

IFM Guidelines on cross-
border management
notification and de-
notification procedures

To be followed by Luxembourg
Investment Fund Managers

CONTENTS

| | |
|--|----|
| 1. Purpose..... | 4 |
| 2. Scope..... | 4 |
| 3. Documentation of the notification or de-notification submission..... | 5 |
| 3.1 The AIFM notification file submitted to the CSSF must contain the following documents: | 5 |
| 3.3 CSSF attestation document | 9 |
| 4. Submission of the application to the CSSF | 9 |
| 4.1 eDesk portal transmission..... | 9 |
| 4.1.1 Connection to the tool..... | 9 |
| 4.1.2 Notification dashboard | 9 |
| 4.1.3 Creation of a notification request..... | 10 |
| 4.1.4 Detailed view | 10 |
| 4.1.5 Notification file processing | 16 |
| 4.2 Application Programming Interface (API) transmission..... | 16 |
| 4.2.1 General principles..... | 17 |
| 4.2.2 Notification package format | 17 |
| 4.2.3 CSSF feedback files | 19 |
| 4.2.4 Monitoring of API transmissions | 20 |
| 4.2.5 Cleaning of API bucket folders..... | 21 |
| 5. Contact information | 21 |
| Annex 1: Notification letter and de-notification letter formatting and mapping | 22 |
| Annex 2: File naming convention description to be observed when transmitting a ZIP package..... | 24 |
| Annex 3: File naming convention description for CSSF feedback files..... | 27 |
| Annex 4: CSSF formal verification rules | 28 |
| Annex 5: Required documents..... | 38 |

Update information

| Date | Version | Changes |
|-------------------|---------|-----------------------------|
| 22/04/2026 | 1.0 | Publication of the document |

IFM Guidelines on cross-border management notification and de-notification procedures

To be followed by Luxembourg Investment Managers

1. Purpose

This document gives further guidance on the relevant procedures, the expected documentation, and information regarding the submission of cross-border management notifications and de-notifications via eDesk or an API solution.

For any questions regarding these guidelines please contact edesk@cssf.lu.

2. Scope

The following supervised entities must comply with the cross-border management notification and de-notification procedures, including any updates for:

- a. Luxembourg-domiciled UCITS management company wishing to:
 - pursue in another Member State, the activities for which it has been authorised, either by the establishment of a branch or under the freedom to provide services (FPS). This includes the management of a UCITS established in another Member State (Articles 17 and 18 of Directive 2009/65/EC (the "UCITSD"));
- b. Luxembourg AIFMs wishing to:
 - manage, either directly (FPS) or via the establishment of a branch, an AIF (regulated or not) established in another Member State and/or to provide in another Member State the services referred to in Article 6(4) of Directive 2011/61/EU (the "AIFMD") for which it has been authorised (Article 33 of the AIFMD).

⚠ A supermanco (i.e. an IFM authorised as UCITS management company and as an AIFM) must introduce two separate notifications (one under the UCITSD and one under the AIFMD) if it wants to pursue in another Member State the activities for which it has been authorised or to manage a fund in another Member State

⚠ An IFM wishing to notify both the FPS and the establishment of a branch in a given Member State must introduce two separate notifications, one for the FPS and one for the branch

3. Documentation of the notification or de-notification submission

3.1 The AIFM notification file submitted to the CSSF must contain the following documents¹:

The following documents are mandatory:

| Type of document | Abbreviation | Specifications |
|--|--------------|--|
| Notification letter of the IFM on its intended activities | LN | The notification letter includes a program of operations identifying the activities and services the IFM intends to pursue, and information on where the IFM is established. Specifications on the formatting and mapping of the notification letter are provided in Annex 1. |
| Notification letter of person Responsible for a branch | LNBM | The notification letter includes information on the person who will be responsible for a branch. Specifications on the formatting and mapping of the notification letter are provided in Annex 1. |
| Mandate | MT | This document should be annexed to the file when the entity submitting the notification is not the IFM |

¹ Annex 2 provides the detailed list of documents to be submitted depending on the chosen options as well as the expected indexation

The following documents are either optional or mandatory only in certain situations:

| Type of document | Abbreviation | Specifications |
|--|---------------------|---|
| CSSF Annex to the Notification letter | LNA | The latest version of the CSSF Annex to the Notification letter must be annexed to the file for notification of the establishment of a branch. |
| Forecast statements | FS | The latest version of the Forecast statements must be annexed to the file for notification of the establishment of a branch. |
| Branch organisational structure chart | BOC | The latest version of the Organisation chart of the branch must be annexed to the file for notification of the establishment of a branch. |
| Manager organisational structure chart including the branch | MOC | The latest version of the Manager organisational structure chart must be annexed to the file for notification of the establishment of a branch. |
| Branch manager(s)' documents (CR, CV, DH and ID) | BMD | The Branch manager(s)' documents must be annexed to the file for notification of the establishment of a branch. |
| CSSF Annex – Termination of the operation of a branch | TA | The latest version of the CSSF Annex to the termination of the operation of the branch must be annexed to the file for de-notification of the branch. |
| CSSF Annex – MiFID | MA | The latest version of the CSSF Annex – MiFID activities must be annexed to the file for notification of the establishment of a branch when MiFID activities are passported. |
| Others | OT | Any other additional document(s) the IFM is referring to as annexed document(s) in the Notification letter(s) |

