**Supporting Documentation of a UCI Approval Application file   
- Requirements Guide -**

This Guide is part of the UCI Approval Application Process, specifies the requirements in respect to supporting documents that must accompany an application file and informs on how and when to provide them.

Documents should be submitted as part of the request for approval created in the « UCI Approval » application available under the eDesk of the CSSF, as part of the request of conversion of a UCI already registered on the official list into a UCI from another type not yet registered on the official list, as well as for applications for approval of additional sub-fund(s) or amendment(s) to an existing UCI, the last three yet submitted outside of eDesk.

Before transmission to the CSSF, documents should be carefully checked for compliance with the specifications provided hereafter to ensure that documents are valid as regard to form, date and timing of submission.

**Upload or transmission of inadequate documents or documents differing from specifications may hamper the assessment of the file, lead to delays or possibly to a halt of the approval process until supporting documentation pack is satisfactory.**

**All supporting documents must meet the following requirements:**

General considerations:

* Documents must be free of encryption, password protections (unless otherwise agreed in advance) and build-in macros (unless agreed upon in advance);
* Documents must be written in one of the following languages: French, English or German, unless exceptions specifically permitted by the CSSF upon request;
* Transcripts provided in another language than French, English or German must be translated by a professional translator, by the issuer of the original document or a notary public and certified as a true transcript;
* A supporting document describing or confirming a situation or a state of a situation must clearly bear an identification of its author or a certifying person by stating First Name, Last Name, Company Name, Function and date of creation. The date of document and certification if any must be actual (ie not outdated) and in line with situation and context of the application for which the document or certification serves;
* Documents such as articles, descriptive notes, memoranda or other reports exceeding several pages shall be structured consisting of different chapters, sections (eventually sub-sections) as relevant. Each section, where relevant, is divided into a number of paragraphs, makes use of framing elements like titles and/or a referenced list for the texts in order to be coherent and easy to read and understandable for the purpose of the application;
* Service contracts concluded between a fund and third parties are not part of the examination process of the application file and general principles of contractual freedom apply on condition that applicable legal, regulatory and administrative prescriptions are complied with. Contracts are however requested to be transmitted in the final signed version and provided along with a contract conformity letter (see document available on the website) together with the other final documents requested in the notice of end of examination for the purpose of registering the fund on the list and visa-stamping the prospectus;
* General specifications that shall meet contracts as a matter of guidance and good practice can be found on the website.

Additional specific considerations related to documents transmitted via eDesk:

* Documents should preferably be uploaded in pdf format;
* Documents may be requested at fund, sub-fund, share class or actor level;
* No specific file name nomenclature needs to be applied, uploaded files are renamed automatically;
* The size of a document cannot exceed 50 MB;
* Only one document per document type can be uploaded. If multiple documents of the same type need to be uploaded, the documents must be merged upfront into one single document;
* Documents uploaded remain downloadable at any time and can no longer be deleted after they have been submitted to the CSSF;
* Transmitting a new version of a document only requires the upload a new document for the same document type/name, previous version of same document will be deleted by overwrite;
* An “Overview table of supporting documents for a UCI Application” (see document available on the website) informs on details of required documents and timing of transmission.

**The CSSF reserves the right to consider any document not aligned with requirements above as not valid for the purpose of the application. Applicants (or authorized representatives) will be informed in case of such a rejection. Documents discarded will not be returned and will be deemed void and not having been received nor considered for the examination of the application.**