	Own funds of the guarantor at the end of the reference month
1	090	stringvalue	512	0	Comments

Remark : all codes have to be used « as is », i.e. **including potential leading zeros**

## 2.6 Indexes (tags <index1> ... <index4>)

The table has the following indexes :

Subtable	Index Code	Length	Description
1	index1	4	Numeric code of the share formatted NN ou NNN (if >= 100) or NNNN (if >= 1000)
1	index2	1	'-' (Hardcoded)
1	Index3	1	'-' (Hardcoded)
1	Index4	1	'-' (Hardcoded)

Remark : all codes have to be used « as is », i.e. **including potential leading zeros**

### 3. Validation rules

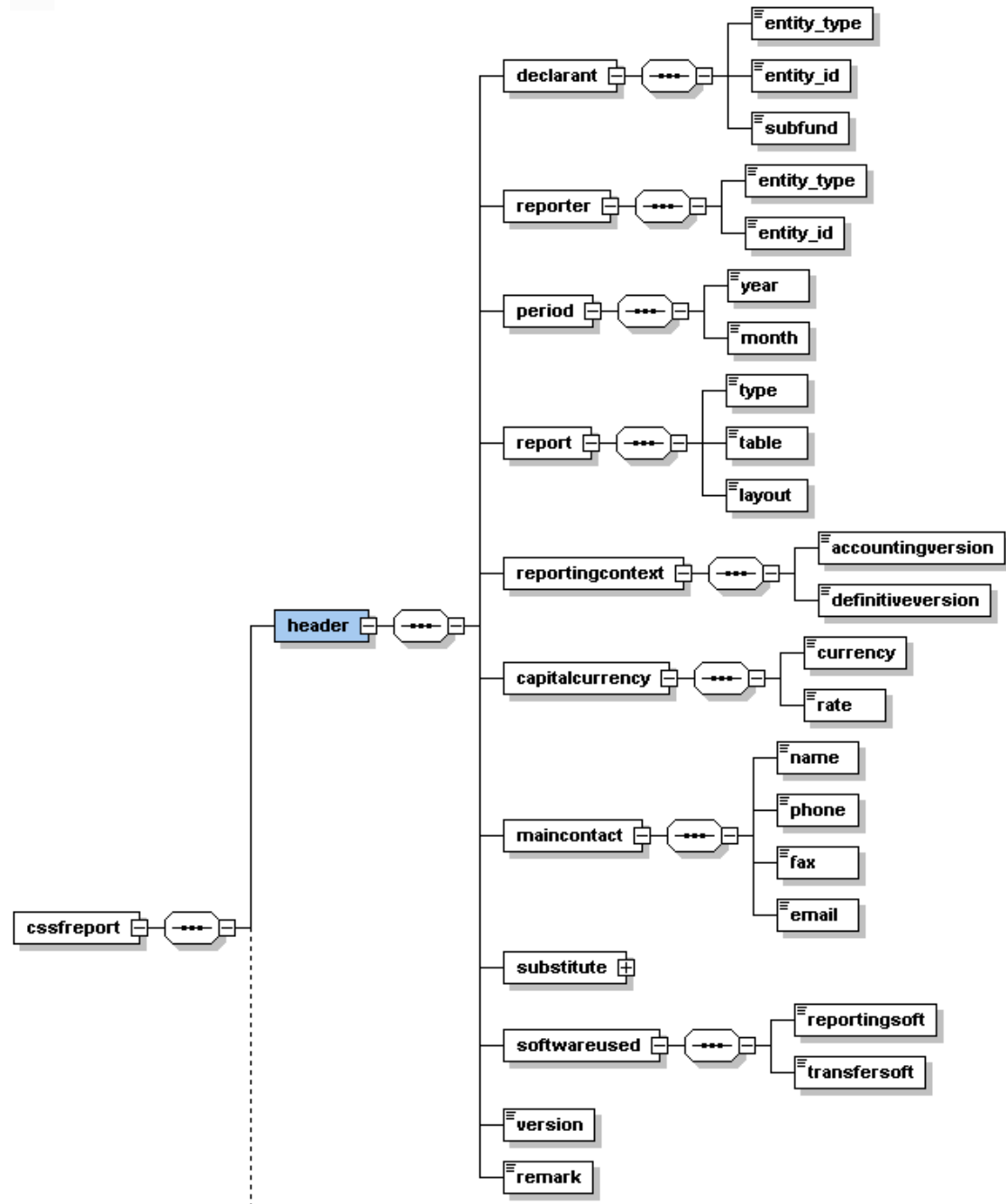
The following validation rules are applicable :

- <declarant> / <entity\_id> must exist and be a valid code
- <declarant> / <subfund> must exist and be a valid code
- <reporter> must refer to a valid <entity\_type> and <entity\_id>
- <reporter> must be a valid sender for the <declarant>
- the share code <index1> must exist and be a valid share code for the <subfund>
- the currency code reported in tag <currency> must be a ISO 4217 code valid for the subfund
- any currency code reported in column 010 must be a ISO 4217 code valid for the share <index1>
- all numeric items in the report must be positive or 0
- all dates (columns 050 and 060) must be sent in format YYYY-MM-DD

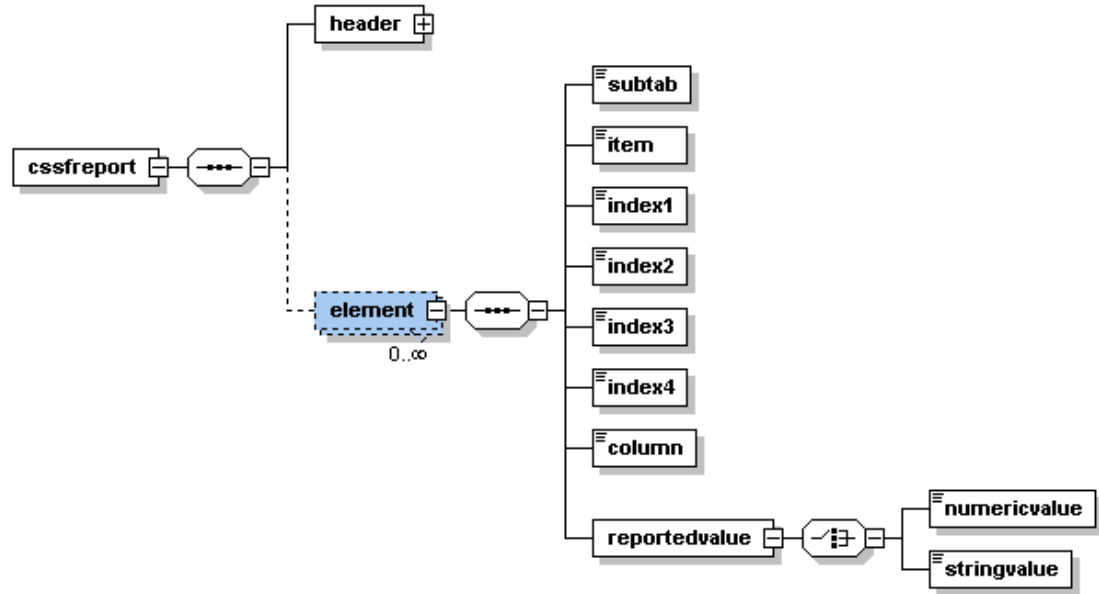
## 4. Annex 1 : Structure of the cssfreport schema

### 4.1 Part 1 : header structure

Remark : the undisclosed <substitute> structure is the same as the <maincontact> structure



#### 4.2 Part 2 : element structure





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