3.2 The UCITS notification file submitted to the CSSF must contain the following documents²:

The following documents are mandatory:

| Type of document | Abbreviation | Specifications |
|--|--------------|--|
| Notification letter of the IFM on its intended activities | LN | The notification letter includes a program of operations identifying the activities and services the IFM intends to pursue, and information on where the IFM is established. Specifications on the formatting and mapping of the notification letter are provided in Annex 1. |
| Notification letter of person Responsible for a branch | LNBM | The notification letter includes information on the person who will be responsible for a branch. Specifications on the formatting and mapping of the notification letter are provided in Annex 1. |
| Mandate | MT | This document should be annexed to the file when the entity submitting the notification is not the IFM. |

² Annex 2 provides the detailed list of documents to be submitted depending on the chosen options as well as the expected indexation

The following documents are either optional or mandatory only in certain situations:

| Type of document | Abbreviation | Specifications |
|--|---------------------|---|
| CSSF Annex to the Notification letter | LNA | The latest version of the CSSF Annex to the Notification letter must be annexed to the file for notification of the establishment of a branch. |
| Forecast statements | FS | The latest version of the Forecast statements must be annexed to the file for notification of the establishment of a branch. |
| Branch organisational structure chart | BOC | The latest version of the Organisation chart of the branch must be annexed to the file for notification of the establishment of a branch. |
| Manager organisational structure chart including the branch | MOC | The latest version of the Manager organisational structure chart must be annexed to the file for notification of the establishment of a branch. |
| Branch manager(s)' documents (CR, CV, DH and ID) | BMD | The Branch manager(s)' documents must be annexed to the file for notification of the establishment of a branch. |
| CSSF Annex – Termination of the operation of a branch | TA | The latest version of the CSSF Annex to the termination of the operation of the branch must be annexed to the file for de-notification of the branch. |
| CSSF Annex – MiFID | MA | The latest version of the CSSF Annex – MiFID activities must be annexed to the file for notification of the establishment of a branch when MiFID activities are passported. |
| Others | OT | Any other additional document(s) the IFM is referring to as annexed document(s) in the Notification letter(s) |

3.3 CSSF attestation document

The CSSF will enclose the statement attesting that the IFM concerned is authorised by the CSSF. No action from the IFM is required.

4. Submission of the application to the CSSF

The procedures falling within the scope (**see point 2 above**) are all available through the eDesk portal: <https://edesk.apps.cssf.lu/edesk-dashboard/dashboard/getstarted>, by using the IFM Cross-border Management Notifications (IFMGT) Tool.

The procedures of notification or de-notification for IFM can also be transmitted through the CSSF API solution (S3 technology).

All data submitted to the CSSF as part of the tool must comply with the information indicated in the notification letter document, which is attached to the notification.

4.1 eDesk portal transmission

4.1.1 Connection to the tool

The tool can be accessed through a secured connection module after being authenticated with a Luxtrust certificate.

Please note that the prerequisites enabling a connection to eDesk are detailed in the “Authentication and user account management” user guide in the eDesk portal home page (<https://edesk.apps.cssf.lu/edesk-dashboard/dashboard/getstarted>).

4.1.2 Notification dashboard

The main part of the home view is a dashboard providing a general view of all notifications requested by the entity, with filtering and sorting functionalities.

The following columns are provided:

- Identifier
- IFM type (UCITS, AIFM)

- Notification type (IFM – Initial, IFM – Update, IFM - De-notification)
- FPS or Branch
- IFM ID
- IFM name
- Host country
- Status (Cancelled, Initialisation, Submitted, Accepted by CSSF – Sent to host, Rejected by CSSF, Rejected by host, Accepted by host, Under analysis - CSSF, Under analysis - host)
- Creation date
- Created by
- Submission date
- Comments status
- Channel
- Actions (click on the magnifying glass icon or double-click on a given line).

4.1.3 Creation of a notification request

Press the “Add” button on top of the dashboard, a pop-up window is created. Proceed with the following steps:

- Specify the type of IFM
- Select the IFM
- Select FPS or Branch
- Select the notification type (IFM – Initial, IFM – Update, IFM - De-notification)
- Select a host country
- Click on the “Create” button

4.1.4 Detailed view

By double-clicking on a specific line of the dashboard, the detailed view of the notification appears in the main screen.

The screen is split into three parts: navigation menu, section content and request summary.



4.1.4.1 Navigation Menu

The left part of the screen is dedicated to the navigation through the following tabs: Description, Branch (only for Branch notification not for FPS notification), Activities and Attached documents, which will be described below.

4.1.4.1.1 Description

This section enables you to edit the purpose of the notification and, in case of an amendment concerning a branch, to indicate if an update of the CSSF Annex is required.

This will also allow you to indicate if you intend to use a tied agent to provide your services. Please also follow the guidance indicated in the blue box on the application.

4.1.4.1.2 Branch

This section is available only for establishment of a branch request (not for an FPS request).

This section enables you to provide information on the branch (name and address) and its manager(s) (name, birth date, email and phone number).

4.1.4.1.3 Activities

This section enables you to indicate the activities you want to passport. This should reflect the information defined in the notification letter document.

⚠ In case of an amendment, activities already previously notified should be indicated with the status "Already notified". Other statuses are "Addition" or "Removal".




When passporting Investment management, you should also indicate whether you also intend to notify the management of a local fund in the notification. In that case, ensure to have already declared the management of that fund to the CSSF via the dedicated [eDesk procedure](#) "OPC - Generic Request".

4.1.4.1.4 Attached documents

This section enables you to attach all the necessary documents to the notification file.

The following columns are available:

- Document type
- Modified name

- Document date
- Original document name
- Upload date
- Request version id
- Status
- Actions
 -  Delete: To delete a provided document.
 -  Details: To view more information regarding the document (document name, document type, entity/instrument, reference date, language, annex number and file extension) or select another document in replacement of an existing one.
 -  Download: To download the document to your device.

To add a document, simply press the “Add” button.

Depending on the size of the file, the upload and feedback of the documents may take additional time.

- ⚠ Documentation related to the notification of the use of a tied agent should be added as Document type “Other”.
- ⚠ There are two sections: one for documents related to the IFM and one for the documents related to the branch manager.

4.1.4.1.5 CSSF comments

CSSF exchanges comments with the applicant on its own initiative (if necessary) via a list of topics.

- ✓ A topic is composed of an identifier (Id), a short but concise description of the subject and the comment itself (“Content”)
- ✓ The light blue box on the top of this screen provides more details on the exchange of comments/information with the CSSF

To reply to the comments, the request must be in **draft** mode (see point 4.1.4.4 below):

- To reply to a CSSF Comment: Access the detailed view of the respective topic, click on “Add a response” and press “Save” when the response is complete.

The selected answers will be sent to the CSSF when you submit the new version of the request.

- ✓ When submitting the request, a blocking message will inform you if not all comments have been replied.

Things to know regarding the amendment of a document attached to the notification:

- ✓ You can either delete the document to be modified and attach the new one, or click on the document, ("Detail" button), select the file and upload the new document. The old document will be replaced automatically.

Things to know regarding the topic statuses:

A single topic can have the following statuses:

- **"To be replied"**: CSSF is awaiting a response
- **"Replied and to be sent"**: the reply is added but not yet transmitted (the name of the person having responded is displayed). If the topic hasn't been transmitted, it is not visible to the CSSF
- **"Replied and sent"**: after the transmission of the comments, apart from the name, the date and time of transmission are also displayed in the details of the comment. In addition, the "Transmission date" and "Reception date" of a topic are updated in the Comments table after every transmission of the comments

4.1.4.1.6 Host follow-up

Once the CSSF has accepted the notification request, the notification is transmitted to the host Member state via email.

The follow-up on transmissions is accessible through the "Host follow-up" section.

The following columns are provided:

- Country
- Status (Accepted by CSSF (Transmitted to HOST), Under analysis HOST, Accepted by HOST, Rejected by HOST)

Last modification date

4.1.4.1.7 Submission result

See point 4.1.5.

4.1.4.2 Section Content

The main part of the screen on the right displays the fields to be filled in related to the section selected on the left.

The form can be filled in by pressing the **"Edit"** button. Then select **"Save"** or **"Cancel"** for the applicable data entry action.

Please note that:

- (i) it is not possible to save a form until all the mandatory fields are filled in;**
- (ii) if you do not save the form, information indicated will be lost;**
- (iii) you have to exit the "Edit" mode to fill in a table.**

Additional information:

- Some guidelines are available in the form of blue Information Boxes
- In some cases, a click is required to expand the guideline information.

4.1.4.3 Request summary

The right part of the screen presents a "Request summary" with the following information:

- Statement summary: FPS or BRANCH, notification type, selected IFM, identifier, host country, creation date, status, version, version status, submission date, validation status, agent in charge

4.1.4.4 Action buttons on the request

The last part of the screen (top right) contains the action buttons of the request:

- The **"Submit"** button is always visible when the request is in draft mode.

- The “**Draft**” button is always visible after submission of the first version of the request to the CSSF. The button is no longer visible once the CSSF has accepted the request, but it is always possible to prepare and submit new versions of the request.
- The “**Cancel**” button replaces the “Draft” button when the latter is selected. The button remains visible once the CSSF has accepted the request to ensure that, if there is a draft in progress, it remains possible to revert to the version already accepted
 - In case of a draft cancellation, all modifications of the forms and the attached documents will be lost, whereas the possible responses already given to comments received by the CSSF will be kept

4.1.5 Notification file processing

The CSSF will proceed to evaluate the submitted notification which entails a series of formal verifications to ensure that the notification documentation is complete and compliant. An indicative table of the rules to which a notification request submitted via eDesk may be subject to is available in Annex 4. If any errors are detected when submitting the notification, the "Submission result" section allows you to consult them.

If the CSSF notices during the formal checks upon receipt that the file is incomplete or does not comply with the specified technical requirements, it will inform the applicant through the eDesk channel.

The CSSF will inform the applicant why the file cannot be transmitted to the corresponding competent authorities. In this case, the applicant will need to transmit an amended version of the notification request taking into account the CSSF feedback.

If an authority of a host Member State does not accept a notification file sent by the CSSF, the applicant will be informed of the reason(s) for the rejection through the eDesk channel. In this case, the applicant must transmit an amended version of the notification request.

4.2 Application Programming Interface (API) transmission

Method of transmitting reports via Application Programming Interface can be found on our website following the 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 “**Cross-border management notifications**”.

4.2.1 General principles

The API channel can only be used for the initial filing of a notification request.

A package transmitted through the API channel will be subject to a list of controls (see Annex 2 below).

If at least one error is raised, the package cannot be integrated into the eDesk platform and must be sent again with the necessary modifications.

If no error is raised, the package is integrated on the eDesk platform, and the request will be processed by the CSSF.

All the following modifications, either on the initiative of the intermediary or in response to CSSF comments, can exclusively be done on eDesk and not through the API channel. The entity authorised to do these modifications is the one indicated as contact entity in the JSON (JavaScript Object Notation) file added to the notification package. In case of double licence (S and A, O and A or K and A), the CSSF code of the entity defined in eDesk (i.e. A, S, K or O) must be used.

4.2.2 Notification package format

The notification package must be transmitted in a ZIP file. This package is composed of:

- all the documents necessary to the notifications in PDF format;
- a JSON file containing data concerning the notification, such as the Investment Fund Manager concerned, information on the branch and/or branch managers if applicable, information on the activities or the entity, and user of contact for eDesk. It corresponds to the data available on the eDesk online forms

4.2.2.1 ZIP technical specifications

Reporting file must be transmitted via a compressed .zip format.

The specifications for zip archive are as follows:

| | |
|--|---|
| Compression algorithm | RFC 1951 (DEFLATE Compressed Data Format Specification version 1.3) |
| Multi-volume archives (multi-part zipfile) | No |
| Maximum size of a file in the archive | 2 Gigabytes |
| Codepage | UTF-8 |

4.2.2.2 ZIP naming conventions

The mandatory file naming convention for .zip files is specified in Annex 2.

4.2.2.3 JSON file specifications

The data concerning the cross-border management notification for an investment fund manager must be reported in the JSON format.

The schema concerning the data of the cross-border marketing notification for the funds is available at:

| Reception date | JSON schema link |
|-----------------|-----------------------------|
| From 22/04/2026 | JSON schema |

No specific naming convention will apply for the JSON report included in the zip file, but it is recommended to use report.json.

4.2.3 CSSF feedback files

It is up to the submitter to monitor transmission correctness.

The CSSF will generate feedback in a JSON format at three different steps of the process:

- the first feedback is generated as a result of the validation done after the submission of a package through the API channel;
- the second feedback is generated as a result of the CSSF decision concerning the notification request generated from the package received through the API channel;
- the third feedback is generated as a result of the HOST country decision concerning the notification request generated from the package received through the API channel

Each feedback will respect the following JSON schema and will be made available in the “feedback” folder.

[Feedback JSON schema](#)

Please ensure that you have received a feedback file for the last file sent before submitting a new file. Feedback generation could take some time. If you do not receive a response within one working day, please contact our dedicated support team at edesk@cssf.lu.

4.2.3.1 Naming convention

The feedback file naming convention is described in Annex 3.

4.2.3.2 File content

A feedback file contains several information:

- a status at the report level;
- ReportUids recently processed;
- feedback messages;

4.2.3.2.1 Report status

The report status can have five different values:

- SUBMITTED when the package is technically compliant, and data have been correctly loaded and submitted. The reported data can then be consulted from the corresponding eDesk module. Authorised users can thus modify the request or answer to the CSSF comments through this eDesk module.
- REJECTED_CSSF when the package is rejected. That is the case, either when the archive is not technically compliant, or when there is a problem with the reported data.
- ACCEPTED_CSSF when the package is accepted by the CSSF and transmitted to the corresponding HOST country.
- ACCEPTED_HOST when the package is accepted by the corresponding HOST country
- REJECTED_HOST when the package is rejected by the corresponding HOST country

4.2.3.2.2 ReportUids recently processed

This part is not applicable to the Cross-border management notifications process as only the request's initialisation can be done through the API channel.

4.2.3.2.3 Feedback messages

A list of the controls done following a submission through the API channel is given in Annex 5.

4.2.4 Monitoring of API transmissions

A specific dashboard is available in the dedicated module on eDesk to monitor the transmissions done through the API channel. This dashboard is accessible by clicking on the "Request submitted by S3" button on the module homepage.

The packages available in this dashboard are:

- the packages rejected due to, either an archive not technically compliant or a problem with the reported data. In this case, it is possible to download the package and the corresponding feedback;
- the packages accepted. In this case, it is only possible to download the corresponding package. The request created following the processing of this package is available in the principal dashboard.

If the entity linked to the bucket used for the transmission is different from the contact entity defined in the JSON file included in the archive, the rejected packages are listed on the dashboard of the entity linked to the bucket, whereas the accepted packages are listed on the dashboard of the contact entity.

4.2.5 Cleaning of API bucket folders

The document Method of transmitting reports via Application Programming Interface (<https://www.cssf.lu/en/Document/methods-of-transmitting-reports-via-s3-application-programming-interface-technical-guidance/>) defined a retention period of the files in the "submission" and "feedback" folders of 20 days (cf. question 5.11).

As the package transmitted for cross-border management of funds can be particularly large, a specific mechanism has been put in place to purge the "submission" folder of the dedicated bucket.

As soon as a feedback file is available in the "feedback" folder of the bucket, the corresponding package of the "submission" folder is deleted.

The monitoring of the transmissions can be done thanks to the dashboard described in point 4.2.4.

The retention of the files in the "feedback" folder remains at 20 days.

5. Contact information

In case of questions, please contact edesk@cssf.lu

Annex 1: Notification letter and de-notification letter formatting and mapping

| Language | Context | Link |
|----------|---|---|
| EN | Notification letter – Notification of the intention of an AIFM to manage AIFs established in a Member State other than its Home Member State in accordance with Article 33(2) of Directive 2011/61/EU or to establish a branch in accordance with Article 33(3) of Directive 2011/61/EU | Notification letter – Notification of the intention of an AIFM to manage AIFs established in a Member State other than its Home Member State in accordance with Article 33(2) of Directive 2011/61/EU or to establish a branch in accordance with Article 33(3) of Directive 2011/61/EU |
| EN | Notification letter – Notification of person responsible for a branch related to the intention of an AIFM to establish a branch in a Member State other than its Home Member State in accordance with Article 33(3)(C) of Directive 2011/61/EU | https://www.cssf.lu/en/Document/notification-letter-notification-of-person-responsible-for-a-branch-related-to-the-intention-of-an-aifm-to-establish-a-branch-in-a-member-state-other-than-its-home-member-state-in-accordance/ |
| EN | CSSF Annex to the Notification Letter under Article 33 of Directive 2011/61/EU (AIFMD) | CSSF Annex to the Notification Letter under Article 33 of Directive 2011/61/EU (AIFMD) |
| EN | CSSF Annex – Termination of the operation of a branch under Article 33 of Directive 2011/61/EU (AIFMD) | CSSF Annex – Termination of the operation of a branch under Article 33 of Directive 2011/61/EU (AIFMD) |
| EN | MiFID ANNEX to the notification letter under Articles 17 and/or 18 of Directive 2009/65/EC (UCITSD) and/or Article 33 of Directive 2011/61/EU (AIFMD) | MiFID annex to the notification letter under Articles 17 and/or 18 of Directive 2009/65/EC (UCITSD) and/or Article 33 of Directive 2011/61/EU (AIFMD) |

| | | |
|-----------|---|---|
| EN | Notification letter – Notification made by a Management Company of its intention to pursue the activities for which it has been authorised in another Member State in accordance with Article 17(2) or Article 18(1) of Directive 2009/65/EC | Notification letter – Notification made by a Management Company of its intention to pursue the activities for which it has been authorised in another Member State in accordance with Article 17(2) or Article 18(1) of Directive 2009/65/EC |
| EN | Notification letter – Notification of person responsible for a branch related to the intention of a Management Company to establish a branch in a Member State other than its Home Member State in accordance with Article 17(2)(D) of Directive 2009/65/EC | Notification letter – Notification of person responsible for a branch related to the intention of a Management Company to establish a branch in a Member State other than its Home Member State in accordance with Article 17, paragraph (2), letter (D), of Directive 2009/65/EC |
| EN | CSSF Annex to the notification letter under Article 17 of Directive 2009/65/EC (UCITSD) | CSSF ANNEX to the notification letter under Article 17 of Directive 2009/65/EC (UCITSD) |
| EN | CSSF Annex – Termination of the operation of a branch under Article 17 of Directive 2009/65/EC (UCITSD) | CSSF Annex – Termination of the operation of a branch under Article 17 of Directive 2009/65/EC (UCITSD) |
| EN | MiFID ANNEX to the notification letter under Articles 17 and/or 18 of Directive 2009/65/EC (UCITSD) and/or Article 33 of Directive 2011/61/EU (AIFMD) | MiFID annex to the notification letter under Articles 17 and/or 18 of Directive 2009/65/EC (UCITSD) and/or Article 33 of Directive 2011/61/EU (AIFMD) |

Annex 2: File naming convention description to be observed when transmitting a ZIP package

Format: NOTREP-ENNNNNNNN-LU-HH-FORB-TYP-UUID.ext

| Code | Meaning | Structure | Authorised value |
|----------------------|-----------------------|-----------|--|
| NOTREP | Reporting type | Char(4) | 'NOTREP' (constant) |
| - | Separator | Char(1) | '-' (constant) |
| E | Reporting entity | Char(1) | 'A or S' |
| NNNNNNN N | Identification number | Number(8) | 00000001...99999999 (CSSF code of the IFM) |
| - | Separator | Char(1) | '-' (constant) |
| LU | HOME country | Char(2) | 'LU' (constant) |
| - | Separator | Char(1) | '-' (constant) |
| HH | HOST country | Char(2) | ISO 3166-1-alpha-2 code <ul style="list-style-type: none"> • AT – Austria • BE – Belgium • BG – Bulgaria • CY – Cyprus • CZ – Czech Republic • DE – Germany • DK – Denmark • EE – Estonia • GR – Greece • ES – Spain • FI – Finland • IE – Ireland • IS – Iceland • IT – Italy • LI – Liechtenstein • LT – Lithuania • LV – Latvia • MT – Malta • NL – Netherlands • NO – Norway • PL – Poland • PT – Portugal • RO – Romania |

| | | | | |
|-------------|----------------------------------|--------------------|---|--|
| | | | <ul style="list-style-type: none"> • FR – France • HR – Croatia • HU – Hungary | <ul style="list-style-type: none"> • SE – Sweden • SI – Slovenia • SK – Slovak Republic |
| - | Separator | Char(1) | '-' (constant) | |
| FORB | FPS or BRANCH | Char(3) or Char(6) | FPS or BRANCH | |
| - | Separator | Char(1) | '-' (constant) | |
| TYP | Notification type | Char(3) | INI – Initial notification UPD – Update notification DEN – De-notification | |
| - | Separator | Char(1) | '-' (constant) | |
| UUID | Unique identifier (ReportUid) | UUID format | Unique identifier following the rfc 4122 norm | |
| .ext | Extension | Char(5) | .zip (constant) | |

UUID specifications

The **UUID** is necessary to uniquely identify a package concerning an investment fund manager. It is also used to prevent a file from being processed several times.

A ZIP file with the same UUID of another ZIP file concerning the same fund will be rejected with the error IFMGT005 (cf. Annex 4).

The expected format of an UUID is:

XXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXXXX

where each X data can have a value from 0 to 9 or from a to f (hexadecimal authorised characters).

You can find more information about the UUID at [Universally Unique Identifier \(UUID\)](#).

Annex 3: File naming convention description for CSSF feedback files

Format: SourceFileName_FEEDBACK_TrackingCode.json

| Code | Meaning | Structure | Authorised value |
|-----------------------|-------------------|-----------|--|
| SourceFileName | Source Filename | Char(N) | Submitted file name - Refer to the ZIP File name structure in Annex 2 |
| _ | Separator | Char(1) | `_` (constant) |
| FEEDBACK | File type | Char(8) | FEEDBACK (constant) |
| TrackingCode | Unique identifier | Char(16) | Unique identifier created by the CSSF system after file submission IFMGYYYYMMDDXXXXX where: YYYYMMDD: year, month and day of submission XXXXX: daily increment |
| _ | Separator | Char(1) | `_` (constant) |
| .ext | Extension | Char(5) | .json (constant) |

Annex 4: CSSF formal verification rules

Tables of CSSF formal verification rules applied to initial notification, updates and de-notifications.

1. Rules when uploading a document on eDesk

Controls at document uploading prevent undesirable documents from being attached within the "Attached documents" table for various reasons:

- a. The size of the uploaded document exceeds 30MB.
- b. The document is not permitted for the type and object of the notification (see part 4 hereinafter).

2. Rules on submission on eDesk (by error code)

Submission checks are performed as soon as the user presses the 'Submit' button. For each error, the user will find a technical code and a label explaining the reason:

| Error Code | Explanation |
|-----------------|--|
| IFMGT001 | Please complete the Description section. |
| IFMGT002 | In case of initial notification concerning a branch, the branch information is required. Please complete these values in the Branch section. |
| IFMGT003 | In case of initial notification concerning a branch, at least one manager of the branch must be defined. Please add at least one manager of the branch in the Branch section |
| IFMGT004 | In case of update notification or de-notification concerning a branch, a branch must be selected in the Branch section. |
| IFMGT005 | In case of initial notification or update notification, at least one activity must be selected in the Activities section. |
| IFMGT006 | An invalid document has been uploaded. |

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| IFMGT007 | At least one document is still uploading. |
| IFMGT008 | All topics in the CSSF comments tab must be replied. |
| IFMGT009 | Document Notification letter is mandatory to submit your request. Please add it to your request in the Attached documents section. |
| IFMGT010 | In case of initial notification or update notification with modifications in the annex indicated in the Description section, concerning a branch, document CSSF annex is mandatory to submit your request. Please add it to your request in the Attached documents section. |
| IFMGT011 | In case of update notification with no modification in the annex indicated in the Description section or de-notification, concerning a branch, document CSSF annex is forbidden. Please remove it from your request in the Attached documents section. |
| IFMGT012 | In case of notification concerning FPS, document CSSF annex is forbidden. Please remove it from your request in the Attached documents section. |
| IFMGT013 | In case of initial notification concerning a branch, document Manager organisation chart is mandatory to submit your request. Please add it to your request in the Attached documents section. |
| IFMGT014 | In case of de-notification concerning a branch, document Manager organisation chart is forbidden. Please remove it from your request in the Attached documents section. |
| IFMGT015 | In case of notification concerning FPS, document Manager organisation chart is forbidden. Please remove it from your request in the Attached documents section. |
| IFMGT016 | In case of initial notification or update notification with addition or removal of branch manager(s), concerning a branch, document Branch organisation chart is mandatory to submit your request. Please add it to your request in the Attached documents section. |
| IFMGT017 | In case of de-notification concerning a branch, document Branch organisation chart is forbidden. Please remove it from your request in the Attached documents section. |
| IFMGT018 | In case of notification concerning FPS, document Branch organisation chart is forbidden. Please remove it from your request in the Attached documents section. |

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| IFMGT019 | In case of initial notification concerning a branch establishment, document Forecast statement for both profit and loss and cash flow is mandatory to submit your request. Please add it to your request in the Attached documents section. |
| IFMGT020 | In case of de-notification concerning a branch, document Forecast statement for both profit and loss and cash flow is forbidden. Please remove it from your request in the Attached documents section. |
| IFMGT021 | In case of notification concerning FPS, document Forecast statement for both profit and loss and cash flow is forbidden. Please remove it from your request in the Attached documents section. |
| IFMGT022 | In case of de-notification concerning a branch, document Schedule of planned termination is mandatory to submit your request. Please add it to your request in the Attached documents section. |
| IFMGT023 | In case of initial notification or update notification concerning a branch, document Schedule of planned termination is forbidden. Please remove it from your request in the Attached documents section. |
| IFMGT024 | In case of notification concerning FPS, document Schedule of planned termination is forbidden. Please remove it from your request in the Attached documents section. |
| IFMGT025 | If the technical remitter is not the concerned IFM, document Mandate is mandatory to submit your request. Please add it to your request in the Attached documents section. |
| IFMGT026 | If the technical remitter is the concerned IFM, document Mandate is forbidden. Please remove it from your request in the Attached documents section. |
| IFMGT029 | If a MiFID activity is notified, document MiFID annex is mandatory to submit your request. Please add it to your request in the Attached documents section. |
| IFMGT030 | If no MiFID activity is notified, document MiFID annex is forbidden. Please remove it from your request in the Attached documents section. |
| IFMGT031 | In case of initial notification or update notification, concerning a branch, a notification letter for each new or modified branch manager is mandatory to submit the request. Please add the document for <name> in the Attached documents section. |

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| IFMGT032 | In case of initial notification or update to notify a new branch manager, concerning a branch, a CV for each new branch manager is mandatory to submit the request. Please add the document for <name> in the Attached documents section. |
| IFMGT033 | In case of initial notification or update to notify a new branch manager, concerning a branch, a criminal record extract for each new branch manager is mandatory to submit the request. Please add the document for <name> in the Attached documents section. |
| IFMGT034 | In case of initial notification or update to notify a new branch manager, concerning a branch, an identification document for each new branch manager is mandatory to submit the request. Please add the document for <name> in the Attached documents section. |
| IFMGT035 | In case of initial notification or update to notify a new branch manager, concerning a branch, a declaration of honour for each new branch manager is mandatory to submit the request. Please add the document for <name> in the Attached documents section. |
| IFMGT036 | The activity <name> is duplicated. Please correct this error in the Activities section |
| IFMGT037 | In case of update notification concerning a branch, document notification letter is forbidden for deleted branch manager. Please remove the document for <name> in the Attached documents section. |
| IFMGT038 | In case of update notification concerning a branch, document CV is forbidden for deleted branch manager. Please remove the document for <name> in the Attached documents section. |
| IFMGT039 | In case of update notification concerning a branch, document criminal record is forbidden for deleted branch manager. Please remove the document for <name> in the Attached documents section. |
| IFMGT040 | In case of update notification concerning a branch, identification document is forbidden for deleted branch manager. Please remove the document for <name> in the Attached documents section. |
| IFMGT041 | In case of update notification concerning a branch, document declaration of honour is forbidden for deleted branch manager. Please remove the document for <name> in the Attached documents section. |

3. Rules on submission on the CSSF API channel (by error code)

Submission checks are performed as soon as a package is received in an S3 bucket. The list of errors raised will be made available in the feedback file with a technical code, a label and context information, where applicable.

| Error Code | Label | Context |
|-----------------|--|----------------------|
| IFMGT001 | The archive name is invalid. The expected naming convention must follow the regex: NOTREP-(?<entityCssfCode>[AS]\\d{8})-(?<homeCountry>LU)-(?<hostCountry>[A-Z]{2})-(?<managementType>(FPS BRANCH))-(?<notifType>(INI UPD DEN))-(?<reportUid>[0-9a-f]{8}-[0-9a-f]{4}-[0-9a-f]{4}-[0-9a-f]{4}-[0-9a-f]{12}).zip | CSSF code of the IFM |
| IFMGT002 | The archive size cannot exceed 80 MB | CSSF code of the IFM |
| IFMGT003 | The host country defined in the archive name is not authorized for a management notification | CSSF code of the IFM |
| IFMGT004 | The investment fund manager defined in the archive name is not in scope for this type of notification | CSSF code of the IFM |
| IFMGT005 | The archive with the reportUid defined in the filename has already been received for this entity | CSSF code of the IFM |
| IFMGT006 | The archive is corrupted | CSSF code of the IFM |
| IFMGT007 | The archive must contain a single JSON file | CSSF code of the IFM |
| IFMGT008 | JSON file does not respect JSON schema | CSSF code of the IFM |
| IFMGT009 | The unique identifier in the JSON is different from the unique identifier used in the archive name | CSSF code of the IFM |

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| IFMGT010 | The CSSF code of the entity in the JSON file is different from the CSSF code of the entity used in the archive name | CSSF code of the IFM |
| IFMGT011 | The host country defined in the archive name is not consistent with the country defined in the JSON file | CSSF code of the IFM |
| IFMGT012 | The management type in the archive name is different from the management type used in the archive name | CSSF code of the IFM |
| IFMGT013 | The notification type in the JSON file is different from the notification type used in the archive name | CSSF code of the IFM |
| IFMGT014 | The field "fieldname" is required due to field value [field:value] | CSSF code of the IFM |
| IFMGT015 | Due to the condition <fieldname1:value>, the field <fieldname2> value must not be provided | CSSF code of the IFM |
| IFMGT016 | The branch concerned by the update notification or the de-notification is not linked to the investment fund manager for the specified host country | CSSF code of the IFM |
| IFMGT017 | At least one branch manager must be defined for an initial notification concerning a branch | CSSF code of the IFM |
| IFMGT018 | Only addition of branch manager is possible for an initial notification concerning a branch | CSSF code of the IFM |
| IFMGT019 | The branch manager is referenced multiple times (same branchManagerId) | CSSF code of the IFM branchManagerName |
| IFMGT020 | At least one activity must be defined for initial or update notification | CSSF code of the IFM |
| IFMGT021 | The activity is referenced multiple times | CSSF code of the IFM |

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| | | activityName |
| IFMGT022 | Only addition of activity is possible for an initial notification | CSSF code of the IFM |
| IFMGT023 | The CSSF code of the contact entity doesn't correspond to an existing eDesk entity | CSSF code of the IFM |
| IFMGT024 | The contact person email address doesn't correspond to a user of the eDesk entity corresponding to the contact entity defined | CSSF code of the IFM |
| IFMGT025 | The size of the document cannot exceed 30Mb | CSSF code of the IFM documentName |
| IFMGT026 | The document is not present in the archive | CSSF code of the IFM documentName |
| IFMGT027 | The document is present in the archive but is not defined in the JSON file | CSSF code of the IFM documentName |
| IFMGT028 | The document is referenced multiple times | CSSF code of the IFM documentName |
| IFMGT029 | The document references a branch manager that doesn't exist in the JSON file or that has a parameter 'branchManagersTypeOfAction' with a value 'DEL' | CSSF code of the IFM documentName |
| IFMGT030 | The document is invalid | CSSF code of the IFM documentName |
| IFMGT031 | Notification letter document is mandatory | CSSF code of the IFM |

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| IFMGT032 | CSSF annex document is mandatory for an initial notification or an update notification involving changes in this annex, concerning a branch | CSSF code of the IFM |
| IFMGT033 | Manager organisation chart document is mandatory for an initial notification concerning a branch | CSSF code of the IFM |
| IFMGT034 | Branch organisation chart document is mandatory for an initial notification or an update notification involving addition or removal of branch manager(s), concerning a branch | CSSF code of the IFM |
| IFMGT035 | Forecast statement for both profit and loss and cash flow document is mandatory for an initial notification concerning a branch | CSSF code of the IFM |
| IFMGT036 | Schedule of planned termination document is mandatory for a de-notification concerning a branch | CSSF code of the IFM |
| IFMGT037 | Mandate document is mandatory as the technical submitter is not the investment fund manager | CSSF code of the IFM |
| IFMGT039 | MiFID annex document is mandatory as at least one MiFID activity is notified in the present notification | CSSF code of the IFM |
| IFMGT040 | The document type is forbidden for an initial notification, an update notification or a de-notification concerning Freedom to Provide Services | CSSF code of the IFM documentName |
| IFMGT041 | The document type is forbidden for a de-notification concerning a branch | CSSF code of the IFM documentName |
| IFMGT042 | CSSF annex document is forbidden for a de-notification or for an update notification involving no change in this annex, concerning a branch | CSSF code of the IFM documentName |

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| IFMGT043 | Schedule of planned termination document is forbidden for an initial notification or an update notification, concerning a branch | CSSF code of the IFM documentName |
| IFMGT044 | Mandate document is forbidden as the technical submitter is the investment fund manager | CSSF code of the IFM documentName |
| IFMGT046 | MiFID annex document is forbidden as no MiFID activity is notified | CSSF code of the IFM documentName |
| IFMGT047 | Branch manager notification letter is mandatory for this branch manager as it is a new branch manager or modifications are notified concerning this branch manager | CSSF code of the IFM branchManagerName |
| IFMGT048 | Branch manager CV is mandatory for this branch manager as it is a new branch manager | CSSF code of the IFM branchManagerName |
| IFMGT049 | Branch manager criminal record is mandatory for this branch manager as it is a new branch manager | CSSF code of the IFM branchManagerName |
| IFMGT050 | Branch manager identification document is mandatory for this branch manager as it is a new branch manager | CSSF code of the IFM branchManagerName |
| IFMGT051 | Branch manager declaration of honour is mandatory for this branch manager as it is a new branch manager | CSSF code of the IFM branchManagerName |
| IFMGT054 | The notification has been successfully processed and is available on eDesk for CSSF validation | CSSF code of the IFM |
| IFMGT055 | The notification has been accepted by the CSSF and transmitted to the corresponding HOST | CSSF code of the IFM |

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| IFMGT057 | The notification has been rejected by the CSSF for the reason specified above | CSSF code of the IFM rejectedReason |
| IFMGT058 | The notification has been accepted by the HOST | CSSF code of the IFM |
| IFMGT059 | The notification has been rejected by the HOST for the reason specified above | CSSF code of the IFM rejectedReason |

Annex 5: Required documents

The following table provides the list of documents to be submitted depending on the chosen options for notifications and de-notifications:

| Notification Type | LN | | LNBM | | LNA | | FS | | MOC | | BOC | | BMD | | MA | | ST | | TA | | MT | | OT | |
|------------------------|--------------------------------|------------------|---|------------------|----------------------------------|------------------|--------------------|------------------|----------------------------|------------------|---------------------------|------------------|--------------------------|------------------|-------------|------------------|---------------------------------|------------------|---------------------------------|------------------|------------|------------------|------------|------------------|
| | Notification letter Activities | | Notification letter Branch manager ("BM") | | Annex to the notification letter | | Forecast statement | | Manager organisation chart | | Branch organisation chart | | Branch manager documents | | MIFID annex | | Schedule of planned termination | | Termination of the branch annex | | Mandate | | Others | |
| | To be sent | Indexation level | To be sent | Indexation level | To be sent | Indexation level | To be sent | Indexation level | To be sent | Indexation level | To be sent | Indexation level | To be sent | Indexation level | To be sent | Indexation level | To be sent | Indexation level | To be sent | Indexation level | To be sent | Indexation level | To be sent | Indexation level |
| FPS_Initial | M | IFM | F | | F | | F | | F | | F | | F | | F | | F | | F | | M | IFM | O | IFM |
| FPS_Update | M | IFM | F | | F | | F | | F | | F | | F | | F | | F | | F | | O | IFM | O | IFM |
| FPS_De-notification | M | IFM | F | | F | | F | | F | | F | | F | | F | | F | | F | | O | IFM | O | IFM |
| Branch_Initial | M | IFM | M | BM | M | IFM | M | IFM | M | IFM | M | IFM | M | BM | Note 3 | IFM | F | | F | | M | IFM | O | IFM |
| Branch_Update | M | IFM | Note 1&2 | BM | Note 2 | IFM | Note 2 | IFM | Note 2 | IFM | Note 2 | IFM | Note 1 | BM | Note 2 | IFM | F | | F | | O | IFM | O | IFM |
| Branch_De-notification | M | IFM | F | | F | | F | | F | | F | | F | | F | | M | IFM | M | IFM | O | IFM | O | IFM |

M : Mandatory

F : Forbidden

O : Optionnal

| | |
|--------|---|
| Note 1 | The document is only mandatory when a new branch manager is appointed. |
| Note 2 | The document type is only mandatory when there is a change in the previous version filed with the CSSF. |
| Note 3 | The document is only mandatory when the IFM wants to passport MIFID activities |